Hard Copy Submittal Review Process Guideline with Flowchart

National Park Service (NPS) - Denver Service Center (DSC) | 8-18-17

Use this guideline to ensure a timely review of submittals. A flowchart followed with step-by-step details are provided.

*ACRONYMS used in this guideline:* ***A/E****: Architect/Engineer,* ***CMR****: Construction Management Representative,* ***CO****: Contracting Officer (DSC),* ***COR****: Contracting Officer Representative (DSC)*



| **Responsible****Party** | Hard Copy Submittal Review Process**Steps and Description of Tasks** | **Time Schedule** |
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| Contractor | 1. As specified in Specification Section 01 33 23, use CM-16 Transmittal Form. Keep an interim copy until comments are returned. Complete and submit each specification section. Do not combine different specification sections on same CM-16 Transmittal Form. Within a specification section, list each item requiring approval separately;specify action or informational submittal; assign sequential item number; and reference applicable paragraph in Part 2 of specifications. Use CM-16 Transmittal Form Continuation sheet as necessary. Number each CM-16 Transmittal Form in accordance with the pre-assigned submittal numbers separately furnished. The procedure below will return at least 1 set of shop drawings, manufacturer’s data, or sample, along with completed CM-16 Transmittal Form containing original signatures and any attached comments to the Contractor. In some cases, samples will be reviewed in field.

**Shop Drawings:** Submit 4 sets.**Manufacturers’ Catalog Cut Sheets, Data Sheets, and Similar:** Submit 4 copies.**Samples:** Submit 4.**Identification Information:** Submittals must have identification (examples in parenthesis) 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.**Certification:** Sign and date CM-16 Transmittal Form to certify submittal is accurate, complete, and in compliance with contract requirements (Far 52.236-21.)**Error or Incomplete/Disapproved Transmittal:** Correct and complete. Resubmit and use the same transmittal number with an added ***alpha suffix (e.g. 12A)***. | Contract Specification Section 01 33 23 states Contractor provides transmittals a specific number of calendar days before materials or equipment are ordered, delivered, or installed. |
| CO, COR,or CMR | 1. Review CM-16 Transmittal Form and data.

**Error or Incomplete/Disapproved Transmittal:** Return entire transmittal for correction.**Complete Transmittal:** Enter dates transmittal received and forwarded to A/E Designer. Record these dates on the CM-17 Submittal Tracking Form.Keep copy of CM-16 Transmittal Form and data, shop drawing, or sample for interim use until receipt of review comments.**To A/E Designer:** Forward original CM-16 Transmittal Form; 3 copies of manufacturer’s data sheets and/or shop drawings; and 2 samples for technical review and recommendation. Expedite CM-16 Transmittal Form to arrive timely and safely.**To COR:** Fax or email scanned copy of CM-16 Transmittal Form if necessary. Track status on submittals. Work with project team to expedite processing. Submittals on critical path go through accelerated review process to accommodate project schedule. | Maximum 3 days |
| A/E | 1. Receive submittal and log. Route to appropriate Designer or Subconsultant for technical review.
	1. **Technical Review and Analysis:** Ensures equipment and/or materials ***satisfy*** contract and ***perform as intended***. Designer makes notes during review process. Preferred method for review comments: Consolidate 8½ by 11 sheets and attach to CM-16 Transmittal Form and cross-reference review comments with sequential item number listed on CM-16 Transmittal Form. If more efficient, make notations directly on each set of submitted data. In **Review Comments**, cross-reference attached review comments sheet or reference notations made directly on the submittal data, as applicable. Select appropriate **NPS Submittal Action** for each item submitted. Sign **Recommended By** field and enter job title and date.
	2. If Subconsultant reviewing, proceed to C. Otherwise proceed to D.
	3. **Subconsultant:** Return original CM-16 Transmittal Form, comment sheets, and submittal data to Prime Consultant.
	4. **Prime Consultant:** Perform quality control check. Make copy of CM-16 Transmittal Form with attached review comment sheets and retain 1 set of submittal data. Send remaining 2 copies of submittal data and completed CM-16 Transmittal Forms with comment sheets to DSC. Expedite to arrive timely and safely.
 | Maximum 3 days |
| CO | 1. Receive submittal and log. CO and COR reviews concurs, signs, and dates in the **Action By** section. Keep completed CM-16 Transmittal Form, comment sheets, and complete set of submittal data/sample for DSC file.

If not in concurrence, contact A/E Designer and discuss resolution. If agreement is reached, edit review comments, sign, and date CM-16 Transmittal Form. Coordinate with A/E to add additional notations made on the submittal data or shop drawings to A/E’s record copy. A/E is responsible for coordinating with Subconsultants. Return original completed CM-16 Transmittal Form with attached comments and remaining submittal sets/samples to CMR. Transmittal logged out of office. Expedite Transmittal to arrive timely and safely. | Maximum 12 days |
| COR or CMR | 1. Enter submittal log dateat bottom of CM-16 Transmittal Form and on CM-17 Submittal Tracking Form. Transfer notations on submittal data/shop drawings to set of data retained at beginning of process or make 1 copy of completed CM-16 Transmittal Form with comments.

Distribute as follows:* 1. Fax A/E Designer final, with edits by COR, completed and signed CM-16 Transmittal Form and comments sheets. A/E Designer is responsible for coordinating with Subconsultants.
	2. Send (or hand carry) original final CM-16 Transmittal Form, comment sheets, and submittal data/sample to Contractor. Log date submittal returned to Contractor.
	3. Utilize copy of submittal data/sample retained by CMR at beginning of process and CM-16 Transmittal Form with comments sheets as a working set during construction.
	4. Provide file set to Park Maintenance Division at completion.
 | Maximum 3 days |
| Contractor | 1. Make appropriate number of copies of submittal data and/or shop drawings and CM-16 Transmittal Form with comment sheets and distribute to Contractor, Subcontractor, and Suppliers.

If the submittal is not approved, return to step 1 above. | Maximum 3 days |