

**SAN FRANCISCO PUBLIC UTILITIES COMMISSION
INFRASTRUCTURE CONSTRUCTION
MANAGEMENT PROCEDURES**

**SECTION: SFPUC INFRASTRUCTURE
CONSTRUCTION MANAGEMENT**

APPROVED: 

PROCEDURE NO: 005

DATE: 6/7/2019

TITLE: SUBMITTALS

REVISION: 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 contract requirements and with this Construction Management (CM) Procedure utilizing the Construction Management Information System (CMIS).

This SFPUC Infrastructure CM Procedure applies to all personnel working on SFPUC Infrastructure projects during construction to the extent that their work is affected by this CM Procedure and does not conflict with specific SFPUC policies or the Contract under which the Work is executed.

2.0 Description

This SFPUC Infrastructure CM Procedure establishes the requirements to expeditiously process Submittals from the original receipt by the RE through disposition, data entry, reviews, tracking of review cycles, and return to the Contractor.

2.1 Other Applications

This SFPUC Infrastructure 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 SFPUC Infrastructure CM Procedures.

3.0 Definitions

3.1 Construction Management Information System (CMIS)

The CMIS is an on-line management tool for the processing of contract documents based on established SFPUC Infrastructure CM Business Processes. It serves as a tool for effective storage and retrieval of various

documents generated during a construction project. Contractor submittals and associated RE submittal responses should be entered directly into the CMIS by both parties.

3.2 Submittal

A Submittal is any item required by the Contract Documents to be provided by the Contractor for review and acceptance by the City, refer to Attachment 005-1.

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) 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.

3.3.2 The Submittal Log shall list 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 CM Team

The roles defined in this procedure are project management and construction management functions and are applied in a model for typical projects. Roles and responsibilities may be assigned by the RE as appropriate for the size of the project and the make-up of the CM team.

4.2 Contractor

The Contractor submits a Submittal Log for RE approval in accordance with the Contract Documents. To enter a submittal, the Contractor initiates a Review Cycle for the Submittal in CMIS, addressing it to the attention of the RE, along with all supporting documentation or samples required by the Contract.

4.3 Resident Engineer (RE)

The RE is the single point of contact with the Contractor and is the designated “City Representative” as defined by the Contract Documents. The RE is responsible for the timely and efficient

management of Submittals and for approving and transmitting Submittal responses to the Contractor.

4.4 Office Engineer (OE)

The OE is responsible for logging in the CMIS the receipt of a Submittal, assigning the file code in accordance with the standard file codes (reference SFPUC Infrastructure CM Procedure No. 003, Project Documents and Correspondence Control), determining the routing of a Submittal within the CM team, tracking Submittal reviews during all review cycles to ensure timely response, and addressing all comments on the status of a Submittal.

Prior to NTP the OE is responsible for scheduling a meeting with the PE to review a pre-construction submittal list developed by the CM team and identify which submittals will be reviewed by the CM team, the PE and/or Designers of Record, the Client/Operations Representative or other parties. This list will be updated upon receipt of the Contractor's Submittal Log.

4.4.1 The OE should route the Submittals to engineers and construction inspectors or any other member of the CM team he deems appropriate for review 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 Documents.

4.4.2 The OE checks Submittal review comments for completeness and obtains additional clarification or revision from reviewers where deemed needed.

4.5 Primary Reviewer

Each Submittal will have one Primary Reviewer who is responsible for the review, including obtaining input from other members of the CM team as necessary and preparing a single coordinated and comprehensive response.

4.6 Project Engineer (PE)

The PE is the Primary Reviewer for technical Submittals. The PE distributes the technical Submittal to the SFPUC EMB design staff and/or design consultants or other technical staff or agencies as appropriate for their input.

4.6.1 The PE gathers the review information and prepares the response to Contractor which is then submitted through the RE.

4.7 Administrative/Document Control Specialist (ADCS)

The ADCS files Submittals according to the Standard Project Filing System in the CMIS.

4.7.1 For smaller projects, the OE can perform the role of the ADCS.

5.0 **Implementation**

The implementation of the Submittals Procedure will adhere to the Submittals Business Processes.

A submittal is any item required by the Contract Documents to be provided by the Contractor for review and acceptance by the City. At project inception, the Contractor will be required to provide a Submittal Log with all planned submittals with the proposed submittal dates based on the Contractor's Baseline CPM Schedule for Construction. 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 three week review period; however, the SFPUC Infrastructure CM team will endeavor to review all submittals as rapidly as possible.

Upon review and approval of the Submittal Log by the Office Engineer (OE), the Contractor submits the Submittal Log as a "csv" file to the CMIS Administrator via email to CMBHelp@sfgwater.org.

The CMIS is designed for the Contractor to enter the submittals directly to initiate review and approval. The Contractor creates a Submittal Revision and attaches the document to this Submittal Revision record. All documentation required for the submittal shall be in electronic format. Any attachments that cannot be readily converted to electronic format, such as material samples and documents not able to be converted to electronic format due to size, will be noted in the "Scope / Requirement Details" data field in the CMIS. If non-electronic documentation is required, it will be delivered to the RE on the same day the submittal entry is made by the Contractor.

Each submittal will have one Primary Reviewer. Responsibility for submittal review should be established at the inception of the project in a meeting between the RE, the OE and the Engineer. SFPUC Infrastructure CM team members and 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. Technical submittals that affect the design will be reviewed by the Engineer who will coordinate with the SFPUC EMB design staff or the design consultant. Safety, quality, environmental, cost and schedule and other submittals will be reviewed by the appropriate project staff. Exhibit 3, "Submittals Review Responsibility Matrix", which provides a guideline to determine the responsibility for review of

submittals, must be created and accepted by all parties at Project inception.

The OE should apply the responsibility matrix in assigning the review in the workflow of every submittal. The Primary Reviewer will obtain input from as many secondary reviewers as necessary using means of communication external to CMIS. The Primary Reviewer and secondary reviewers will document their review of the elements of the submittal on the Submittal Review Form (see Exhibit 4, Submittal Review Comments Form). Policies specific to the Bureau or other parent entity of the secondary reviewer shall dictate the requirement to sign the Submittal Review Form. Secondary reviewers shall transmit the Submittal Review Form to the Primary Reviewer by means external to CMIS. The Primary Reviewer is responsible to compile responses, and to return a single response on a Submittal Review Form to the OE via CMIS. Policies specific to the Bureau or other parent entity of the Primary Reviewer shall dictate the requirement to sign the Submittal Review Form. The Primary Reviewer is responsible to assign a review status to the submittal that reflects the least favorable status of the elements of the submittal, i.e., if any one of the elements of the submittal requires “Revise and Resubmit”, the overall status of the submittal will be “Revise and Resubmit”.

All responses must be routed through the RE to the Contractor in order to maintain the responsibility of the RE as the single point of contact with the Contractor as the “City Representative” as defined by the Contract Documents. The RE may delegate approval steps for submittals to the OE or other appropriate member of the SFPUC Infrastructure CM team. Questions on the submittal or routing are addressed to the OE. The OE is responsible for submittals control and is notified electronically of all actions taken with submittals.

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

Table 1 – Submittal Document Types	
Technical	Environmental
As-built Drawings	Construction Water Discharge Plans
Brochures	Cultural Resource Monitoring & Protection Plans
Calculations	Environmental, Hazardous Waste & Pollution Control Plans
Catalogue Cuts	Permits – Environmental
Data Sheets	Re-vegetation Plans
Design Drawings	Nighttime Lighting Plans
Geo-technical Information & Monitoring Plans	Noise & Vibration Plans
Samples	Species Relocation Plans
Shop & Work Drawings	Environmental Training Plans
Material Lists	Vehicle & Engine Lists & Maintenance Logs
Mock-ups	Quality Control
Administrative	Installation/Erection Drawings
Certificates	Installations Instructions
Permits – Construction	Plans to Accomplish Portions of Work
Progress Reports	Pre-construction Surveys
Safety Plans	Quality Plans
Safety Reports	QC Reports
Security Management Plans	Traffic Control Plans
Schedules	Operations
Neighborhood Notification & Community Communication Plans	Spare Parts Lists
System Shutdown Plans	O&M Manuals
Test Schedules & Startup Plans	Operating Instructions
	Utilities Relocation & Support Plans
	Warranties

BUSINESS PROCESS

At the inception of the project, the Contractor develops the Submittal Log by entering all required submittals from Contract specification sections into the Baseline CPM Schedule for construction and extracting from the schedule the dates by which they must be approved to meet the project’s scheduled progress. The Contractor submits the Submittal Log for approval by the RE. After the Submittal Log is approved, the OE adds to it the review workflow as indicated in the CMIS Business Process (BP) which identifies the primary reviewer for each submittal. The RE should obtain the concurrence of the various stakeholders regarding review responsibility early in the project. The OE coordinates with the CMIS Administrator to import the Submittal Log into **CMIS using a specially formatted Microsoft Excel file**. The OE reviews the **CMIS** Submittal Log to ensure that it reflects exactly the approved Submittal Log submitted by the Contractor.

During the project, the Contractor will use the Submittal Package BP to add submittals, e.g., weekly and monthly reports, as they are prepared for submission to the RE. The Contractor will use the Submittals BP which contains the Submittal Revision BP to create a new revision cycle. Initial submittals are automatically assigned a revision number **“0001”** and re-

submittals are assigned a subsequent number. Upon completing the required field entries on the Submittal form, the Contractor selects "Submit" in the Workflow Actions field and selects the Send button to the OE.

The OE has two methods to access a submittal. Either open the Task Manager BP, or open the Submittal Revisions BP. In the OE's Task Manager BP, all submittals requiring action will be shown in bold font. To access the submittal, the OE selects it from the Task Manager list and this opens the Submittal dialog box. If the OE selects the "Accept Task" button, this Submittal will be available to edit by the OE and this Submittal will change back to a regular font in the Task Manager. Conversely, the OE can simply open the Submittals Revisions BP to see the log of submittals in the Project. The OE can then select the Submittal and similarly select the "Accept Task" button to take action on this Submittal.

The OE reviews the Submittal for compliance and completeness in accordance with the applicable Contract Documents, verifies/updates the date fields. The OE may modify erroneous data, notifying the Contractor and the RE of the change, or, if the submittal is not compliant with the Contract Documents, reject it by changing the status of the review cycle to "Rejected" and return it to the Contractor for re-submittal..

If the submittal is compliant with the Contact Documents, the OE processes the submittal for review by the Primary Reviewer, per Exhibit 3 - Review Responsibility Matrix. The OE enters the Primary Reviewer's name in the Task Details tab, selects "Review" in the Workflow Actions field, and selects the Send button.

Each submittal has one Primary Reviewer responsible to perform or coordinate its review. The Primary Reviewer is expected to obtain whatever additional review assistance is required from other project staff and this is done outside **CMIS**. All reviewers will use the Submittal Review Form to document review comments and status for each element of the submittal and, upon completion of the review, will sign and email the Submittal Review Form to the Primary Reviewer. The Primary Reviewer will coordinate and consolidate comments from the secondary reviewers, create a Submittal Response Form to document the response code and comments, and forward the consolidated Submittal Response Form by email to the OE along with attached documentation, e.g., marked-up documents, sketches, etc. The Primary Reviewer forwards the submittal process action to the OE by entering the status, selecting "Respond" in the Workflow Action field, and selecting the "Send" button. The OE reviews the response with the RE and confirms or revises the appropriate review response (the status code) and any additional comments into the **CMIS**. If the status from the Primary Reviewer is changed to a rejection of the submittal, the RE/OE must include comments explaining the rejection, and the OE must inform the Primary Reviewer of the change.

If the submittal requires revision and resubmission, the OE attaches the necessary documents, selects “Notify” in the Workflow Actions field, and selects “Send”. These steps will then return the submittal to the Contractor for action. If the submittal is satisfactory, the OE reattaches the approved submittal to the Submittal record at the Submittal level. The OE will also determine the notification distribution list and uses the Inbox function to send the completed submittal to the ADCS. The ADCS prints and files a complete hard copy of the submittal in the project files and forwards hardcopy documents to the Contractor.

There are 5 possible Response Codes 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 and initiating a new review cycle with a sequential revision number. The OE will administer a re-submittal following the initial submittal process and routing the re-submittal to the same primary reviewer.

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.

6.0 Other Procedural Requirements

6.1 Submittal Documents

A list of submittal documents typically required by SFPUC Infrastructure Contract Documents is presented in Attachment 005-1.

6.2 Review Codes for Construction Submittals

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.

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, 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 RE regarding the Submittal review process.

6.5 Monthly Updates

The RE shall maintain the Submittal Log 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

7.1 Technical Specifications

Section 01 33 00 Submittal Procedures

7.2 SFPUC Infrastructure CM Procedures

No. 003 Project Documents and Correspondence Control

No. 012 Construction Schedule Management

7.3 Others

None

8.0 Attachments

005 - 1 Submittal Review Responsibility Matrix

005 - 2 Submittal Transmittal - Form

005 - 3 Submittal Log

005 - 4 Submittal Review Comments – Form

005 - 5 Revision Control Log

Attachment 005 - 1 Submittal Review Responsibility Matrix

Table 1 – Submittal Document Type	Resident Engineer (RE)	Schedule /Cost	PE	OE	ECM	FCA	Public Outreach	Operations	Shutdowns
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 and Pollution Control Plans					X				
GEO – Technical Information and Monitoring Plans			X						
Installation/Erection Drawings			X						
Material Lists			X						
Mock-Ups			X						
Neighborhood Notification and Community Communication Plans							X		
Night-Time Lighting Plans							X		
Noise and Vibration Plans					X		X		
O&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 Start-Up 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 005 - 2 Submittal Transmittal - Form

Create Submittal Transmittal	
<u>Submittal Transmittal</u>	
Contract Name: <input style="width: 90%;" type="text"/>	Submittal Date: <input style="width: 90%;" type="text"/>
Contract Number: <input style="width: 90%;" type="text"/>	Submittal Number: <input style="width: 90%;" type="text"/>
Title: <input style="width: 90%;" type="text"/>	Revision Number: <input style="width: 90%;" type="text"/>
TO: <input style="width: 90%;" type="text"/>	
FROM: <input style="width: 90%;" type="text"/>	cc: <input style="width: 90%;" type="text"/>
Spec Section: <input style="width: 98%;" type="text"/>	
Details: <input style="width: 98%;" type="text"/>	
Submitted By: <input style="width: 90%;" type="text"/>	
Submitted To: <input style="width: 90%;" type="text"/>	
Reviewed By: <input style="width: 90%;" type="text"/>	Status: <input style="width: 90%;" type="text"/>
RE: <input style="width: 90%;" type="text"/>	Date Returned: <input style="width: 90%;" type="text"/>
Hardcopy Documents: <input style="width: 98%;" type="text"/>	
Attachments: <input style="width: 98%;" type="text"/>	
Comments: <input style="width: 98%; height: 20px;" type="text"/>	

Attachment 005 – 3 Submittal Log

Create Submittal Register Report Log			
<u>Submittal Register Report Log</u>			
Contract Name:	<input type="text"/>	Submittal Date:	<input type="text"/>
Contract Number:	<input type="text"/>	Submittal Number:	<input type="text"/>
		Revision Number:	<input type="text"/>
TO:	<input type="text"/>		
FROM:	<input type="text"/>	cc:	<input type="text"/>
Spec Section:	<input type="text"/>		
Details:	<input type="text"/>		
Submitted By:	<input type="text"/>		
Submitted To:	<input type="text"/>		
Reviewed By:	<input type="text"/>	Status:	<input type="text"/>
RE:	<input type="text"/>	Date Returned:	<input type="text"/>
Hardcopy Documents:	<input type="text"/>		
Attachments:	<input type="text"/>		
Comments:	<input type="text"/>		

Attachment 005 - 4 Submittal Review Comments – Form

Create Submittal Review Comments - Form														
<u>Submittal Review Comments</u>														
Contract Name:	<input style="width: 95%;" type="text"/>	Submittal Code:	<input style="width: 95%;" type="text"/>											
Contract Number:	<input style="width: 95%;" type="text"/>	Submittal Number:	<input style="width: 95%;" type="text"/>											
Submittal Name:	<input style="width: 95%;" type="text"/>	Revision Cycle Number:	<input style="width: 95%;" type="text"/>											
TO:	<input style="width: 95%;" type="text"/>	Submittal Date:	<input style="width: 95%;" type="text"/>											
FROM:	<input style="width: 95%;" type="text"/>	Due Date:	<input style="width: 95%;" type="text"/>											
Spec Section:	<input style="width: 95%;" type="text"/>	cc:	<input style="width: 95%;" type="text"/>											
Item No.:	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"/>							
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="padding: 5px;">LEGEND:</td> <td style="padding: 5px;">NAT = No Action Taken</td> <td style="padding: 5px;">NET = No Exceptions Taken</td> <td style="padding: 5px;">MCN = Make Corrections Noted</td> </tr> <tr> <td style="padding: 5px;"></td> <td style="padding: 5px;">R&R = Revise and Resubmit</td> <td style="padding: 5px;">REJ = Rejected</td> <td style="padding: 5px;">SUB = Submit Specified Item</td> </tr> </table>							LEGEND:	NAT = No Action Taken	NET = No Exceptions Taken	MCN = Make Corrections Noted		R&R = Revise and Resubmit	REJ = Rejected	SUB = Submit Specified Item
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:	<input style="width: 95%;" type="text"/>													
	<input style="width: 95%;" type="text"/>	Date:	<input style="width: 95%;" type="text"/>											
Reviewer's Signature														
<p>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.</p>														
<p>Review Comments (include general review comments and specific revision requirements to numbered items):</p>														

**Attachment 005 - 5
Revision Control Log**

Revision No.	Revision Date	What changed?
Rev 1	6/7/19	<ul style="list-style-type: none">• Minor format changes• Attachments - revised• Revision Control Log - updated
Rev 0	11/14/16	Signed