



Attachment J-6 CORRESPONDENCE AND SUBMITTAL PROCESS

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1.0 INTRODUCTION.

It is the purpose of this Attachment to specify the procedures to be employed by Contractor in the processing Correspondence, Communications Submittals and Request for Information during performance of this Contract.

2.0 CORRESPONDENCE AND COMMUNICATION.

Routine communication between Company and Contractor shall be in letter format. Letters may be faxed or sent via e-mail as a PDF file, but shall still be in letter format. Such communication shall not be identified as requests for information nor shall they substitute for any other written requirement pursuant to the provisions of the Contract.

2.1 Correspondence Numbering

All correspondence shall be between Company and Contractor and shall be uniquely numbered by both Company and Contractor. The number on all correspondence shall be as follows:

LTR - F/CON - XXXXXX-001

↓ ↓ ↓ ↓

↓ ↓ ↓ ↓

↓ ↓ ↓ ↓→→→ Sequential numbering 001-999

↓ ↓ ↓→→→ Contract or PO Number

↓ ↓→→→→ Sender's identification **FROM** (Company Acronym)/TO

↓ (Contractor Acronym)

→→→→→ Correspondence identification

2.1.1 Correspondence Identification Codes are as follows:

FAX = Facsimile

E = Email

LTR = Letter

T = Contract Document Transmittal

2.1.2 The following sequential number system shall be used:

- 1) Separated by Contract No., there is one sequential numbering system common to Facsimiles and Letters beginning with 001, for example:

LTR-F/CON-XXXXXXXX-001, FAX-F/CON-XXXXXXXX-002, LTR-F/CON-XXXXXXXX-003, etc.

- 2) Separated by Contract No., there is one sequential numbering system for Document Transmittals, beginning with 001, for example:

T-F/CON-XXXXXXXX-001, T-F/CON-XXXXXXXX-002, etc.

2.2 Correspondence Register

- Contractor/Supplier shall maintain a register of all correspondence with Company, noting the sequence number, the correspondence date, the originator and a description (subject, reference, etc.).



- 2.3 All communications (with the exception of Contract Site Instructions, Requests for Information and responses thereto, Contract Document Transmittals and Contract Daily Reports) will be covered by written correspondence.
- 2.4 All written correspondence from Contractor will be signed by Contractor's authorized representative and shall be issued/delivered to Company's Buyer. Correspondence from Company shall be issued in the name of Company's authorized representative, and shall be signed by Company's Buyer or other Company representative if authorized by Company's Buyer.
- 2.5 Any correspondence not issued in accordance with this procedure will not have contractual validity and Contractor waives any entitlement, recourse or otherwise under this Contract that may arise as a result of acting in accordance with unofficial correspondence.

3.0 DRAWINGS AND DOCUMENT TRANSMITTALS.

3.1 Company Drawings and Specifications

Drawings, specifications and other related documents will be transmitted to Contractor under cover of the "Company Document Transmittal" form. Contractor shall acknowledge receipt of such documents by following requirements provided on the form, signing and returning the duplicate form. The form will be numbered as for letters, except that the designator letters "LTR" shall be replaced by "T", and a separate sequence of numbers shall be used.

- 3.1.1 Documents marked other than "ISSUED FOR CONSTRUCTION" (IFC) or not marked, shall be considered as example drawings issued "For General Information Only." These items will be noted as such under the "Status" column on the "Company Document Transmittal" form.
- 3.1.2 Company shall issue one (1) reproducible and one (1) copy of all drawings over size A3 (11"x17"). Drawings size A3 (11"x17") and below and specifications shall be issued in one (1) copy only. One (1) copy of drawings and specifications provided to Contractor shall be maintained by Contractor in his site office and shall be made available for inspection and use by Company upon request.
- 3.1.3 Company may issue an electronic copy of documents for the purposes of Contractor completing finalized "As-Built" drawings.
- 3.1.4 Contractor shall, in interpreting the drawings and specifications, be bound by the figures marked thereon and not by scaled measurements.
- 3.1.5 Where the contract price is lump sum and Contractor believes that new or revised IFC documents constitute a change to the contract price or schedule, Contractor shall notify Company of the change in accordance with the requirements of Changes Clause of the Contract. Contractor shall not proceed with the changes until instructed to do so by Company.
- 3.1.6 Where the Contract Price is based on unit prices and the changes on new or revised IFC documents represent only an increase or decrease in quantities that can be measured in accordance with the Contract base pricing structure, this will not be considered to be a change. Contractor shall immediately proceed with any such work in such circumstances.

4.0 CONTRACTOR'S DRAWING AND DATA SUBMITTALS.



- 4.1.1 Documents and data provided by Contractor under the Contract are subject to Company review prior to Contractor's start of procurement and/or production on these particular items as noted in Part I – Scope of Work to the Contract.
- 4.1.2 Review of drawings, documents and/or data, etc. by Company, shall not absolve Contractor from any responsibilities under this Contract or for the design, construction and erection work as defined in Part I – Section “C” Scope of Work.
- 4.1.3 The Contractor shall make all submittals as listed on form DND-BS-PRO-00092-F01 – Contractor/Supplier Submittal Register, even if the Submittal Register is just a partial list
- 4.1.4 The Contractor/Supplier is responsible for making all submittals required to perform the work as specified in the contract/PO, failure of the required submittal being listed on the submittal register does not relieve the contractor from making the submittal.
- 4.1.5 When a submittal is omitted from the Submittal register the contractor shall update the submittal register and submit it to SOCCo for information noting the change on the Transmittal.
- 4.1.6 The Contractor shall transmit all submittals using completed form DND-BS-PRO-00092-F02 – Contractor/Supplier Cover Sheet (attached hereto).
 - 4.1.6.1 This cover sheet shall be used to bear both the vendor stamp and provide pertinent information about the submittal, such as title, revision, pagination, in addition to a contractor/supplier stamp. This contractor/supplier stamp, shown below, requires contractor/supplier signature prior to submission to SOCCo
- 4.1.7 The vendor shall submit all listed submittals in accordance with the following information provided on the Contractor / Supplier Submittal Register
 - a. Submittal Schedule Date
 - b. Document Submitted To
 - i. For PROC designation, submit according to submittal register
 - ii. For DC designation, submit documentation to:
contractsubmittals@ports.pppo.gov



Subcontractor supplier certifies that this submittal complies with contract/purchase order number: _

SIGNATURE _____ DATE _____



- ☐ A – APPROVED ☐ ACCEPTE
- ☐ B – APPROVED AS NOTED, CHANGE AS NOTED AND
☐ RESUBMIT
- ☐ C – NOT APPROVED, CHANGE AS NOTED AND RESUBMIT
- ☐ D – INFORMATION ONLY, RECEIPT ACKNOWLEDGED

SIGNATURE _____ DATE _____

4.1.8 The Contractor shall submit all listed submittals with completed form, DND-BS-PRO-00092-F03, Contractors Document Transmittal Sheet (attached hereto) and is responsible for filling out the following information on the sheet:

- a. Name and Address of Company
- b. Selection who the submittal(s) will be provided to
 - i. Either PROC or DC
- c. Transmittal Number – refer to Section 2.0 of Attachment B for numbering
- d. Date of Transmittal
- e. Submittal Number
- f. Submittal Title
- g. Revision Number
- h. Enter either Y (yes) or N (no) if the submittal(s) is a revised submission
- i. Document Page Count
- j. Document Special Handling Requirements – Optional
- k. Remarks – Optional

4.1.9 The review by Company with or without comments shall not relieve Contractor of any obligations or requirements under the Contract nor be construed as an authorization of, or consent to, any deviation from the Contract. If Contractor considers that Company's comments constitute a change to the Contract, Contractor shall request a change in accordance with Changes Clause of the Contract.

4.1.10 All drawings and other documents shall be in English and be sized in accordance with imperial standard sizes and shall carry titles to indicated equipment numbers or any other identification number of the portion of work covered on the particular drawing and/or document.

4.1.11 The revision number shall mark changes or additions to any document, at the point of a revision, and the revision must be reflected in its title block or drawing number by an appropriate revision indication.



4.1.12 If a document is superseded when returned to Company, indication of the substitution must appear in or near the title block, or in the transmittal letter.

4.1.13 When the Review process is complete, SOCCo will return the Submittal to the contractor with the following stamp affixed and signed.

4.2 "As-Built" Drawings

4.2.1 Part I to the Contract shall state the type of drawings that are to be submitted as "As-Built" drawings. "As-Built" drawings shall be submitted to Company utilizing a Contract Document Transmittal.

4.3 Quality Control/Assurance Documentation

Formal documentation in connection with the Quality Control and Assurance obligations set forth in Attachment E shall be submitted by Contractor to Company utilizing formal correspondence.

4.4 Contractor's Requests for Substitution

4.4.1 Contractor may request to substitute a material, article, device, product, fixture, form, type of construction or process called for in the Contract with another item that is equal, or better, in all respects to that so indicated or called for.

4.4.2 Such requests shall be submitted under cover of a letter in accordance with Article 2.0 of this Attachment.

4.4.3 Company's review and approval or rejection of such request shall not relieve Contractor of any obligations or responsibilities under the Contract.

4.4.4 In all cases, the request shall be submitted by Contractor with sufficient duration in advance of the requirement for the substitution in order to allow Company sufficient time to fully evaluate the request. Rejection of the request shall not be a basis for a change to the contract price or schedule.

5.0 REQUESTS FOR INFORMATION (RFI).

In the event that Contractor determines that some portion of a drawing, specification or the contract document requires clarification or interpretation by Company, Contractor shall initiate and submit a request for information (RFI) using form DND-BS-PRO-00092-F05 (attached hereto).

5.1 Utilizing the approved RFI form, Contractor shall clearly and concisely set forth the following information:

5.1.1 Company Name

5.1.2 Contract or PO number

5.1.3 RFI Number

5.1.3.1 RFIs are noted on contractor/supplier submittal registers as a distinct line item. Each technical RFI submitted will be numbered sequentially against this line item number. For example, RFI's may be listed with a line item number of 1234567-001. When sending in the first RFI to be reviewed, the number shall be



1234567-001-01, the second shall be numbered as 1234567-001-02, etc.

- 5.1.4 Applicable reference documents
 - 5.1.5 The issue for which clarification is sought and why a response is needed from Company
 - 5.1.6 Contractor's interpretation or understanding of the Contract requirements together with reasons therefore and any proposed resolutions
 - 5.2 Contractor acknowledges that this is a complex project, and it is anticipated that Contractor will issue RFIs to Company throughout the life of the Contract to question and or seek clarification of the Work.
 - 5.3 After completion of the form, Contractor submits the RFI
 - 5.3.1 Technical RFI's are to be submitted to Records Management/Document Control (RMDC) with a copy to the Contract Administrator
 - 5.3.2 Commercial RFI's are to be submitted directly to the Contract Administrator for processing
 - 5.4 RMDC shall log all incoming RFI's and route to appropriate project personnel
 - 5.5 SOCCo shall review all RFIs to determine whether or not they are RFIs within the meaning set forth in this directive. If Company determines that the RFI is inappropriate, it shall be returned within the working days stated on the Submittal Register from receipt, without response except to state one of the following:
 - 5.5.1 Information to resolve the request exists in the Contract.
 - 5.5.2 Information to resolve the request exists on an issued drawing.
 - 5.5.3 Information to resolve the request exists in an issued Specification or Document.
 - 5.5.4 The use of the RFI form is incorrect and the subject should be covered by a letter, transmittal or other as defined in this Attachment.
- RFIs returned for any of the foregoing reasons shall be clearly shown in Company's RFI register as "Not Applicable" meaning that they constitute incorrect use of the RFI procedure.
- 5.6 Company shall respond to RFIs within the working days stated on the Submittal Register from receipt by Company, unless Company determines that a longer period is required to fully review and respond. In this case, Contractor will be advised of the longer period required within five (5) working days of initial receipt.
 - 5.7 If Contractor submits an RFI on an activity within the working days stated on the Submittal Register from or less of float on the agreed Contract Schedule, Contractor shall not be entitled to any time extension due to the time taken for Company to respond to the RFI.
 - 5.8 RMDC shall register when RFIs are returned to Contractor. The RFI register shall be reviewed at each progress meeting.
 - 5.9 Company's response to RFIs are considered to be within the Scope of Work of the Contract, will not change any requirements of the Contract and do not in themselves constitute agreement or authorization to perform a change. In all instances, agreement with Contractor's interpretation and proposed resolution



specifically waives any entitlement that Contractor may have to a change in price or schedule.

- 5.10 If Company considers that the response to an RFI constitutes a change to the Contract Price, Company will issue in parallel a Contract Site Instruction or a Contract Modification, and this shall be referenced on the RFI response. Only the Contract Site Instruction or Contract Modification constitutes authorization to proceed with the RFI response if it is a change.
- 5.11 If Contractor receives a response to an RFI that Company has not registered as a change, but which Contractor believes constitutes a basis for a change, Contractor shall not proceed in accordance with the response. Contractor shall immediately notify Company in accordance with the Changes Clause in Section H and shall not proceed with the Work, which is believed to be changed, without the receipt of a Contract Site Instruction from Company.

END OF ATTACHMENT J-6



[CONTRACT NUMBER], [CONTRACT TITLE]

Submittal [Number]

[Submittal Title]

Revision [Number]

[Subcontractor Name] for Southern Ohio Cleanup Company LLC

[Date]

Subcontractor supplier certifies that this submittal complies with
contract/purchase order number: _____

SIGNATURE _____ DATE _____



- ☐ A – APPROVED OR ☐ ACCEPTED
- ☐ B – APPROVED AS NOTED, CHANGE AS NOTED AND RESUBMIT
- ☐ C – NOT APPROVED, CHANGE AS NOTED AND RESUBMIT
- ☐ D – INFORMATION ONLY, RECEIPT ACKNOWLEDGED
- ☐ Q – QUALITY IS BELOW STANDARDS, CORRECT AND RESUBMIT

SIGNATURE _____ DATE _____



SUBCONTRACTOR'S DOCUMENT TRANSMITTAL SHEET

PROJECT: (CONTRACT NUMBER & TITLE)		FROM: (NAME & ADDRESS OF SENDER)		TO: (NAME & ADDRESS OF RECIPIENT)	
DATE OF TRANSMITTAL:					
DOCUMENT NUMBER	DOCUMENT TITLE	REV	REVISED DOCUMENT T? (Y/N)	DOCUMENT PAGE COUNT	DOCUMENT SPECIAL HANDLING REQUIREMENTS
REVIEWED AND RECEIVED BY/DATE:			COMMENTS:		



SUBCONTRACTOR SUPPLIER SUBMITTAL REVIEW SHEET

Contract/ PO Number:		Approver:			Date:	
SUBMITTAL NUMBER	SUBMITTAL TITLE	REV	Status (to be filled in by Approver)	DOCUMENT PAGE COUNT	Document Control Comments	

CODE	STAMP	ACTION BY SUBCONTRACTOR
A	APPROVED / ACCEPTED	Proceed with work. No additional copies required.
B	APPROVED AS NOTED, CHANGE AS NOTED AND RESUBMIT	Proceed with work in accordance with mark-ups. Revise as noted and resubmit for final review within 10 working days.
C	NOT APPROVED, CHANGE AS NOTED AND RESUBMIT	Do not proceed with work. Revise documents as noted and resubmit for review within 10 working days.
D	INFORMATION ONLY, RECEIPT ACKNOWLEDGED	No action by Contractor
Q	QUALITY IS BELOW STANDARDS, CORRECT AND RESUBMIT	Do not proceed with work. Revise documents as noted and resubmit for review within 10 working days.

COMMENTS			
Reviewer Initials	Description	Meets Contract/PO Requirements? (Y/N)	Action Required by Subcontractor



**Southern Ohio Cleanup Company
REQUEST FOR INFORMATION (RFI)**

To: COMPANY – DOCUMENT CONTROL		Subcontractor:	
Cc: SUBCONTRACT ADMINISTRATION		Contract No.:	
		RFI No.:	
Reference Documents			
ISSUE DESCRIPTION AND REASON FOR RFI:			
SUBCONTRACTOR'S INTERPRETATION AND PROPOSED RESOLUTION:			
Originator (Sign & Print Name)		Received (Sign & Print Name)	
Date:		Date:	
Rev.	RESPONSE:	Yes	No
1)	Information contained in Contract	<input type="checkbox"/>	<input type="checkbox"/>
2)	Information contained in Drawing	<input type="checkbox"/>	<input type="checkbox"/>
3)	Information contained in Spec/Doc	<input type="checkbox"/>	<input type="checkbox"/>
4)	RFI form is incorrect. Use _____	<input type="checkbox"/>	<input type="checkbox"/>
5)	Subcontractor's interpretation agreed. Proceed accordingly.	<input type="checkbox"/>	<input type="checkbox"/>
6)	Detailed response other than 1 – 5.		
Contract Site Instruction (CSI) Number (if Applicable)		CSI# _____	
		<input type="checkbox"/> Not Applicable	
Responders Signature & Date:		Date Returned to Subcontractor:	
		Cc: Subcontracts Administrators	

NOTE: Company's response to this RFI does not constitute authorization to perform a change to the Contract. Subcontractor may proceed in accordance with the response only on the basis that Subcontractor agrees that it is not a change. If Subcontractor believes that the response does constitute a change, Subcontractor shall await receipt of the Site Instruction indicated above. Where no CSI is indicated, Subcontractor shall notify Company and shall not proceed until authorized in writing by the Company.