

# DSC GUIDELINE No. CM-20 SUBMITTAL REVIEW PROCESS

The following describes a step by step process to be followed to ensure a timely review of submittals.

Steps and Description of Tasks	Responsible Party	Time Schedule
<p>1. As specified in Section 01330, submit shop drawings and project data on Transmittal Form CM-16 to the on-site Construction Management Representative, hereafter referred to as the CMR. It is strongly recommended that the contractor keep an interim copy until comments are returned. As a general rule, each specification section should be submitted complete. Do not combine different specification sections on the same transmittal form. Within a specification section, each separate item requiring approval should be separately listed on the Transmittal Form, a sequential item number should be assigned, and the applicable paragraph in Part 2 of the specifications should be referenced. Use the transmittal form continuation sheet as necessary to accommodate all items being submitted under a specification section. Each transmittal should be numbered in accordance with the pre-assigned submittal numbers separately furnished. The procedure below will return to the contractor at least one set of shop drawings, manufacturer's data, or sample, along with the completed Transmittal Form CM-16 containing original signatures and any attached comments. In some cases, samples will be reviewed in the field due to logistical considerations.</p> <p><b>Shop Drawings:</b> Submit four sets of hard-copy drawings.</p> <p><b>Manufacturers' Catalog Cut Sheets, Data Sheets, and Similar:</b> Submit four copies of data.</p> <p><b>Samples:</b> Submit four samples.</p> <p><b>Identification Information:</b> All submittals must have the identification information entered on Form CM-16, including park name (BIBE), PMIS number (014820), project title (Chisos Basin Water System), contract number (1443N1211050903), transmittal number (pre-assigned), date submitted, contractor's name, and subcontractor's or supplier's name.</p> <p><b>Transmittal form must also be signed and dated by the contractor to certify that this submittal is accurate, complete and in compliance with the contract requirements (Far 52.236-21).</b></p> <p>For <i>disapproved</i> transmittal requiring corrections to be made by the contractor and resubmitted, use the same transmittal number with an added <i>alpha suffix (i.e., 12A)</i>.</p>	Contractor	Contract specifications (Section 01330) normally requires the contractor to provide transmittals a minimum of 30 calendar days before materials or equipment are ordered, delivered, or installed (check Section 01330 for actual time requirement).
<p>2. Review the transmittal for completeness. If in <b>error or incomplete</b>, return the entire transmittal for correction.</p> <p>If the transmittal package is complete, enter <b>Submittal Log Dates</b> (at the bottom of the CM-16 form) for the date the transmittal was received and the date the transmittal was forwarded to the designer. Also, record these dates on the submittal tracking form.</p> <p>Keep a copy of the transmittal form and the data, shop drawing, or sample for interim use until receipt of the review comments.</p> <p>Forward the original transmittal form; the original and three copies of manufacturer's data sheets and/or shop drawings; and two samples to the A/E designer for technical review and recommendation. Expedite the delivery of the transmittal so that it arrives timely and safely.</p> <p>Fax or email a scanned copy of the CM-16 to the COR so they know what is being processed. Provide follow up by tracking status on submittals and working with the project team to expedite processing. Submittals on the project schedules</p>	CMR	Maximum 3 days

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critical path may need to go through an accelerated review process to accommodate the project schedule.		
<p>3. The submittal is received and logged by the A/E's office, and routed to the appropriate designer or sub-consultant for technical review.</p> <p>A. Technical review and analysis will be accomplished in such a way to ensure the equipment and/or materials <i>satisfy</i> the contract and will <i>perform as intended</i>. The designer will make notes during the review process. The preferred method of providing review comments is for the designer to consolidate them onto 8½ by 11 sheets to be attached to the transmittal form. Each review comment should cross-reference the sequential item number listed on the transmittal form. In certain cases (and in general in the case of shop drawings), it may be more efficient to make notations directly onto the submitted data. In such cases, the notations should be made on each set of submittal data.</p> <p>B. In the <b>Review Comments</b> block of the transmittal form, cross-reference the attached review comments sheet or reference the notations that were made directly on the submittal data, as applicable. For each item submitted, mark the appropriate <b>NPS Action</b> block, sign in the <b>Recommended By</b> block and enter job title and date. The firm performing the review makes a copy of the transmittal form with any attached comment sheets and retains them along with one set of submittal data (and/or one submitted sample). If a sub-consultant has performed the review, proceed to step 6. Otherwise proceed to step 7.</p> <p>C. The sub-consultant returns the original transmittal form with any comment sheets and all remaining submittal data to the prime consultant. The prime consultant performs a quality control check of the sub-consultant's review. The prime consultant makes a copy of the transmittal form with any attached comment sheets and retains them along with one set of submittal data.</p> <p>D. The prime consultant sends the remaining two copies of the submittal data along with completed transmittal forms with any comment sheets to the Denver Service Center Submittal Management Specialist (SMS). The transmittal is logged out of the office. Expedite the delivery of the transmittal so that it arrives timely and safely.</p>	A/E	Maximum 12 days
<p>4. The submittal is received and logged in. After receipt, COR reviews the recommendations and if in concurrence, signs and dates in the block <b>Action by</b>. Keep one copy of the completed transmittal form along with any attached comment sheets and retain them along with one complete set of submittal data (and/or one sample) for the DSC file.</p> <p>If not in concurrence, contact the A/E designer and discuss resolution of differences. Once agreement is reached, edit review comments as appropriate, and sign and date the transmittal form. Coordinate with A/E to insure that any additional notations placed on the submittal data or shop drawings are also added to the A/E's record copy. The A/E will be responsible for coordinating with any sub-consultants. Return original completed transmittal form with attached comments and remaining submittal sets (or samples) to the CMR. The transmittal is logged out of the office. Expedite the delivery of the transmittal so that it arrives timely and safely.</p>	DSC	Maximum 12 days
<p>5. After receipt of submittal, enter <b>Submittal Log Date</b>, at the bottom of the CM-16 and on the submittal tracking form. Transfer any notations that have been made on the submittal data or shop drawings to the set of data that was retained at the beginning of the process or make one copy of the completed transmittal with comments.</p> <p>Distribute as follows:</p>	CMR	Maximum 3 days

Steps and Description of Tasks	Responsible Party	Time Schedule
<p>A. Send via fax to the design A/E the completed and signed transmittal form along with any attached comments sheets. This insures that the A/E has a record copy of the final completed transmittal form and has a copy of the final comments sheets that reflect any edits by the COR. The design A/E will be responsible for coordinating with any sub-consultants.</p> <p>B. Send (or hand carry) the original completed transmittal form with attached comment sheets and one set of submittal data (or one sample) to the contractor. Log the date the submittal was returned to the contractor.</p> <p>C. Utilize the copy of submittal data (or sample) retained by the CMR at the beginning of the process, along with a copy of the transmittal form with any comments sheets for use as a working set during the course of the construction.</p> <p>D. Upon completion of the project, this file set will be turned over to the park maintenance division.</p>		
<p>6. Make the appropriate number of copies of the submittal data and/or shop drawings and transmittal form with any comment sheets, as appropriate depending on the number of copies required by the contractor, subcontractors, and suppliers involved. Distribute accordingly. If the submittal is not approved, proceed again from Task 1 above.</p>	Contractor	

For selected designated submittals, the CMR shall perform the technical review. In such cases, the inspector skips steps 3 to 6. Under step 7, the inspector should forward a set of the reviewed submittal data and transmittal form to the A/E for their files.