This report defines the business processes for Submittals and Requests for Information (RFI) utilizing the WSIP Construction Management Information System (CMIS).

**Submittals Business Process**

A submittal is any item required by the Contract Documents to be provided by the Contractor for review and acceptance by the Owner. The Contractor will be required to provide a Submittal Register with all planned submittals, and the proposed submittal dates will be incorporated into the Contractor’s project schedule. Submittals will be grouped into Submittal Packages by the specification section to which they pertain. They will be numbered sequentially within the specification section number and will use a revision number indicating the review cycle `<specification section number> <sequential number> <revision number>`. The contract provisions generally allow a 3 week review period; however, the project CM team will endeavor to review all submittals as rapidly as possible. A priority code will be included for use by the project CM team for high priority submittals.

The Construction Management Information System (CMIS) is designed for the Contractor to enter submittals directly into the CMIS. On approval of the Submittal Register, the OE enters it into the Submittal Package module of the CMIS. As the Contractor prepares the submittal, the Contractor enters it into the CMIS, along with all documentation required by the submittal available in electronic format. Any attachments that cannot be readily converted to electronic format, such as material samples catalogue cuts, brochures, and large drawings, will be noted as hardcopy documents in the CMIS. If non-electronic documentation is required, it will be delivered to the Project CM on the same day the submittal entry is made by the Contractor.

The CMIS will be configured to have one primary reviewer for a submittal. The CMIS will enable the primary reviewer to obtain input from as many secondary reviewers as necessary using the Inbox function to distribute the submittal to CMIS users or via email.

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to non-users, and to track responses using the “Distribution” function. The primary reviewer is responsible to compile responses and to input a single response in CMIS.

All responses must be routed through the Project CM to the Contractor in order to maintain the responsibility of the Project CM as the single point of contact with the Contractor as the “City Representative” as defined by the Contract Documents. The Project CM may delegate approval steps for certain types of submittals by providing his/her CMIS access for the Project CM approval steps.

Questions on the submittal or routing are addressed to the OE. The OE is responsible for submittal control and is notified electronically of all actions taken with submittals.

Table 1 contains a list of submittal documents typically required by the Contract Documents.

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<thead>
<tr>
<th>Technical</th>
<th>Environmental</th>
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</thead>
<tbody>
<tr>
<td>As-built Drawings</td>
<td>Construction Water Discharge Plans</td>
</tr>
<tr>
<td>Brochures</td>
<td>Cultural Resource Monitoring &amp; Protection Plans</td>
</tr>
<tr>
<td>Calculations</td>
<td>Environmental, Hazardous Waste &amp; Pollution Control Plans</td>
</tr>
<tr>
<td>Catalogue Cuts</td>
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<tr>
<td>Data Sheets</td>
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</tr>
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<td>Design Drawings</td>
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<tr>
<td>Geo-technical Information &amp; Monitoring Plans</td>
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</tr>
<tr>
<td>Samples</td>
<td>Species Relocation Plans</td>
</tr>
<tr>
<td>Shop &amp; Work Drawings</td>
<td>Environmental Training Plans</td>
</tr>
<tr>
<td>Material Lists</td>
<td>Vehicle &amp; Engine Lists &amp; Maintenance Logs</td>
</tr>
<tr>
<td>Mock-ups</td>
<td><strong>Quality Assurance</strong></td>
</tr>
<tr>
<td>Administrative</td>
<td>Installation/Erection Drawings</td>
</tr>
<tr>
<td>Certificates</td>
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</tr>
<tr>
<td>Permits – Construction</td>
<td>Plans to Accomplish Portions of Work</td>
</tr>
<tr>
<td>Progress Reports</td>
<td>Pre-construction Surveys</td>
</tr>
<tr>
<td>Safety Plans</td>
<td>Quality Plans</td>
</tr>
<tr>
<td>Safety Reports</td>
<td>QC Reports</td>
</tr>
</tbody>
</table>
### Business Process

After the Submittal Register is approved at the inception of the project, the OE enters it into the Submittal Package module, which lists the submittals by specification section. Using the Submittal Package module, the OE ensures that the review workflow is appropriate for each submittal. The Contractor uses the Submittal Package module to add submittals as they are prepared for submission to the Project CM, entering the Required Start and Required Finish dates, attaching the submitted electronic documents and listing the transmitted hardcopy documents.

On receipt of the submittal, the Project CM forwards it through the CMIS to the OE, who indicates in the CMIS the receipt of the submittal, reviews it for compliance and completeness in accordance with the applicable Contract Documents, verifies the Required Start and Required Finish dates, checks the submittal against the Submittal Register to confirm the proper numbering, enters the document filing code into the CMIS and adds a review cycle. Initial submittals have a revision number “000” and re-submittals require a sequential revision number. If the submittal is not compliant with the Contract Documents, the OE rejects it by changing the status of the review cycle to “Rejected” and returns it to the Contractor for re-submittal; otherwise, the OE changes the status of the review cycle from “New Item” to “In Review” and uses the Inbox function in CMIS to send the Submittal to the Administrative/Document Control Specialist who prints and files the submittal in hardcopy and notes in the CMIS confirmation of receipt of any non-electronic documentation delivered as part of the submittal.

The OE ensures that the review workflow that was transferred from the Submittal Package to the submittal appropriate. The OE enters the priority code (“normal” or “high”) and uses the Ball in Court to forward the submittal to the primary reviewer. 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, cost and schedule and other submittals will be reviewed by the appropriate project staff. Technical submittals that affect the design will be reviewed by the Project Engineer who will coordinate with the SFPUC EMB designs staff of the design consultant. Exhibit 1 identifies the review responsibilities for different submittal documents. Each submittal has one primary person responsible for the review. That person is expected to obtain whatever additional review assistance is required from other project staff. The reviewer will enter the appropriate review response code into the CMIS along with any additional comments and forward the submittal to the OE for a quality check.
There are 5 possible responses to a submittal:

- No Action Required
- No Exceptions Taken
- Make Corrections Noted
- Rejected
- Revise and Resubmit

If any of the last 3 responses are entered in the CMIS by the reviewer, comments must be included explaining the response. The Contractor will enter a re-submittal directly into the CMIS, noting any revised information. The OE will administer a re-submittal following the initial submittal process, initiating a new review cycle with a sequential revision number and routing the re-submittal to the same primary reviewer.

The OE checks the reviewer’s response for completeness and either returns the response to the 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. The Project CM may change the response code before transmitting the response to the Contractor. If this change results in a rejection of the submittal, the Project CM must include comments explaining the rejection, and the OE must inform the primary reviewer of the change.

Upon final action by the Project CM, the Project CM forwards the submittal through CMIS to the Contractor, notes in CMIS the completion of the review and uses the Inbox function to send the completed submittal to the Administrative/Document Control Specialist. The Administrative/Document Control Specialist prints and files a complete hard copy of the submittal in the project files and forwards hardcopy documents to the Contractor.

Notifications of actions required will appear on the action item list, and all staff with permissions can see the status of the action on their CMIS dashboard. Action item lists will be generated for manual distribution. Alerts will be built into the CMIS for notification of any overdue documents and status reports will be generated that include statistics on processing times.

**Business Process Steps:**

1. Contractor submits the Submittal Register for Project CM approval.
2. Project CM approves the Submittal Register.
3. OE enters the Submittal Register into the Submittal Package module, and verifies/modifies the workflow for each submittal.
4. Contractor enters Submittal data into the CMIS.
5. Contractor sends any required hardcopy backup data to Project CM.
6. OE enters receipt in CMIS, initiates a review cycle, adds the Project File Code and uses the Inbox function to notify the Administrative/Document Control Specialist.
7. Administrative/Document Control Specialist receives, logs in the Correspondence Received module of CMIS and files any hardcopy data and notes the receipt of hardcopy data in Submittal module CMIS.

8. OE reviews for completeness and conformance to contract requirements.

9. If noncompliant, OE rejects and returns submittal to Contractor.

10. If compliant, OE verifies the review workflow, enters priority code and forwards to the primary reviewer.

11. Primary reviewer coordinates secondary review, as needed, compiles the final response, provides review response code and any comments and returns to OE.

12. OE reviews response. If not acceptable, OE returns response to reviewer. If acceptable, OE determines distribution list and forwards to Project CM.

13. Project CM verifies response and transmits the submittal to Contractor.

14. Project CM uses the Inbox function to notify the Administrative/Document Control Specialist that the submittal is complete.

15. Administrative/Document Control Specialist logs the Submittal in the Correspondence Sent module of CMIS, sends notifications to distribution list and files a complete copy of the submittal and response in the project hard copy file.

**Submittal Data Requirements**

**Submittal Register**

Office Engineer entry:

Submittal Description fields:

- Package (5-digit Specification Section number)
- Subject
- Contract

Workflow fields:

- Sent to *(Primary Reviewer)*
- Returned by *(Primary Reviewer)*
- Verify Received from *(Contractor)*, and Submittal Coordinator *(Office Engineer)*

**Submittals**

Contractor entry:

Submittal Description fields:

- Submittal number *(sequential number assigned by the CMIS in accordance with the Submittal Package)*
- Submittal title and description
- Required Start and Required Finish dates
Status fields:
- Ball in Court (Project CM)
- Priority code (“normal” or “high”)

Details field:
- Supporting detail information on content of submittal
- Source (Contractor’s name)
- Filed date (date submitted)
- Contract Id

Custom fields:
- Hardcopy documents (Yes/No and list)

Attachments fields
- List of attached electronic files

Office Engineer entry:

Status fields:
- Ball in court (Primary reviewer)

Workflow fields:
- Received from
- Sent to
- Returned by
- Forwarded to

Review Cycle fields:
- Received date (from Contractor)
- Sent date (to Primary Reviewer if submittal is compliant and complete)
- Status (“In Review” if submittal is compliant and complete; otherwise “Rejected”)
- Forwarded date (to Contractor if submittal is not compliant and complete)

Custom fields:
- Project file code

Schedule fields:
- Priority code (“normal” or “high”)

Reviewer entry:
The Reviewer may use the Distribution function to distribute the submittal to one or more secondary reviewers. Secondary reviewers who have access to CMIS may use this function to respond; email should be used by the primary and secondary reviewers to alert each other to the question and response.
Review Cycle fields:

Distribute Submittal
- Secondary reviewer’s name
- Date distributed
- Remark (*Instructions for review*)

Review Cycle fields:
- Return to OE date (*date assigned by the CMIS*)
- Status (*See Response Codes, above*)
- Remarks (*response to submittal, compiled from secondary review remarks, if appropriate*)

Issues entry: Comments field for reviewer to define issue

Status field:
- Ball in Court (*Office Engineer*)

Office Engineer entry:
If the review response is not satisfactory, the OE initiates a new review cycle with instructions to the primary reviewer for correction. If the review response is satisfactory, the OE forwards to the Project CM.

Details fields:
- Reviewed by (*date OE reviews the response*)

Status fields:
- Ball in Court (*Project CM*)

Project CM entry:

Status fields:
- Ball in Court (*Contractor*)

Review Cycle fields:
- Response Code- only if changing the reviewers response code
- Comments field- only if changing the reviewers comments or adding comments
- Forwarded on (*date returned to Contractor field*)
Request for Information Business Process

A Request for Information (RFI) is a document presented by the Contractor that requests clarification, further information or guidance concerning some aspect of the construction drawings, specifications or contractual requirements. The Contractor will address an RFI to the attention of the Project CM. Reviewers will give RFI’s priority and make very effort to respond in a timely manner. RFI responses will be tracked by the Office Engineer (OE) to ensure timely response. The requirement and information to be included in an RFI are identified in the Contract Documents.

The CMIS is designed for the Contractor to enter the RFI directly into the CMIS. Security protocols will ensure Contractors have write access only. The Contractor must reference the pertinent contract, specification section, and, if appropriate, drawing number. The Contractor enters the RFI into the CMIS, along with all documentation available in electronic format. Any attachments that cannot be readily converted to electronic format will be noted in the CMIS. If non-electronic documentation is required, it will be delivered to the Project CM on the same day the RFI entry is made by the Contractor. The CMIS will sequentially number the RFI. The Contractor may include proposed solutions.

The CMIS will be configured to have one primary reviewer for an RFI. The primary reviewer is responsible for obtaining input from any other member of the project team necessary and inputting a single response into the CMIS. The primary reviewer will have the capability obtain input from as many secondary reviewers as necessary using the Inbox function to distribute the RFI to CMIS users or via email to non-users, and to track responses using the “Distribution” function.

All responses must be routed through the Project CM to the Contractor to maintain the responsibility of the Project CM to be the single point of contact with the Contractor as the “City Representative” as defined by the Contract Documents. The Project CM may delegate approval steps for certain types of RFIs by providing his/her CMIS access for the Project CM approval steps.

Questions on the RFI or routing are addressed to the OE. The OE is responsible for RFI control and is notified electronically of all action taken with RFIs.

Business Process

On receipt of a RFI, the Project CM forwards it through the CMIS to the OE, who indicates in the CMIS the receipt of the RFI, reviews it for compliance and completeness in accordance with the applicable Contract Documents, and enters the document filing code into the CMIS. If the RFI is not compliant with the Contract Documents, the OE rejects it and returns it to the Contractor for re-submittal; otherwise, the OE changes the status from “New Item” to “In Review” and uses the Inbox function in CMIS to send the RFI to the Administrative/Document Control Specialist, who enters in the CMIS the date of receipt of any non-electronic documentation delivered as part of the RFI.

The OE determines who should review the RFI. CM staff will review as many RFIs as possible. If field staff cannot perform the review, the submittal will be sent to others for review. Safety, quality, environmental, cost/schedule and other RFIs will be reviewed by
the appropriate project staff, and technical RFIIs that affect the design will be reviewed by the Project Engineer who will coordinate with the SFPUC EMB design staff or the design consultant. Each RFI has one person responsible for the review. That person will obtain whatever additional review assistance is required from other project staff. The OE enters the reviewer’s name in Ball in Court, the priority code ("normal" or "high") and verifies the review approval duration.

The reviewer enters the response directly into the CMIS and forwards the RFI to the OE. If an RFI is rejected at any step in the review process, the reviewer will enter the rejection code in the CMIS along with comments explaining the reason for the rejection and forward the document to the Project CM for final review and transmittal.

The OE checks the response for completeness and, if the response is not satisfactory, returns the response to the reviewer with instructions for correction; otherwise, the OE forwards the response to the Project CM for approval or modification and transmittal to the Contractor.

Notifications of actions required will appear on the action item list, and all staff with permissions can see the status of the action on their CMIS dashboard. Action item lists will also be generated for manual distribution. Alerts will be built into the CMIS for notification of any overdue documents and status reports will be generated that include statistics on processing times.

**Business Process Steps**

1. Contractor enters RFI data into the CMIS.
2. Contractor sends any hardcopy backup data to the Project CM.
3. OE enters receipt in CMIS, adds Project File Code, and reviews for completeness and conformance to contract requirements.
4. If noncompliant, OE enters “Rejected” in the Status code, forwards the RFI to Contractor with instructions for correction and closes the RFI. The Contractor initiates a new, corrected RFI using the “Copy Document” function.
5. If compliant, OE uses the Inbox Function to notify the Administrative/Document Control Specialist of the RFI, enters priority code, determines the reviewer, and forwards the RFI for review.
6. Administrative/Document Control Specialist receives, logs in the Correspondence Received module of CMIS and distributes hardcopy documents as directed by the OE.
7. Reviewer obtains and compiles secondary review responses as necessary and returns complete response to OE.
8. OE reviews response. If not acceptable, OE returns the RFI to reviewer. If acceptable, OE determines distribution list, forwards to Project CM and uses the Inbox function to notify the Administrative/Document Control Specialist of the RFI.
9. Project CM verifies response, transmits to Contractor and closes the RFI.
10. Administrative/Document Control Specialist sends notifications to distribution lists and files a complete copy of the RFI and response in the project hard copy file.
**RFI Data Requirements**

Contractor entry:

**RFI Description fields:**
- Document Type *(Request for Information)*
- To (Project CM)
- From (Contractor)
- RFI number *(sequential number assigned by the CMIS)*
- RFI date *(date assigned by the CMIS when the Contractor creates the RFI)*
- RFI Subject

**Status fields:**
- Ball in Court *(Project CM name)*
- Priority code *(“normal” or “priority”)*

**Question fields:**
- Scope Impact
- Reason for the RFI
- Text description of the question
- Proposed Solution *(Supporting information on the content of the RFI- can include proposed solution)*.
- Possible Cost impact

**Details field**
- Specification Section
- Contract
- Reference Document *(optional)*
- Reference Drawings *(optional)*

**Custom fields:**
- Hardcopy Documents to be included *(Yes/No and list)*
- Location Code *(area of project)*

**Attachments fields:**
- List of attached electronic files
Office Engineer entry:

Status fields:
- Ball in Court (Primary Reviewer name if compliant; Contractor name in non-compliant)
- Priority code (“normal” or “priority”)
- Status (“In Review” or “Rejected”)

Question fields:
- Question Distribution (Identify primary reviewer, date sent and date returned):
- Date RFI is submitted
- Date response is required (date calculated and assigned by the CMIS)

Details field:
- SFPUC document filing code field

Reviewer entry:

Status fields:
- Ball in Court (OE)

Question fields- Question Distribution (Primary reviewer and secondary reviewers may use this function to solicit, track and provide secondary responses):
- Name of secondary reviewer
- Date Sent
- Question

Secondary reviewers
- Response
- Date of Response

Answer fields:
- Text of Answer
- Answer signed by (Primary reviewer)
- Date answered
- Cost Impact (Yes/No, amount)
- Schedule Impact
- Issues entry: comments field for reviewer to define issue

Attachments: Attach electronic files as needed

Office Engineer entry:

Status fields:
- **Ball in Court** *(Project CM if response is satisfactory, or Primary Reviewer if response is not satisfactory)*

**Answer fields:**
- Responded *(date reviewed by OE)*
- Answer Distribution list field

**Project CM entry:**

**Status fields:**
- **Ball in Court** *(Contractor if response is satisfactory, or OE if response is not satisfactory)*
- Response Comments field - only if changing the reviewers comments or adding comments
- Reviewed Date *(date closed and returned to Contractor)*
- Closed by *(Project CM)*
## Revision Control Log

<table>
<thead>
<tr>
<th>Revision No.</th>
<th>Revision Date</th>
<th>What changed?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rev 0a</td>
<td>September 21, 2011</td>
<td>• Formatting refreshed: document footers and page numbers refreshed and updated SFPUC Logo on various attachments</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• References and/or Links noted to WSIP Website have been updated</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Revision Control Log Added</td>
</tr>
<tr>
<td>Rev 0</td>
<td>February 12, 2009</td>
<td>Signed</td>
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