DEPARTMENT OF THE ARMY
U.S. Army Corps of Engineers
Washington, DC 20314-1000

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ER 415-1-10

Regulation
No. 415-1-10

30 April 2012

Construction
CONTRACTOR SUBMITTAL PROCEDURES

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CONTRACTOR SUBMITTAL PROCEDURES

1. Purpose. The purpose of this regulation is to establish systematic procedures for managing contractor submittals so that contractors and the government may effectively schedule, control and process submittals required by the contract and regulate the timely flow of materials incorporated into the construction.

2. Applicability. This regulation applies to all U.S. Army Corps of Engineers (USACE) organizations that award or administer contracts requiring construction or design-build (D-B) construction activities. The procedures in this ER shall be used in coordination with the procedures in ER 1180-1-6 (Construction Quality Management).

3. Distribution. Approved for public release, distribution is unlimited.

4. References.

a. FAR 36-521, Specifications and Drawings for Construction.

b. ER 37-1-30, Financial Administration – Accounting and Reporting.

c. ER 1110-1-12, Engineering and Design - Quality Management.

d. ER 1180-1-6, Construction Quality Management.

e. Unified Facility Guide Specification (UFGS) - 01 33 00, Submittal Procedures.

f. Unified Facility Guide Specification (UFGS) - 01 32 01.00 10, Project Schedule

5. General.

a. Submittals include all preconstruction documentation, shop drawings, product data, samples, letters of certification, tests, plans, and other engineering information that may be required for quality control and quality assurance. A construction contract requires the contractor to furnish a specified quality of construction, including materials and equipment used in the work. Control of the quality of materials and equipment as well as compliance with the

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This regulation supersedes ER415-1-10, dated 15 April 1997.

overall contract requirements require timely review, testing, and other evaluations. An important objective is to balance the effort and costs for preparation and review of submittals with the risks avoided by performing effective and efficient reviews of contractor plans, products, and documents. Submittals must be limited to those necessary for adequate quality control. The contractor is responsible for ensuring all submittals comply with the contract, under all methods of delivery.

b. All required submittals must be prepared and processed in time to allow effective evaluation, approval, procurement, and delivery prior to the Preparatory Phase of the Three Phase Control Process for the work to be performed. This processing must be completed successfully before the item is needed in the construction process. The USACE standard automated information system for construction, the Resident Management System (RMS) and its sub-system for contractors, Quality Control System (QCS), shall be used to coordinate and document submittal plans, schedules, and review results. The DrChecks web-based design review tool will be used to review and track comments on design submittals for Design-Build contracts.

c. Construction contracts may be awarded using one of two overall types of contract delivery methods: Design-Bid-Build (D-B-B) or Design-Build (D-B). The review classification of submittals depends on the delivery method used.

6. Policy. This regulation establishes standard procedures that apply to all contracts for construction. ER 1180-1-6 directs that specific contract requirements shall make the prime contractor primarily responsible for the overall management and control of all contractor submittals. The government is responsible for monitoring the prime contractor's quality control system to assure that submittals are timely, appropriately reviewed, certified, and comply with the contract.

7. Submittal Classifications for Design-Bid-Build Method of Delivery. Construction contracts with a fully developed, government-furnished design use the D-B-B delivery method. These contracts usually include a designer-developed submittal register that lists a variety of submittals with predetermined review classifications. This submittal register is generally not all inclusive. The contractor is responsible for determining additional submittal items that must be added to the register (see paragraph 10. of this ER). For construction contracts using D-B-B delivery method, submittals are classified as "Government Approved" (GA) or "For Information Only" (FIO).

a. *Government Approved (GA) Submittals.* Government approval is required for submittals that are critical to ensure that the government receives the quality specified in the contract. On construction contracts using the D-B-B delivery method, submittals that always require government approval are those submittals that comprise core government requirements, alterations or variations to the stated contract requirements, and items or concepts where the contract places responsibility for detailed development on the contractor. It is appropriate to keep the number of submittals requiring government approval to the minimum that are critical to ensuring that the government is getting what it is paying for under the contract. Professional judgment should be applied to determine appropriate classifications for non-typical projects. Submittals that should always require government approval are:

(1) Critical Materials - Critical materials are materials that must meet specific quality or performance standards required by design parameters. The failure of critical materials would have a major impact on the completion, operation, maintenance, quality of life, or life-safety of the system or facility. Some examples of critical materials are coatings for cathodic protection of storage tanks, high pressure piping and controls, acid and hazardous waste systems, and architectural finishes for customer approval.

(2) Variations - A variation is any submittal by the contractor that deviates from the construction contract requirements (e.g., specifications, drawings or other contract documents). A variation typically represents a suggested change that differs from a contract requirement, but the variant remains within the overall normal limits of the contract. The contractor must clearly identify proposed variations from the contract and provide a detailed justification why the variation is desirable and beneficial to the government, along with documentation on the nature and features of the variation. The variation, its justification, and the submittal documentation require government review and approval. If approved, an appropriate contract modification will be executed unless the variation is minor or does not involve a change in contract price or time of performance. Government personnel must take time to understand proposed variations and their subsequent impacts. If the government rejects the variation, then the contractor must resubmit an item that conforms to the contract requirements.

(3) Extensions of Design. These are items in the contract that are required to be developed by the contractor. The parameters for designing these items are site specific variables that the contractor must investigate during the construction process. Examples of submittals that are extensions of design and that require government approval are: fire alarm and fire suppression systems, prefabricated buildings, structural steel drawings, standing seam metal roof drawings, HVAC commissioning, and coordination studies, such as short-circuit analysis of contractor-selected electrical equipment. All design documents provided by the contractor or designer of record will be signed and sealed or stamped in accord with the applicable state regulations and contract terms.

(4) Plans. Government-required plans, such as safety plans, environmental protection plan, or Quality Control plans.

(5) Schedules. Most contracts require a preliminary, initial (Baseline) Progress Schedule and monthly updates. Schedules are continuously updated each month to help control the flow of work and demonstrate the contractor's progress for payment purposes. The government will review and approve the preliminary, initial and each monthly update of the schedule.

(6) O&M Manuals. Contract requirements for O&M manuals are typically stated at the end of a specification section or in a separate O&M Manual section (e.g., Section 01 78 00).

(7) As-Built Drawings. As-built drawings include the "red line" drawings that are maintained during construction as well as Computer Aided Design (CAD) or Building Information Modeling (BIM) final drawings and files turned over at the end of each contract. As-built drawings should be maintained on a continuous basis and submitted at end of each logical feature of work or periodically such as monthly or quarterly in addition to the final

drawings and files. The government QA process will regularly verify the contractor's maintenance of accurate as-built drawings during the construction process.

(8) Compatibility Requirements of Equipment. Equipment that must be compatible with the overall installation of existing or new system components requires government approval. Examples of equipment that must be checked and approved for compatibility with existing or newly installed systems are equipment for sewage treatment and water purification plants, energy management control systems, intrusion detection systems, and power generation and distribution systems.

b. *For Information Only (FIO) Submittals*. All submittals that do not require government approval are classified as "For Information Only". Examples of FIO submittals include catalogue cuts, shop drawings that are not extension of designs, shop drawings that do not contain variations from the specified design, material samples for non-critical materials such as sheet metal accessories, or equipment such as small motors. The contractor is responsible to ensure that FIO and all other submittals comply with the contract. It is imperative that the contractor's Quality Control System manager reviews all FIO submittals for compliance with contract requirements. The government will only perform cursory checks on FIO submittals, and this will vary dependent upon the type and phase of the work. Government QA emphasis should focus on ensuring the contractor's QC process is effective for FIO submittals at the start of work on each major definable feature of the work. If a government review of an FIO submittal finds that the submittal does not meet the contract requirements, the government may disapprove or otherwise require re-submittal, as applicable. If systemic weaknesses are found in the contractor's QC process for FIO submittals, corrective action must be pursued promptly.

8. Submittal Classifications for Design-Build Method of Delivery. Contracts that require the contractor to furnish designs based on a set of performance specifications use the D-B delivery method. For Design-Build (D-B) construction contracts, the government PDT will prepare a preliminary list of submittals using ENG Form 4288-R (Appendix A) for each project, including all administrative submittals, design packages and plans required in Division 00 and Division 01 of the D-B contract specifications. This preliminary Submittal Register shall be included in the D-B Request for Proposal (RFP) and contract. Under the D-B delivery method, the contractor develops the lists of critical materials, plans, and products that fulfill the government's needs as expressed in the request for proposal and the accepted contractor proposal.

a. The RFP and contract should indicate when fast track package submittals are required for government review and acceptance before construction start to ensure that the design meets the contract requirements. The RFP and contract will establish minimum format and content requirements for fast track package submittals and define the PDT's design review role.

b. During the design and construction phases of the contract, the Designer(s) of Record (DOR) shall update and maintain the preliminary Submittal Register included in the contract. These DOR updates to the Submittal Register shall clearly identify the submittals that are critical to ensure that the government receives the quality specified in the contract. Submittal Register updates shall be reflected in the updated project schedule. These will include submittals that define critical materials; variations proposed between the contract and the accepted design;

variations proposed that involve a deviation from the accepted design, but not the contract; and submittals that are an extension of the DOR's approved design. For D-B contracts, submittals are classified as follows:

(1) *Designer of Record Approved (DA) Submittals*. In D-B contracts, the contractor is responsible for design integrity accomplished through the contractor's DOR. DOR approval is required for all extensions of design; critical materials; any deviations from the solicitation, the accepted proposal, or the completed design; equipment that must be checked for its required compatibility with the entire system; and other items designated by the Contracting Officer to require Designer of Record approval.

(a) The contractor shall provide the government copies of all DA submittals, after the Designer of Record and the Contractor Quality Control Manager (CQCM) have completed their review and approval. The contractor's Designer of Record shall ensure that submittals conform to the entire contract (to include the government solicitation and the contractor's accepted proposal) as well as the design completed under the D-B contract. The contract shall make the Designer of Record responsible to ensure that the submittals comply with all applicable Buy-American Act and Trade Agreement Act clauses in the contract. As necessary the DOR may request government advice and interpretation of those clauses.

(b) The government may, but is not required to review any DOR-approved submittals for conformance to the solicitation, accepted proposal, and the completed design. Except for submittals designated by the DOR as in-variance with the solicitation, the accepted proposal, or the completed design, the contractor may proceed with acquisition and installation of equipment and materials after DOR approval of the submittal in accordance with the Quality Control Plan. The DOR is not authorized to approve deviations or variations from the contract requirements. If the submittal is subsequently determined to not comply with the terms and conditions of the contract (i.e., the solicitation, accepted contractor proposal, and contractor's completed design), then the contractor is responsible to bring the work into compliance with the contract. Any DOR approval of a submittal item that does not conform to the contract requirements, including the accepted design, does not relieve the contractor from the obligation to implement measures at the contractor's expense to comply with the contract requirements.

(2) *Conformance Review (CR) Submittals*. The government will review DOR design submittals for conformance with the technical requirements of the solicitation and the accepted contractor proposal. The D-B contract section titled "DESIGN AFTER AWARD" will describe in detail the DOR design submittal and review process, including the requirement for use of DrChecks to track and manage design review comments.

(a) Government review will not duplicate the Designer of Record responsibilities, and accordingly will not include reviews such as checking all design calculations. Government reviews of CR submittals will focus on assuring that the quality of the contractor's design conforms to the awarded contract (i.e., government solicitation and accepted contractor proposal). Conformance reviews of DOR technical submittals will assure that the DOR's work and the contractor's quality control system ensures compliance with the applicable codes, standards, and contract requirements to include the government solicitation (including all

amendments) and the accepted contractor proposal. Conformance reviews of the contractor's DOR-produced design submittals may include mandatory reviews by Technical Centers of Expertise (CX) and Centers of Standardization (COS) when required by policy.

(b) Government design reviewers must be careful not to interject personal preferences into the review comments, if the design meets the contract requirements. However, the contractor may request government advice and guidance regarding CR submittals, as appropriate. It is important to note that the government has the right to reject any submittal that is not in compliance with the contract (i.e., government solicitation and accepted contractor proposal) and any submittal that would result in a constructive change to the contract.

(c) The government's review of interim design submittals will generate review comments that the designer must address and resolve with the government. Upon resolution of all comments on the final design submittal, the government will accept (not approve) the contractor's design. Government acceptance of the design does not relieve the contractor of the obligation to correct the design and any subsequent construction if the government later discovers errors or other failures of the accepted design to conform to contract requirements.

(3) *Government Approved (GA) Submittals*. The Government shall identify all GA designated submittals in the RFP. Government approved submittals should be limited to those items specifically identified as "GA" in the request for proposal (RFP).

(a) Examples of GA submittal items include contractor quality control plans, design quality control plans, accident prevention plans, environmental and storm water pollution prevention plans, preliminary and initial (baseline) project schedule, changes to approved schedules, schedule updates, structural interior designs and furnishings, color selections, as-builts, final building information models, warranty management plans, all variations from the contract (including deviations from the RFP and the contractor's accepted contract proposal), and the initial and updated submittal registers.

(b) Reviews of contractor's designs may include mandatory reviews by Technical Centers of Expertise (CX) and Centers of Standardization (COS) when required by policy. Note: all deviations from the contract are also classified as submittals that require Designer of Record (DA) approval. In select cases where the government should assume approval authority for a critical item or system (e.g., an intrusion detection system requiring government approval and/or test inspection), the government will designate these submittals as requiring government approval (GA). Otherwise, the contractor's Designer of Record (DOR) is responsible for assuring technical compliance with the contract requirements and complete conformance to the required building codes and standards of design.

(4) *Designer of Record Approval and Conformance Review (DA/CR) Submittals*. Submittals that propose a variation from the accepted design, but not to the contract, require both DOR approval (DA) and completion of a government conformance review (CR). The required review sequence is that the DOR approval of DA/CR submittals must be accomplished first, followed by completion of a government conformance review (CR). Both of these actions must be completed

successfully before the contractor is authorized to proceed with material or equipment acquisition or installation.

(a) If authorized in the contract, this same DA/CR process and sequence must be followed for submittals that propose a substitution of a material, system, or piece of equipment that was identified by manufacturer, brand name or model description in the accepted contractor proposal. This DA/CR review must be completed successfully before the contractor is authorized to proceed with material or equipment acquisition or installation for work covered in the submittal.

(b) The government may reject any design variation that may impact operations or is judged to not comply with the contract (i.e., solicitation and accepted contractor proposal), or negatively impacts actions taken to implement government decisions on items such as furniture, furnishings, and equipment selections, or other mission requirements. These government decisions would be based on the reviewed and concurred design from the contractor, and would be made prior to the contractor's submission of the proposed design variation.

(5) *Designer of Record and Government Approval (DA/GA) Submittals*. All submittals that propose a variation from the accepted design that also represents a deviation from the contract (RFP and accepted proposal) first require the DOR approval (DA) followed by government approval (GA). If approved, an appropriate contract modification will be executed unless the variation is minor or does not involve a change in contract price, quality, or time of performance.

(6) *For Information Only (FIO) Submittals*. All submittals not requiring Designer of Record approval (DA) or government approval (GA) will be classified as "For Information Only" (FIO). The contractor is responsible to ensure that FIO submittals and all other submittals comply with contract requirements. It is imperative that the contractor's Quality Control manager review all submittals for compliance because the government will perform only limited periodic QA checks on FIO submittals.

(a) The government's QA emphasis should focus on ensuring the contractor's QC process is effective at the start of work on each major definable feature of the work. If a government review of an FIO submittal finds that the submittal does not meet the contract requirements, the government may disapprove or otherwise require re-submittal, as applicable. If systemic weaknesses are found in the contractor's QC process for FIO submittals, corrective action must be pursued promptly.

(b) After the Designer of Record has taken the appropriate action, the contractor shall provide the government copies of all FIO submittals that do not require government approval (GA) or government conformance review (CR) concurrence.

9. Government Pre-Award Responsibilities. The government is responsible for developing the list of submittals required for each project to show bidders, proposers, and contractors the minimum information that must be submitted. The level of detail and comprehensiveness of this list will vary depending upon the method of delivery, the type of project, the complexity and criticality of design features, and other factors. Since government review of submittals must be resourced by the project manager (PM) from project funds, it is important that the PDT members

exercise sound technical judgment respecting the need for government review and approval of technical submittals. Submittal review and approval are important quality management functions requiring the judgment of technical engineering and construction staff. Any disagreements between the technical staff and the PM on the level of effort required to perform submittal reviews should be elevated to the appropriate technical functional chief for resolution.

a. *Developing Submittal Registers For D-B Delivery Methods.* For D-B construction contracts, the government PDT will prepare a preliminary list of submittals using ENG Form 4288-R for each project, including all administrative submittals, design packages, and plans required in Division 00 and Division 01 of the D-B contract specifications. This preliminary Submittal Register shall be included in the D-B RFP and contract.

b. *Government Designer Responsibilities for the D-B-B Delivery Method.* For construction contracts using the D-B-B delivery method, as part of the final design submission, the government's designer shall prepare a detailed list of specific submittals required for each project to show the bidders and contractors the minimum information that must be submitted. This detailed list of submittals must identify required critical material submittals, extension of design submittals, and compatibility requirements of equipment submittals (see paragraph 7a. of this ER) in the various contract specification sections. The designer shall also prepare a list electronically on an ENG Form 4288-R submittal register, typically generated by SpecsIntact.

(1) Prior to advertisement, the project delivery team (PDT) will determine the submittals that require Government Approval (GA) and the submittals that are classified as For Information Only (FIO). In order to be effective, this determination requires a close review and refinement of the draft submittal register generated out of SpecsIntact, and a full understanding of the impacts of the submittal classifications (see paragraph 7a. of this ER) on the contractor's and government's submittal review efforts after construction contract award. Submittal classification codes will be entered in columns "p" and "q" on ENG Form 4288-R.

(2) The number of GA submittals will be the minimum required to assure the required quality. Column "r" in the submittal register is used to identify the submittal reviewer in accordance with procedures established by the USACE organization administering the construction contract. The information on the designer-prepared ENG Form 4288-R (Submittal Register) will be included in the specifications prior to advertisement. This list of required submittals in the solicitation version of the submittal register is not all inclusive and will be updated as needed after contract award. After award of the construction contract, this SpecsIntact-generated submittal register will be imported into the Resident Management System (RMS) for construction-phase activities.

10. Contractor Post-Award Responsibilities. FAR clause 52.236-21 (Specifications and Drawings for Construction) makes the contractor primarily responsible to review and approve "shop drawings" prior to their submission to the government. "Shop drawings", as defined by the FAR, are drawings showing fabrication, assembly, or installation, as well as diagrams, layouts, schematics, descriptive literature, illustrations, schedules, performance and test data. Submittals are important to the government and the contractor for a variety of reasons, including scheduling of work after preparatory requirements are met, quality management during

construction, and turnover of accurate documentation to the facility user after completion. The contractor must assure that jobsite managers (and the Designer of Record for D-B contracts) effectively manage submittals throughout the contract duration. Submittal processes must be actively managed by the contractor as a key component of the contractor's Quality Control (QC) Plan.

a. *Establishing Contractor's Responsibilities*. The contractor is responsible for the processes, conduct, and completion of its own work. The submittal responsibility shall be covered in detail as a standard topic during pre-construction meetings. This contractor responsibility includes the timely and proper preparation, quality control, and processing of all submittals. The contractor's responsibilities for managing submittals will be established by including in the contract the most recent and properly edited version of technical provisions entitled "SUBMITTAL PROCEDURES" for contracts using the D-B-B method, and, for contracts using the D-B method, "DESIGN AFTER AWARD" technical provisions.

b. *Submittal Procedures*. The contractor will establish procedures for timely preparation, review, certification and transmission of contract submittals. The contractor's Quality Control (QC) Plan will include written procedures that describe guidelines for scheduling when submittals are needed, how the submittals will be reviewed within the contractor's organization, and how submittals will be transmitted to the government and tracked to ensure all necessary reviews and approvals are received prior to the start of work covered by the required submittals. The contractor's QC Plan will reflect the use of QCS/RMS to track and review submittals. The contractor's QC Plan for contracts using the D-B method of delivery will reflect use of DrChecks for review of design submittals.

(1) When transmitting a set of submittals to the DOR or the government, the contractor will use ENG Form 4025 (Transmittal of Shop Drawings) for the package cover sheet (see Appendix B). Do not consolidate submittal items from different specification sections into a single submittal. Only select items from the same specification section. ENG Form 4025 is used to list submittal items included in the package, provide the contractor's certification that the submitted items have been reviewed and comply with the contract, and to record the assigned Action Code and any comments made by each reviewer of the submittal.

(2) Electronic Submittals. If approved by the Contracting Officer as an option, electronic submittals may be used and referenced in the contract. Submittals transmitted in an electronic format shall meet all current Engineering Regulations, policies, and procedures concerning contractor submittals. The contractor shall provide a plan for effective use of electronic submittals, including ensuring a properly prepared single file structure for electronic submittals. The ProjNet^{SM} eSubmittal application (available through www.projnet.org) is USACE's secure, authorized application for electronic submittal transfers, reviews, and storage. The contractor's plan for use of electronic submittals must be reviewed and accepted by the government before start of work, and the plan shall ensure compatibility with the submittal register functionality in RMS. If approved by the Contracting Officer, the contractor may replace all paper submittals, with the exception of color selections, samples, and mock-ups, with electronic submittals. Revisions, updates or clarifications to the plan shall be made as requested by the government. RMS QA/QC functions are designed to work directly with ProjNet^{SM} eSubmittal to ensure

automated data synchronization. ProjNet[SM] eSubmittal reports may also be used to assist in the production of electronic O&M Manuals. Regularly scheduled demonstration of the ProjNet[SM] eSubmittal may be attended by contacting the ProjNet[SM] Call Center 800-428-HELP.

c. *Submittal Quality Control.* The contractor is responsible to ensure that all materials, documentation, and drawings intended for submission comply with the applicable contract specifications and drawings, including compliance with all applicable Buy-American Act and Trade Agreement Act clauses. Submittals will be prepared in time to allow the contractor's Quality Control organization to review and certify or, as required, order corrections of submittal materials prior to providing the submittal to the government.

(1) After the contractor's QC review and before providing the submittal to the government, the contractor will correct any errors or non-complying items and enter an action code in the appropriate column on ENG Form 4025.

(2) As a part of its Contractor Quality Control (CQC) Plan, the contractor will clearly delegate submittal responsibilities in writing to the CQCM and/or proper individual contractor staff members. The Contractor Quality Control Manager will be primarily responsible for submittal QC. The CQCM will ensure all submittals are reviewed for compliance prior to submission to the government and certify their compliance by signing the certification block on ENG Form 4025.

d. *Submittal Register Management.* The contractor shall review the contract submittal register for accuracy and duplication. Each item will be listed under the applicable specification section. The contractor will ensure that items listed on the submittal register are described in the contract documents or shown on the drawings. When necessary, the contractor shall also add items to the submittal register that have not been previously identified by the designers, but are data or information that could be used for facility operation and maintenance activities or QA/QC activities. Submittal register dates must be consistent with the project schedule.

(1) The contractor is responsible for maintaining and updating the submittal register during the contract duration. The contractor will track the status of the submittal process on the appropriate Submittal Register (ENG Form 4288-R or 4288-E from QCS; see Appendix A) and ensure coordination of procurement lead times with related construction activities in the Network Analysis Schedule (NAS).

(2) Requirements for managing the submittal register are:

(a) For contracts using the D-B-B method of delivery, the contractor must review the government-provided submittal register, and add any additional required or government-requested items. After award, the contractor may add items to the submittal register through QCS. Regular QCS exports by the contractor will keep the submittal register in RMS up-to-date.

(b) For D-B contracts, after award, the contractor's Designer of Record further develops the submittal register as a member of the contractor's organization. The contractor continues throughout the contract to be responsible for identifying submittal requirements and adding items

to the submittal register, as necessary. The government includes a list of required submittals in the RFP (see paragraph 8.) and the DOR will include these in the submittal register during the contractor's further development of the submittal register.

(c) During the design and construction phases of the D-B contract, the Designer(s) of Record (DOR) shall update and maintain the preliminary Submittal Register included in the contract. These DOR updates to the Submittal Register shall clearly identify the submittals that are critical to ensure that the government receives the quality specified in the contract. These will include submittals that define critical materials; variations proposed between the contract and the accepted design; variations proposed that involve a deviation from the accepted design, but not the contract; and submittals that are an extension of the DOR's approved design.

(d) The D-B contractor's DOR will provide (as part of the construction document package) an electronic version of the submittal register that is compatible for uploading to RMS. Editing of this submittal register during construction will be done through the RMS/QCS link. DrChecks will be used for tracking design review comments.

e. *Tracking*. The contractor shall track all required action dates on the submittal register form. The contractor must regularly check the submittal schedule requirements and revise dates on the register as required by the project schedule activities to ensure the submittal register reflects current schedule dates. The requirement for timely submittal transmission is to allow the government 30 calendar days or other project-appropriate time period for review of the submittal package prior to the "Approval Needed By" date.

f. *Documenting Actions*. The contractor must be vigilant in recording review action codes on the submittal register. Most documentation of action codes and comments will occur automatically when exporting and importing submittal register updates between RMS and QCS. The action codes will show the contractor submittal items that require follow-up actions or when items have been found acceptable, to allow work to begin on the respective activities.

g. *Control of Work*. The contractor is responsible to make certain that construction work covered by the submittal is not permitted to begin prior to receipt of properly approved submittals.

11. Government Post-Award Responsibilities. The government is responsible for performing quality assurance (QA) reviews of submittals, as is necessary to ensure that the contractor's Quality Control system provides the specified quality required by the contract.

a. *Submittal Register Updates for D-B-B Delivery Method*. The list of submittals included in the solicitation version of the Submittal Register will be updated as needed after award.

b. *Submittal Registers For D-B Delivery Methods*. Post-award, the contractor's Designer of Record (DOR) shall prepare a complete list of submittals using ENG Form 4288-R. The D-B contractor's DOR must identify required submittals for each of the various contract specification sections. The DOR shall prepare the Submittal Register in a similar manner as described in paragraph 7 for D-B-B contracts. The contractor shall use the government-provided RMS

software "Quality Control System" (QCS) to create the Submittal Register and then export that Submittal Register to RMS. Additional submittal classification codes are used in D-B contracts (see paragraph 8. D-B Contract Submittal Classifications). The list of submittals included in the solicitation version of the Submittal Register will be updated as needed after award.

c. *Review of Submittal Control Documents*. The USACE organization(s) managing the construction contract will periodically review the contractor's submittal control document (ENG Form 4288-E in RMS) in accord with the organization's established procedures. After contract award, the government is responsible for reviewing the contractor's submittal control documents to verify that the contractor's QC process ensures submittals are timely, appropriately certified, and comply with the contract. It is essential that the government verifies that the contractor maintains a complete and current record of all submittal action dates and verifies that the information in the submittal register reflects current information for the contract. An effective government review of the contractor's submittal control documents and procedures will help assure that all required submittal schedules, review times, and procurement lead times are reasonable.

(1) In addition, government reviewers will check the information in the current submittal register against the contractor's work activities in the current Network Analysis System (NAS) or other approved constructions progress schedule. The contractor is responsible to tie the submittal register data to the associated work activities in the current construction progress schedule within RMS for effective tracking of the submittal need dates in relation to the actual work progress. Review and evaluation at this level of detail are necessary to assure that the contractor is effectively planning and managing the submittal process to ensure adequate lead times and valid schedules; that the government has sufficient review time for submittals; and that the government is responding in a timely manner to contractor submittals.

(2) The government will require submittal of copies of all required warranties and certifications soon after construction completion of each of the various features such as roofing systems, mechanical systems, window systems, etc. rather than waiting until after completion of the entire work under the contract. A contract is normally not substantially complete and should not be accepted until the contractor has provided all warranties, all required training, useable O&M documentation for the owner's O&M staff, and similar contract deliverables.

(3) Enforcing submittal requirements is an important part of the government's Quality Assurance role. If it is determined that the contractor's Quality Control system staff are not properly complying with submittal requirements of the contract, then it is vital that corrective actions be taken promptly by the government and the contractor.

(4) Examples of appropriate actions for contractor caused delays or deficiencies in Quality Control include but are not limited to letters advising of delinquency, retainage for unsatisfactory progress, nonpayment for unapproved materials, removal/replacement of CQC personnel, and use of interim contractor performance ratings. The RMS and QCS software provide a variety of tools and capabilities for the government and the contractor to effectively document, track, and manage the submittal review processes and documents.

d. *Receiving, Reviewing, Approving and Accepting Submittals*. The government will receive submittals from the contractor as directed by contract specifications. The contractor will use ENG Form 4025 "Transmittal of Shop Drawings, Equipment Data, Material Samples, or Manufacturer's Certificates of Compliance" for transmitting submittals. A copy of ENG Form 4025 is provided at Appendix B. The government will receive the transmittal and forward it to the reviewing official as identified in the submittal register.

(1) The ENG Form 4026 "Routing of Shop Drawings, Equipment Data, Material Samples, or Manufacturer's Certificates of Compliance for Approval" may be used to transmit the submittal to and from the reviewing official. A copy of ENG Form 4026 is included as Appendix D.

(2) The reviewing official shall ensure compliance of the submittal with the contract requirements and that the submittal matches other features of the contract work. The government QA review should not act as a substitute for the contractor's QC process. Avoid tendencies to include government reviews of grammar, spelling, extraneous technical comments on alternative methods, and similar government review comments. The government QA review must focus on ensuring compliance with the contract requirements.

(3) The internal government financial charging and accounting for the cost for reviewing shop drawings shall comply with ER 37-1-30 (Financial Administration – Accounting and Reporting), and with the most current supplemental policy guidance on this aspect of fiscal accounting.

(4) The formally appointed Administrative Contracting Officer (ACO) and Contracting Officer's Representative (COR) have specific approval authorities for the contract and are the primary points of contact with the contractor for receipt or approval of submittals. Assignments for reviews of submittals will be made to Field Office and District engineering staffs, as appropriate, and upon conclusion of their technical reviews, the COR will be notified to appropriately process the submittal. CORs may approve submittals deemed to comply with the contract requirements, and ACOs should approve all submittals classified as a proposed variance. The ACO should evaluate each proposed variation to determine if a technical or cost change to the contract is required.

(5) Government personnel shall perform appropriate quality assurance reviews of FIO or DA submittals to assure that the contractor's quality control personnel (and for D-B contracts, the DOR) are properly preparing, reviewing and processing submittals and associated documents. The number of submittal QA reviews by the government will be at the discretion of the government organization(s) managing the construction contract. As a minimum, it is recommended that the government perform QA reviews of each of the first dozen or so submittals in order to assure the contractor is achieving a successful start to the work and then review an appropriate number of the remaining FIO and DA submittals throughout the contract duration to assure that the contractors QC processes remain effective in complying with the contract terms. It is imperative that the contractor's Quality Control managers review and document all submittals. All processing of submittals will be entered, tracked and documented in RMS and QCS.

12. Implementation of Submittal Management Procedures. The responsible USACE organizations executing the work shall establish necessary internal procedures to implement effectively and efficiently the requirements of this regulation. Contracts will include a technical provisions section titled "SUBMITTAL PROCEDURES" and these provisions will establish responsibilities and procedures for managing contractor submittals. Designers/specification writers must tailor the guide specification to be consistent with the detailed aspects of the specific delivery method and specific project requirements, as established in this regulation and other policies. They must distinguish the differing roles and responsibilities for D-B-B contracts, where the government is responsible for design integrity, and for D-B contracts, where the design-build contractor is responsible for design integrity, as specified in their contract.

13. Disposition of Government Submittal Files After Contract Completion. Upon completion and transfer of the construction work, an electronic copy of the appropriate files of the government's submittal records should be provided to the owner/operator/maintainer of the facility for their use during the O&M phase of the facility. The typical sections of the government's submittal files to be provided via an electronic copy (e.g., DVD) should be outlined in a standing or project-specific Memorandum of Understanding between the USACE field office and the supported customer/owner. The government will archive its submittal files as part of the overall contract files record keeping process.

FOR THE COMMANDER:

4 Appendixes
(See Table of Contents)

DIONYSIOS ANNINOS
Colonel, Corps of Engineers
Chief of Staff

APPENDIX A

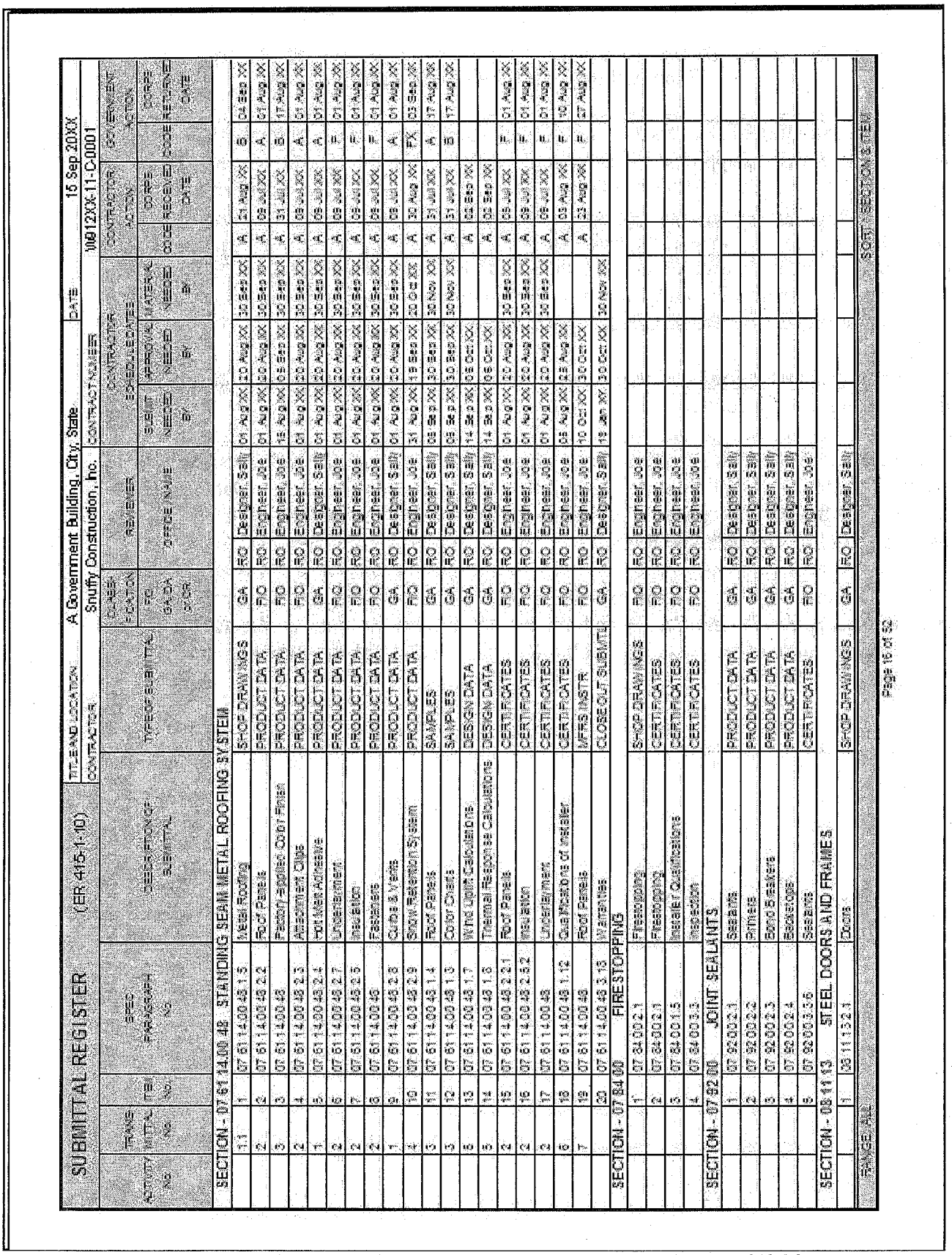
Submittal Register (ENG Form 4288)

A-1. General. Submittal Registers are used to track the submission of contract data sent for review and acceptance or approval by the government. Submittal Register templates are typically included in Section 01 33 00 of the contract specifications. The designer will designate in the specification the information required to be included and reviewed on a Submittal Register. The template forms will indicate many of the items (e.g., data, drawings, reports, etc.) that will require review; however, the templates will likely not include all data needing review. The contractor is responsible to review, revise and continuously add all items to the Submittal Register that are required but not included in the original template form.

A-2. Submittal Register Forms. There are 2 versions of the Submittal Register form that may be used with a construction contract.

a. RMS Generated: When QCS/RMS is required by contract, the RMS version of the Submittal Register form shall be used. Figure A-1 is an example of the form. Data shall be entered into the Submittal Register via either direct entry into the Submittal Register or via the Transmittal Log links in QCS and RMS.

b. ENG Form 4288-R: If as an exception, QCS is not specified in the contract, ENG Form 4288-R is an acceptable alternative. This form should be provided to the contractor during the Preconstruction Conference. ENG Form 4288-R is printed on legal size paper. Figure A-2 shows a sample of this form.



SUBMITTAL REGISTER (ER 415-1-10) | TITLE AND LOCATION: A Government Building, City, State | DATE: 15 Sep 20XX
CONTRACTOR: Snuffy Construction, Inc. | CONTRACT NUMBER: W912XX-11-C0001

ACTIVITY NO	SUBMITTAL NO	SPEC PARAGRAPH NO	DESCRIPTION OF SUBMITTAL	TYPE OF SUBMITTAL	CLASS CATEGORY (GA, FIO, SAM)	REVIEWER OFFICE NAME	CONTRACTOR SCHEDULED DATES: SENT TO REVIEWER BY	CONTRACTOR SCHEDULED DATES: REQUIRED APPROVAL NEEDED BY	CONTRACTOR SCHEDULED DATES: MATERIAL NEEDED BY	CONTRACTOR ACTION	GOVERNMENT ACTION: DATE RECEIVED	GOVERNMENT ACTION: CODE	GOVERNMENT ACTION: DATE RETURNED
SECTION - 07 61 14.00 48 STANDING SEAM METAL ROOFING SYSTEM													
11	1	07 61 14.00 48 1.5	Metal Roofing	SHOP DRAWINGS	GA	R/O Designer, Sally	01 Aug XX	10 Aug XX	30 Sep XX	A	21 Aug XX	B	04 Sep XX
2	2	07 61 14.00 48 2.2	Roof Panels	PRODUCT DATA	FIO	R/O Engineer, Joe	01 Aug XX	10 Aug XX	30 Sep XX	A	05 Jul XX	A	01 Aug XX
3	3	07 61 14.00 48	Factory Applied Color Finish	PRODUCT DATA	FIO	R/O Engineer, Joe	15 Aug XX	05 Sep XX	30 Sep XX	A	31 Jul XX	B	17 Aug XX
2	4	07 61 14.00 48 2.3	Attachment Clips	PRODUCT DATA	FIO	R/O Engineer, Joe	01 Aug XX	10 Aug XX	30 Sep XX	A	05 Jul XX	A	01 Aug XX
1	5	07 61 14.00 48 2.4	Hot Melt Adhesive	PRODUCT DATA	GA	R/O Designer, Sally	01 Aug XX	10 Aug XX	30 Sep XX	A	05 Jul XX	A	01 Aug XX
2	6	07 61 14.00 48 2.7	Underlayment	PRODUCT DATA	FIO	R/O Engineer, Joe	01 Aug XX	10 Aug XX	30 Sep XX	A	05 Jul XX	E	01 Aug XX
2	7	07 61 14.00 48 2.5	Insulation	PRODUCT DATA	FIO	R/O Engineer, Joe	01 Aug XX	10 Aug XX	30 Sep XX	A	05 Jul XX	E	01 Aug XX
2	8	07 61 14.00 48	Fasteners	PRODUCT DATA	FIO	R/O Engineer, Joe	01 Aug XX	10 Aug XX	30 Sep XX	A	05 Jul XX	E	01 Aug XX
1	9	07 61 14.00 48 2.8	Gutter & Vents	PRODUCT DATA	GA	R/O Designer, Sally	01 Aug XX	10 Aug XX	30 Sep XX	A	05 Jul XX	A	01 Aug XX
4	10	07 61 14.00 48 2.9	Snow Retention System	PRODUCT DATA	FIO	R/O Engineer, Joe	31 Aug XX	15 Sep XX	20 Oct XX	A	30 Aug XX	FX	03 Sep XX
3	11	07 61 14.00 48 1.4	Roof Panels	SAMPLES	GA	R/O Designer, Sally	08 Sep XX	20 Sep XX	30 Nov XX	A	31 Jul XX	A	17 Aug XX
3	12	07 61 14.00 48 1.3	Color Charts	SAMPLES	GA	R/O Designer, Sally	08 Sep XX	20 Sep XX	30 Nov XX	A	31 Jul XX	B	17 Aug XX
8	13	07 61 14.00 48 1.7	Wind Uplift Calculations	DESIGN DATA	GA	R/O Designer, Sally	14 Sep XX	05 Oct XX		A	03 Sep XX		
5	14	07 61 14.00 48 1.6	Thermal Response Calculations	DESIGN DATA	GA	R/O Designer, Sally	14 Sep XX	05 Oct XX		A	03 Sep XX		
2	15	07 61 14.00 48 2.2.1	Roof Panels	CERTIFICATES	FIO	R/O Engineer, Joe	01 Aug XX	10 Aug XX	30 Sep XX	A	05 Jul XX	E	01 Aug XX
2	16	07 61 14.00 48 2.5.2	Insulation	CERTIFICATES	FIO	R/O Engineer, Joe	01 Aug XX	10 Aug XX	30 Sep XX	A	05 Jul XX	E	01 Aug XX
2	17	07 61 14.00 48	Underlayment	CERTIFICATES	FIO	R/O Engineer, Joe	01 Aug XX	10 Aug XX	30 Sep XX	A	05 Jul XX	E	01 Aug XX
6	18	07 61 14.00 48 1.12	Qualifications of Installer	CERTIFICATES	FIO	R/O Engineer, Joe	08 Aug XX	25 Aug XX		A	03 Aug XX	E	10 Aug XX
7	19	07 61 14.00 48	Roof Panels	MFRS INSTR	FIO	R/O Engineer, Joe	10 Oct XX	30 Oct XX		A	23 Aug XX	E	27 Aug XX
	20	07 61 14.00 48 3.16	Warranties	CLOSE OUT SUBMITL	GA	R/O Designer, Sally	15 Jan XY	30 Oct XX	30 Nov XX				
SECTION - 07 84 00 FIRESTOPPING													
	1	07 84 00 2.1	Firestopping	SHOP DRAWINGS	FIO	R/O Engineer, Joe							
	2	07 84 00 2.1	Firestopping	CERTIFICATES	FIO	R/O Engineer, Joe							
	3	07 84 00 1.5	Installer Qualifications	CERTIFICATES	FIO	R/O Engineer, Joe							
	4	07 84 00 3.3	Inspection	CERTIFICATES	FIO	R/O Engineer, Joe							
SECTION - 07 92 00 JOINT SEALANTS													
	1	07 92 00 2.1	Sealants	PRODUCT DATA	GA	R/O Designer, Sally							
	2	07 92 00 2.2	Primers	PRODUCT DATA	GA	R/O Designer, Sally							
	3	07 92 00 2.3	Bond Breakers	PRODUCT DATA	GA	R/O Designer, Sally							
	4	07 92 00 2.4	Backstops	PRODUCT DATA	GA	R/O Designer, Sally							
	5	07 92 00 3.6	Sealants	CERTIFICATES	FIO	R/O Engineer, Joe							
SECTION - 08 11 13 STEEL DOORS AND FRAMES													
	1	08 11 13 2.1	Doors	SHOP DRAWINGS	GA	R/O Designer, Sally							
RANGE: ALL												SORT: SECTION & ITEM	

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Figure A-1. Sample ENG FORM 4288, Submittal Register from RMS/QCS.

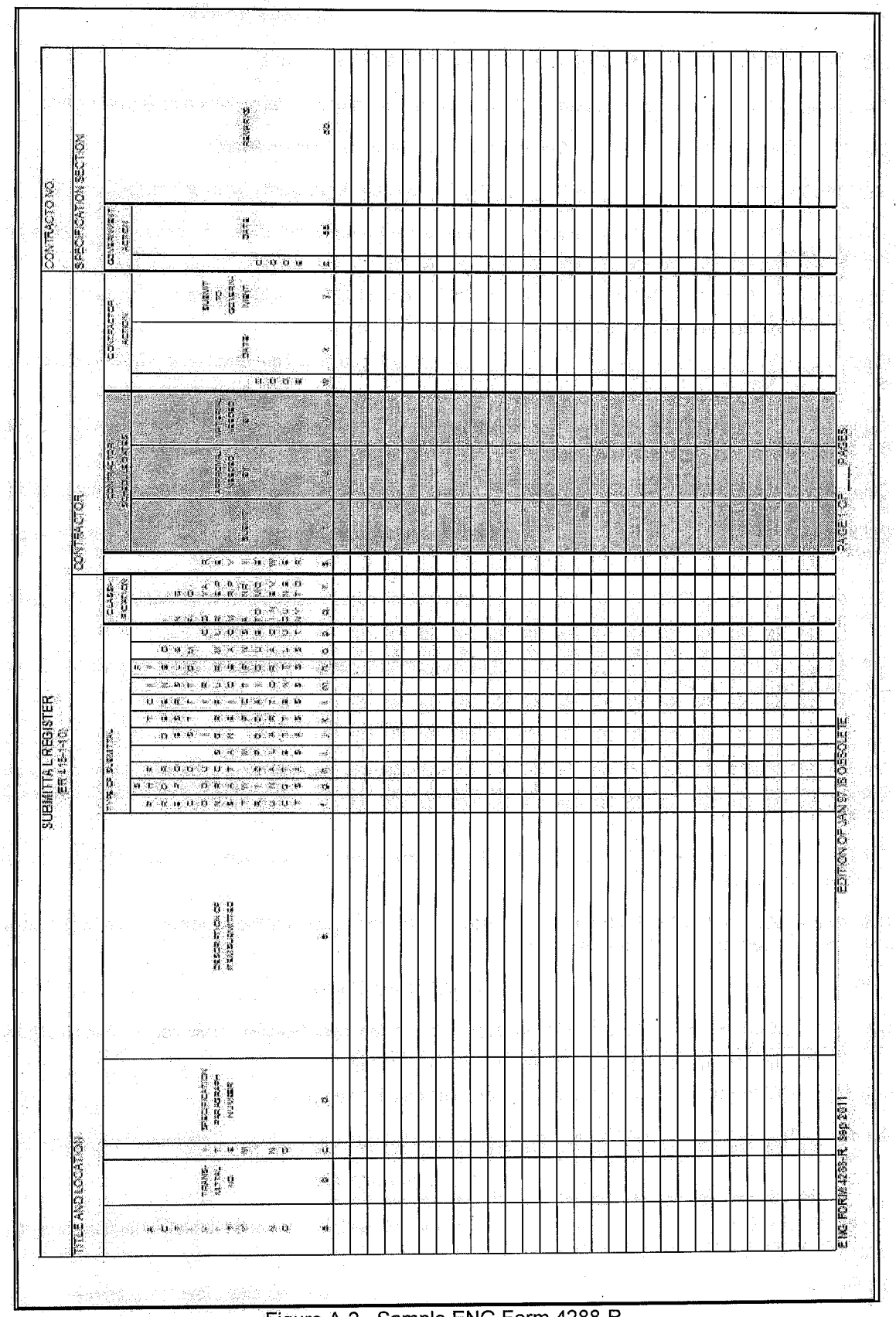

Figure A-2. Sample ENG Form 4288-R.

Block Descriptions for Figure A-2 (Sample ENG Form 4288).

CONTRACT NO. Enter the contract number assigned to the project at award.

TITLE AND LOCATION. Enter the awarded Project Title and town or installation where project is located.

CONTRACTOR. Enter the name of the Contractor who received the contract award.

SPECIFICATION SECTION. Enter the Specification Section number for items listed on this page.

Column a – ACTIVITY NO. Enter the assigned number of the Progress Schedule Activity to which each submittal item is related.

Column b – TRANSMITTAL NO. Enter the Transmittal No from ENG Form 4025 on which each item is listed for submission to the Government.

Column c – ITEM NO. The sequential number assigned to each submittal item listed on the Submittal Register. The sequence will start at "1" for each Specification Section.

Column d – SPECIFICATION PARAGRAPH NUMBER. Enter the paragraph number from the specification section that contains the contracted description of the submittal item.

Column e – DESCRIPTION OF ITEM SUBMITTED. Enter brief description of each item requiring submission.

Columns f – p -- TYPE OF SUBMITTAL. Check the column for each submittal item that indicates the type of information to be provided in each specific item.

Columns q – r -- CLASSIFICATION: Check the column that indicates the type of review required (FIO or GA) for each submittal item.

Column s – REVIEWER. Enter the letter code for the required Reviewer for each submittal item. (G for Government, E for Engineering, A for Architect/Engineer, etc)

CONTRACT SCHEDULE DATES

Column t – SUBMIT. Enter the date by which each submittal item is required to be submitted. The date should allow enough time prior to the scheduled Activity for installation to allow for full Government review and, if necessary, resubmission and review.

Column u – APPROVAL NEEDED BY. Enter the date by which time the item must be approved in order to keep to the scheduled installation.

Column v – MATERIAL NEEDED BY. Enter the date by which the material of the submittal item must be onsite for installation to proceed without causing schedule delays.

CONTRACTOR ACTION

Column w – CODE. Enter the Action Code the Quality Control Manager/Specialist assigned the submittal information as a result of his/her QC review.

Column x – DATE. Enter the date the QC Manager completed his/her review.

Column y – SUBMIT TO GOVERNMENT. Enter date submittal was transmitted to Government for review.

GOVERNMENT ACTION

Column z - CODE Enter the Action Code that the Government Reviewer assigned to each submittal item up return of the reviewed submittal.

Column aa – DATE. Enter the date of when each submittal item was returned after Government review.

Column ab – REMARKS. Enter any remarks in regard to each submittal item, as needed.

APPENDIX B

Transmittal of Shop Drawings, Equipment Data, Material Samples or Manufacturer's Certificates of Compliance Cover Sheet (ENG Form 4025)

B-1. General. The standard cover sheet for transmitting submittal information is ENG Form 4025. This form is used both with QCS/RMS and non-electronic submittal QC management.

Items transmitted on each ENG Form 4025 will be from the same specification section. Do not combine submittal information from different spec sections in a single transmittal.

B-2. Contractor Use of ENG Form 4025 Cover Sheet.

a. Select the submittal item(s) data description from the Submittal Register.

Do not consolidate submittal items from different specification sections into a single submittal. Only select items from the same specification section. If you are using QCS to create an ENG Form 4025, the system will automatically create separate ENG Form 4025s for different specification sections.

b. Enter all administrative data at the top of ENG Form 4025.

c. Use the unique Transmittal Number created by the RMS in the appropriate box at the top of the ENG Form 4025. A Transmittal Number typically includes the specification section number and a sequential number separated by a dash, "-".

For re-submittals, the Transmittal Number sequence can be extended with a decimal to allow tracking of resubmitted data and the original data while keeping the unique re-submittal numbering system.

d. For the specific items included in the submittal, list all data from the Submittal Register that match corresponding data blocks on ENG Form 4025, including:

(1) Item No. (column a.)

(2) Description of Item (column b.)

(3) Submittal Type

(4) Specification Paragraph No. (column e.)

e. Enter in column d. the number of required copies of each submittal item. The required number of submittals will be dictated by contract or by agreement made during the Preconstruction Conference. Typically, two copies are submitted for "FIO" items and five-to-seven copies are submitted for "GA" items when non-electronic submittals are used. Multiple copies of submittals are minimized or eliminated by use of electronic submittals.

f. The contractor's Quality Control Manager, after reviewing the submittal data for conformance to the contract requirements, will indicate an Action Code in column g. for each item included in the submittal.

g. If the data submitted are intentionally in variance with the contract requirements, indicate a variation in column 'h' with a "Y" for yes.

If submitting a variation item, the contractor's QC Manager will indicate in the REMARKS block the reason for the variation - see paragraph 7(1)(b).

h. After all items are reviewed and entered on ENG Form 4025, the contractor's QC Manager will sign the ENG Form 4025 to certify that items included in the submittal conform with the contract requirements, or that appropriate steps for a variation have been taken.

B-3. Government Use of ENG Form 4025 Cover Sheet.

a. The appointed government reviewer will review the submitted data against contract requirements and assign an Action Code to each item listed on the ENG Form 4025 (see Appendix C for Action Code definitions). The government's Action Code is listed in column i of ENG Form 4025.

For Action Codes other than "A", the government will provide comments describing the corrective actions required to make the submittal data conform to the contract. Government comments may be transcribed in two ways:

(1) Annotated directly within or on the submittal data.

(2) Listed on a comment form. The RMS software will create a comment form when government remarks are entered into the appropriate box of ENG Form 4025.

(3) The government should avoid placing its comments in the REMARKS block of Section I on the ENG Form 4025 because the source of the remarks may become confusing later if both contractor and government remarks appear in this single block.

b. Before returning the submittal package to the contractor, the government Approving Authority (e.g., ACO/COR) for the contract will sign and date the ENG Form 4025 after all Action Codes and comments have been transcribed.

c. The reverse side of ENG Form 4025 and ER 415-1-10 Appendix C contain instructions for filling out the form, submittal type descriptions, and descriptions of each possible Action Code (see Figure B-2 for reverse view of ENG Form 4025).

TRANSMITTAL OF SHOP DRAWINGS, EQUIPMENT DATA, MATERIAL SAMPLES, OR MANUFACTURER'S CERTIFICATE OF COMPLIANCE (See instructions on reverse side of this form)				DATE:		TRANSMITTAL NUMBER:	
SECTION I – REQUEST FOR APPROVAL OF THE FOLLOWING ITEMS (Initiated by the Contractor)							
TO:	FROM:			CONTRACT NUMBER:		CHECK ONE: ___ NEW SUBMITTAL ___ RESUBMITTAL	
SPECIFICATION SECTION NUMBER (Only one Section per transmittal):	PROJECT TITLE:			TRANSMITTAL FOR: ___PIO ___GA ___DA ___CR ___DA/CR ___DA/GA (Check One)			
ITEM NUMBER (NOTE 3.) a.	ITEM DESCRIPTION b.	SUBMITTAL TYPE CODE (SEE NOTE 8.) c.	NUMBER OF COPIES d.	CONTRACT SPECIFICATION PARAGRAPH NUMBER FOR SUBMITTAL ITEM e.	CONTRACT DRAWING SHEET NUMBER f.	CONTRACTOR REVIEW CODE g.	VARIATION? Enter "Y" if item is in variation h.	USACE ACTION CODE (NOTE 9.) i.
REMARKS:						I certify that the above submitted items have been reviewed in detail, are correct, and strictly conform with the contract requirements, except as otherwise stated. NAME & SIGNATURE OF CONTRACTOR			
SECTION II – APPROVAL ACTION								
ENCLOSURES RETURNED (List by item number)				NAME, TITLE & SIGNATURE OF APPROVING AUTHORITY		DATE:		
ENG FORM 4025-R FEB 12			(ER 415-1-10)	EDITION OF MAR 95 IS OBSOLETE			SHEET 1 OF 1	

Figure B-1. Blank copy of ENG Form 4025.

Block Descriptions for Figure B-1.

DATE: Date the transmittal is submitted to the Government.

TRANSMITTAL NUMBER: Transmittal number for the submittal package. The transmittal number consists of two parts: the spec section number for the items submitted and a sequential number for submittals in that spec section. The two parts are separated by a dash (-). Re-submittals will use a decimal number in the sequential part of the transmittal number

SECTION I – REQUEST FOR APPROVAL OF THE FOLLOWING ITEMS

TO: Name and address of the organization that will receive the transmittal for review. This will typically be the Government project office or Designer's office.

FROM: Contractor's office address where the transmittal originated or where comments will be returned.

CONTRACT NUMBER: Government contract number assigned to the contract.

CHECK ONE: (NEW / RESUBMITTAL): Check appropriate box to indicate if the transmittal is new or a resubmittal of a prior transmittal based on comments received, re-evaluation, or a change in proposed materials.

SPECIFICATION SECTION NUMBER: Specification Section number for the submittal information.

PROJECT TITLE: Project name/location.

TRANSMITTAL FOR: (Check One) **(FIO, GA, DA, CR, DA/CR or DA/GA)**. Check appropriate box for the type of review requested for the information in the transmittal. "FIO" is for For Information Only; "GA" is for Government Approval; "DA" is for Designer Approval, and "CR" is for Government review of design deliverables for conformance with the contract (Solicitation and Contractor's accepted proposal). "DA/CR" is for DOR approval and Government acceptance of proposed revisions to the accepted design that don't deviate from the Contractor's accepted proposal or from the Government's solicitation package (no contract change). "DA/GA" is for technical only approval of proposed changes to the accepted design that would deviate from the accepted proposal or solicitation – and which also may require a formal contract modification prior to proceeding with the proposed change(s).

Column a - **ITEM NUMBER:** Item number from the Submittal Register for each described attachment. If the Submittal Register item description is generic, the contractor may make the item description more specific for better clarity.

Column b - **ITEM DESCRIPTION:** The description of the item from the Submittal Register. If the item description is generic, the Contractor may revise the item description to be more specific for better clarity.

Column c - **SUBMITTAL TYPE:** Enter the Submittal Type Code for each item as described in Instruction No. 8 on reverse of ENG Form 4025. Submittal Type descriptions are also contained in Appendix C of ER 415-1-10.

Column d - **NUMBER OF COPIES:** Number of copies included in the transmittal package for each listed item. The number of copies is typically verified during the Preconstruction Conference.

Column e - **CONTRACT SPECIFICATION PARAGRAPH NUMBER FOR SUBMITTAL ITEM:** Paragraph number of the Specification Section that describes the item criteria that the submittal data are to meet or exceed.

Column f - **CONTRACT DRAWING SHEET NUMBER:** Enter the sheet number of the contract drawing(s) that shows the item criteria that the submittal data are to meet or exceed.

Column g - **CONTRACTOR REVIEW CODE:** Review code that the Contractor's Quality Control Manager has assigned to the submittal data after performing the necessary quality control review(s) for each item.

Column h - **VARIATION?** Indicate for each submittal item the contractor's QC determination if the data submitted intentionally varies from the contract requirements or if the data fully comply with the contract requirements. Enter "Y" for yes. If item is not a variation, leave blank or enter "N" for no. See Instruction No. 6 on ENG Form 4025 and ER 415-1-10.

Column i – **USACE ACTION CODE:** The Government contract administration authority will enter one of the action codes in this column for each transmitted item. The submittal action codes are described in Appendix C of ER 415-1-10 and in Instruction No. 9 on ENG Form 4025.

REMARKS: The Contractor shall enter remarks that clarify the submittal data for the Government reviewer. If the submittal data are marked as a Variation in Column h, the Contractor will enter in this block or on an attachment the reason(s) for proposing material or information that is different from the contract requirements.

NAME & SIGNATURE OF CONTRACTOR: The Contractor's Quality Control Manager will certify by signature that all information in the submittal package conforms to the contract directly or as described in the submitted variation proposal.

SECTION II – APPROVAL ACTION

ENCLOSURES RETURNED: For Government Use. The Government reviewer may list the item numbers of the submittal data returned with or without comments. Used only when there are one or more submittal items that will not be returned based on the nature of the submittal.

NAME, TITLE & SIGNATURE OF APPROVING AUTHORITY: The Government contract administrator assigned the authority to approve technical contract decisions -- typically the assigned Contracting Officer's Representative (COR) -- will sign to indicate the transmittal has been reviewed and coded in accord with contract requirements.

DATE: Date the Approving Authority signed the ENG Form 4025.

End of block descriptions for Figure B-1 (ENG Form 4025).

INSTRUCTIONS

1. Section I will be initiated by the Contractor and provided in the required number of copies.

2. Each Transmittal shall be numbered consecutively in the "Transmittal No." block. A Transmittal Number typically includes the specification section number and a sequential number separated by a dash (-). Mark the appropriate box indicating a new submittal or resubmittal. For resubmittals, extend the initial Transmittal Number sequence with a decimal and sequential digit to allow tracking of resubmitted data.

3. The "Item No." for each entry on this form will be the same item number indicated on ENG Form 4288-R.

4. Submittals requiring expeditious handling will be submitted on a separate ENG Form 4025-R.

5. Items transmitted on each transmittal form will be from the same specification section. Do not combine submittal information from different specification sections in a single transmittal.

6. If the data submitted are intentionally in variance with the contract requirements, indicate a variation in column "h", and enter a statement in the Remarks block describing the reason for the variation.

7. ENG Form 4025-R is self-transmittal – a letter of transmittal is not required.

8. When submittal items are transmitted, indicate the "Submittal Type" (SD-01 through SD-11) in column c, Section I. Submittal Types are:

SD-01 -- Preconstruction; 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 – Operations & Maintenance Data; SD-11 – Closeout Submittals

9. For each submitted item, the Contractor will assign Submittal Action Codes in column g. of Section I. The U.S. Army Corps of Engineers approving authority will assign Submittal Action Codes in column i. of Section I. The Submittal Action Codes are:

A - Approved as submitted.
B – Approved, except as noted on drawings. Resubmission not required.
C – Approved, except as noted on drawings. Refer to attached comments. Resubmission required.
D – Will be returned by separate correspondence.
E – Disapproved.
F-- Receipt acknowledged.
G - Other action required.
K – Government concurs with intermediate design. (For D-B contracts)
R – Design submittal is acceptable for release for construction. (For D-B contracts)
X – Receipt is acknowledged. The submittal does not comply with contract requirements, as noted.

10. Approval of items does not relieve the Contractor from complying with all requirements of the contract.

(Reverse of ENG Form 4025)

Figure B-2. Reverse Side of ENG Form 4025.

APPENDIX C

Submittal Type and Action Code Definitions

C-1. Submittal Types. Submittal information is categorized into eleven different types. These types are described below:

a. SD-01 – Preconstruction: Preconstruction submittals are submittals that must be provided post-award but before construction starts. Preconstruction submittals may include, but are not limited to the Quality Control Plan, Environmental Protection Plan, Safety Plan, Mobilization Plan, Work Plan(s), Submittal Register, List of Subcontractors, Schedule of Values, Network Analysis Schedule (NAS) and Progress Schedule.

b. SD-02 – Shop Drawings: A shop drawing may be a two or three dimensional drawing consisting of detailed views, plan(s), elevation(s) and section(s). Shop drawings should clearly state materials and finish to be used for each piece, the appropriate fittings and accessories to be used to complete the unit, and the person or entity responsible for their supply and installation. Shop drawings should also show field dimensions and conditions, and any additional notes for items that are missing or not complete. Shop drawings include drawings, schedules, diagrams and other data prepared specifically for a contract by a contractor or by the contractor's subcontractor or a manufacturer, supplier, distributor or other lower-tier contractor to illustrate a portion of work.

c. SD-03 – Product Data: Product data are information provided for a product or definable feature of work that describe the product's salient features starting with conception, through design and manufacture, to service and disposal. Pre-printed materials such as illustrations, brochures, diagrams, manufacturer's descriptive literature, catalog data, samples of warranty language for products when the contract requires extended product warranties, and other data that illustrate a portion of work are considered product data.

d. SD-04 – Samples: Samples are physical examples of the products, materials, equipment, assemblies, or workmanship that are physically identical to the portion of work specified in the contract, and illustrate the portion of work or establish standards for evaluating appearance of the finished work, or both. Examples include sample masonry panels, color charts for paint, lighting fixtures, and carpet samples.

e. SD-05 – Design Data: Design data are information on engineering aspects of a product, and include descriptions and properties of a product through its development and useful life. Design data include design submittals, extensions of designs, mix designs, design calculations, analyses, and other technical data on a particular part of the work.

f. SD-06 – Test Reports: Test reports are written reports signed by an authorized official of a testing laboratory attesting that a material, product or system identical to the material, product or system to be provided under the contract has been tested in accordance with specified requirements. Test reports include findings and results of a test required to be performed by the contractor on an actual portion of the work or prototype prepared for the project before shipment

to the job site. Test reports also include findings of a test made at the job site, a test on samples taken from the job site, a test on portion of work during or after installation, and investigation reports. Test reports also include results from daily checklists and daily logs, final acceptance tests, and operational test procedures.

g. SD-07 – Certificates: Certificates are statements signed by responsible officials of the manufacturer of a product, system or material attesting that a product, system or material meets specification requirements included in the contract. Certificates must be dated after award of the contract and clearly name the contract project. Certificates also are documents required to be supplied by the contractor or a supplier, installer or subcontractor of the prime contractor to further ensure orderly progression of a portion of the work by documenting procedures, acceptability of methods, or personnel qualifications. Certifications also signify professional and legal ownership of a product by attesting that the product meets the intent of the contract plans and specifications.

h. SD-08 – Manufacturer's Instructions: Manufacturer's instructions are preprinted or web documents that describe acceptable delivery and installation methods for a product, system or material, including special notices and material safety data sheets describing impedances, hazards and safety precautions. Examples include manufacturer's instructions for the delivery, sequence of operation, and installation of precast concrete panels for a building façade.

i. SD-09 – Manufacturer's Field Reports: Manufacturer's field reports are documentation of field or construction testing and verification actions taken by a manufacturer's representative to confirm compliance with manufacturer's standards or instructions. Examples include soil density tests and concrete strength tests.

j. SD-10 – Operation and Maintenance Data: Operation and maintenance data are equipment or systems data furnished to the government by the manufacturer for the personnel operating and maintaining the facility and its equipment components. These data are needed by operating and maintenance personnel for the safe and efficient operation, maintenance and repair of the equipment, systems, and materials incorporated in the construction of the facility.

k. SD-11 – Closeout Submittals: a closeout submittal records compliance with technical or administrative requirements of the contract or establishes an administrative mechanism for closing out the project and/or the contract. An interim DD Form 1354 with appropriate cost breakouts is also a closeout submittal.

C-2. Submittal Action Code Descriptions. The reverse side of ENG Form 4025 lists the following Action Codes that may be applied to each submittal item. The actions for each code are described below:

a. Action Code "A" – "Approved as Submitted." Description: Proceed without further submission.

b. Action Code "B" – "Approved, except as noted on drawings. Resubmission not required." Description: Proceed without further submission, but contractor must comply with comments. Reviewing official will annotate comments or provide a comment sheet describing actions required prior to the contractor implementing the material included in the submittal.

c. Action Code "C" – "Approved, except as noted on drawings. Refer to attached or annotated comments. Resubmission required." Description: Do not proceed until resubmission is approved. Resubmission is required for this item after corrections are made to the submittal data based upon the reviewing official's comments.

d. Action Code "D" – "Will be returned by separate correspondence." Description: This code is generally used to return primary contract plans such as the Accident Prevention Plan or Contractor Quality Control Plan.

e. Action Code "E" – "Disapproved. See attached or annotated comments." Description: Submitted item does not comply with contract requirements. Review requirements, select a product or method that complies with the contract documents, and resubmit.

f. Action Code "F" – "Receipt is acknowledged." Description: This code is used for FIO submittals. The submittal may or may not have been reviewed.

g. Action Code "G" – "Other action is required." Description: Specific actions will be annotated on or attached to returned submittal. Typically includes requirement for re-submittal.

h. Action Code "K" – "Government concurs with intermediate design." Description: *On D-B contracts*, this reflects government concurrence with submitted segment of the intermediate design. Submission and review of the overall final design package remain.

i. Action Code "R" – "Design submittal is acceptable for release for construction." Description: *On D-B contracts*, this code indicates government concurrence with specific segments of the overall design package. This code means that the contractor may begin construction activities on the submitted segment of the overall work.

j. Action Code "X" – "Receipt is acknowledged. The submittal does not comply with contract requirements as noted." Description: A FIO submittal returned with this code was one of the 10% or so of FIO submittals reviewed by the government. The submittal does not comply with the contract requirements for this information and requires corrective action and resubmission by the contractor.

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APPENDIX D

Routing of Shop Drawings, Equipment Data, Material Samples or Manufacturer's Certificates of Compliance for Approval (ENG Form 4026)

D-1. General. ENG Form 4026 is a routing slip to transmit an ENG Form 4025 and attachments to designated reviewers for the technical review(s) of the transmittal. Designated reviewers may be identified in the specification text or coded on the Submittal Register.

D-2. Use of ENG Form 4026. Use of this form is at the discretion of the contracting District's policy. The form provides for routing to a maximum of four reviewers. The reviewing official is responsible to consolidate comments from all supplemental reviewers and determine the Action Code to be assigned at the bottom of the form as the final action on the submittal.

D-3. ENG Form 4026. A blank copy of ENG Form 4026 is provided on page D-2.

ROUTING OF SHOP DRAWINGS, EQUIPMENT DATA, MATERIAL SAMPLES OR MANUFACTURER'S CERTIFICATES OF COMPLIANCE FOR APPROVAL

For use of this form, see ER 415-1-10; proponent is CECW-CE

(Used to route ENG Form 4025 with items attached. Not to become a part of the Contractor's record.)

1	TO	FROM	DATE (YYYMMDD)
	THE ATTACHED ITEMS LISTED ON ENG FORM 4025 ARE FORWARDED FOR APPROVAL ACTION.		
	CONTRACT NUMBER	CONTRACOR	
	TRANSMITTAL NUMBER	PROJECT TITLE AND LOCATION	
	COMMENTS *(Attach additional sheets if necessary)*		
	NUMBER OF ENCLOSURES	TYPED NAME AND TITLE	SIGNATURE
2	TO	FROM	DATE (YYYMMDD)
	COMMENTS *(Attach additional sheets if necessary)*		
	NUMBER OF ENCLOSURES	TYPED NAME AND TITLE	SIGNATURE
3	TO	FROM	DATE (YYYMMDD)
	COMMENTS *(Attach additional sheets if necessary)*		
	NUMBER OF ENCLOSURES	TYPED NAME AND TITLE	SIGNATURE
4	TO	FROM	DATE (YYYMMDD)

THE FOLLOWING ACTION CODES ARE GIVEN TO ITEMS LISTED ON ENG FORM 4025.

ACTION CODES

A – APPROVED AS SUBMITTED.
B – APPROVED, EXCEPT AS NOTED ON DRAWINGS. RESUBMISSION NOT REQUIRED.
C – APPROVED, EXCEPT AS NOTED ON DRAWINGS. REFER TO ATTACHED SHEET. RESUBMISSION REQUIRED.
D - WILL BE RETURNED BY SEPARATE CORRESPONDENCE..
E - DISAPPROVED (SEE ATTACHED OR ANNONATIONS).
F - RECEIPT ACKNOWLEDGED.
G - OTHER ACTION REQUIRED *(specify)*.
K – GOVERNMENT CONCURS WITH INTERMEDIATE DESIGN.
R – DESIGN SUBMITTAL ACCEPTABLE FOR RELEASE FOR CONSTRUCTION.
X – RECEIPT ACKNOWLEDGED, DOES NOT COMPLY WITH CONTRACT REQUIREMENTS, AS NOTED.

ACTTION CODES TO BE INSERTED IN COLUMN G, SECTION I, ENG FORM 4025 *(attach additional sheets, when required)*

ITEM NO. *(Taken from ENG Form 4025)*								
CODE GIVEN								

REMARKS

NUMBER OF ENCLOSURES	TYPED NAME AND TITLE	SIGNATURE

ENG FORM 4026, FEB 2012 PREVIOUS EDITIONS ARE OBSOLETE