

NTTA Projects	Issue Date: 05/01/2008	CON-01
Resource: Construction	Revision 3 Issue Date: 05/06/2011	Page 1 of 9
Title: Construction RFI Review Process		

1.0 PURPOSE:

The purpose of this procedure is to define the process by which a construction Request for Information (RFI) is submitted, reviewed, response developed, finalized, and returned to the prime contractor.

2.0 RESPONSIBILITIES:

- 2.1 RFI Review Team Members – The RFI Review Team Members, when requested by the Construction Manager or Resident Engineer, shall be responsible for reviewing the RFI, providing qualified comments, disposition and input into the RFI response.
 - 2.2 Construction Manager or Resident Engineer – If this role is contractually assigned, the construction manager shall be responsible for the following, if this role is not contractually assigned, then the Resident Engineer shall assume these responsibilities. The Construction Manager or Resident Engineer shall be responsible for performing the initial review of the RFI; making a determination as to whether or not they are capable of responding on their own, or identifying the appropriate RFI Review Team Members based upon subject matter expertise and contractual authority to review and respond to the RFI; reviewing the proposed RFI response(s); determining the completeness of RFI response; acquiring any NTTA approval required from NTTA Design Manager if proposed response requires revised plans or specs; finalizing the RFI response; and forwarding the finalized RFI response to the prime contractor.
 - 2.3 Design Section Engineer (DSE) or Project Delivery Subject Matter Expert (PDSME) – The DSE or PDSME shall be responsible for receiving and reviewing field initiated RFIs, making a determination as to whether or not they are capable of responding on their own, or identifying the appropriate RFI Review Team Members based upon subject matter expertise and contractual authority to review and respond to the RFI; reviewing the proposed RFI response(s); determining the completeness of RFI response; finalizing the RFI response; and forwarding the finalized RFI response to the construction manager.
 - 2.4 Corridor Construction Manager – The corridor construction manager (if one exists) shall be responsible for monitoring RFI activities by the construction managers on all contracts within their assigned corridor, to assure timely turnarounds (according to this procedure), appropriateness of responses, as well as consistency and coordination within the corridor.
 - 2.5 Corridor Manager – The corridor manager shall be responsible for monitoring all RFI activities within their corridor, to assure timeliness (as defined by this procedure) and appropriateness of designer and construction manager responses to all RFI's, as well as to verify consistency and coordination within each contract of their corridor. Ultimately responsible for cost and schedule of the corridor, the corridor managers concurrently are charged with responsibility for assessing related impacts of RFI responses to the corridor cost and schedule.
-

NTTA Projects	Issue Date: 05/01/2008	CON-01
Resource: Construction	Revision 3 Issue Date: 05/06/2011	Page 2 of 9
Title: Construction RFI Review Process		

2.6 Prime Contractor – The prime contractor shall be responsible for preparation and submittal of the RFI, so as not to adversely impact the project schedule. Prime contractor shall also provide as required RFI clarifications, submit requests for additional RFI response information if applicable and shall be responsible to execute the work in accordance with requirements of the RFI response. The prime contractor shall utilize related EPDS workflows, in conducting this procedure.

2.7 NTTA Design Manager – The NTTA Design Manager shall be responsible for review and routing for NTTA approval all suggested RFI responses from the Design Section Engineer or Project Delivery Subject Matter Expert that involve revising and re-issuing signed and sealed drawings or specifications during the construction phase. The NTTA Design Manager shall assure that any proposed Design change during construction meets with NTTA approval before sending to the contractor and before requesting a Change Order.

3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all NTTA corridors and projects in the construction phase within the Project Delivery department.

4.0 REFERENCES:

N/A

5.0 DEFINITIONS & ACRONYMS

6.0 PROCEDURES:

6.1 Contractor Initiated RFIs

6.1.1 RFI Initiation

6.1.1.1 When the prime contractor has a question requiring clarification or requires additional information in order to complete construction in accordance with associated plans and specs, the prime contractor shall prepare and submit an RFI to the Construction Manager or Resident Engineer utilizing the EPDS RFI workflow.

6.1.1.2 The prime contractor shall submit enough detailed information including associated background information so as to make the question clear to construction management. The prime contractor shall also submit RFIs within an appropriate timeframe so as not to impact the project schedule. This type of RFI shall be referred to as the Contractor Initiated RFI within the EPDS system.

NTTA Projects	Issue Date: 05/01/2008	CON-01
Resource: Construction	Revision 3 Issue Date: 05/06/2011	Page 3 of 9
Title: Construction RFI Review Process		

6.1.1.3 If the Construction Manager or Resident Engineer requires clarification of the question being asked, he or she shall make a request for question clarification back to the prime contractor using the EPDS system.

6.1.2 RFI Response Development

- 6.1.2.1 Upon receipt of the RFI, the Construction Manager or Resident Engineer shall perform the initial review and based upon the content of the RFI, shall determine whether or not he or she has the subject matter expertise to respond to the RFI on his or her own, or he or she needs to create a secondary RFI review team. If the Construction Manager or Resident Engineer determines he or she can respond to the RFI on their own, they shall do so and forward a final response to the prime contractor within a maximum of 5 working days of receipt.
 - 6.1.2.2 If the Construction Manager or Resident Engineer determines that he or she does not possess the subject matter expertise to respond alone, then he or she shall establish an RFI review team composed of resources with the appropriate subject matter expertise and contractual responsibility to review and respond to the RFI. Refer to Table 1 for NTTA Specialty Items which must be referred to the GEC as the RFI review team.
 - 6.1.2.3 The Construction Manager or Resident Engineer shall distribute the RFI to the RFI review team, utilizing the PMO form within EPDS. The RFI review team members shall review the RFI and provide a qualified response and disposition back to the Construction Manager or Resident Engineer within the EPDS workflow within 3 working days.
 - 6.1.2.4 The Construction Manager or Resident Engineer shall notify the NTTA Design Manager and request approval of any revised plans or specs proposed as an answer to the RFI if not already submitted with NTTA approval.
 - 6.1.2.5 The Construction Manager or Resident Engineer shall review the proposed RFI responses received from the RFI Review Team members, resolve any conflicting recommendations from RFI Review Team members (if any) and resolve any remaining questions/issues, and then the Construction Manager or Resident Engineer shall compile and finalize the NTTA's RFI response such that it can be returned to the prime contractor within the 5 working day cycle time requirement from receipt.
-

NTTA Projects	Issue Date: 05/01/2008	CON-01
Resource: Construction	Revision 3 Issue Date: 05/06/2011	Page 4 of 9
Title: Construction RFI Review Process		

6.1.3 RFI Distribution

- 6.1.3.1 The Construction Manager or Resident Engineer shall forward the finalized RFI response to the prime contractor, with copies to the Corridor Construction Manager (if one exists) and the Corridor Manager utilizing the EPDS system.
- 6.1.3.2 The prime contractor, upon receipt of the RFI response, shall have two business days to request clarification from the Construction Manager using the EPDS system.
- 6.1.3.3 If no request for clarification is submitted to the Construction Manager or Resident Engineer in 2 business days, then he or she will close the RFI in the EPDS system.

6.2 Construction Manager or Resident Engineer (Field) Initiated RFIs

6.2.1 RFI Initiation

- 6.2.1.1 When the Construction Manager or Resident Engineer has a question requiring clarification or requires additional information, the RFI shall be prepared and submitted by the Construction Manager or Resident Engineer to the DSE or to the appropriate PDSME with the contractual responsibility for the project and question at hand. This type of RFI shall be referred to as the Field Initiated RFI. Note that clarification for subject matters that are contained within (Table 1: NTTA Specialty Items), the GEC is the PDSME and will provide the required responses.
- 6.2.1.2 The Construction Manager or Resident Engineer shall submit enough detailed information including associated background information so as to make the question clear to appropriate subject matter expert. The Construction Manager or Resident Engineer shall also submit RFIs within an appropriate timeframe so as not to impact the project schedule.
- 6.2.1.3 If the DSE or PDSME receiving the RFI requires clarification of the question being asked, he or she shall make a request for question clarification back to the Construction Manager or Resident Engineer using the EPDS system.

6.2.2 RFI Response Development

- 6.2.2.1 Upon receipt of the RFI, the designated subject matter expert or DSE shall perform the initial review and based upon the content of the RFI, shall determine whether or not he or she has the subject matter expertise to respond to the RFI on his or her own, or he or she needs to create a secondary RFI review team. If the DSE or PDSME determines he or she can respond to the RFI on their own, they shall do so and forward a final response to the Construction Manager or Resident Engineer within a maximum of 5 working days of receipt.

NTTA Projects	Issue Date: 05/01/2008	CON-01
Resource: Construction	Revision 3 Issue Date: 05/06/2011	Page 5 of 9
Title: Construction RFI Review Process		

- 6.2.2.2 If the DSE or PDSME determines that he or she does not possess the subject matter expertise to respond alone, then he or she shall establish an RFI review team composed of resources with the appropriate subject matter expertise and contractual responsibility to review and respond to the RFI. Note that clarification for subject matters that are contained within (Table 1: NTTA Specialty Items), the GEC is the PDSME and will provide the required responses.
- 6.2.2.3 The DSE or PDSME shall distribute the RFI to the RFI review team, utilizing the PMO form within EPDS. The RFI review team members shall review the RFI and provide a qualified response and disposition back to the DSE or PDSME within the EPDS workflow within 3 working days.
- 6.2.2.4 The DSE or PDSME shall request approval from the NTTA Design Manager for any proposed RFI responses that involve issuing revised plans or specs and get the required approval before sending any revised drawings or specs to the Construction Manager or Resident Engineer to be incorporated into the project.
- 6.2.2.5 The DSE or PDSME shall review the proposed RFI responses received from the RFI Review Team members, resolve any conflicting responses (if any) and any remaining questions, and then shall compile and finalize the response such that it can be returned to the Construction Manager or Resident Engineer within the 5 working day cycle time requirement from receipt.

6.2.3 RFI Distribution

- 6.2.3.1 The DSE or PDSME shall forward the finalized RFI response to the Construction Manager or Resident Engineer with copies to the Corridor Construction Manager (if one exists) and the Corridor Manager utilizing the EPDS system. Note that, for the subject matter contained in Table 1 below, the GEC acting as the PDSME will provide the required responses to the field initiated RFI.
 - 6.2.3.2 If the Construction Manager or Resident Engineer, upon receipt of the RFI response, requires clarification, he or she shall request answer clarification from the DSE or PDSME using the EPDS system.
 - 6.2.3.3 Once the Construction Manager or Resident Engineer receives a clear response, he or she shall close the RFI in the EPDS system.
 - 6.2.3.4 If the Construction Manager or Resident Engineer requests answer clarification more than two times, the DSE or PDSME may close the RFI.
-

NTTA Projects	Issue Date: 05/01/2008	CON-01
Resource: Construction	Revision 3 Issue Date: 05/06/2011	Page 6 of 9
Title: Construction RFI Review Process		

Table 1: NTTA Specialty Items			
No.	Item	No.	Item
1.	Light poles (roadway lighting and high mast)	8.	Toll gantry structures
2.	Conduits for power and Intelligent Transportation Systems (ITS)	9.	Sign faces and Sign structures, Dynamic Message Sign (DMS) structures
3.	Conductors	10.	Miscellaneous electrical appurtenances
4.	Traffic Signal (poles and assemblies)	11.	Ground boxes (for power and ITS)
5.	Closed Circuit Television (CCTV) poles	12.	Special electrical items required per plans like LED lighting
6.	Electrical Service Center (ESC)	13.	Moisture Treated Subgrade
7.	Toll gantry electrical (generator, equipment in IT building, IT screen wall, lighting in gantry column, etc)	14.	Architectural Submittals
		15.	Standard Drawings (TxDOT/NTTA)

6.3 At times when the RFI may be related to source inspection for the project performed by TxDOT, the Construction Manager or Resident Engineer shall also send a copy of the RFI response to TxDOT for use while providing source inspection services.

7.0 REGULATORY REQUIREMENTS:

N/A

8.0 RELATED BOARD POLICY:

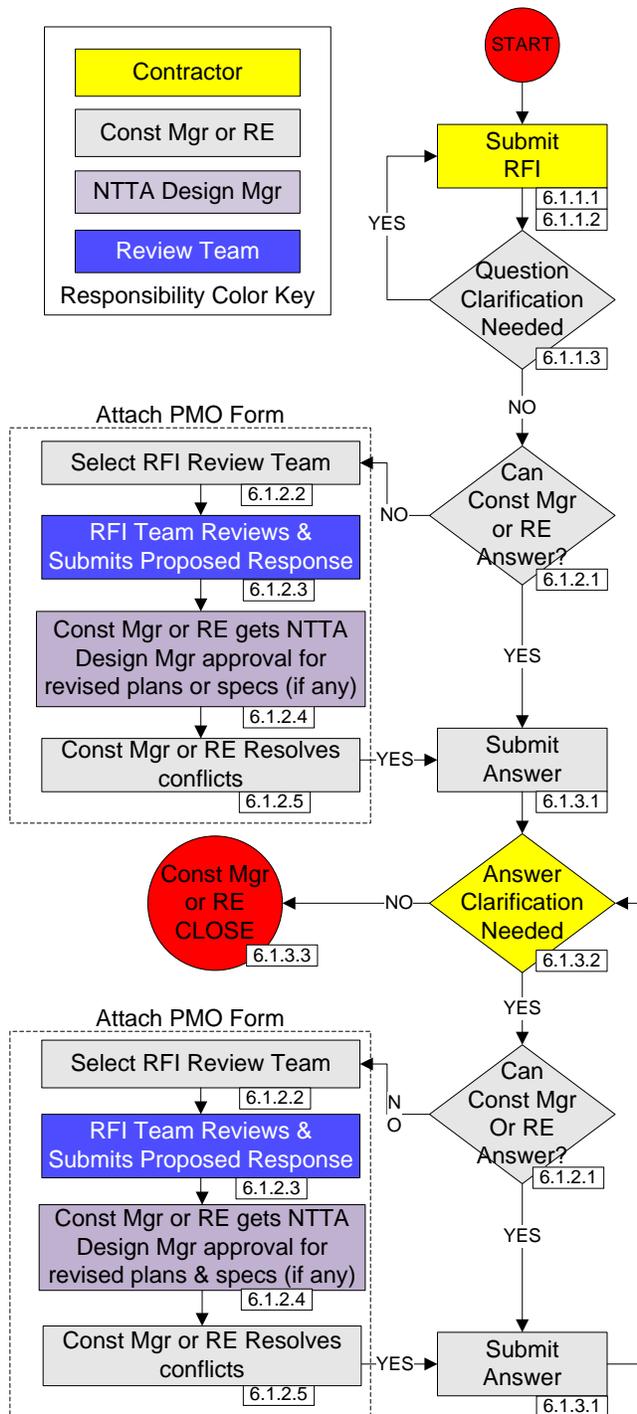
N/A

9.0 COMPONENT DOCUMENTS:

- [CON-01-A1](#) Contractor-Initiated RFI Reference Card
- [CON-01-A2](#) Field-Initiated RFI Reference Card

NTTA Projects	Issue Date: 05/01/2008	CON-01
Resource: Construction	Revision 3 Issue Date: 05/06/2011	Page 7 of 9
Title: Construction RFI Review Process		

10.0 FLOWCHART:



RFI - Contractor Initiated Business Process Workflow

Contractor:

- Submits question via EPDS

Construction Manager or Resident Engineer:

- Reviews and determines if clarifications are necessary
- May request question clarification when text is ambiguous or is incomplete

Construction Manager or Resident Engineer:

- Determines if they can respond directly
- Or if additional expertise is required then creates PMO Form RFI Review Team

RFI Review Team:

- Reviews question and recommends a response

Construction Manager or Resident Engineer:

- Notifies NTTA Design Manager if Proposed Response includes issuance of new sheets

NTTA Design Manager:

- Acquires NTTA approval for revised plans or specs (if any) as a part of proposed RFI answer

Construction Manager or Resident Engineer:

- Reviews/resolves conflicts (If any) / generates answer and submits to contractor

Contractor:

- Reviews answer and determines if clarifications are necessary

Construction Manager or Resident Engineer:

- CLOSES RFI if no Clarification requested in 2 business days by Contractor

Construction Manager or Resident Engineer:

- Determines if they can respond directly
- Or if additional expertise is required then uses PMO Form RFI Review Team or creates one if not existing

RFI Review Team:

- Reviews question and recommends a response

Construction Manager or Resident Engineer:

- Notifies NTTA Design Manager if Proposed Response includes issuance of new sheets

NTTA Design Manager:

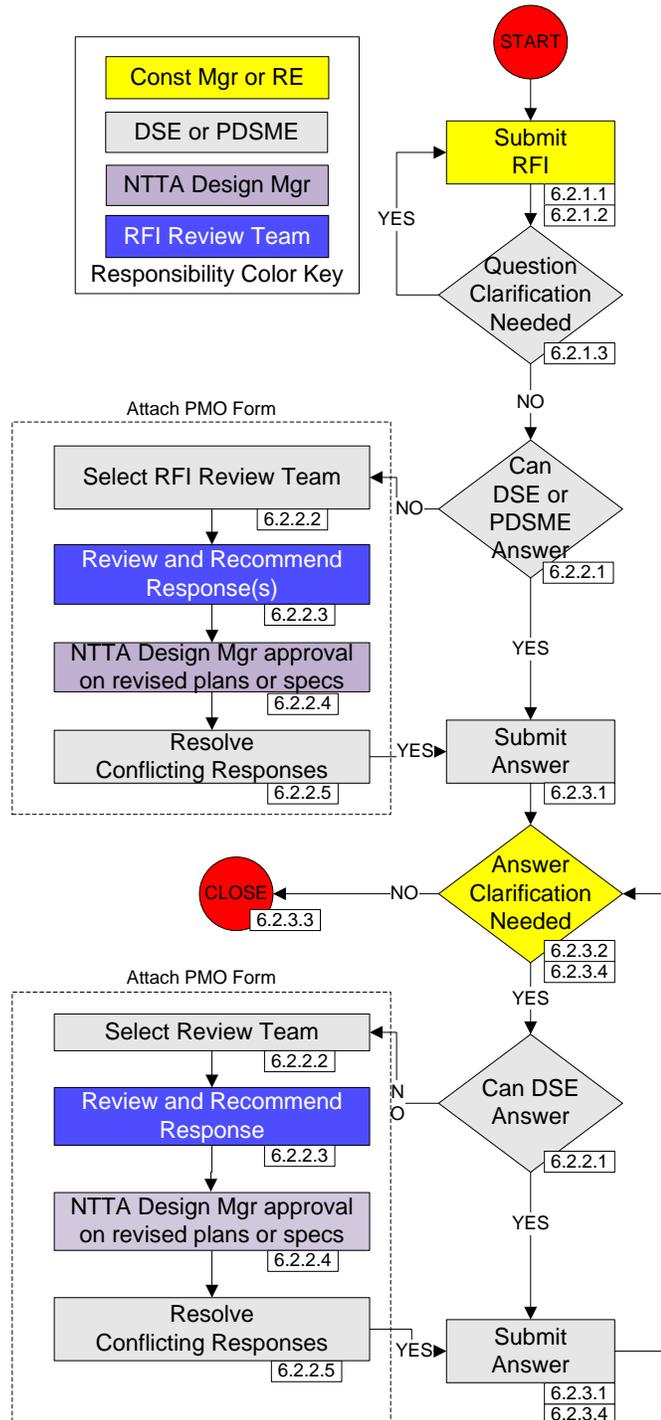
- Acquires NTTA approval for revised plans or specs (if any) as a part of proposed RFI answer

Construction Manager or Resident Engineer:

- Reviews/resolves conflicts (If any) / generates answer and submits to contractor

NTTA Projects	Issue Date: 05/01/2008	CON-01
Resource: Construction	Revision 3 Issue Date: 05/06/2011	Page 8 of 9
Title: Construction RFI Review Process		

RFI – Field Initiated Business Process Workflow



Construction Manager or Resident Engineer:

- Submits question via EPDS to either DSE or PDSME

DSE or PDSME:

- Reviews and determines if clarifications are necessary
- May request question clarification when text is ambiguous or RFI is incomplete

DSE or PDSME:

- Determines if they can respond directly
- Or if additional expertise is required then creates PMO Form RFI Review Team

RFI Review Team:

- Reviews question and recommends a response

DSE or PDSME:

- Notifies NTTA Design Manager if new plan sheets or specs are needed as a part of the response

NTTA Design Manager:

- Reviews acquires NTTA approval for revised plans or specs as a part of a proposed RFI answer

DSE or PDSME:

- Resolves conflicting responses (if any) from RFI Review Team
- Reviews/generates answer and submits to Construction Manager or Resident Engineer

Construction Manager or Resident Engineer:

- Reviews answer and determines if clarifications are necessary
- If answer is clear, closes RFI

DSE or PDSME:

- Determines if they can respond directly
- Or if additional expertise is required then uses PMO Form RFI Review Team or creates one if not existing

RFI Review Team:

- Reviews question and recommends a response

NTTA Design Manager:

- Acquires NTTA approval for revised plans or specs as a part of a proposed RFI answer

DSE or PDSME:

- Resolves conflicting responses (if any) from RFI Review Team, reviews/generates answer and submits to Construction Manager or Resident Engineer
- If the answer clarification is requested more than 2 times, the DSE or PDSME may close the RFI

NTTA Projects	Issue Date: 05/01/2008	CON-01
Resource: Construction	Revision 3 Issue Date: 05/06/2011	Page 9 of 9
Title: Construction RFI Review Process		

11.0 REVISION HISTORY

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	John Woelfel	06/05/2008		Original Issue
1	John Woelfel	09/17/2008		Added responsibilities of Corridor Construction Manager and Corridor Manager
2	John Woelfel	02/09/2010	10074	Added the maximum overall 5 working day cycle time requirement for construction manager; documented PMO form requirement within EPDS workflow; defined those "NTTA specialty items" that may require RFI response development support from the GEC, and added "Reference Card" form links for contractor and field office initiated RFI's.
3	David Kastendick	05/06/2011	10293	Changed for Construction Manager to close out RFIs not the Contractor in QMS Procedure, either currently allowed in EPDS. Updated titles and clarified existing workflow.