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## **GUIDANCE FOR ELECTRONIC AND HARD COPY SUBMITTALS**

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The purpose of this document is to outline the appropriate format and procedures for submitting documents to the Authority’s Engineering and Operations Departments. This guide covers electronic data related to current Authority document media as required in current published procedures and manuals.

### **1.1. FILE FORMATS**

Acceptable file formats for deliverables include, but are not limited to, the following:

<b>Format</b>	<b>Deliverable</b>
Microsoft Word	Lists, letters, reports
Microsoft Excel	Lists, calculations, forms
Microsoft PowerPoint	Presentations, displays
Microsoft Visio	Workflows, organization charts, process diagrams
Microsoft Project, Oracle Primavera P6	Schedules
Microsoft Publisher	Desktop publishing
Calculations (Various)	Calculations as specified by program
MicroStation (.SHT)	Contract plan sheets
MicroStation	CADD reference and resource files
Geographic Data (Various)	Graphic data files
Image Files (JPEG, PNG, TIFF)	Images
Video Files (MP4)	Videos
Portable Document Format (PDF)	All deliverables including plans

1. PDF is the required format for letters, reports and plans unless otherwise specified.
  - a. PDF – 220 dpi standard (default setting for Microsoft Office suite programs: Word, Excel, PowerPoint).
  - b. PDF/A compliant only if using unique font. It is not necessary for standard fonts such as Courier, Arial, Times New Roman.
  - c. PDFs shall be flattened for initial submissions that are subject to review. Subsequent comments and comment response annotations in PDF do not need to be flattened for submissions.
  - d. If printing to PDF from other applications, use 600 dpi.
  - e. Reports and plans shall be combined into one document. If the file is larger than 250 MB, it can be broken up into multiple volumes or parts.
2. Zipped files shall not be submitted unless requested by the Authority’s Project Manager or as specified herein or in other manuals such as the CapEx & Specifications Design Guidelines.
3. If a naming convention is not specified, at a minimum, files shall be appropriately named with facets to distinguish Contract or Order for Professional Services number, Submittal, and date. Do not use spaces or special characters. A suggested convention is:  
OPS\_Contract\_Submittal\_Date\_Description  
For example: A3584\_A200.100\_PHASE-C\_2023-01-01\_PLANS

4. All formal submittals shall include a transmittal letter or submittal checklist that includes all files transmitted.

## 1.2. TRANSMITTAL VEHICLES AND METHODS

Transmittal vehicles include:

Type	Description
Electronic	Email, file transfer, SharePoint sites, CapEx, Masterworks, cloud file sharing.
Hard Copy	As specified in the scope or solicitation documents and as requested by the Authority's Project Manager. Typically requested for complex reports or plans.
Storage Media (Flash Drive/CD/DVD)	As specified in the scope or solicitation documents and as requested by the Authority's Project Manager.

1. Electronic transmittal is the preferred transmittal vehicle.
2. Hard Copy and Storage Media submittals will only be required as requested by the Authority's Project Manager or as specified in other manuals such as the CADD Standards Manual.

Transmittal methods include:

Type	Description
Email (attachment)	Used for documents, transmittals, working files, non-formal submittals with a combined maximum size of 20 MB.
Authority FTP (Kiteworks)	Authority's private content network secure file transfer used for the transmittal and sharing of documents.
Authority SharePoint	Authority's team collaboration tool used to work collaboratively on working files. Some program specific sites are on the Authority's SharePoint instance.
External FTP, SharePoint or other cloud sharing method	Non-Authority sites used for file transfer. Some program specific sites are hosted outside the Authority's firewall.
CapEx Upload	Currently required for all contracts and used for Phase D Advertisement Submission.
Mail, FedEx, Courier	Used for Hard-Copy submittals.

1. Authority FTP (Kiteworks) and SharePoint are the preferred transmittal method for formal deliverables. The method is as determined by the Authority's Project Manager.
2. Collaborative programs hosted on external SharePoint sites shall be archived and delivered to the Authority upon program completion.

## 1.3. FINAL DELIVERABLES

The Phase D Advertisement Packet (files noted in the Procedures Manual) shall be uploaded to CapEx in a single ZIP file named "[Contract No.] Phase D Advertisement Packet", e.g. "T100.100 Phase D Advertisement Packet". Within the ZIP file, the following requirements are specific to this submission:

1. The Signed Plans shall be a multi-page PDF or ZIP of individual TIFF files. The plans may be digitally stamped with a signature, or a scan of the original signed plans. The resolution of the plan set shall be a minimum of 600 dpi.
2. The Supplementary Specifications per the “CapEx & Specifications Design Guidelines.”
3. The Engineer’s Estimate per the “CapEx & Specifications Design Guidelines.”
4. All Reference Drawings and/or Reference Material listed in Supplementary Specification Subsection 102.04 shall be submitted according to these guidelines:
  - a. All files shall be compressed into a single ZIP file and named: “[Contract No.]\_Reference.zip”, e.g. “T100.100\_Reference.zip”.
  - b. If the files were provided by the Authority, the filenames shall not be altered. They should otherwise follow the file naming convention provided for in the CADD Standards Manual.
  - c. Within the ZIP file, the files may be organized into folders labeled with their corresponding Location (i.e., Str. No.).
5. A separate folder with all the standard drawings listed in the plans shall be provided.

## REVISION SUMMARY

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Revision	Date	Revised by	Summary
0	June 2024		Original document