USER'S GUIDE TO CONTRACTOR INITIATED SUBMITTALS
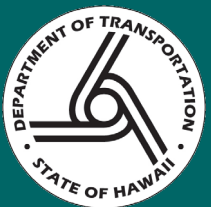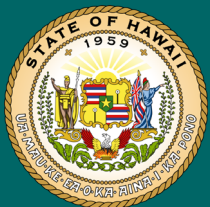
State of Hawaii

Department of Transportation

Highways Division – Construction

E-Construction

SUBMITTALS

The Submittal Workflow is as follows:

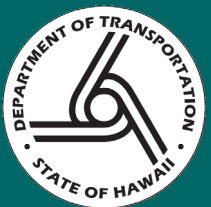1. The Contractor initiates a Submittal (Draft or Open)

2. The Contractor sends the Submittal to HDOT (status change: For Approval or For Review and Comment)

3. HDOT reviews the Submittal and routes to Design Engineer(s) or creates Sample Card (see separate User's Guide)

4. Design Engineer(s) reviews and returns recommendation to HDOT

5. HDOT reviews recommendation and responds to the Contractor (status change: Returned for Correction, Rejected, Acknowledged, No Exception Taken, Accepted as Noted, Accepted as Submitted, or Accepted)
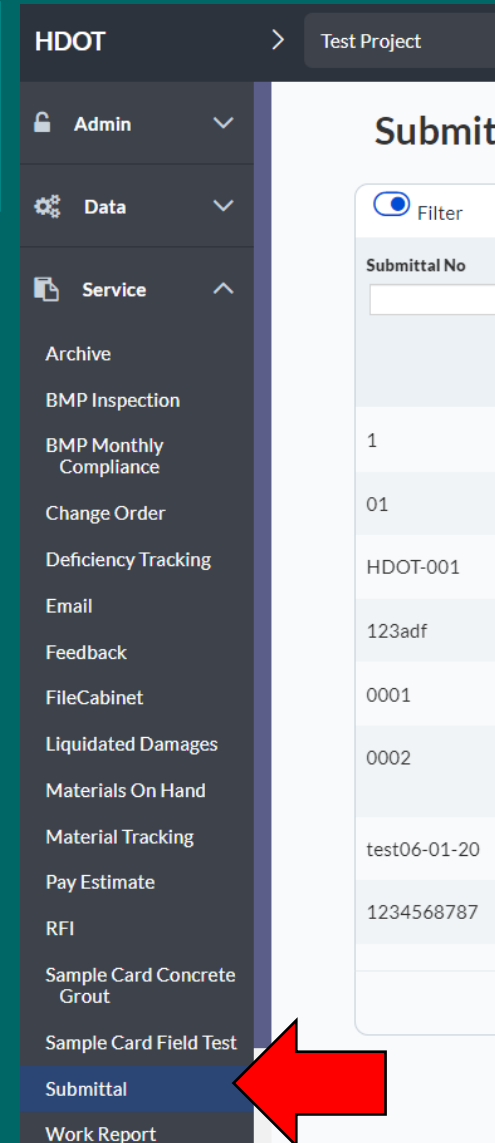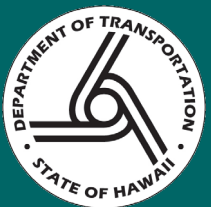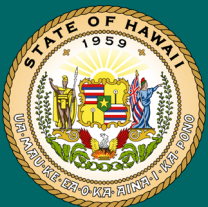
6. The Contractor shall send new Submittals for Returned for Correction and Rejected Submittals

SUBMITTALS

With the notion that the Contractor shall initiate a Submittal, this user guide shall cover the State's portion of Submittals (from step 3 of the workflow). The Project Engineer still needs to review the submittal for completeness

To access the Submittals, click on Submittal under Service

| HDOT | > | Test Project |

Admin ⌄

Data ⌄

Service ⌃

Archive
BMP Inspection
BMP Monthly Compliance
Change Order
Deficiency Tracking
Email
Feedback
FileCabinet
Liquidated Damages
Materials On Hand
Material Tracking
Pay Estimate
RFI
Sample Card Concrete Grout
Sample Card Field Test
Submittal
Work Report

Submit

Filter

Submittal No

1

01

HDOT-001

123adf

0001

0002

test06-01-20

1234568787

User's Guide to Submittals

3

SUBMITTALS

To work with a Submittal entry, select an entry (highlighted light blue) and click on the Open button to view and respond to the entry

User's Guide to Submittals
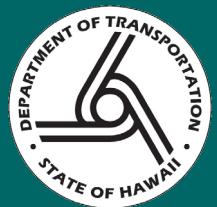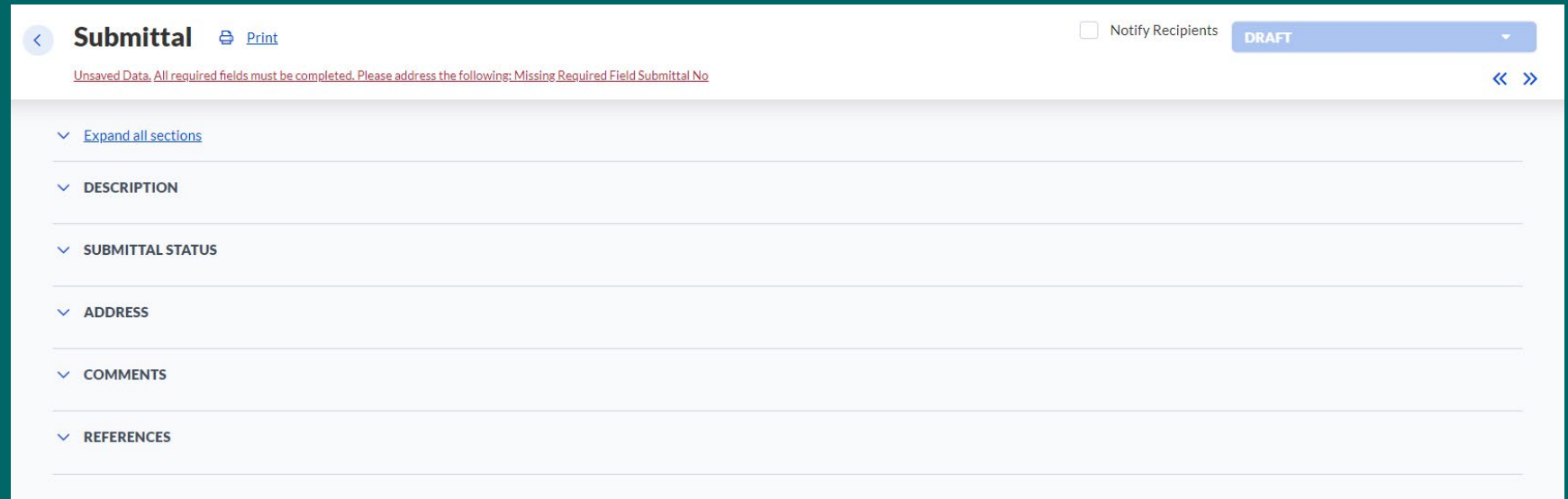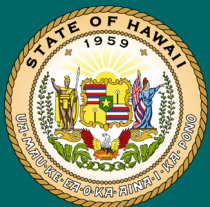
PFV = printer friendly version

SUBMITTALS

A Submittal entry is divided into five parts:

1. Description
2. Submittal Status
3. Address
4. Comments
5. Reference

Submittal 🖨 Print

Unsaved Data. All required fields must be completed. Please address the following: Missing Required Field Submittal No

☐ Notify Recipients   DRAGT

« »

∨ Expand all sections

∨ **DESCRIPTION**

∨ **SUBMITTAL STATUS**

∨ **ADDRESS**

∨ **COMMENTS**

∨ **REFERENCES**
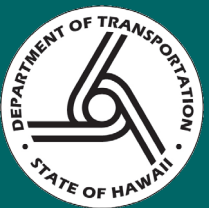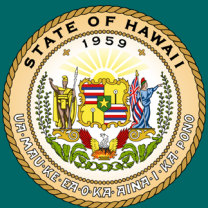
SUBMITTALS

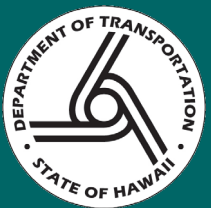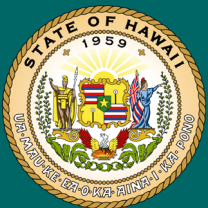The Project Engineer shall verify the information of the Description input fields

SUBMITTALS

The Submittal Status entry fields were developed for use with Contractor submittals arriving via e-mail or by hard copy. As such, the Project Engineer can skip the review of these input fields

Submittal   🖨 Print

Unsaved Data, All required fields must be completed. Please address the following: Missing Required Field Submittal No

☐ Notify Recipients   DRAFT ▼

« »

⌄ Expand all sections

⌄ **DESCRIPTION**

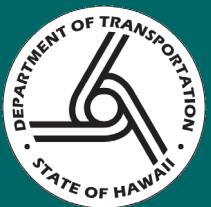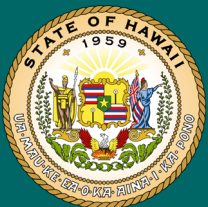⌃ **SUBMITTAL STATUS**

| Date Submitted | | Return Date | |
| Return Transmittal No | | Date Received | |

SUBMITTALS

The names listed in the Address section will have write access to the Submittal. The Project Engineer shall verify that the entire project team is listed

SUBMITTALS

If not already included, the Project Engineer shall add the Design Engineers names to the address list

To add the Design Engineer(s), click on the Edit Selection button
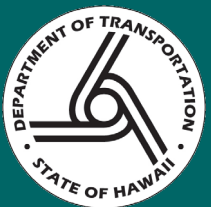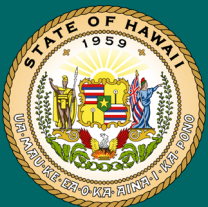
SUBMITTALS

Select the Design Engineer(s) or any additional names to be added to the address list of the Submittal (highlighted light blue) and click on the Select button

Change the BIC to the primary Design Engineer

SUBMITTALS

The names populating the From and BIC pulldown list comes from

1. From: all users assigned to the project, but the name used would primarily be the Contractor's personnel

2. BIC: users in the address list. The BIC shall vary according to Project Engineer to Design Engineer

SUBMITTALS

In the Address section:

1. Change the Contractor's "For Approval" Action Requested to the Design Engineer's requested action of "For Review and Comments"

2. Add to any remarks or comments that the Contractor entered under Remarks

Submittal 🖨 Print   Notify Recipients   DRAFT

Unsaved Data. All required fields must be completed. Please address the following: Missing Required Field Submittal No

⌃ **ADDRESS**

ⓘ To

◉ Filter

	First Name	Last Name	Email	Company	Default Role	Account
☐	Alex	Oshiro	alex.oshiro@hawaii.gov	Hawaii Department of Transport...	Project Admin	HDOT
☐	Facs	rep	support@facsware.com	FACS	Admin	FACS
☐	Inspector	Test	inspector@hawaii.gov	HDOT	Inspector	HDOT
☐	Owner	Test	owner@hawaii.gov	Hawaii Department of Transport...	Owner	HDOT

☐ Notify Recipients

From [_____ ▾]   BIC [_____ ▾]
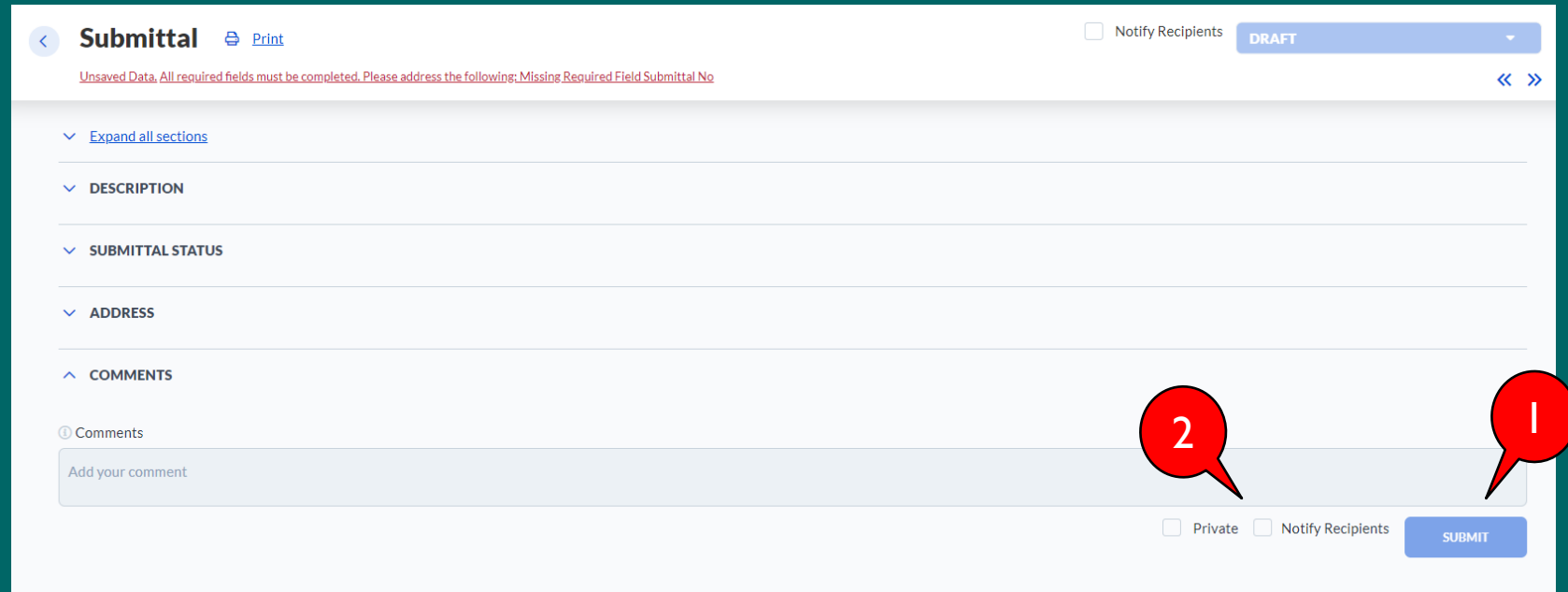
Action Requested [_____ ▾]
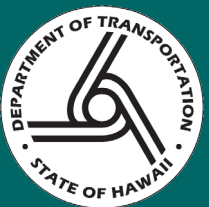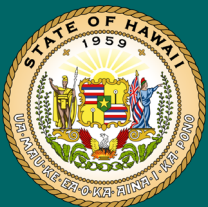
Remarks [_____]

1

2
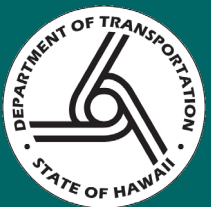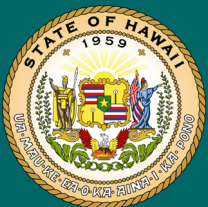
SUBMITTALS

Enter any comments to the Submittal in Comments. To save the comment, click on the Submit button (1). All those listed in the address section will be able to respond to the comment

Everyone who has access to the project will be able to see the comment unless it has been designated as private

Submittal 🖨 Print

Unsaved Data, All required fields must be completed. Please address the following: Missing Required Field Submittal No

☐ Notify Recipients   DRAFT ▾

« »

⌄ Expand all sections

⌄ **DESCRIPTION**

⌄ **SUBMITTAL STATUS**

⌄ **ADDRESS**

⌃ **COMMENTS**

2

1

ⓘ Comments

Add your comment

☐ Private ☐ Notify Recipients   SUBMIT

Click on the Notify Recipient checkbox (2) to send an e-mail notification to those listed in the address box

User's Guide to Submittals

14

SUBMITTALS

Click in the Private checkbox to make the comments private (not viewable by the Contractor)

User's Guide to Submittals

SUBMITTALS

All comments will be displayed stacked one on top of the other with the name of the person making the comment and the time and date of the comment. Note the Private indicator on one of the comments
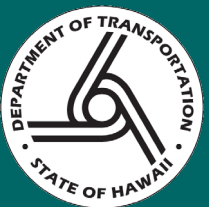
SUBMITTALS

Drag and drop any additional files supporting the Contractor's attachment(s) into the area designated with the blue dashed line

SUBMITTALS

The attached reference file(s) can be given:

1. A short description

2. A date other than the date of attachment

3. A list of associated pay item numbers

4. The name of the Contractor or Subcontractor associated with the submittal

Click on the Save button to save the added information. Click on the Close button to exit without saving
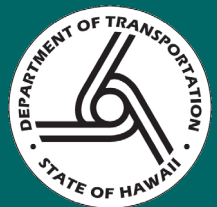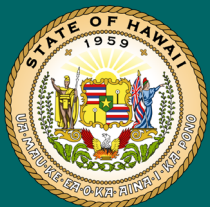
SUBMITTALS

All reference files are also loaded up to the user's private folder in the file cabinet (1)

You can drag these files to a folder in the public folders (2) of the project to provide access for the other project staff

The Contractor loaded reference files will need to be download to a folder in the File Cabinet for the project staff's use or to the user's computer for their own use

User's Guide to Submittals

SUBMITTALS

.pdf, .xlsx, .docx, .jpeg, .png, zip files can be used as attachments

The limit of attachments are 20 files at no greater than 50 MB each

Submittal   🖨 Print

☐ Notify Recipients   DRAFT ▾

Unsaved Data. All required fields must be completed. Please address the following: Missing Required Field Submittal No
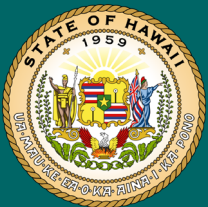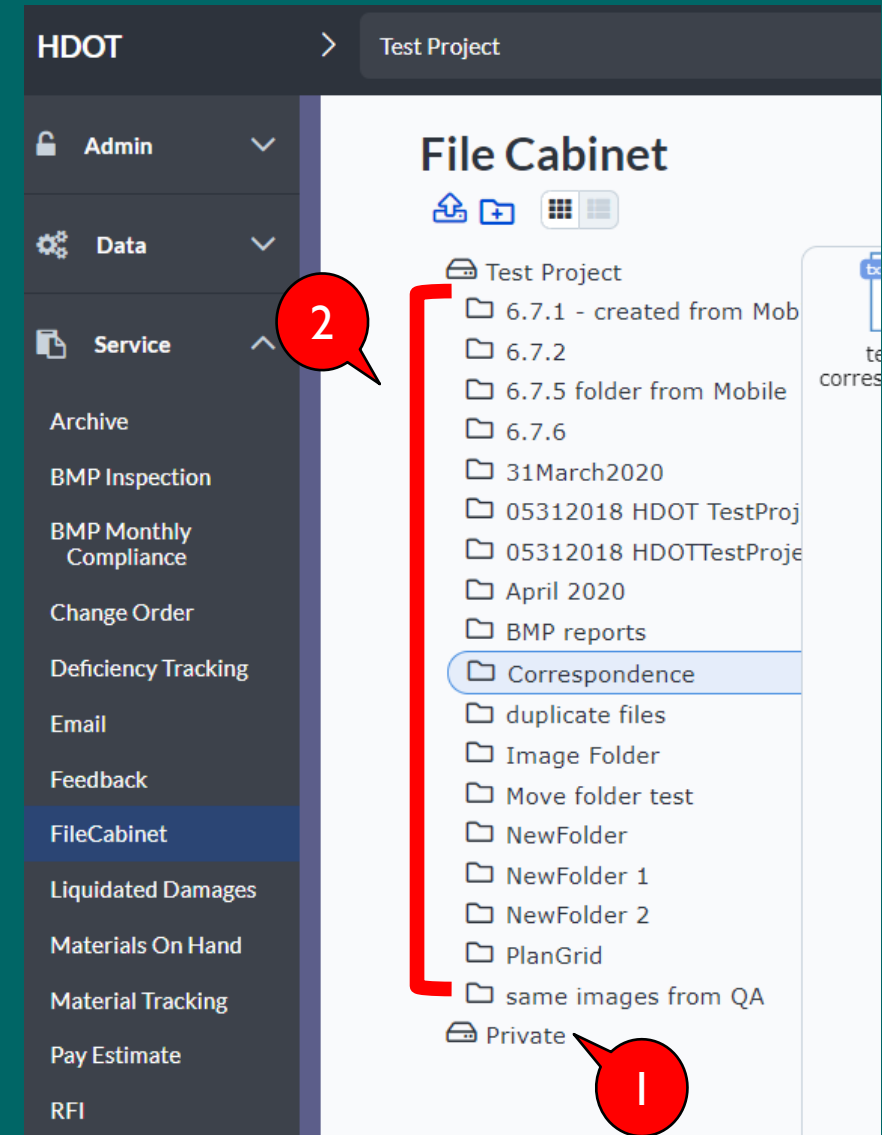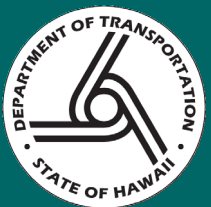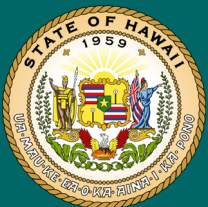
« »

∨ **DESCRIPTION**

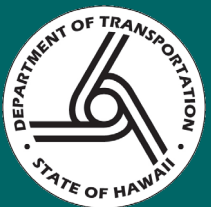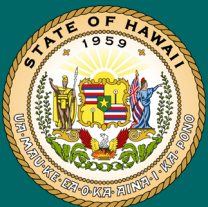∨ **SUBMITTAL STATUS**

∨ **ADDRESS**

∨ **COMMENTS**

∧ **REFERENCES**

ⓘ

Drop your files here

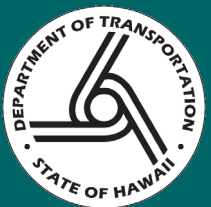All formats are supported. 50 MB, 20 files maximum.

⊕ New

SUBMITTALS

To download an attached file, select the attachment (outlined by a blue line) and click on the View button

SUBMITTALS

From the viewer, right mouse click and then click on the Save As option
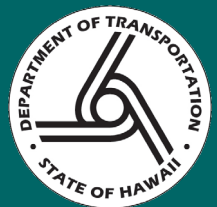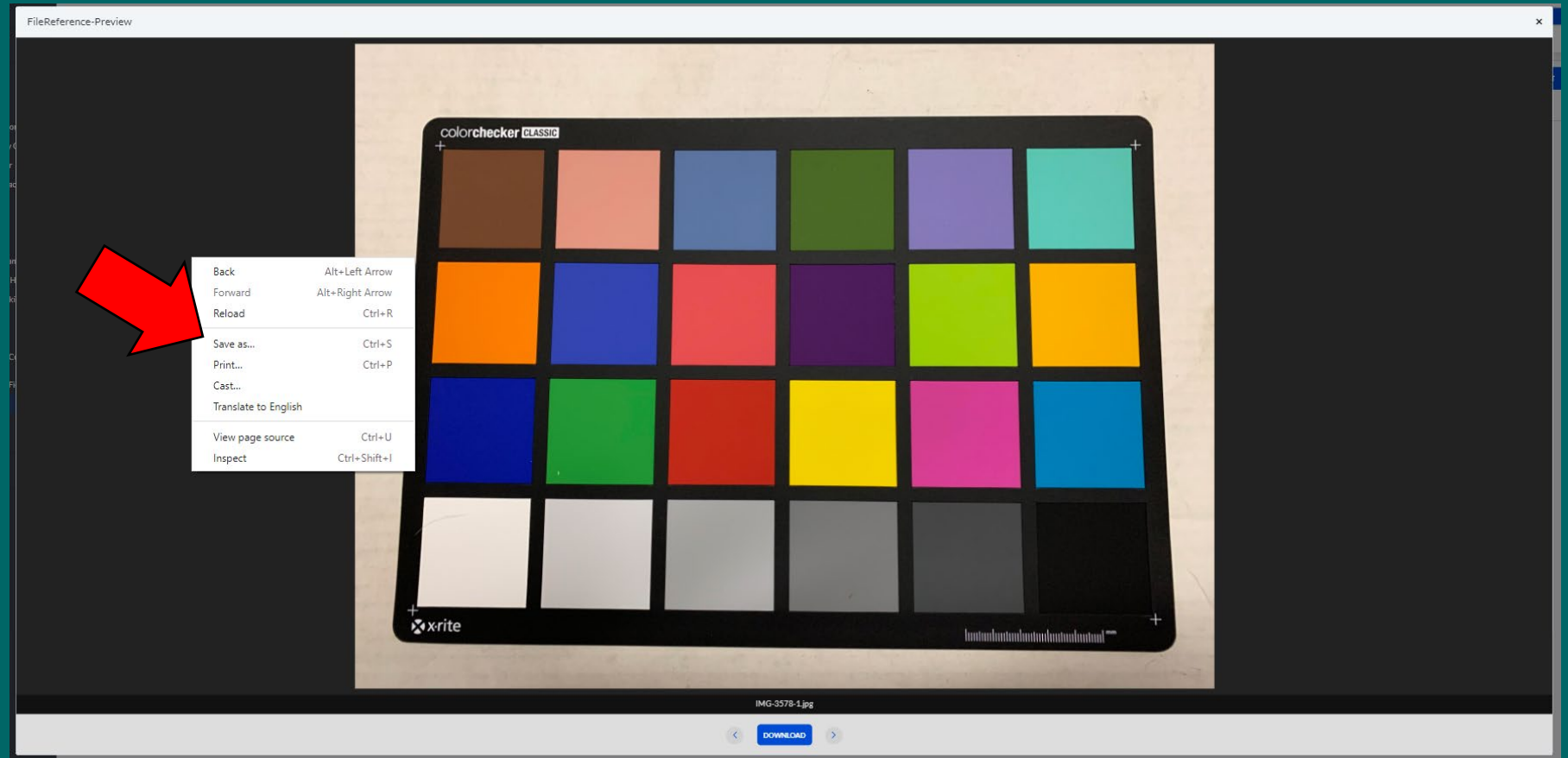
SUBMITTALS

When saving the file

1. Select the location for the file to be saved

2. Assign a file name to the attachment

3. Assign a file type

4. Click on the Save button
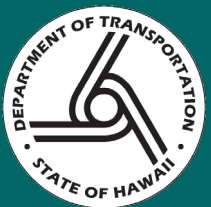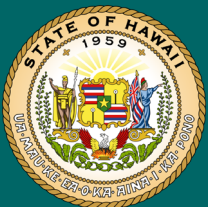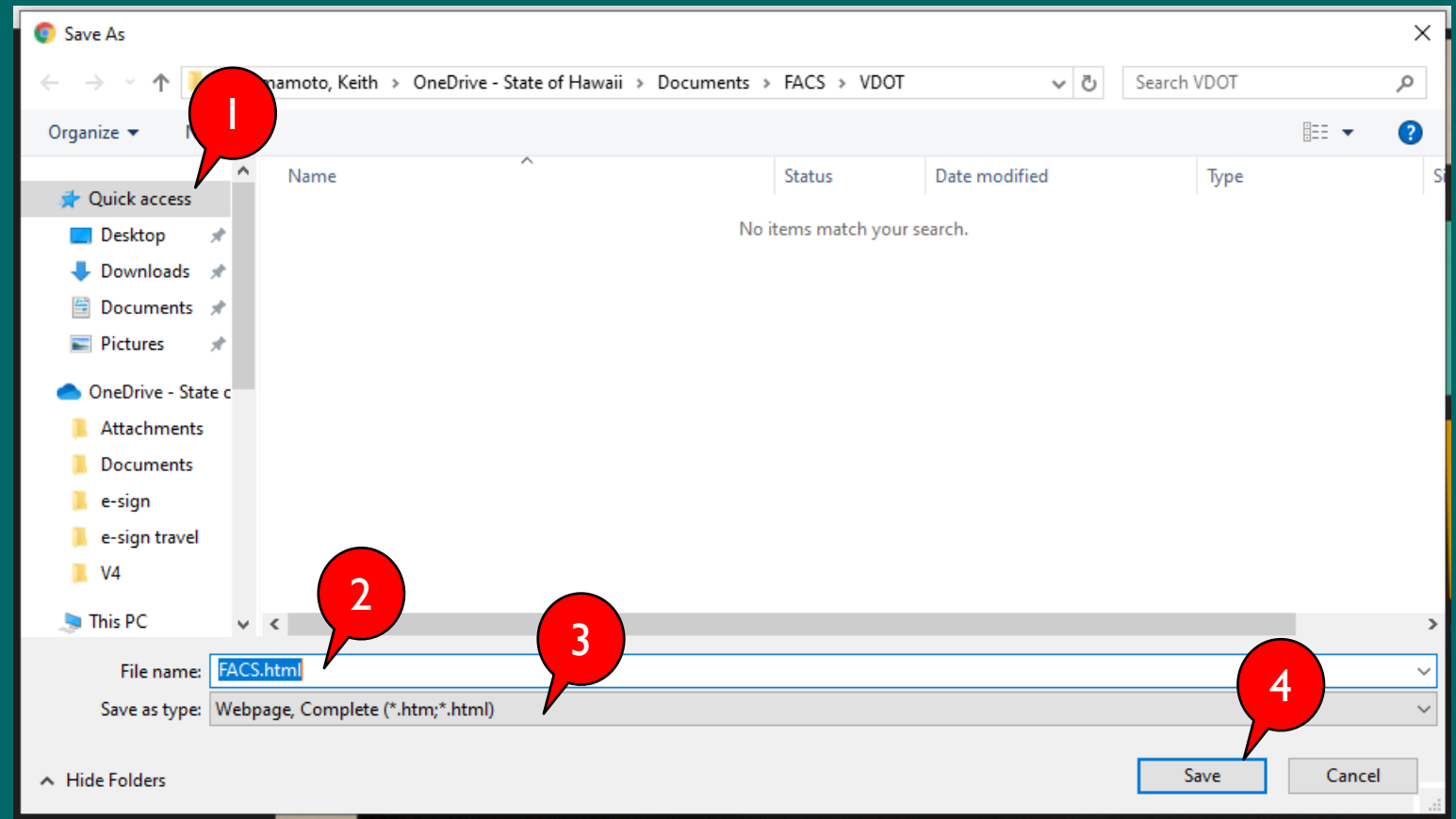
SUBMITTALS

The Design Engineer(s) shall retrieve the Submittal data through FACS and review

The Design Engineer(s) response may be made via the Comments, an edited version of the original attachments (use different file name recommended), and/or an entirely new document

SUBMITTALS

The Design Engineer(s) shall change the BIC to the Project Engineer upon completion of review

The Project Engineer shall review the response, download the response for the Construction Engineer – provide acceptance markings if needed, and revise the status of the Submittal in accordance with the review comments

SUBMITTALS

Submittal 🖶 Print

Last edit made Fri Oct 23 2020. All changes saved

☐ Notify Recipients

OPEN ▾

« »

∨ Expand all sections

∨ DESCRIPTION

To changing the Status of a Submittal Entry, click on the Status button. From the For Approval or Review and Comment status change the status based on the review comments

For Approval or For Review and Comment

Returned for Correction, Rejected, Acknowledged, No Exception Taken, Accepted as Noted, Accepted as Submitted, or Accepted

User's Guide to Submittals

SUBMITTALS

For the 11 statuses for Submittals

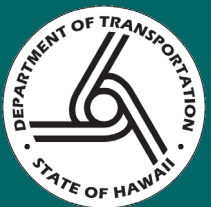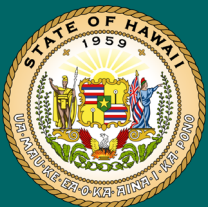| Draft	Open	For Approval or For Review and Comment	Returned for Correction, Rejected, Acknowledged, No Exception Taken, Accepted as Noted, Accepted as Submitted, or Accepted

The Contractor can modify the Draft and Open submittal and has read-only access to For Approval, For Review and Comment, Returned for Correction, Rejected, Acknowledged, No Exception Taken, Accepted as Noted, Accepted as Submitted, or Accepted submittals. The Draft submittal is only accessible to the creator of the Submittal entry

HDOT personnel has read-only access to Open submittals and can modify For Approval, For Review and Comment, Returned for Correction, Rejected, Acknowledged, No Exception Taken, Accepted as Noted, Accepted as Submitted, or Accepted submittals
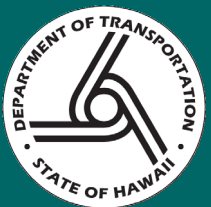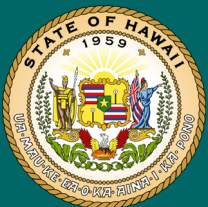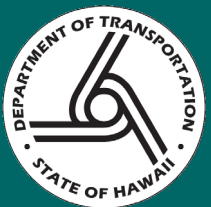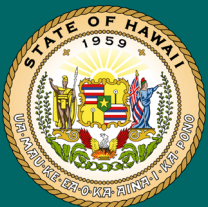
User's Guide to Submittals

SUBMITTALS

Track Submittals by using the status of the entry click on the Status button

Using the filter on the Submittals Log Grid, enter "For Approval" or "For Review and Comment" to find all submittals that are waiting on responses.

For Approval or For Review and Comment

User's Guide to Submittals

SUBMITTALS

Select an existing Submittal entry (highlighted light blue) and clicking on the History button provides a log of all the additions, deletions, and status changes for the entry
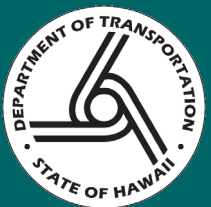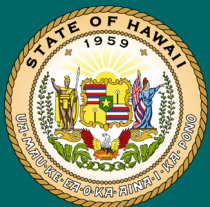

PFV = printer friendly version

User's Guide to Submittals
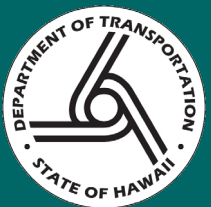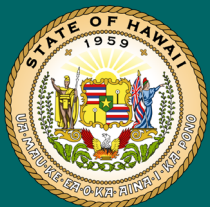
SUBMITTALS

Notes:

1. At present, all reference attachments needs to downloaded and then dragged and dropped to the other services, such as Sample Cards or Change Orders

2. The Contractor shall initiate a submittal entry to comply with HDOT's paperless initiative. The Contractor shall complete the Description section, the Address Section, the Comment Section (as needed), and the Reference section. Separate training shall be arranged for the Contractor

3. The Design Engineer(s) shall receive and respond to the submittal to comply with HDOT's paperless initiative. Separate training can be arranged for the Design Engineer(s)

4. The History Log keeps track of all Submittal entries – initial entry, additions, deletions, and status changes
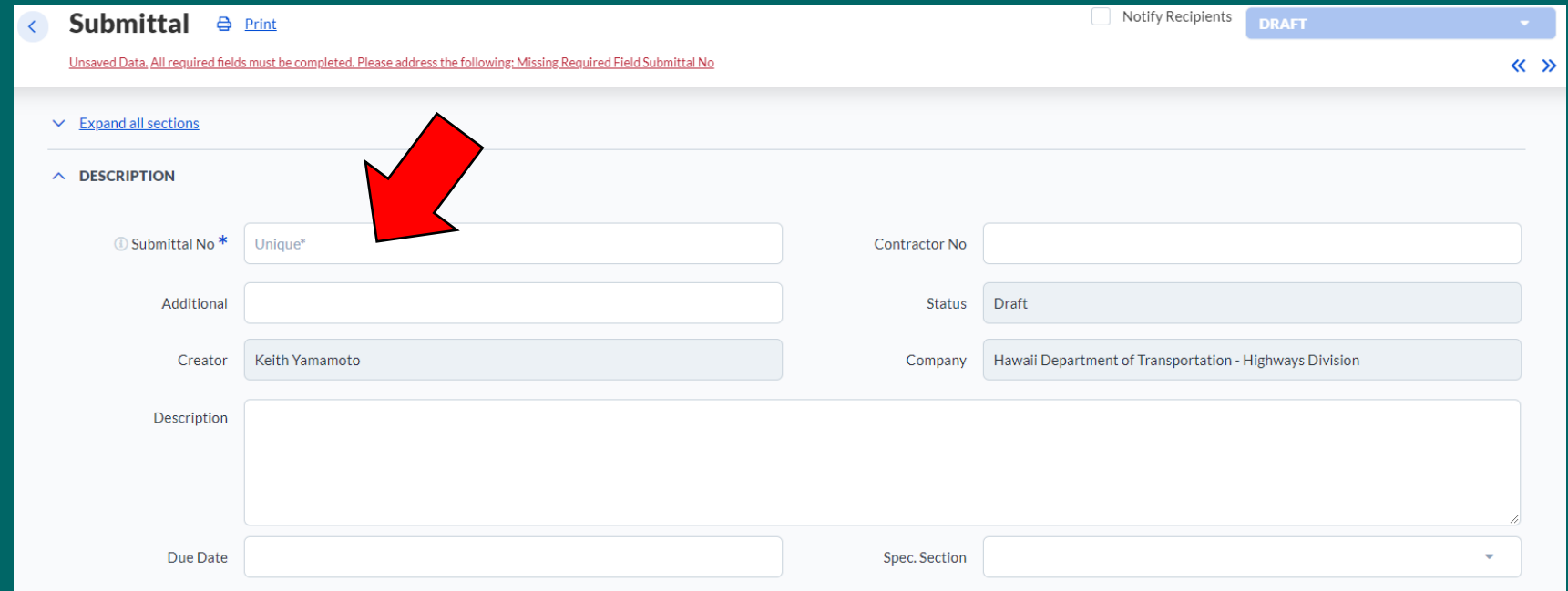
User's Guide to Submittals

SUBMITTALS NOTES

The 1st input field of Description is Submittal No. This is the unique identifier for the Submittal. It is recommended that the following format be used: XXX-YY-ZZ, where

a) XXX: section number for the pay item

b) YY: sub-section number

c) ZZ: revision number

This recommended shall be made to the Contractor

Submittal 🖶 Print

Unsaved Data. All required fields must be completed. Please address the following: Missing Required Field Submittal No

☐ Notify Recipients   DRAFT

Expand all sections

⌄ DESCRIPTION

Submittal No *	Unique*	Contractor No	
Additional		Status	Draft
Creator	Keith Yamamoto	Company	Hawaii Department of Transportation - Highways Division
Description			
Due Date		Spec. Section	

For example, 401-3a-02 would be a submittal for pay item under the 401 section, subsection 3a, and the 2nd revision to the submittal
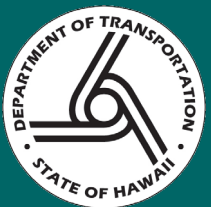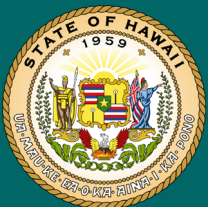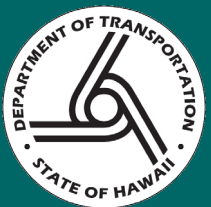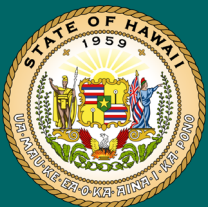
SUBMITTALS NOTES

In the other Description input fields

1. Contractor No. would be the Contractor's or Subcontractor's original submittal number

2. Additional would be any additional identifier for a submittal

Note: we are currently working on a Master Submittal list based on the Standard Specifications and standardized pay items, which would be updated with the Contract Specifications and Detailed Estimate to create a project specific Master Submittal list that would be uploaded at the start of a project
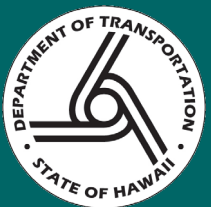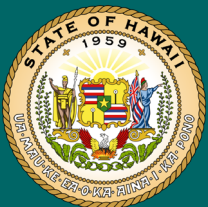
User's Guide to Submittals

SUBMITTALS NOTES

For the remaining Description input fields

1. Description is a detailed description of the Submittal. Note, the more detailed the description entry, the easier it will be to use keywords to search the Submittal Log

2. Due Date is the selected date (pop up calendar) the Contractor is looking to receive a response

3. Spec Section is a pulldown list populated with section of the Standard Specifications

User's Guide to Submittals

END OF GUIDE