



Module 5: SUBMITTALS

Objectives: After completing this module, you will be able to:

- State the purpose of submittal procedures.
- Describe Government responsibilities for submittal review and/or approval.
- Describe contractor responsibilities for the scheduling and control of submittals.
- List the information the contractor must furnish on the submittal control document (ENG Form 4288R - Submittal Register).
- List the information the contractor must furnish on the transmittal form (ENG Form 4025R).

A. **General:**

1. Submittals are classified as "Government Approved" (GA) or "For Information Only" (FIO). For design-build contracts, submittals may also be classified as "designer of record approval" or "Government reviewed extension of design." Submittals which will normally require Government approval are: extensions of design, critical materials, variations, or those involving equipment whose compatibility with the entire system must be checked. Submittals not requiring Government or designer of record approval are for information only. It is imperative that the contractor's QC Manager reviews all submittals because the Government only spot checks FIO submittals. This emphasizes the Government's reliance upon contractor QC approvals. The Contract Clause entitled "Specifications and Drawings for Construction," and specification Section 01330 SUBMITTAL PROCEDURES, 01331N Design Submittals, and 01332 Construction Submittals. discuss specific definitions and procedures. The Submittal Register, (Engineer Form) ENG Form 4288R, identifies those submittals requiring Government or designer of record approval.

2. Use of ENG Form 4025R: The contractor must use ENG Form 4025R, "Transmittal of Shop Drawings, Equipment Data, Material Samples, or Manufacturer's Certificates of Compliance," for transmitting submittals. A sample ENG Form 4025R is provided in the sample section of this module. Instructions for use are contained on the back of the form.
3. Typical submittals are categorized into the following submittal identifications (SD):
 - SD-01 Preconstruction Submittals
 - SD-02 Shop Drawings
 - SD-03 Product Data
 - SD-04 Samples
 - SD-05 Design Data
 - SD-06 Test Reports
 - SD-07 Certificates
 - SD-08 Manufacturer's Instructions
 - SD-09 Manufacturer's Field Reports
 - SD-10 Operation and Maintenance Data
 - SD-11 Closeout Submittals
4. The primary responsibility for overall management and control of submittals lies with the contractor.

B. **Purpose:** Submittals are required by the contract in order to regulate the timely flow of materials to be incorporated into work. They are necessary to demonstrate that the proposed materials, etc., are in compliance with the contract. All required submittals must be provided by the contractor in time to allow for the review, approval, procurement, delivery, and performance of the preparatory phase of the Three Phases of Control for an item before it is needed for construction. Submittals are indispensable in assuring and controlling construction quality and must be given the attention required.

C. **Contractor Submittal Responsibilities:**

- The contractor must integrate the submittal process into his QC Plan. He must delegate submittal responsibilities to the proper individuals on his staff.
- Submittals are considered by the Government to be important. The contractor must assure that onsite management and, for design-build, the designer of record remains attentive to submittal procedures at all times.

- QC personnel and designer of record are responsible for ensuring, through detailed review, that all submittals are in full compliance with the contract.
- The contractor must review the Government prepared Submittal Register and add any needed additional submittals. For design-build projects, the designer of record prepares the submittal register.
- The contractor must check the submittal schedule requirements against the Network Analysis System (NAS) or other approved construction schedule.
- The contractor constantly maintains and adjusts dates on the register as required by the contract activities to ensure the document reflects current information.
- All variations must be fully described, identified and justified in the transmittal package. This is explained in specification Section 01330 and in the instructions on ENG Form 4025R. If a variation is not identified on ENG Form 4025R, the Government may rescind any inadvertent approval.
- The contractor assures that work must not be permitted to begin without properly approved submittals.
- The “Buy American Act - Construction Materials” must be considered in the submittal process because it significantly impacts what will be acceptable on Government projects.

D. Government Submittal Responsibilities:

- The Government will prepare a list of submittals required for each contract. This list will be prepared on a submittal register (ENG Form 4288R). The annotated submittal register will be incorporated into the specifications prior to advertisement. For design-build contracts, the designer of record identifies the required submittals in the specifications and prepares the submittal record.
- Review a minimum 10% of FIO submittals.
- Review and approve submittals that are required to be GA. For design-build contracts, the Government will review submittals for conformance with the contract which includes the solicitation requirements and the contractor's accepted proposal.

- An important aspect of the Government's quality assurance role is to enforce submittal requirements. In the course of the project, if it is determined that the contractor's quality control personnel are not properly satisfying submittal requirements, corrective action will be taken.

E. Controlling and Scheduling:

1. Submittal activities may be required to be incorporated into the construction schedule in order that submittal progress can be tracked in conjunction with overall progress. Care must be taken that the schedule accurately reflects the status on ENG Form 4288R.
2. Regardless of the type schedule specified, ENG Form 4288R, "Submittal Register," is used for submittal control and scheduling. (A sample ENG Form 4288 is provided in the sample section of this module.) Generally, the information required is self-explanatory. However, several items need clarification.
 - The NAS activity code, is used only when a network schedule is required and for those submittals that have been included as activities.
 - Item Number is to be completed by the contractor.
 - The Contractor Schedule Dates Columns should project when submittals will be submitted, when approval is needed, and when the material is needed. This information should be updated every 30 days as required by the specification.
3. Software for microcomputers which automates the submittal register has been developed by the Government. This will be useful to both the contractor and the Government. The Resident Management System (RMS) is discussed in a later module.
4. NAVFAC's WEB CM will be used for the processing of submittals.



EXERCISE

Module 5

1. What is the purpose of submittals?
2. What is the process the contractor must use to request a variation?
3. What are the contractor's submittal responsibilities?

INSTRUCTIONS

1. Section I will be initiated by the Contractor in the required number of copies.
2. Each transmittal shall be numbered consecutively in the space provided for "Transmittal No.". This number, in addition to the contract number, will form a serial number for identifying each submittal. For new submittals or resubmittals mark the appropriate box; on resubmittals, insert transmittal number of last submission as well as the new submittal number.
3. The "Item No." will be the same "Item No." as indicated on ENG FORM 4288-R for each entry on this form.
4. Submittals requiring expeditious handling will be submitted on a separate form.
5. Separate transmittal form will be used for submittals under separate sections of the specifications.
6. A check shall be placed in the "Variation" column when a submittal is not in accordance with the plans and specifications--also, a written statement to that effect shall be included in the space provided for "Remarks".
7. Form is self-transmittal, letter of transmittal is not required.
8. When a sample of material or Manufacturer's Certificate of Compliance is transmitted, indicate "Sample" or "Certificate" in column c, Section I.
9. U.S. Army Corps of Engineers approving authority will assign action codes as indicated below in space provided in Section I, column i to each item submitted. In addition they will ensure enclosures are indicated and attached to the form prior to return to the contractor. The Contractor will assign action codes as indicated below in Section I, column g, to each item submitted.

THE FOLLOWING ACTION CODES ARE GIVEN TO ITEMS SUBMITTED

- | | |
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| A -- Approved as submitted. | E -- Disapproved (See attached). |
| B -- Approved, except as noted on drawings. | F -- Receipt acknowledged. |
| C -- Approved, except as noted on drawings.
Refer to attached sheet resubmission required. | FX -- Receipt acknowledged, does not comply
as noted with contract requirements. |
| D -- Will be returned by separate correspondence. | G -- Other (Specify) |
10. Approval of items does not relieve the contractor from complying with all the requirements of the contract plans and specifications.

