1.0 **Policy**

A Contractor's Request for Information (RFI) shall be handled and responded to by the Project CM team in a prompt, technically sound manner. All RFI's shall be processed in conformance with this procedure utilizing the WSIP Construction Management Information System (CMIS).

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 for the process, control, coordination of review and response, and retention of Contractor’s Requests for Information (RFIs). The procedure describes the processing of a Request for Information from its original submittal by the Contractor and receipt by the Project Construction Manager (Project CM) through the review, response, and subsequent forwarding of the response to the Contractor.

3.0 **Definitions**

3.1 **Request for Information (RFI)**

A Request for Information (RFI) is a document presented by the Contractor for the purpose of requesting clarification, further information or guidance concerning some aspect of the construction drawings, specifications, or
contractual requirements. The requirements and information to be included in an RFI are identified in the Contract Documents.

3.2 Construction Management Information System (CMIS)

The WSIP Construction Management Information System (CMIS) is an online 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 RFIs will utilize the WSIP CMIS. The CMIS is designed for Contractor entry and Project CM response directly into the system.

4.0 Responsibilities

4.1 Contractor

The Contractor generates an RFI, addressing it to the attention of the Project Construction Manager (Project CM). The Contractor provides supporting documentation pertinent to the understanding of the issue raised in the RFI. The Contractor may include proposed solution(s) in the RFI. An RFI should not include a COR or cost proposal.

4.2 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 timely and efficient management of RFI’s and for approving and transmitting the completed response to an RFI to the Contractor.

4.3 Office Engineer (OE)

The OE is responsible for logging into CMIS the receipt of an RFI, assigning the file code, determining the routing of an RFI within the project CM team, Engineering Management Bureau and/or design consultant, or other element or agency as required, tracking RFI reviews to ensure timely response and for addressing all comments on the status of an RFI. The OE has the authority to reject and return to the Contractor for re-submittal any RFI determined to be non-compliant with the Contract. The OE checks responses to RFIs for completeness and obtains additional clarification or revision from the reviewer where deemed needed.

4.4 Primary Reviewer

There is one primary reviewer for an RFI who is responsible for the review including obtaining input from any other member(s) of the project team as considered necessary and preparing a coordinated single response. Reviewers will give RFIs priority in their daily schedule and make every effort to respond in a timely manner.
4.5 Administrative/Document Control Specialist (ADCS)

The Administrative/Document Control Specialist is responsible for the verification of the file code, logging the RFI into CMIS Correspondence Received upon receipt and into CMIS Correspondence Sent upon transmittal of the response to the Contractor, the receiving and logging of any non-electronic documentation submitted by the Contractor in support of the RFI and filing the RFI and response in the project files. 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 The Contractor enters RFI data directly into the CMIS, referencing the pertinent Contract, specification section, and/or drawing number. Wherever possible, the Contractor provides supporting documentation in electronic format as attachments to the CMIS RFI record. Any supporting documentation that cannot be readily converted to an electronic format are transmitted the same day by the Contractor to the Project CM accompanied by a hard copy of a transmittal form under the Contractor’s letterhead.

5.2 The OE verifies the date of receipt of the RFI, reviews the RFI for completeness and conformance to the Contract requirements, assigns the file code in accordance with the standard file codes (reference CM Procedure No. 006, Project Documents and Correspondence Control), and notifies the ADCS for logging the RFI in Correspondence Received, filing as hardcopy, and for receipt of hardcopy supporting documentation.

5.3 If the RFI is found noncompliant, the OE rejects and returns it to the Contractor, and notifies the ADCS for logging the RFI in Correspondence Sent.

5.4 If the RFI is compliant, the OE determines the Primary Reviewer, enters a priority code, scheduled response date and forwards the RFI to the Primary Reviewer.

5.5 The ADCS verifies the file code, logs the RFI in CMIS Correspondence Received and files the hardcopy RFI. If the Contractor transmitted hardcopy RFI attachments, the ADCS shall log the transmittal form of the attachments as Correspondence Received, log the date of receipt of hardcopy documents in the RFI record, and coordinate with the OE to deliver or distribute the materials to the Primary Reviewer.
5.6 Each RFI has one Primary Reviewer responsible for the review. The Primary Reviewer is expected to obtain whatever additional review assistance is required from other project staff and compile one comprehensive response. Primary Reviewers will give RFIs priority in their daily schedule and make every effort to respond in a timely manner. Primary Reviewers will compile.

5.7 Project CM field staff will review as many RFIs as possible. In these cases, the Office Engineer will perform the role of Primary Reviewer. If the Office Engineer determines field staff cannot perform the review, the RFI shall be sent to others for review. Technical RFIs that affect the design will be reviewed by the Project Engineer who will coordinate with the SFPUC Engineering Management Bureau design staff or the design consultant. Safety, quality, environmental and other RFIs will be reviewed by the appropriate project, regional or program staff.

5.8 The OE checks the Primary Reviewer’s response for completeness and either returns the response to the Reviewer or coordinates the response with the Project CM for approval or modification prior to transmittal to the Contractor. The OE will also determine the notification distribution list and forward the RFI response to the Project CM.

5.9 The Project CM verifies the response and approves the transmittal of the response to the Contractor. The Project CM may modify the response submitted by the OE. Any hardcopy or email attachment must be transmitted on the same day.

5.10 Upon approval by the Project CM, the OE transmits the final response to the Contractor and notifies the Administrative/Document Control Specialist of the transmittal.

5.11 The Administrative/Document Control Specialist logs the transmittal of the RFI response in Correspondence Sent, sends notifications to parties named on the distribution list and files a complete hard copy of the RFI and response in the project hard copy file.

5.12 If the Primary Reviewer determines that the Contractor’s RFI requires clarification or additional materials or documents in order to provide a satisfactory response, the Primary Reviewer will provide as complete a response as possible, and include in the response a concise explanation of the necessary clarification, amplification and/or inclusion of supplementary materials or documents. The Project CM Team shall process the RFI as described in paragraphs 5.8 – 5.11 to return the completed RFI to the Contractor. The Contractor may elect to accept the response with no further action or to submit a follow-on RFI as described in paragraph 5.13, referencing the predecessor, to provide the necessary clarification, amplification and/or materials or documents.

5.13 If the Contractor disagrees with the response to the RFI, the Contractor may elect to submit a follow-on RFI, referencing the predecessor, to clarify or amplify the original RFI. If the Contractor submits a follow-on RFI, it
shall bear the same number as the original RFI with an alpha-character suffix to identify its predecessor. If the Contractor determines that other means of communication are required, such as telephonic, verbal or written communication, to include emails, memoranda or letters, these communications with the Contractor must be documented in the project documentation and, at the determination of the Project CM, may be included in an issue against the possibility of a Change Order Request or Claim (reference CM Procedure No. 016, Construction Change Management).

5.14 Contractor shall incorporate RFI information, where applicable, on the As-Built Drawings and the Project CM shall confirm the incorporation.

6.0 Other Procedural Requirements

6.1 Notifications of actions required will appear on the action item list. 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. The Project CM will monitor RFI action lists for overdue actions.

6.2 In the response, the Project CM may request a cost proposal and establish a PCO associated with the response (reference CM Procedure No. 016, Construction Change Management).

7.0 References

7.1 Technical Specifications
None

7.2 CM Procedures
No. 006 Project Documents & Correspondence Control
No. 016 Construction Change Management

7.3 Others
None

8.0 Attachments
002 -1 Request for Information Flow Chart
002 -2 Request for Information Format
002 -3 Request and Information Log
002 -4 Revision Control Log
Attachment 002 -1
Request for Information Flow Chart

Contractor Enters RFI Data and Question into the CMIS to the Attention of the Project CM

Office Engineer Reviews the RFI for Conformance and Completeness and Enters File Code

Conformed and Complete?

Office Engineer Determines Review and Approval Routing, Enters Data into CMIS and Forwards RFI to Primary Reviewer

Primary Reviewer Routes for Review, as necessary, Compiles/Prepares Response and Forwards to OE

OE Reviews RFI Response Enters Status into CMIS and Forwards to Project CM

Project CM Review?

Approve Modify

Project CM Transmits RFI Response to Contractor

Contractor Accepts?

Contractor Initiates Change Order Request

Contractor Proceeds with Work

ADCS Logs in Correspondence Sent, Files RFI Hard Copy, Documents, Scans and Attaches Hard Copy

ADCS Logs in Correspondence Received, Files RFI Hard Copy, Documents, Scans and Attaches Hard Copy
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## Details

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| Drawing Reference: | |
| Reviewed By: | |
| Response: | |
| Project CM: | Date of Response: |

## Distribution

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**Request and Information Log**
### Revision Control Log

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<td>• Revised Section 5.12; PCM changed to Project CM</td>
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<td>• Revised Section 7.0; added Sections 7.1 and 7.2</td>
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<td>• Refreshed Attachments; 1, 2 and 3</td>
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<td>• Added Attachment 4; Revision Control Log</td>
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