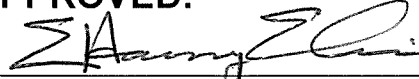


**SAN FRANCISCO PUBLIC UTILITIES COMMISSION  
WATER SYSTEM IMPROVEMENT PROGRAM  
CONSTRUCTION MANAGEMENT PROCEDURES**

**SECTION: WSIP CONSTRUCTION  
MANAGEMENT**

**APPROVED:**



**PROCEDURE NO.: 004  
TITLE: SUBMITTALS**

**DATE: 08/07/09**

**REVISION NO.: 1**

**1.0 Policy**

Submittals required by the Contract must be processed in a timely and technically sound manner. The processing of all Submittals shall comply with this CM Procedure utilizing the WSIP Construction Management Information System.

This CM Procedure applies to all personnel working on the Water System Improvement Program (WSIP) to the extent that their work is affected by these WSIP Construction Management (CM) Procedures and does not conflict with specific San Francisco Public Utilities Commission (SFPUC) policies or the Contract under which the Work is executed.

**2.0 Description**

This CM Procedure establishes the requirements to expeditiously process Construction Submittals from the original receipt by the Project Construction Manager (Project CM) through disposition, data entry, reviews, tracking of review cycles, and return to the Contractor.

**2.1 Other Applications**

This CM Procedure does not apply to specific documents such as Requests for Information (RFI's), Applications for Payment, Change Orders, or Claims. They are processed by separate CM Procedures.

**3.0 Definitions**

**3.1 Construction Management Information System (CMIS)**

The WSIP Construction Management Information System (CMIS) is an on-line management tool for the processing of contract documents based on established Construction Management Business Processes. It serves as a tool for effective storage and retrieval of various documents generated during a construction project. Processing of Submittals will

utilize the WSIP CMIS. The CMIS is designed for Contractor entry and Project CM response directly into the system.

### **3.2 Submittal**

A Submittal is any item required by the Contract to be provided by the Construction Contractor for review and acceptance by the City, refer to Attachment 004-2.

3.2.1 A Submittal includes the electronic Transmittal through the CMIS along with any supporting documentation or samples whether in electronic, hard copy, or “physical” form.

### **3.3 Submittal Log**

A Submittal Log is a tabular report provided by the Contractor with the initial Submittal of the Baseline Critical Path Method (CPM) Construction Schedule listing all Submittals required by the Contract grouped by the Specification Section, the Specification Number and the planned Submittal date.

3.3.1 The Submittal Log shall be updated each month with current status and submitted by the Contractor with the monthly CPM Construction Schedule update.

### **3.4 Submittal Register**

A Submittal Register is a tabular report generated by the CMIS and maintained by the Project CM that lists the date each Submittal was received, the Submittal and Revision Number, the Specification Section, the Date of Response, and Response Code.

## **4.0 Responsibilities**

### **4.1 Project CM Team**

The roles defined in this procedure are CMIS and project management functions and are applied in a model for typical projects. Roles and responsibilities may be assigned by the Project CM as appropriate for the size of the project and the make-up of the Project CM Team. The roles must be identified to the CMIS Administrator in order to apply appropriate system security profiles.

### **4.2 Contractor**

At project inception, the Construction Contractor submits a Submittal Register for Project CM approval per Contract compliance requirements. To enter a submittal, the Contractor initiates a Review Cycle for the Submittal in CMIS, addressing it to the attention of the Project CM, along with all supporting documentation or samples required by the Contract.

### **4.3 Project Construction Manager (Project CM)**

The Project CM is responsible as the single point of contact with the Contractor as the “City Representative” as defined by the Contract. The Project CM is responsible for the timely and efficient management of Submittals and for approving and transmitting the completed response to a Submittal to the Contractor.

### **4.4 Office Engineer (OE)**

The Office Engineer is responsible for logging into CMIS the receipt of a Submittal, assigning the File Code, determining the routing of a Submittal within the Project CM Team, tracking Submittal during all review cycles to ensure timely response and for addressing all comments on the status of a Submittal.

4.4.1 The OE should first attempt to route the submittals to engineers and inspectors stationed in the field in order to expedite the process. The OE has the authority to reject a Submittal and send it back to the Contractor for resubmittal if it is determined to be Non-compliant with the Contract.

4.4.2 The OE checks responses to Submittals for completeness, and obtains additional clarification or revision from the reviewer where deemed needed.

### **4.5 Primary Reviewer**

There is one Primary Reviewer for a project Submittal who is responsible for the review including obtaining input from any other member(s) of the project team as considered necessary and preparing a single coordinated and comprehensive response.

### **4.6 Project Engineer (PE)**

The Project Engineer is the Primary Reviewer for most technical Submittals for review and response. The PE distributes the technical Submittal to the SFPUC Engineering Management Bureau (EMB) design staff or design consultants or other technical staff or agencies as appropriate for their input.

4.6.1 The PE gathers the review information for response to Contractor through the Project CM.

### **4.7 Administrative/Document Control Specialist (ADCS)**

The Administrative/Document Control Specialist is responsible for the verification of the File Code, logging the Submittal into CMIS Correspondence Received upon receipt, and into CMIS Correspondence Sent upon transmittal of the response to the Contractor, receiving and logging any non-electronic items (test samples, manufacture’s sample, etc.) and filing the Submittal and response in the project files.

- 4.7.1 For smaller projects, as agreed in the approved CM Work Plan, the OE can perform the role of the ADCS.

## **5.0 Implementation**

### **5.1 Initiation**

- 5.1.1 Concurrent with the initial Submittal of the Baseline CPM Construction Schedule, Contractor submits the Submittal Log as a by-product of the schedule for Project CM approval.
- 5.1.2 The Project CM and OE identify the Primary Reviewer for each Submittal. Project CM circulates the Submittal Log to each Primary Reviewer for review and comment regarding the Specification Log's satisfaction of Specification requirements and the accuracy of the workflow template.
- 5.1.3 The Submittal Log is returned to Contractor for revision, until Project CM approval. Submittal Log must include, as a minimum, the following information for each Submittal:
- Specification Section;
  - Submittal Number, formatted as: <5-digit Specification Section No.> "-" <3-digit Submittal No.> (e.g., "01300-001");
  - Title of the Submittal (e.g., "Submittal Log");
  - Required Start Date (date to be submitted);
  - Required Finish Date (date review to be completed – 21 calendar days following Required Start Date).
- 5.1.4 The OE enters the Submittal Log into the CMIS Submittal Package and Submittals Modules to create the Submittal Register, and verifies/modifies the workflow and Required Start and Required Finish Dates for each Submittal.

### **5.2 Submittal Conformance**

- 5.2.1 The Contractor initiates the Submittal in CMIS by adding the first Review Cycle, entering the date of transmittal to the OE and attaching an electronic file of the Submittal to the Submittal or transmitting the Submittal in hardcopy or physical form, on an electronic medium, or via e-mail.
- Attachments that cannot be readily converted to electronic format, "physical" samples or electronic files not transmitted via the CMIS Attachment function, shall be transmitted the same day by the Contractor to the Project CM.

- Hardcopy documents, electronic documents on physical medium (e.g., compact disc, etc.) and physical materials shall be accompanied by a hardcopy Transmittal Form, which the ADCS shall log in the CMIS Correspondence Received Module.
- The OE fills out the Submittal Review Comments Form with submittal information:
  - Contract Name
  - Contract Number
  - Submittal Name
  - Specification Section Title
  - Submittal Code
  - Submittal Number
  - Revision Cycle Number
  - (Submittal) Due Date
- The OE may reject electronic documents transmitted by email and require that they be submitted as attachments to the CMIS Submittal record; if the OE accepts the emailed submittal files, they shall be saved and attached to the CMIS Submittal.
- The Contractor shall attach electronic files accompanying the Submittal which shall be attached using the Review Cycle Attachments Function. (The ADCS shall attach the electronic file of the final approved Submittal to the Submittal Attachments function.)

5.2.2 The OE confirms the Date of Receipt of the Submittal in the CMIS Review Cycle, assigns the document File Code in accordance with the standard file codes (see WSIP Construction Management Procedure 006, "Document Control and Correspondence"), and reviews the Submittal for completeness and conformance to the requirements of the Contract.

5.2.3 If the Submittal is Non-compliant, the OE rejects and returns it to the Contractor for Resubmittal by entering the appropriate Status Code at the Review Cycle level and the date into the Returned Date field.

The original Required Start and Required Finish Dates shall not be modified. If resubmittal is required, the OE will track the status as it is re-submitted as a sequential revision.

5.2.4 If the Submittal is compliant, the OE confirms the Primary Reviewer, verifies the priority code, review duration and forwards the Submittal with the Submittal Review Comments Form to the Primary Reviewer by entering the Forwarded to Date at the Review

Cycle level. The OE also transmits the Submittal to the ADCS for filing.

- 5.2.5 The ADCS verifies the File Code, logs the Submittal into CMIS Correspondence Received, and files the hardcopy Submittal along with associated hardcopy materials.

### **5.3 Primary Review**

- 5.3.1 In order to mitigate any excessive workload on the Engineering Management Bureau (EMB) or other staff elements or agencies, CM field staff will review as many submittals as possible. If field staff cannot perform the review, the Submittal will be sent to others for review.

Safety, Quality, Environmental and other Submittals will be reviewed by the appropriate project staff, and technical Submittals that affect the design will be reviewed by the PE who will coordinate with the SFPUC EMB design staff or the design consultant.

- 5.3.2 All review-related correspondence shall take place outside of CMIS. The Primary Reviewer shall use the attached form. Refer to Attachment 004-5, Submittal Review Comments Form. Each subsequent reviewer shall enter comments into the reviewer comments document in Track Changes Mode.

- 5.3.3 At the completion of the review, the Primary Reviewer shall consolidate and transmit the final response via e-mail to the OE. The Submittal Review Comments Form is returned to the OE in a file format with character recognition (Word or Adobe Acrobat with character recognition). Attachment 004-2 identifies the review responsibilities for different Submittal documents.

- 5.3.4 The OE checks the Primary Reviewer's response for completeness and either returns the response to the Primary Reviewer or forwards the response to the Project CM for approval or modification and transmittal to the Contractor. The OE will also determine the notification distribution list.

- 5.3.5 If review comments are acceptable, then the OE transfers review comments and review status into CMIS verbatim.

- 5.3.6 If comments are not acceptable, then the OE coordinates modifications into the response between the CM Team and the Primary Reviewer.

If still unresolved, the OE confers with the Project CM for a response, at which time the Project CM accepts responsibilities as the Primary Reviewer.

5.3.7 The Project CM verifies response and transmits the response to the Contractor. The Project CM may modify the response forwarded by the OE. A hardcopy should be returned to the Contractor on the same day as the response is entered into the CMIS.

#### **5.4 OE Approval**

5.4.1 The OE attaches the Final Submittal Review Comments Form to CMIS for recordkeeping.

5.4.2 If the Submittal contains multiple items, the OE records the most severe Review Status in CMIS as the Submittal's overall status.

5.4.3 When the Submittal contains multiple items, the Primary Reviewer is to make a comment that summarizes the status of the entire Submittal, identifying components that require action; the full Review Comment Form is pasted into CMIS. The response, "See attached review comment form for review remarks." Should be used to show the review status remark on each item.

5.4.4 Upon final action by the Project CM, the ADCS sends the notifications, files a complete hardcopy of the Submittal in the project files, and logs the Submittal into CMIS Correspondence Sent. Any hardcopy attachments will be forwarded to the Contractor by the ADCS.

### **6.0 Other Procedural Requirements**

#### **6.1 Submittal Documents**

A list of submittal documents typically required by the WSIP Contract Documents is presented in Attachment 004-2.

#### **6.2 Review Codes**

There are five (5) possible responses to a Submittal:

##### Approval:

- No Action Taken
- No Exceptions Taken
- Make Corrections Noted\*

##### Rejection:

- Rejected\*
- Revise and Re-submit\*

\* Responses with an asterisk require the Primary Reviewer to provide an explanation of the response code in the CMIS.

### **6.3 Review Cycle Number**

Each Submittal will be assigned a Review Cycle Number. Initial submittals shall have Review Cycle number "001". Each resubmittal shall be assigned a sequential Review Cycle Number.

### **6.4 Notification of Actions**

Notifications of Actions shall be generated by the workflow template, and Alerts will be built into the CMIS for notification of pending and overdue documents and status reports will be generated that include statistics on processing times. The OE shall advise the Project CM regarding the Submittal review process.

### **6.5 Monthly Updates**

The Project CM shall maintain the Submittal Register generated by the CMIS and use it to validate the Contractor's monthly updates to the Submittal Log. Any discrepancies shall be discussed and resolved with the Contractor.

## **7.0 References**

Business Process Report No. 1a, "Submittals, Requests for Information, Value Engineering Change Proposals"

WSIP Construction Management Procedure No. 006, Document Control and Correspondence

WSIP Construction Management Procedure No. 015, Construction Schedule Management

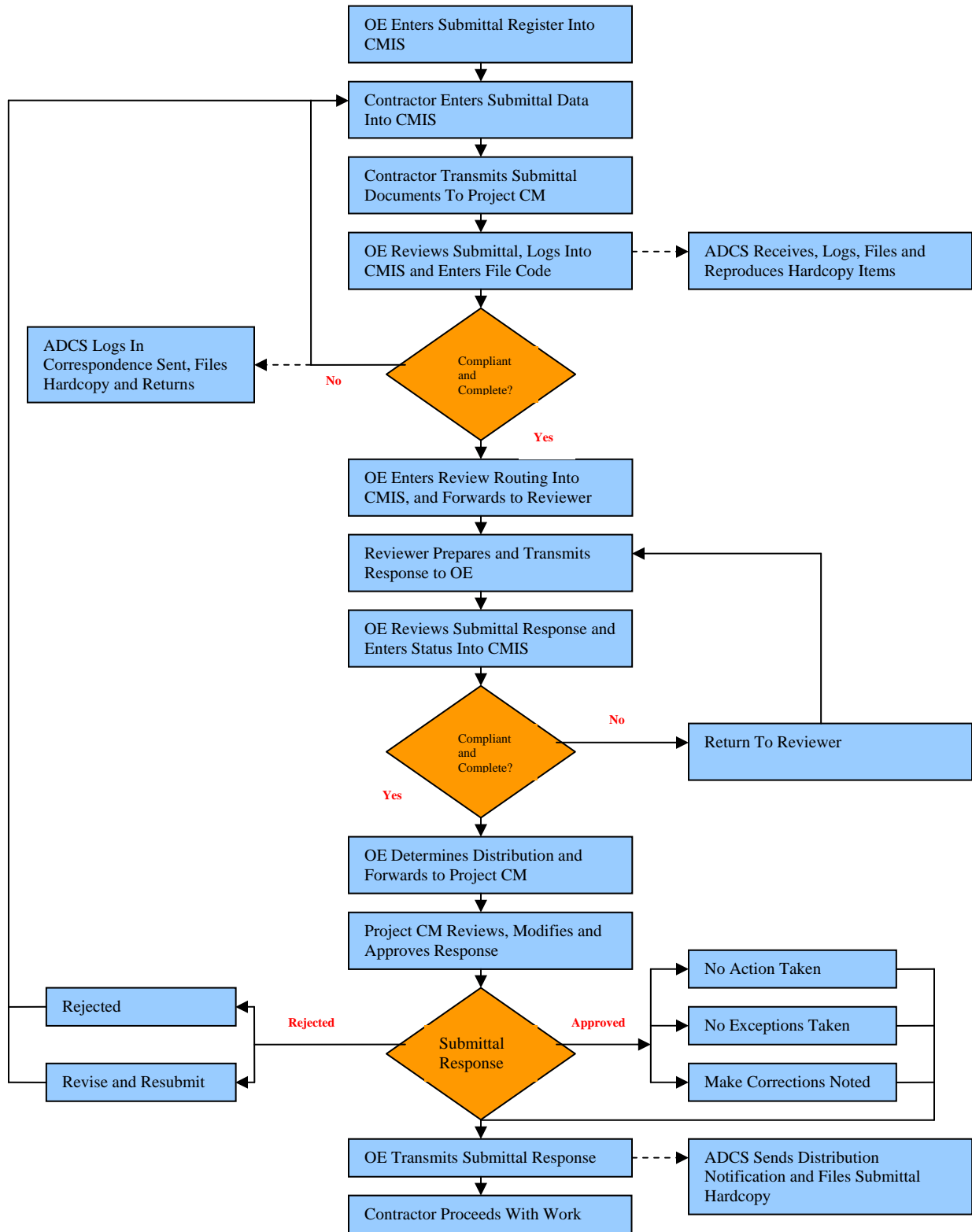
Technical Specification 01300: Submittal Procedures

## **8.0 Attachments**

- 004 -1 Submittal Flow Chart
- 004 -2 Submittal Review Responsibility Matrix
- 004 -3 Submittal Transmittal Form
- 004 -4 Submittal Register Report Log
- 004 -5 Submittal Review Comments Form
- 004 -6 Revision Control Log



## Attachment 004 - 1 Submittal Flow Chart



## Attachment 004 - 2 Submittal Review Responsibility Matrix

| <b>Table 1 – Submittal Document Types</b>                 | <b>Project CM</b> | <b>Schedule /Cost</b> | <b>PE</b> | <b>OE</b> | <b>RECM</b> | <b>FCA</b> | <b>Public Outreach</b> | <b>Operations</b> | <b>Shutdowns</b> |
|---|-------------------|-----------------------|-----------|-----------|-------------|------------|------------------------|-------------------|------------------|
| As-built Drawings   |                   |                       | X         |           |             |            |                        |                   |                  |
| Brochures   |                   |                       | X         |           |             |            |                        |                   |                  |
| Calculations  |                   |                       | X         |           |             |            |                        |                   |                  |
| Catalogue Cuts  |                   |                       | X         |           |             |            |                        |                   |                  |
| Certificates  |                   |                       | X         |           |             |            |                        |                   |                  |
| Construction Water Discharge Plans                        |                   |                       | X         |           |             |            |                        |                   |                  |
| Cultural Resource Monitoring and Protection Plans         |                   |                       |           |           | X           |            |                        |                   |                  |
| Data Sheets   |                   |                       | X         |           |             |            |                        |                   |                  |
| Design Drawings   |                   |                       | X         |           |             |            |                        |                   |                  |
| Environmental, Hazardous Waste & Pollution Control Plans  |                   |                       |           |           | X           |            |                        |                   |                  |
| Geo-technical Information & Monitoring Plans              |                   |                       | X         |           |             |            |                        |                   |                  |
| Installation /Erection Drawings                           |                   |                       | X         |           |             |            |                        |                   |                  |
| Installations Instructions                                |                   |                       | X         |           |             |            |                        |                   |                  |
| Material Lists  |                   |                       | X         |           |             |            |                        |                   |                  |
| Mock-ups  |                   |                       | X         |           |             |            |                        |                   |                  |
| Neighborhood Notification & Community Communication Plans |                   |                       |           |           |             |            | X                      |                   |                  |
| Night-time Lighting Plans                                 |                   |                       |           |           |             |            | X                      |                   |                  |
| Noise and Vibration Plans                                 |                   |                       |           |           | X           |            | X                      |                   |                  |
| Q&M Manuals   |                   |                       | X         |           |             |            |                        |                   |                  |
| Operating Instructions                                    |                   |                       | X         |           |             |            |                        |                   |                  |
| Permits   |                   |                       | X         |           |             |            |                        |                   |                  |
| Plans and Reports   |                   |                       | X         |           |             |            |                        |                   |                  |
| Plans To Accomplish Portions Of Work                      |                   |                       | X         |           |             |            |                        |                   |                  |
| Pre-construction Surveys                                  |                   |                       | X         |           |             |            |                        |                   |                  |
| Progress Reports  |                   | X                     | X         |           |             |            |                        |                   |                  |
| Quality Plans   |                   |                       | X         |           |             |            |                        |                   |                  |
| Re-vegetation Plans                                       |                   |                       | X         |           | X           |            | X                      |                   |                  |
| Safety Plans  | X                 |                       |           |           |             |            |                        |                   |                  |
| Safety /Security Management Plans                         | X                 |                       |           |           |             |            |                        |                   |                  |
| Samples   |                   |                       | X         |           |             |            |                        |                   |                  |
| Schedules   |                   | X                     | X         |           |             |            |                        |                   |                  |
| Shop and Work Drawings                                    |                   |                       | X         |           |             |            |                        |                   |                  |
| Spare Parts Lists   |                   |                       | X         |           |             |            |                        |                   |                  |
| Species Relocation Plans                                  |                   |                       |           |           | X           |            | X                      |                   |                  |
| System Shutdown Plans                                     |                   |                       | X         |           |             |            |                        | X                 | X                |
| Test Schedules and Startup Plans                          |                   | X                     | X         |           |             |            |                        | X                 |                  |
| Traffic Control Plans                                     |                   |                       |           |           |             |            | X                      |                   |                  |
| Training Plans  | X                 |                       |           |           |             |            |                        |                   |                  |
| Utilities Relocation and Support Plans                    |                   |                       | X         |           |             |            | X                      | X                 | X                |
| Vehicle and Engine Lists and Maintenance Logs             | X                 |                       |           |           |             |            |                        |                   |                  |
|   |                   |                       |           |           |             |            |                        |                   |                  |

**Attachment 004 - 3  
Submittal Transmittal Form**



**SAN FRANCISCO PUBLIC UTILITIES COMMISSION  
WATER SYSTEM IMPROVEMENT PROGRAM**



**CONTRACT NAME:**

**SUBMITTAL NO:**

**CONTRACT NO:**

**REVISION NO:**

**TITLE:**

**SUBMITTAL DATE:**

**SPEC SECTION:**

**DETAILS**

**SUBMITTED BY:**

**SUBMITTED TO:**

**REVIEWED BY:**

**STATUS:**

**PROJECT CM:**

**DATE RETURNED:**

**HARD COPY DOCUMENTS:**

**ATTACHMENTS:**

**SUBMITTAL REGISTER**



**SAN FRANCISCO PUBLIC UTILITIES COMMISSION  
WATER SYSTEM IMPROVEMENT PROGRAM**



CONTRACT NAME:  
CONTRACT NO:

DATE:

| Submittal   | Latest Rev. | Title | Latest Dates  |               |               |                    | Required   |             | Variance       |                   | Ball In Court     | Status      | Priority |
|-------------|-------------|-------|---------------|---------------|---------------|--------------------|------------|-------------|----------------|-------------------|-------------------|-------------|----------|
|             |             |       | A<br>Received | B<br>Reviewer | C<br>Reviewed | D<br>To Contractor | E<br>Start | F<br>Finish | Start<br>(E-A) | Complete<br>(F-D) |                   |             |          |
| UnSubmitted |             |       |               |               |               |                    |            |             |                |                   |                   |             |          |
|             |             |       |               |               |               |                    |            |             |                |                   | Total             | UnSubmitted |          |
| Rejected    |             |       |               |               |               |                    |            |             |                |                   | Total             | Rejected    |          |
| Open        |             |       |               |               |               |                    |            |             |                |                   | Total             | Open        |          |
| Approved    |             |       |               |               |               |                    |            |             |                |                   | Total             | Approved    |          |
|             |             |       |               |               |               |                    |            |             |                |                   | Total Submittals: |             |          |

Attachment 004 - 4  
Submittal Register Report Log

## Attachment 004 - 5 Submittal Review Comments Form



### SAN FRANCISCO PUBLIC UTILITIES COMMISSION WATER SYSTEM IMPROVEMENT PROGRAM



|                           |                          |
|---------------------------|--------------------------|
| CONTRACT NAME: _____      | SUBMITTAL CODE: _____    |
| CONTRACT NO: _____        | SUBMITTAL NO: _____      |
| SUBMITTAL NAME: _____     | REVISION CYCLE NO: _____ |
| SPEC SECTION TITLE: _____ | DUE DATE: _____          |

| ITEM | DESCRIPTION | REVIEW STATUS            |                          |                          |                          |                          |                          |
|------|-------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
|      |             | NAT                      | NET                      | MCN                      | R&R                      | REJ                      | SUB                      |
| 1    | _____       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2    | _____       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3    | _____       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4    | _____       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5    | _____       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 6    | _____       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 7    | _____       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

**LEGEND:**

|                           |                           |                              |
|---------------------------|---------------------------|------------------------------|
| NAT = No Action Taken     | NET = No Exceptions Taken | MCN = Make Corrections Noted |
| R&R = Revise and Resubmit | REJ = Rejected            | SUB = Submit Specified Item  |

REVIEWER'S NAME: \_\_\_\_\_

REVIEWER'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

This review is only for general conformance with the design concept of the project and general compliance with the information given in the contract documents. Any action shown is subject to the requirements of the plans and specifications. Corrections or comments made relative to submittals during this review do not relieve the contractor from compliance with the requirements of the drawings and specifications. Contractor is responsible for all dimensions which shall be confirmed and correlated at the job site; selecting fabrication processes and techniques of construction; coordination of the contractor's work with that of all other trades; and the satisfactory performance of the contractor's work.

**REVIEW COMMENTS (include general review comments and specific revision requirements to numbered items):**

**Attachment 004 - 6**  
**Revision Control Log**

| <b>Revision No.</b> | <b>Revision Date</b> | <b>What changed?</b>   |
|---------------------|----------------------|--|
| Rev 1               | August 7, 2009       | <ul style="list-style-type: none"><li>• Revised Section 5.0 Implementation</li><li>• Added Attachment 5; Review Comments Form</li><li>• Added Attachment 6; Revision Control Log</li></ul> |
| Rev 0               | February 16, 2009    | Signed   |