

## CHAPTER 9. CONSTRUCTION CONTRACTOR SUBMITTALS

**9.1 Purpose.** The section provides guidance and identifies responsibilities of government organizations involved in the disposition and review of contractor submittals.

### 9.2 References.

- a. ER 415-1-10, Contractor Submittal Procedures.
- b. ER 1180-1-6, Construction Quality Management.
- c. EP 415-1-260, Resident Engineer's Management Guide.

**9.3 General.** Contractor submittals referred to in this plan are materials and shop drawings related to the fixed-price construction phases of the Systems Contracts, which require government approval or acceptance. As required by the contract, submittals are identified in the contractor-prepared submittal register. The contractor is responsible for maintaining and updating the register. The above references clearly define the processing of submittals. Resident Offices will follow these regulations in developing operating procedures for handling submittals. Information from the referenced ER's, EP's, and the contract clauses may be duplicated in this plan to reemphasize certain aspects of those requirements.

### 9.4 Contractor Responsibilities.

a. The primary responsibility for scheduling, management adequacy, accuracy, and control of submittals lies with the contractor doing the work. The contractor is responsible for incorporating all submittals for government approval into the NAS. Approved submittals become contract documents. Therefore, the contractor must understand that the handling of submittals is as important as the actual construction and installation activities. Resident Engineer's will address this requirement during the pre-construction Quality Mutual Understanding Meeting, and try to include it as part of the partnering agreement with the contractor. Quality control supervision personnel should be knowledgeable of the contract requirements for each phase of work, including approved submittal documents. The construction contractor is responsible for obtaining materials and equipment as specified in the contract. Experience indicates that a principal cause of construction progress falling behind schedule is due to delays in the delivery of materials and equipment. Approval of drawings was considered second. Also, a lack of submittal control can cause serious configuration confusion and delay.

b. Before delivering the submittal package for government review and approval, the contractor must perform a detailed review of the submittal and certify that the information meets the current contract requirements. Submittals from subcontractors must be approved by the prime contractor prior to submission to the Government.

c. After the submittal is approved and during the preparatory inspection for a new phase of work, or the initial inspection of another part of the existing work phase, quality control must verify that the work to be performed will be done with approved contract submittals. Work will not commence based on unapproved or conditionally approved documents.

**25 August 2000  
Revision 1**

### 9.5 Government Responsibilities

a. The Resident Engineer has the overall responsibility for monitoring the contractor's management control and assuring that submittals are timely and appropriately certified, approved, or accepted. The Resident Engineer should assure that the contractor:

- (1) Places orders for all materials and equipment promptly, specifying delivery dates that will meet the NAS construction schedules.
- (2) Submits approved submittals as part of the progress evaluation for partial payment requests.
- (3) Expedites required shop drawings submission.
- (4) Maintains an energetic follow-up of all schedules.
- (5) Keeps the Government informed on the progress of procurement, drawings, and submittals.

b. The Technical Support Branch of the Resident Office is responsible for managing submittal reviews. This group, with the support of the A-E, Chemical Demilitarization **Directorate QA Team** (CEHNC-CD-TS-QA) and the Directorate of **Engineering**, (CEHNC-ED), will perform all reviews involving the construction phase of the contract. Other government roles are as follows:

(1) CEHNC-ED-CS-Y: The Resident Office will provide information copies of ENG Form 4025's that require offsite review to **Service Branch** (CEHNC-ED-ES-S). **The Service Branch will distribute copies of 4025's to the ED technical manager (CEHNC-ED-CS-Y).** The technical manager will track reviews made by both the A-E and CEHNC-ED. They will also have a major role in the RFI and ECP process.

(2) CEHNC-ED: Engineering Directorate will provide technical reviews as indicated on the review matrix in exhibit 9\*1, Service Branch, CEHNC-ED-ES-S, will distribute submittals to the reviewers in the Huntsville Center and file a copy of all approved submittals.

(3) CEHNC-CD-TS-QA: During peak overflow periods, QA will perform technical reviews of shop drawings as requested by the Resident Office.

(4) CEHNC-CD-IN: The Project Manager plays a key role in **monitoring** funds used by CEHNC-ED to perform review of shop drawings. In addition, the **PM** will, as requested, assist **CEHNC-ED-CS-Y** in tracking and coordinating submittals within the Center.

(5) Resident Engineer: As ACO, the Resident Engineer is the primary government agent responsible for approving submittals.

### 9.6 Submittal/Review Procedure.

a. The contractor-prepared submittals are forwarded to the Resident Engineer for review and approval. The Resident Engineer determines the responsible reviewer. Shop drawings and submittals

**25 August 2000  
Revision 1**

Requiring review by CEHNC will be forwarded to CEHNC-ED-ES-S via HNC-CDE TEST FORM, Draft 4, “\_\_\_\_\_ Resident Office Request for Technical Review” (Exhibit 9\*2). All Resident Offices that request CEHNC-ED submittal review shall use the above form format (Modified to indicate the appropriate Resident Office). The Resident Office will indicate the appropriate funding account that is to be used to cover the labor charges for the review (when known). Should the Resident Office not know the appropriate funding account to be utilized, the Project Manager will be notified and he/she will coordinate with the ED Technical Manager to determine the appropriate funding account. The Project Manager will then notify the Resident Office of the appropriate account number to be entered on the form.

b. All submittals requiring review offsite will be forwarded to the appropriate reviewer. CEHNC-ED-SY-C will coordinate with the appropriate elements of CEHNC as necessary. Review comments will be written on ENG FORM 7 and returned to the Resident Office via CEHNC-ED-ES-S. An info copy of submittals requiring A-E review will be provided to CEHNC-ED-SY-C. In addition, the document will be checked against the NAS or other approved construction schedule. The master copy of the control document will be maintained in the Resident Office. *Control at this level is necessary to ensure effective management by the contractor and timely response by the Government.* It is essential that a complete record of all action dates be maintained and that the records reflect current information for each contract. The Resident Engineer should monitor progress at all times and take appropriate actions for any delay caused by the contractor’s negligence. Examples of appropriate actions include a letter advising of delinquency, withholding of retained percentage for unsatisfactory performance, and nonpayment for unapproved materials.

c. The specifications will direct contractor submittals. ENG FORM 4025, Transmittal of Shop Drawings, Equipment Data, Material Samples, or Manufacturer’s Certificates of Compliance, determines the review procedures. Approval actions and correspondence with the contractor will be made through the Resident Engineer Office. Government personnel will perform quality assurance reviews of “information only” submittals to assure that the contractor’s quality control program is properly handling submittals. The Contracting Officer will determine the number of reviews, however, a minimum of 10 percent of all “information only” submittals will be reviewed.

- d. To assure a smooth and efficient review process, the Resident Office will develop a submittal management plan that addresses the following:
- (1) How submittals relate to the configuration control plan.
  - (2) What does and does not require submission. Refer to the contract-provided submittal register.
  - (3) The transmittal form ENG FORM 4025. Refer to ER 415-1-10, Contractor Submittal Procedures.
  - (4) The submission process. See exhibit 9\*1.
  - (5) The submittal review process. See exhibit 9\*1.
  - (6) The submittal automation system.

# SHOP DRAWING FLOW DIAGRAM

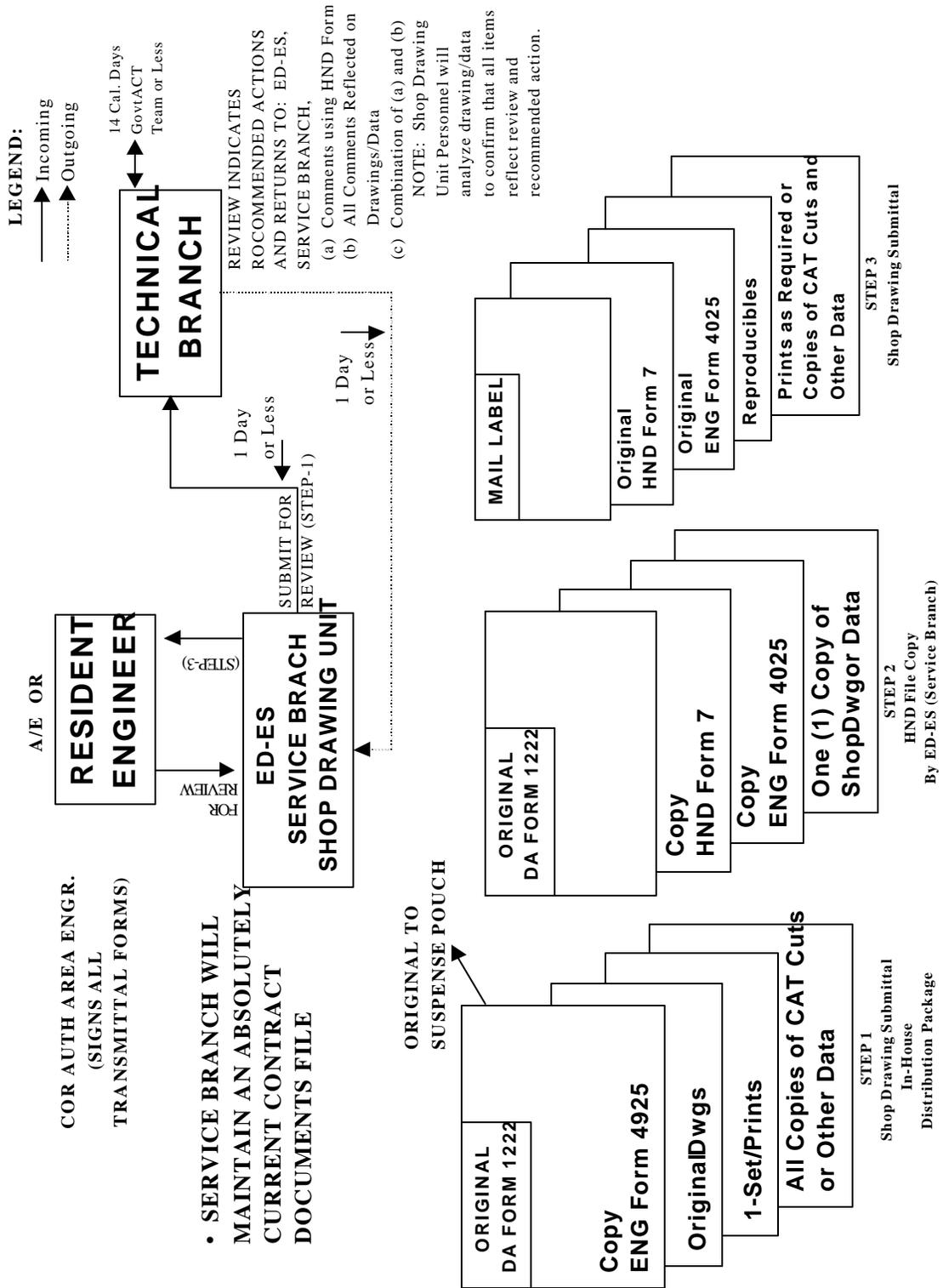


Exhibit 9\*1. Technical Review Matrix.

**Resident Office Request for Technical Review**

**Contract No.:** \_\_\_\_\_

- |  |                        |
|--|------------------------|
| <input type="checkbox"/> Submittal Review (To ED-ES-S)                     | <b>Document Number</b> |
| <input type="checkbox"/> Request For Information (To ED-SY-C)              |                        |
| <input type="checkbox"/> Draft Field Engineer Change Proposal (To ED-SY-C) |                        |

Resident Office Fax : (  ) \_\_\_\_\_ Date Submitted to Res. Office: \_\_\_\_\_

**Resident Office POC:** \_\_\_\_\_, Phone (  ) \_\_\_\_\_

Technical Review Suspense Target: \_\_\_\_\_

**Reply required @ Resident Office: 3 work days for RFI & 10 work days for submittal review, plus mail time & week-end/holiday.**

**Authorized Fund Accounts:** (  ) MCA-EDDC \_\_\_\_\_ (  ) MCA S&A \_\_\_\_\_ (  ) PROC/S&A \_\_\_\_\_

Date Received by CEHNC-ED-ES-S or ED-SY-C: -----

Date Tech Assistance assigned: -----

Date Tech Review required: -----

Special Instructions for Reviewers (  ) see attached page if checked.

**REVIEW OFFICE (Check as applicable)**

- |  |  |
|--|--|
| <input type="checkbox"/> Specifications        | <input type="checkbox"/> Architectural                       |
| <input type="checkbox"/> Estimating            | <input type="checkbox"/> Electrical/Instrumentation/Controls |
| <input type="checkbox"/> Safety:               | <input type="checkbox"/> Mechanical                          |
| <input type="checkbox"/> Systems               | <input type="checkbox"/> Manufacture Tech                    |
| <input type="checkbox"/> Site Development      | <b>OTHER:</b>  |
| <input type="checkbox"/> Geo-Technical         | _____  |
| <input type="checkbox"/> Environmental/Utility | _____  |
| <input type="checkbox"/> Structural            | _____  |

NOTE: (Indicate category below and attach this completed form to any returned comments please.)

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Comments on RFI           | <input type="checkbox"/> Comments on Form 7   | <input type="checkbox"/> Comments on Drawings |
| <input type="checkbox"/> Comments on Document page | <input type="checkbox"/> Concur with Proposed | <input type="checkbox"/> No Comment           |
| <input type="checkbox"/> Other _____               |   |   |

Reviewer \_\_\_\_\_ Office Symbol \_\_\_\_\_ Phone: \_\_\_\_\_ Date of Review \_\_\_\_\_

Date Received by CEHNC: ED-ES-S or ED-SY-C: \_\_\_\_\_

Date CEHNC-ED Returned to Resident Office: \_\_\_\_\_

Date Received Back at Resident Office: \_\_\_\_\_