



Connecticut DOT

Number: ECD-2020-1

Bureau of Engineering and Construction

Date: May 15, 2020

ENGINEERING & CONSTRUCTION DIRECTIVE

Bureau Chief

CONTRACTOR SUBMITTALS

This directive confirms the previous verbal direction given to all units establishing the requirements for, and procedures related to, the submittal and processing of all Contractor Submissions using the Department's Project Management System COMPASS. The business processes for Shop Drawings, Working Drawings, and Product Data (Catalog Cuts) are defined within this directive. For all other submittal types, please follow relevant manuals. This directive supersedes Engineering and Construction Directive "ECD-2017-3 [Conversion to Digital Contractor Submissions \(ECD-2017-3\)](#)."

Projects with a Notice to Proceed date on or after January 1, 2020 shall receive and processes Contractor submittals using COMPASS's Submittal/Transmittal Application (S/T) in accordance with this directive and the [Digital Project Development Manual](#). Contractor submittals to be processed using the S/T application include, but are not limited to, Shop Drawings, Working Drawings, Product Data, RFIs and RFCs.

The Department shall receive, process, and respond to all Contractor submittals within each project's contractual time requirements.

The following documents have been updated to reflect this initiative and shall be included in all construction contracts going forward:

- Section 1.05 (Control of the Work) Owned Special Provision
- Notice to Contractor – COMPASS Submissions
- Section 1.20-1.05 (Control of the Work For Facilities Construction) Owned Special Provision (Facility and Transit Projects)

The "Notice to Contactor – COMPASS Submissions" provides a link to the [COMPASS Contractor's User Manual](#) requiring the Contractor to use the techniques, protocols, formats and other provisions defined therein.

Construction and Engineering staff shall receive training on how to use the S/T. Each District and Design Unit shall designate at least one Subject Matter Expert (SME) to become well-versed in COMPASS’s S/T and aid AEC Applications in support by being the first point of contact for their respective unit. SMEs shall receive training as required. AEC Applications will also provide training, as requested, for Bluebeam functionality and business processes related to Contractor submittals.

The Engineering Project Manager shall be responsible for generating and maintaining a Contractor Submittal list for each project. This list shall be stored in the Project Library within COMPASS and a link shall be provided to the District.

The list shall include the expected contractor submittals and relevant attributes, such as but not limited to Shop Drawings, Working Drawings and Product Data. The list will eliminate confusion and improve contractor submittal turnaround times. A template for the Contractor Submittal List can be found in the Digital Project Development Manual in Section 9.0 and at this link - [Template](#). Copy and edit the template as needed.

During the pre-construction meeting the District shall ensure the Contractor is aware of the links to the COMPASS Contractor’s User Manual and the Contractor Submittal List.

The tables below summarize the roles and responsibilities of the Department’s Designers (In-house/Consultants) and Districts staff for processing Shop Drawings/Product Data and Working Drawings.

	Shop Drawings/ Product Data		
	Receives	Reviews	Acts
CTDOT/Consult. Designer	X	X	X
Construction District			

	Working Drawings			
	Receives	Reviews	Optional Review & Comment	Acts
CTDOT/Consult. Designer			X	
Construction District	X	X		X

It is the District’s responsibility to process Working Drawings in accordance with the contract. However, at their discretion the District may request that Design Engineer(s) be included in the Working Drawing review process.

Typically, the District will ask Design Engineer(s) to perform a review on Working Drawing submissions involving structures and complex engineering. See the Construction Manual for examples.

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When so requested, the Designer shall review the submittal, apply comments as necessary, stamp with an appropriate review stamp, and notify the District. The Designer's reviewer shall also include a recommended disposition. The District shall resolve all comments, apply the action stamp(s) and respond to the Contractor.

To elaborate and further clarify the work flows, including the roles of the Department's Designer and Districts see Section 9 of the Digital Project Development Manual.

The Contractor is only required to deliver paper copies of shop drawings, product data, or working drawings that have been stamped with "No Exceptions Noted" or "Exceptions as Noted".

Guidance to the Contractor for the number of properly sized paper copies needed will be provided by the District for inspection purposes. If needed, the District shall ensure one copy is delivered to the Division of Materials Testing.