

ALABAMA DEPARTMENT OF TRANSPORTATION

CONTRACTOR INSTRUCTIONS

for

Form D-40 “Material Submittal”

WHAT’S NEW

Alabama Department of Transportation (ALDOT) has updated the “Material Submittal” form (Form C-40) and it will from now on be known as Form D-40. The changes are as follows:

1. Layout has been updated so fields are at a more appropriate/easier to reference location.
2. The “To” field has been changed to “Project Engineer”, and the “From” field has been changed to “Contractor”.
3. The “Line Item No.” and “Specification Section (Para. No./Plan Sheet No.)” columns have been removed. In their place, a “Pay Item Number” column has been added.
4. On the Comments/Corrections page, the “Line Item No.” column has been changed to “Comment Number”.
5. A field has been added for ALDOT’s CPMS Reference Number.

In addition to these form updates, ALDOT is moving to an electronic process instead of a printed paper/hardcopy. As we are in this transition phase, please refer to your contract for instructions on how to send your project’s material submittals. We hope everyone finds these changes beneficial.

WHEN TO USE THIS FORM

Form D-40 is primarily used for Traffic Signals, Roadway Lighting, and Intelligent Transportation System (ITS) pay items. This form is **NOT to be used for structures** (such as: poles, mast arm poles, overhead sign bridge structures, etc.). If structures are included, the submittal **will be returned without review**.

The Contractor’s version of this form is indicated with “CONTRACTOR” in the form’s filename. Contractors are to use this version (Form D-40) when submitting materials information for the Engineer’s approval on Construction Bureau projects. The Contractor is responsible for completing this form and submitting it along with any required datasheets in accordance with their project’s contract.

WHERE TO DOWNLOAD THIS FORM

The latest Contractor’s form PDF may be downloaded from ALDOT’s Design Bureau – Traffic Engineering Division “Document Library” or from Traffic Design’s “Quick Link” internet webpage (http://www.dot.state.al.us/dsweb/div_ted/TrafficDesign/QuickLinks.html). Go to this webpage and look for Form D-40 that includes “CONTRACTOR” in the filename or says “for CONTRACTOR Use” in the form description. Click on the form’s hyperlink to start the download. When downloaded, the form should have filename:

ALDOT Form C-40 Instructions for Contractors (continued)

“ALDOT_MS_FormD40_CONTRACTOR_R201611_20161103.pdf”

Where Rxxxxxx is the latest form release number followed by an 8-digit Java code version number. In other words, the numbers after the _R may vary as this form is updated. Always check for the file with the latest release date(s) from ALDOT’s website.

If your project requires the previous Construction Bureau version (Form C-40), it may be downloaded from *ALDOT’s Construction Bureau – Construction Form* internet webpage (<http://www.dot.state.al.us/conweb/forms.htm>). Just click on the form’s hyperlink to start the download.

Please note:

The latest Adobe Acrobat Reader software will be required to complete this form and is a free download from Adobe’s website (<https://get.adobe.com/reader/> or <http://www.adobe.com/>).

Adobe website may have “*optional offers*” which are automatically selected for download and install along with the free Acrobat Reader. Before clicking on the “Download” button, you may need to uncheck those additional items you prefer not to be installed.

If you prefer to save copies of your completed material submittal PDF form, Adobe Acrobat Pro will be required. Unfortunately, Adobe Acrobat Reader will NOT allow saving a completed PDF form. Please consult with Adobe for best product that will fit your needs.

HOW TO COMPLETE THIS FORM

The Contractor is to complete the following Form D-40 fields:

Contractor: Enter the prime contractor’s information [e.g. company name and address; and their contact person’s name (Project Manager preferably), phone number and email address].

Sub-Contractor: If materials shown on this form are being provided by a Sub-Contractor, then also enter the Sub-Contractor’s information (e.g. Sub-Contractor’s company name and address; along with their contact person’s name, phone number and email address).

Project Engineer: Enter the Project Engineer’s name for your project (this is usually an ALDOT Project Manager or a designated CE&I Consultant hired by ALDOT). Include ALDOT’s Region/Area Office which oversees the construction of this project. Also, enter the Project Engineer’s contact information as available (e.g. phone number and email address).

A few examples for ALDOT’s Region/Area Office names are:

East Central Region/Birmingham Area Office (or ECR/Birmingham Area),
South East Region/Montgomery Area Office (or SER/Montgomery Area),
South West Region/Mobile Area Office (or SWR/Mobile Area),
North Region/Tuscumbia Area Office (or NR/Tuscumbia Area), etc.

Submittal Number (and check boxes): Enter the next available sequential number for your project’s material submittal. (***Please do not include “MS” or “MS#” before the number*** when entering it in this field.) Then, place a check in the appropriate box to indicate this is a new material submittal or a re-submittal. If it is a **re-submittal**, you will add a letter (e.g. A, B, C, D, ..., Z) after the original submittal number.

In other words, the first material submittal for a project will start with the number “1”. The next material submittal form will be numbered “2”, followed by “3” and so on. Each one of these material submittal forms will only contain pay items that have not been previously submitted.

ALDOT Form C-40 Instructions for Contractors (continued)

If you are re-submitting information for a pay item that was not approved, you will re-use the number assigned to the original material submittal form where it was not approved. Then, you will add a capital letter (e.g. A, B, C, ... Z) to that number. Please note, the letters will start at "A" for the first re-submittal. In other words, all re-submits for material submittal #1 will start at #1A and then use the next letter on subsequent resubmits. Now for material submittal #2, you will also start at #2A and then the next resubmit would be #2B and so forth for subsequent resubmits of pay items that originally appeared on material submittal #2.

Here are a few examples or scenarios for determining Submittal Numbers and Letters:

Scenario A1: You would like to submit both 730-A and 734-B pay items for review. You would complete one material submittal form for the 730 pay items with the next available sequential number (in our example let's say it would be #1). Then, you would complete another material submittal form for the 734 pay items and it would be numbered as #2 with the "New" check box marked.

Scenario A2: Material submittal #3 has pay items 734A-123 and 734B-456 not approved and you would like to resubmit alternates or missing information that was requested. You will complete a new material submittal form, but number it as "3A". If any of these items are not approved this second time, then you will need to resubmit the rejected items as "3B" and so on until you have received approval for all the pay items as listed on the original #3 submittal form.

Scenario A3: Let's say we have already submitted pay item 737B-123 and received approval on material submittal form #4. However, we no longer can use manufacturer A's approved item for some reason. We now need to submit manufacturer B's product for approval in its place. You would complete a new material submittal form with manufacturer B's information and number this form as #4A (or the next resubmittal letter available).

PLEASE NOTE:

1. Do NOT combine previously submitted items with new items that have not been submitted. These new items will need to be submitted on a separate submittal form which is numbered with the next available sequential number.
2. Do NOT start the material submittal number over if you have previously submitted traffic signal pay items as 1 and 2, and you now want to submit roadway lighting or ITS pay items. The material submittal number starts at 1, then increases sequentially regardless if the next pay items are traffic signals, roadway lighting or ITS. However, do not combine lighting, signals and ITS pay items all on the same material submittal form. Please use a different form for each of these Design Bureau Sections. In other words, group your traffic signals on one form. Then group the lighting pay items on the next form. And, so on.

Date: Enter today's date (the date you are completing and/or submitting this form to ALDOT). The electronic form will have a drop-down calendar from which you may select the date. Just look for a down arrow beside this box.

Project Number: Enter the project number as shown on the Title Sheet of the Plan Set. This is usually shown in the Title Sheet's "Reference Project No." box or as the "Plans of Proposed Project Number" in the top center of the Title Sheet.

For example: NHF-I099(123) or STPBH-0099(789).

County: Enter the county or counties in which the project is located. You may also find this information on the Plan Set's Title Sheet.

CPMS Reference No.: Contractor may leave this field blank. This field is for ALDOT's use. ALDOT personnel will complete this information with the project's CPMS construction reference number.

ALDOT Form C-40 Instructions for Contractors (continued)

Project Description: Enter the project description as shown below the project number on the Title Sheet of the Plan Set.

Pay Item Number: Enter the associated pay item number for the material item being listed on the same line.

Description Of Material: Enter each different material item on a separate line. Be sure to provide the following information for each item listed: manufacturer's name, item description, Type Number, Model Number, Catalog Number, or any other manufacturer specifier which will declare the specific item which is to be provided and installed on this project.

Here are a few examples or scenarios for Pay Item Number and Description of Material entries:

Scenario B1: How to show materials for pay items that are made up of more than one item. For example, you would like to submit the materials for pay item 734E-000 "Detectable Tape System" which consists of the "underground fiber cable marker tape" and a "tone wire". You should list the material information for the marker tape on the first line and show "734E-000" in the associated Pay Item Number column. On the next/second line, you should list the tone wire's material information and also show "734E-000" in its Pay Item Number column.

Scenario B2: How to show materials for pay items that are considered an assembly pay item. These items (e.g. hub building, hub cabinet or ITS cabinet) typically have a manufacturer's drawing with a bill-of-materials shown. All of these items that will be provided as part of the assembly are to be listed in this bill-of-materials. However, it will not be necessary to list these individually on ALDOT's Form D-40. Only the manufacturer's hub building information should be listed on one line of the Form D-40 pay item/description section. Please note, the Contractor must obtain the individual datasheets for all items shown in the bill-of-materials as provided by the manufacturer, along with any other required documentation per the project's Plans and Specifications. These datasheets should be marked with the associated assembly pay item and scanned into the supporting documentation PDF for attaching to the transmittal email.

Page __ of __: Enter the page number information as appropriate. The first blank is for the page number where you are typing. The second blank is for the total number of pages in your completed material submittal form.

Please note:

1. The information entered in the header fields (e.g. Submittal Number, Project Number, County, CPMS Ref. No., and Date) should be automatically replicated in their duplicate fields on the remaining form page(s).
2. If additional pages are required for listing all the material items (and/or pay items) in your submittal, please create a new material submittal Form D-40 for these additional items. In other words, once you fill up a Form D-40 you will send it along with the supporting PDF document for those items listed on it. Then, a new Form D-40 with the next available submittal number will be created until it is filled-up with any remaining items. Send this second form, then continue creating new forms with the next available numbers until you have all your items submitted.
3. Upon their review, ALDOT personnel will complete the remaining "Approved", "Not Approved", "See Comments", "Initial" columns on the first page (or front of the form) along with the "Comment No." and "Comments/Corrections" columns on the next page (or back of the form).
4. If a Form D-40 includes any **structural items** (such as poles, mast arm poles, overhead sign structures, etc.), Traffic Engineering Division (TED) will **return the material submittal with no action taken**. In other words, **TED does not review structures**. Structure items should be submitted by a different process in accordance with their respective specification.

IMPORTANT CONTRACTOR INFORMATION REGARDING SUBMITTING THIS FORM BY EMAIL

The Contractor must have current and complete information for the following fields (at a minimum):

- (Prime) Contractor's Name and Address
- (Prime) Contractor Contact's Name, Phone Number and Email Address
- Project's Region and Area Office location
- Project Engineer's Name and Email Address
- Project Number and Description
- County or Counties for the Project
- Material Submittal Number and Date

PLEASE NOTE: *The Contractor will NOT be able to properly transmit the material submittal package without these items listed above!!!* You MUST have this information entered before the form will allow you to send your material submittal via email. **It is your responsibility to ensure the information entered is correct.** The form will not verify the accuracy of this information. If you provide an incorrect email address, then that person will not be included in the email exchange which may invalidate your material submittal.

The Contractor will enter this information along with the material pay items information on the form. Next, the Contractor is to scan any supporting documentation into a PDF file. Then, click on the "Send by EMAIL" button which should be at the bottom right of the form's first page. This button will then generate a transmittal email which should pop-up on your computer screen. Once this email appears, you should see a transmittal message along with an attached XML file which contains the information you entered on the form. **BEFORE you send this email, be sure to also ATTACH your SCANNED PDF FILE of your SUPPORTING DOCUMENTATION to this email!** ALDOT will not be able to process your submittal package without this information. If email is sent without it, your submittal package review will be delayed until this has been corrected. ALDOT reserves the right to return a submittal without review if incomplete.

Once the form has successfully been completed and emailed to ALDOT's Material Submittal Group, a confirmation of receipt email should be sent back to the Contractor within a timely manner. **If the Contractor does NOT receive this confirmation email, please contact Traffic Design Section at 334-242-6160.** Be prepared to give your project and material submittal information so it may be researched and hopefully retrieved.

IMPORTANT CONTRACTOR INFORMATION REGARDING ALDOT'S REVIEW

ALDOT authorized content reviewers will conduct a review of the contractor's material submittal package. This MS package should consist, at a minimum, of the following: completed material submittal form along with manufacturer datasheets, drawings and documentation for each pay item as listed on the completed submittal form. The reviewer will consult the project's special provisions, plan set and other requirements as appropriate for determining if an item is Approved or Not

ALDOT Form C-40 Instructions for Contractors (continued)

Approved. Next, the reviewer will select the pay item's appropriate approval column to toggle the check mark accordingly. If the reviewer has comments and/or corrections, a sequential comment number(s) will be entered in the "See Comments" column. Followed by, entering the corresponding number and remark in the "Comments/Corrections" section.

Material Submittals will be returned by email to the ALDOT Material Submittal Distribution Group, the Project Engineer and the Area Construction Engineer. The email will consist of a scan copy of Design Bureau's cover letter, completed Form D-40 (with approval initials where appropriate) and any additional datasheets. This material submittal review will be returned in accordance with the project's contract (see the corresponding pay item special provision).

IF YOU HAVE PROBLEMS, CHECK OUT THESE TROUBLESHOOTING TIPS

The following are a few suggested troubleshooting tips for material submittal form problems as experienced by Contractors. These are offered as suggestions from which a computer support technician may use as potential problem/solution options. ALDOT does not guarantee these tips or takes responsibility for any effects these may have on your computer. Ultimately, it is you and your computer support technician's responsibility for determining and making proper computer adjustments for this material submittal form's Java script automation to properly work. The suggested tips are as follows:

1. You must already have an email account and your email application/software correctly configured. In other words, you should already be able to send and receive emails on your computer. If not, consult your computer support technician/administrator for assistance.
2. Adobe Acrobat Reader or Pro must already be installed and set as the default program for all PDF files. In other words, if you open this PDF form and it opens with a program other than Adobe, you must have your computer's settings changed so that Adobe will be used instead of the other program.
3. With Microsoft Windows 10, the operating system will try to make Microsoft Edge the default program for several file types including PDFs. You or your computer support technician will need to override this operating system setting on your computer. Try opening Control Panel from Windows System, select Programs, and then Default Programs. You should be able to click on "Set your default programs" and find your Adobe program listed. Click on it and then select the "Set this program as default". Keep in mind that these menu options vary between different Microsoft Windows operating system versions and may not be exactly the same as described herein. Please consult your computer support technician and/or administrator for any operating system variations and before making these changes to your work computer.
4. If the "Send by EMAIL" button does not respond by opening a new email popup window, then you need to confirm your email application is working (see Tip #1). If you have Windows 10, you will need to make sure that Microsoft Edge is not preventing this Java script button "Send by EMAIL" from properly working. To override Microsoft Edge, see Tip #3 above. Another possibility is that Java may not be properly installed. Please consult your computer support technician to assist with further troubleshooting if problem continues.