1.0 Policy
A Contractor may submit a Request for Substitution at any time after Award of the Contract to request a change of contractually required product, equipment or services of equal or greater quality to the contractually required item. The City will consider Requests for Substitution received within 35 days after the date of the Award of the Contract; requests made after that date may be considered or rejected at the sole discretion of the City. The City shall review Requests for Substitution and notify the Contractor within 30 days of receipt of a request of acceptance or rejection of proposed substitutions. The City's determination shall be final.

This 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.

2.0 Description
The Contractor submits a Request for Substitution after execution of the contract to request changes of contractually required products, equipment or services. Approval of a Request for Substitution implies a contractual modification, and therefore requires the Contractor to initiate a Change Order Request. Requests for Substitution are submitted by the Contractor using the Construction Management Information System (CMIS), and the Project CM team uses CMIS to process, track, review, and approve, and return the Request for Substitution to the Contractor.

3.0 Definitions
3.1 Request for Substitution
A Request for Substitution (RFS) is a request proposed by the Contractor after the Award of the Contract to substitute a contractually required
product, equipment or service by a product, equipment or service of equal or greater quality. Substitutions requested during the Bid period and accepted by Addendum prior to Award of the Contract, revisions to the Contract Documents requested by the Engineer, specified options of products and construction methods included in the Contract Documents, and the Contractor’s determination of and compliance with governing regulations and orders issued by governing authorities do not qualify as Substitutions. RFS must be entered in CMIS by the Contractor and include documentation regarding the substitution as detailed in Paragraph 5.1.

3.2 **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 RFSs will utilize the WSIP CMIS. The CMIS is designed for Contractor entry and Project CM response directly into the system. Refer to Process 001b for RFS processing via CMIS.

4.0 **Responsibilities**

4.1 **Contractor**

The Contractor generates a RFS in CMIS, addressing it to the attention of the Project Construction Manager (Project CM), but sends it to the OE using the CMIS ball in court function. The Contractor provides supporting documentation as required by the Contract and this procedure pertinent to the understanding of a request and obtaining a carefully considered response to a request.

4.2 **Project Construction Manager (Project CM)**

The Project CM is the single point of contact with the Contractor as the “City Representative” as defined by the Contract Documents. The Project CM is responsible for timely and efficient management of an RFS and for either approving or rejecting a RFS and transmitting the response to the Contractor. The Project CM shall coordinate with the Project Engineer (PE), as the representative of the Engineering Management Bureau (EMB) to the project and other stakeholders, as necessary, to develop a Review Responsibility Matrix for the efficient determination of the Primary Reviewer of the RFS. The acceptance, review and approval or rejection of a RFS is at the discretion of the Project CM.

4.3 **Office Engineer (OE)**

The OE is responsible for processing the RFS using CMIS, assigning the file code, using the Review Responsibility Matrix to determine the routing of a RFS for review within the project CM team, EMB and/or design.
consultant or other Primary Reviewer, tracking RFS reviews to ensure timely response and for addressing all comments on the status of a RFS. The OE has the authority to reject a RFS and to return it to the Contractor for re-submittal if it is determined to be non-compliant with the Contract Documents. The OE checks responses to the RFS for completeness, and obtains additional clarification or revision from the reviewer where needed.

4.4 Primary Reviewer

The Review Responsibility Matrix shall identify one primary reviewer for a RFS who is responsible for the review, including obtaining input from any other member(s) of the project team as considered necessary, and for the preparation of a coordinated single response. CM field staff shall review as many submittals as possible. If field staff cannot perform the review, the submittal will be sent to others for review. Technical submittals that affect the design shall be reviewed by the Project Engineer. Safety, quality, environmental, cost and schedule and other submittals will be reviewed by the appropriate project staff. Reviewers will give each RFS 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 RFS into CMIS Correspondence Received upon receipt and into Correspondence Sent upon transmittal of the response to the Contractor; receiving and logging any non-electronic documentation submitted by the Contractor in support of the RFS; and filing the RFS and response into the project files. For smaller projects, as agreed in the approved CM Work Plan, the OE or other project CM team member designated by the Project CM can perform the role of the ADCS.

5.0 Implementation

5.1 Contractor prepares on Contractor company letter head all required statements, estimates, narratives and other documentation. The Contractor enters RFS data directly into the CMIS, referencing the pertinent Contract, specification section, and/or drawing number. The Contractor enters a narrative description of the proposed change in the Question field. The Contractor enters the following in the Description of Scope Impact field:

- General or detailed narrative description of the difference and advantages and disadvantages
- General description of changes to plans, drawings and specifications, with reference to the attached document that provides appropriate details
- Narrative description of coordination of proposed RFS into the Work, including
• Requirements for power or other support facilities
• Auxiliary equipment or structural modifications
• Level of service, shutdown or other operational considerations
• Information regarding previous use, including
  • Description of project and use
  • If a City project, include Contract No., date and City action
  • Date of project and use
  • Contact information
• Reference to attachments providing waiver of
  • Restriction in City use or disclosure
  • Additional costs/time extension
  • Agreement not to hold City liable for acceptability or attributable delays
• Reference to attachments documents that
  • Provide appropriate estimate or itemization of anticipated changes from the original Work and associated cost/schedule savings
  • Certify equality or superiority of the proposed substitution
  • Provide warranty or bond for the proposed substitution
  • Waive claim for additional cost and/or time extensions associated with the substitution

The Contractor enters time and cost impact of the proposed substitution into the time and cost impact fields.

The Contractor scans and attaches all required statements, estimates, narratives and other documentation. Any attachments 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 the CMIS transmittal.

5.2 The OE assigns a file code in accordance with WSIP Construction Management Procedure 006, Document Control and Correspondence to ensure consistency as much as possible between all WSIP projects. The OE reviews the RFS for completeness and conformance to the requirements of the Contract, and uses the Inbox function to notify the ADCS of the receipt of the RFS.

5.3 If the RFS is non-compliant, the OE sets the Status to Rejected, uses the Ball in Court function to forward the action to the ADCS, and uses the Email Form function to return it to the Contractor, including the Project CM and ADCS as recipients. The OE enters instructions for rectifying the non-compliance and resubmittal into the Remarks field of the Email Form function.

5.4 The Administrative/Document Control Specialist verifies the file code, logs the RFS in CMIS Correspondence Received and files the hardcopy RFS.
If the RFS is rejected by the OE, the ADCS also logs the rejected RFS in Correspondence Sent.

5.5 If the RFS is compliant, the OE uses the Review Responsibility Matrix to determine the Reviewer; enters a priority code and scheduled response date; and uses the CMIS Ball in Court function to forward the RFS to the Project CM for review.

5.6 The Project CM reviews the RFS, coordinates with the Contractor to obtain concurrence to modify the RFS, if necessary, and accepts or rejects the RFS. If the RFS is rejected, the Project CM sets the Status to Rejected, uses the Ball in Court function to forward the action to the ADCS, and uses the CMIS Email Form function to transmit the rejected RFS to the Contractor, including the OE and ADCS as recipients of the email. If the RFS is accepted, the Project CM sets the Status to In Review and uses the Ball in Court to forward the action to the OE.

5.7 If the RFS is rejected, the ADCS confirms all data, clears the Ball in Court, attaches any necessary electronic files, attaches the rejected RFS from the Project CM's email, prints and files the hardcopy, closes and saves the RFS and logs the rejected RFS in Correspondence Sent.

5.8 If the RFS is accepted, the OE confirms its Status as In Review, confirms the Primary Reviewer, and uses the Ball in Court to forward the action to the Primary Reviewer.

5.9 CM field staff will review as many RFSs as possible but, if necessary, the RFS shall be sent to others for review. Non-technical RFSs will be reviewed by the appropriate project staff and technical RFSs 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. Each RFS 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.

5.10 The OE reviews the responses from the Primary Reviewer and, if necessary, returns the response to the Reviewer. The OE will also determine the notification distribution list. Upon satisfactory completion of the response, the OE uses the CMIS Ball in Court function to forward the response to the Project CM for approval or modification and transmittal to the Contractor.

5.11 The Project CM determines if the RFS should be approved, coordinates with the Primary Reviewer to modify the response as needed, and transmits the response to the Contractor. The Project CM sets the Status to Approved or Rejected, uses the Ball in Court function to forward the
action to the ADCS, and uses the Email Form function to transmit the RFS to the Contractor, including comments regarding the approval or rejection in the Remarks section of the Email function. The Project CM includes the OE and ADCS as recipients of the email transmitting the RFS to the Contractor.

5.12 The ADCS confirms all data, clears the Ball in Court, attaches necessary electronic files, prints and files hardcopy documents, logs the transmitted RFS in Correspondence Sent, and sends notifications to parties named on the distribution list which must always list the RPM, PE, RCM, City RCM and OR. The ADCS closes and saves the RFS.

6.0 Other Procedural Requirements

6.1 Notifications of actions required will appear on the action item list. Based on the Required Date, 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 RFS action lists for overdue actions.

7.0 References

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

WSIP Construction Specification 01630, Substitutions and Product Options

WSIP Business Process Report 1b, Request for Substitution

8.0 Attachments

021-1 Request for Substitution Flow Chart
021-2 Request for Substitution Format
021-3 Request for Substitution Log Format
021-4 Review Responsibility Matrix
Contractor enters RFS data into the CMIS

Office Engineer logs receipt into CMIS, enters file code, and reviews the RFS for Conformance and Completeness

Compliant and Complete?

Yes

No

Contractor revises RFS and resubmits

ADCS files a hard copy

No

Yes

Project CM reviews for acceptability

Complete and Acceptable?

Yes

No

Office Engineer determines review routing, enters data into CMIS and forwards RFS to Primary Reviewer

Primary Reviewer compiles review comments, prepares response and transmits to Office Engineer

OE reviews RFS response, enters status into CMIS and forwards to Project CM

Office Engineer determines distribution and forwards to Project CM

Project CM reviews and transmits response to Contractor

Contractor acknowledges receipt by forwarding (ball in court) to ADCS

ADCS completes documentation and closes by forwarding (ball in court) to CLOSED

ADCS sends distribution notification and files RFS hard copy
## REQUEST FOR SUBSTITUTION

**SAN FRANCISCO PUBLIC UTILITIES COMMISSION**

**CONTRACT NAME:**  
**CONTRACT NO:**  
**TITLE:**  
**SUBMITTED BY:**  
**SUBMITTED TO:**  
**CONTRACT SECTION:**

### DETAILS

### HARD COPY DOCUMENTS

### ATTACHMENTS

### IMPACTS

### RESPONSE

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File Code: 01635.01 - RFS

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## REQUEST FOR SUBSTITUTION LOG

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

**CONTRACT NAME:** New Crystal Springs Bypass  
**CONTRACT NO:** WD-2486  
**Date:** 4/7/2009

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**Review Responsibility Matrix**

- Operations
- Administrative
- Technical
- Administrative

**Summation Type**

- No