


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

<b>SECTION: SFPUC INFRASTRUCTURE CONSTRUCTION MANAGEMENT</b>	<b>APPROVED:</b> 
<b>PROCEDURE NO: 003</b>	<b>DATE: 6/7/2019</b>
<b>TITLE: PROJECT DOCUMENTS AND CORRESPONDENCE CONTROL</b>	<b>REVISION: 1</b>

**1.0 Policy**

All project documents that are received by or that originate from a facility or project construction field office shall be controlled to facilitate identification, filing and retrieval. All SFPUC Infrastructure Construction Management offices shall follow the standardized business processes and procedures described in this procedure and other procedures pertaining to and in the use of nodes in the Construction Management Information System (CMIS) to control project documents and correspondence. The SFPUC Infrastructure CM organization, CM teams and Contractors shall use the CMIS as required in the CM Plan and their corresponding Construction Contracts to process, control and manage all project documents and correspondence in a manner that is consistent across SFPUC Infrastructure CM projects and encourages collaboration between the CM team and the Contractor to the degree permitted by security and confidentiality considerations.

Project documents requiring official wet-signatures must be scanned and attached to the appropriate CMIS document record. The identical hard-copy version must be maintained in the project office, except when not feasible due to the size or nature of the document. The process and procedure for archival of project records are not covered under this procedure. Procedures for the handling, control, processing, storage and disposal of specific documents are treated in separate procedures.

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 for processing project documents to and from project offices and for filing of all project documents. A standard file system coding structure is included.

## **3.0 Definitions**

### **3.1 Project Document**

Project documents are any information or data in paper or electronic form related to the construction phase of any SFPUC Infrastructure CM project, including but not limited to all Project and Program Correspondence; Contract Documents; Submittals; Requests for Information; Requests for Substitution; Value Engineering Change Proposals; Schedules; Proposed Change Orders; Change Order Requests and Change Orders; Record Drawings; Applications for Payment; Meeting Minutes and Action Items; Plans and Manuals; and all attachments, whether in electronic or “physical” form. Documents that are manually filed shall be identified by a unique Project File Code Index Number. Attachments to the document already logged in CMIS in the Correspondence node or other Business Processes in CMIS shall not receive individual Index Numbers. Physical items such as materials and samples shall not be considered Project Documents and shall be logged in the appropriate CMIS Business Process (BP) (e.g., Request for Information or Submittals).

### **3.2 Correspondence**

Correspondence refers to documents transferred between project entities not covered by other procedures. It includes incoming and outgoing letters, memoranda, transmittals, fax documents, emails and other material forms of communication not included in other procedures. Other project documents are addressed in separate procedures (please refer to a listing of SFPUC Infrastructure CM Procedures for relevant information pertaining to these separate procedures).

### **3.3 Correspondence Log Information Attributes**

Information attributes are the information necessary to identify the correspondence, including:

- To
- From
- Date Sent/Received
- Subject
- Priority
- Contract
- Project File Code Index Code
- Attachments

### **3.4 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. CMIS is based on Oracle's Unifier Platform, based on Extensible Markup Language (XML). CMIS contains nodes which serve specific Business Processes (BPs). These BPs serve as a tool for effective storage and retrieval of various documents generated during a construction project and can support multiple systems that may be encountered from Contractor systems. If CMIS is identified in the Contract documents, processing of correspondence and logging of project documents shall utilize CMIS BPs.

### **3.5 Project File Index Code**

The Project File Index Code is the index maintained by the Administrative/Document Controls Specialist (ADCS) in all projects and represents the physical location of the document. All CMIS-generated documents shall be filed in chronological files according to document type.

## **4.0 Responsibilities**

### **4.1 Resident Engineer (RE)**

The RE shall verify that the requirements of this procedure are incorporated in the construction contract during its formation or during the bid and award phase. The RE is responsible for implementing the document and correspondence control procedures through the CMIS, as required, to ensure that all construction work is properly documented and that all project documents and correspondence are maintained in the project files logged and maintained electronically in the CMIS.

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

The ADCS is responsible for providing administrative document control and records management support to the project CM team. The ADCS is responsible for the project's hard copy files, receives and sends hardcopy correspondence, verifies or assigns the file code to all hard-copy documents, and creates the records in the CMIS Correspondence BP. The ADCS monitors all CMIS-related documents, ensures the filing of all documents as well as supporting documentation, ensures all documents are logged correctly, and monitors the completion of CMIS-generated documents. For smaller projects, the Office Engineer (OE) may perform the role of the ADCS.

### **4.3 CM Team Members and Contractors**

All CM team members are responsible for adhering to the guidelines of this procedure to ensure that all project documents are controlled, indexed and filed in electronic and hardcopy format, and for coordinating with the ADCS to accomplish this control. Originators and recipients of documents are responsible for identifying and applying the correct file index or assisting the ADCS to identify the correct file index.

## **5.0 Implementation**

### **5.1 Hardcopy (Physical) Project Documents**

#### 5.1.1 Incoming and Outgoing

- 5.1.1.1 For projects not using CMIS, project documents must be logged in and processed as required based on the appropriate CM Procedure.
- 5.1.1.2 For projects using CMIS, a CMIS BP has been created to follow the appropriate CM Procedure. For these project documents (e.g., Requests for Information, CORs, Submittals, Application for Payments, etc.) staff create a record in the appropriate CMIS BP and the document follows an established workflow. Staff are only allowed to “accept task”, provide the appropriate information needed, and “submit task” to advance to the next step per the workflow in the CMIS BP.

### **5.2 Hardcopy (Physical) Correspondence**

#### 5.2.1 Incoming

- 5.2.1.1 All Incoming hardcopy correspondence shall be directed to the ADCS.
- 5.2.1.2 For projects not using CMIS, the ADCS stamps incoming hardcopy correspondence to physically identify the type of correspondence, manually updates the project logs, and files the physical document accordingly in the project files.
- 5.2.1.3 For projects using CMIS, the ADCS stamps incoming hardcopy correspondence and scans it. The ADCS will then create a record in the CMIS Correspondence BP, along with filling the pertinent attributes of the correspondence as shown in CMIS. The hard-copy version is then archived in the project files. The manual update of the project logs is not necessary since this is an automatic feature when a record is created in CMIS.

#### 5.2.2 Outgoing

- 5.2.2.1 All project CM team members shall process outgoing hardcopy correspondence through the ADCS.
- 5.2.2.2 For projects not using CMIS, the ADCS manually updates the project logs, makes a copy and files the physical document accordingly in the project files. The document is then sent to the addressee.
- 5.2.2.3 For projects using CMIS, the ADCS scans the file and files the original in the project files. Using the scan version, the ADCS creates a new record in the CMIS Correspondence BP, fills in the proper fields, attaches the scan to the

record, and forwards the scan via CMIS to the intended recipients.

### **5.3 Electronic Correspondence**

#### **5.3.1 Incoming**

5.3.1.1 For projects not using CMIS, electronic correspondence is received as email, email attachments, or via a file-sharing system. If it is determined that the electronic correspondence needs to be filed, the ADCS will print, assign a file index code, update the Correspondence Log, and file the correspondence in the Project Files.

5.3.1.2 For projects using CMIS, electronic correspondence would also be received as email, email attachments, or via a file-sharing system. If it is determined that the electronic correspondence needs to be filed, the ADCS will generate a new record in the CMIS Correspondence BP and attach the electronic file to this record.

5.3.1.3 If the correspondence is sent as an attachment via email, or if the email itself is the correspondence, the email and its attachments should also be printed and made a part of the correspondence to be filed. When CMIS is used, the email itself can be attached to the Correspondence BP record.

5.3.1.4 Documents received in an electronic medium, such as a USB flash drive or Compact Disc (CD), must be treated as a hardcopy document and forwarded to the ADCS. The physical medium must be transmitted to the CM team with a Transmittal form listing the contents of the medium. The ADCS shall log receipt of the transmittal and the electronic medium in the project log or via the CMIS Correspondence BP, per project requirements.

#### **5.3.2 Outgoing**

5.3.2.1 The filing of outgoing correspondence shall be determined by the originator of the correspondence. The ADCS shall print the correspondence as a PDF file, assign a file index code, and file in the Project files, or, if using CMIS, by attaching the outgoing correspondence to a record created in the CMIS Correspondence BP.

5.3.2.2 Documents transmitted from the Project in an electronic medium, such as a USB flash drive or CD must be treated as a hardcopy document and forwarded to the ADCS. The physical medium must be transmitted under a Transmittal form listing the contents of the medium. The Transmittal form can be created from CMIS, however, for consistency, the Transmittal is saved as a record in the

Correspondence BP, with the copy of the Transmittal as an attachment to this record.

## **5.4 Transmittal Forms**

### **5.4.1 Transmittal of Hardcopy Documents or Physical Items**

5.4.1.1 The CM team shall endeavor to transmit documents electronically except in cases where the size or configuration of the document makes electronic transmittal infeasible (bulky or oversized documents and electronic media [USB, CD, etc.]). In these cases, and for physical materials, samples or specimens, the project CM team shall use a Transmittal form to transmit the hardcopy document or physical item. The Contractor shall follow the same procedure, except that the Contractor shall use a Transmittal form on its own company letterhead.

5.4.1.2 Transmittals shall be used to transmit documents which are not considered to be Project Documents (RFIs, COs, Applications for Payment, etc.).

5.4.1.3 Transmittals may be used to document receipt of transmitted documents by obtaining a signature and date of acknowledged receipt.

### **5.4.2 Logging and Transmittal Forms**

5.4.2.1 When Projects are setup for manual filing, the Transmittal form shall be filed as a cover sheet to the actual correspondence.

5.4.2.2 The CM team shall generate outgoing Transmittal forms and log the Transmittal form in the Correspondence BP. Signed Transmittal forms shall be scanned and attached to the record in the Correspondence BP.

5.4.2.3 Transmittal forms shall be filed individually in the Correspondence BP as cover sheets to the documents being transmitted.

## **6.0 Other Procedural Requirements**

6.1 Within SFPUC, anyone with access to the CMIS may retrieve documents directly from their work station. Searching can be performed based on the type of document in question. This can be accomplished by selecting the proper Business Process to show a log of documents, using the "Find" command in CMIS when the log is listed, or by looking through the Document Manager folders in CMIS.

## **7.0 References**

### **7.1 Technical Specifications**

None

**7.2 SFPUC Infrastructure CM Procedures**

No. 004	Record Documents and Drawings Control
No. 005	Submittals
No. 006	Meeting Minutes
No. 007	Request for Information
No. 008	Request for Substitution
No. 009	Value Engineering Change Proposal
No. 010	Applications for Payment
No. 011	Construction Change Management
No. 021	Contract Closeout
No. 029	Non-compliance Notice
No. 030	Daily Inspection Reports
No. 036	Environmental Requirements Table
No. 037	Environmental Inspection and Specialty Environmental Monitoring
No. 038	Environmental Non-compliance Notice
No. 039	Environmental Minor Project Modification
No. 040	Monthly Environmental Compliance Report
No. 041	Environmental Quarterly Compliance Reporting Table
No. 042	Daily Environmental Monitoring Logs
No. 043	Environmental Daily Inspection Reports

**7.3 Other**

None

**8.0 Attachments**

003 - 1	SFPUC Infrastructure CSI Numbering System
003 - 2	Revision Control Log

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00 01 03	KEY CONTACTS AND DETAILS
00 01 07	SEALS PAGE
00 01 10	TABLE OF CONTENTS
00 01 15	LIST OF DRAWING SHEETS

##### BIDDING REQUIREMENTS

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00 21 13	INSTRUCTIONS TO BIDDERS
00 21 14	QUESTIONS ON BID DOCUMENTS
00 21 15	REQUEST FOR TRADE EXEMPTION FORM
00 21 16	RELEASE AND WAIVER
00 31 00	AVAILABLE PROJECT INFORMATION
00 40 13	BIDDING FORMS CHECKLIST
00 41 00	BID FORM
00 41 10	SCHEDULE OF BID PRICES
00 43 13	BID BOND
00 43 20	ACKNOWLEDGEMENT OF RECEIPT OF ADDENDA
00 43 36	PROPOSED SUBCONTRACTORS FORM
00 43 37	PROPOSED SUBCONTRACTORS FORM FOR ALTERNATE WORK
00 45 13/PQ	BIDDER'S QUALIFICATIONS
00 45 19	NON-COLLUSION AFFIDAVIT
00 45 57	CITY BUILD/FIRST SOURCE REFERRAL PROGRAM CERTIFICATION
00 45 57/PLA	CERTIFICATION FORM FOR WSIP PLA LOCAL AREA APPRENTICESHIP AND EMPLOYMENT OPPORTUNITIES PROGRAM
00 45 58	INITIAL EMPLOYMENT PROJECTION
00 45 59	AGREEMENT TO HIRE APPRENTICES FROM PARTICIPATING REFERRALS AGENCIES
00 45 60	HIGHEST PREVAILING WAGE RATE CERTIFICATION
00 45 70	CERTIFICATE OF BIDDER REGARDING NONDISCRIMINATION IN CONTRACTS AND BENEFITS
00 45 71	S.F. ADMINISTRATIVE CODE CHAPTERS 12B & 12C DECLARATION: NONDISCRIMINATION IN CONTRACTS AND BENEFITS (CMD-12B-101)
00 45 72	CHAPTER 12B EQUAL BENEFITS DOCUMENTATION GUIDE
00 45 82	CERTIFICATION OF BIDDER REGARDING DEBARMENT AND SUSPENSION
00 45 85	BUSINESS TAX REGISTRATION DECLARATION
00 45 86	BUSINESS REGISTRATION CERTIFICATE REQUIREMENT
00 45 87	CERTIFICATE OF BIDDER REGARDING APPRENTICESHIP TRAINING PROGRAM
00 45 88	CERTIFICATE OF SUBCONTRACTOR REGARDING APPRENTICESHIP TRAINING PROGRAM
00 49 01	CMD ATTACHMENT 1 – CONTRACT MONITORING DIVISION REQUIREMENTS FOR CONSTRUCTION CONTRACTS
00 49 04A	CMD ATTACHMENT 4A – CONTRACT MONITORING DIVISION REQUIREMENTS FOR SFPUC REGIONAL MICRO-LBE SET-ASIDE CONSTRUCTION CONTRACTS
00 49 06	CMD ATTACHMENT 6 – REQUIREMENTS FOR SFPUC REGIONAL CONSTRUCTION CONTRACTS
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CMD3	FORM 3: CMD COMPLIANCE AFFIDAVIT
CMD6	FORM 6: CMD LBE SUBCONTRACTOR PARTICIPATION AFFIDAVIT
CMD6A	FORM 6A: CMD LBE TRUCKING FORM
00 49 11	EQUIPMENT SUPPLIERS LIST
00 49 12	EXPERIENCE STATEMENT
00 49 14	CERTIFICATION OF SUBCONTRACTOR, LOWER-TIER SUBCONTRACTOR OR SUPPLIER REGARDING DEBARMENT AND SUSPENSION
00 49 16	DEPARTMENT OF INDUSTRIAL RELATIONS REQUIREMENTS
00 49 18	REQUEST FOR PRODUCT SUBSTITUTION

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00 52 10	PROJECT LABOR AGREEMENT – LETTER OF ASSENT
00 61 13	PERFORMANCE AND PAYMENT BOND FORM
00 62 20	SUBCONTRACTING PARTICIPATION REQUIREMENTS AND NONDISCRIMINATION REQUIREMENTS
00 63 30	ESCROW AGREEMENT FOR SEC
00 64 00	CMD CONTRACT FORMS
CMD7	FORM 7: CMD PROGRESS PAYMENT FORM
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00 67 00/A	ESCROW BID DOCUMENTS DECLARATION
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00 73 00/APA	APPENDIX A: PERMITS AND AGREEMENTS TO BE OBTAINED BY THE CITY
00 73 00/APB	APPENDIX B: PERMITS AND AGREEMENTS TO BE OBTAINED BY THE CONTRACTOR
00 73 02	CONTRACT TIME, INCENTIVES, AND LIQUIDATED DAMAGES
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00 73 10/A	DISPUTE RESOLUTION ADVISOR THREE-PARTY AGREEMENT
00 73 12	DISPUTE REVIEW BOARD SPECIFICATION
00 73 12/A	DISPUTE REVIEW BOARD THREE-PARTY AGREEMENT
00 73 16	INSURANCE REQUIREMENTS
00 73 17	PDF DOCUMENT LIABILITY WAIVER AND RELEASE
00 73 18	PROJECT LABOR AGREEMENT
00 73 19	HEALTH AND SAFETY REQUIREMENTS
00 73 20	EXISTING UTILITY FACILITIES
00 73 21	UTILITY CROSSING SPECIFICATIONS
00 73 25	ARCHAEOLOGICAL CONDITIONS
00 73 30	LOCAL HIRING REQUIREMENTS
00 73 31	CITY BUILD/FIRST SOURCE REFERRAL PROGRAM
00 73 63	SECURITY REQUIREMENTS
	PHOTO ID/ACCESS CARD REQUEST FORM
00 73 73	STATUTORY AND OTHER REQUIREMENTS
00 73 73/APA	APPENDIX A: NOISE CONTROL ORDINANCE
00 73 73/APB	APPENDIX B: EXCAVATION, GENERAL REQUIREMENTS
00 73 73/APC	APPENDIX C: INDUSTRIAL WASTE ORDINANCE #19-92
00 73 73/APD	APPENDIX D: INDUSTRIAL WASTE DISCHARGE LIMITS INTO CITY'S SEWERAGE SYSTEM
00 73 73/APE	APPENDIX E: GUIDELINES FOR PLACEMENT OF BARRICADES AT CONSTRUCTION SITE
00 73 83	FORMAL PARTNERING SPECIFICATION
00 73 83/A	FORMAL PARTNERING FACILITATOR THREE-PARTY AGREEMENT
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**Revision Control Log**

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