**CONSTRUCTION**

**MANAGEMENT**

**MASTER SPECIFICATIONS**

**DIVISION 1**

**(Submittals)**

|  |
| --- |
| **Level of Use: REFERENCE** |

| **Issue History** |
| --- |
| **Issue** | **Date** | **Comments** |
| 001 - 009 |  | No history documentation available. |
| 010 | 05/19/10 | Update Action Code Definitions. |
| 011 | 08/25/10 | Changed number of Pantex Drafting Manual from MNL-293006 to DRQ‑293006. |
| 012 | 01/03/11 | Correct the title of “Pantex Drafting Manual,” changing to “Engineering Drawing Requirements. |
| 013 | 03/12 | Format change to comply with MNL-0007 guidelines. |
| 014 | 07/05/12 | Global changes to clarify Contractor requirements. |
| 015/U-51097 | 12/11/13 | Separate NQA-1 submittals from other submittals. |
| 016/U-52212 | 08/26/14 | To revise Section 1 and 3 to clarify who contractor’s records are to be submitted to. |
| 017/U-55399 | 05/03/16 | Revised NQA-1 documentation submittal requirements, revised As-Built Drawing requirements, remove reference to As-Built Specifications and clarify Action Code B description.  |
| 018/U-56203 | 12/06/16 | Allows for electronic submission of technical submittals. |
| 019/U-59343 | 09/17/18 | Deletes references to DRQ-293006 and adds references to ES 6.6-15. |
| 020/U-001233 | 1/16/20 | Updates to action code definitions. |
| 021/U-001849 | 6/15/20 | Changes Technical Approval to Technical Reviewer and approval of submittals to concurrence. |
| 022/U-003952 | 04/19/21 | Added statement that any other removable storage device (e.g., thumb drives) is prohibited and cannot be used as a means for providing project submittals.  |
| 023/U-005399 | 12/17/21 | Updated Section 1 to define submittal requirements for products and materials that are identified by specific identification information (e.g., specific manufacturer and part number). Updated Section 3 (e) to define submittal processing time for Turnover Records.  |

Table of Contents

[1. SUBMITTAL REQUIREMENTS 5](#_Toc43119588)

[2. SUBMITTAL RECIPIENTS 6](#_Toc43119589)

[3. TYPES OF SUBMITTALS 6](#_Toc43119590)

[4. SUBMITTAL DISPOSITION 8](#_Toc43119592)

[5. REFERENCES 10](#_Toc43119593)

SECTION 01030 ‑ SUBMITTALS

1. SUBMITTAL REQUIREMENTS
	1. All submittals required for the project shall be submitted electronically by e-mail at the following e-mail address, project\_records\_man@pxy12.doe.gov. A compact disc (CD) is acceptable if a submittal’s size is larger than the Pantex e-mail system allows, or if required by the Specification Submittal Reference Sheet PX-5541 (Exhibit 2). Any other removable storage device (e.g., thumb drives) is prohibited and cannot be used as a means for providing project submittals.

CDs shall be submitted to the Projects Division Project Records Coordinator for distribution, review, and response.

* 1. Contractor shall furnish all submittals (i.e., working papers, drawings, digital files, analyses, reports, other data, etc.) in accordance with the PX-5541, *Specification Submittal Reference Sheet,* and this specification.
	2. All submittals prepared for this Subcontract shall show the following information in or near the title block:
	 CNS Pantex
	 Subcontract Number: TBD
	3. Contractor shall furnish copies as stipulated in the Specification Submittal Reference Sheet PX-5541.
	4. With each separate submittal, a copy of PX-4835, *Contractor Submittal Form* (Exhibit 1), shall be included.
	5. Whenever possible, related items shall be submitted together to permit simultaneous review, as long as they are referenced in the same specification section. When such submittal is not possible, submittals shall be in an appropriate sequence to assure that necessary information is available for reviewing such item as it is received.
	6. Consolidated Nuclear Security (CNS) Pantex will determine if submittals received are complete and reserves the right to reject and require resubmittal of any submittal(s) that does not meet the requirements.
	7. CNS Pantex also reserves the right to request any submittal not included on the PX-5541 or any new submittal requirement.
	8. All completed and signed original documentation for project NQA-1 scope shall be submitted to the Project Records Coordinator within (\_\_\_\_) working days of completion of construction of ( \_\_\_\_\_\_\_\_\_\_) [project specific: entire NQA-1 scope or list specific phases of the scope] for final review and concurrence.
	9. Products and materials listed in the individual specification sections or identified in schedules or notes on contract drawings by specific identification information (e.g., specific manufacturer and part number) are considered pre-approved products. Pre‑approved products do not require a submittal unless:
		+ the technical specification stipulates a submittal is to be provided,
		+ the product or material is procured from a NQA-1 supplier, or
		+ a commercial grade dedication for the product or material is required.

A submittal is required for any product or material proposed as a substitute to a pre‑approved product.

1. SUBMITTAL RECIPIENTS
	1. Submittals of hard copy documents, as identified on the PX-5541, shall be sent to the address below.
	 (Add or delete address as specific to your project.)
	 CNS Pantex
	 FM 2373 & HWY 60
	 Amarillo, Texas 79120-0020
2. TYPES OF SUBMITTALS

|  |
| --- |
| **NOTE** |
| **Reserve paragraphs 3 (b) and 3 (c) if this is a construction only contract.** |

* 1. Documents
		1. The minimum size of each submittal shall be 8 ½ inches by 11 inches. Each submittal shall be of a sufficient quality to produce clearly legible third‑generation copies using a commercial quality printer. Any submittals larger than 11” x 17” shall be secured or inserted into mailing tubes when hand delivered.
		2. Contractor shall provide hard copy deliverable documents in printed form when required by the PX-5541, and portable document format (PDF) on Compact Disk (CD).
	2. General Drawing Requirements
		1. Electronic files shall be submitted in Bentley MicroStation (dgn) format, or CNS approved equal.
		2. The United States (U.S.) system of measurement of units is standard. System International (SI) units may be acceptable with approval prior to submission.
		3. Each drawing submitted shall have a separate drawing number. When a drawing is revised, revision numbers must be clearly legible and easily distinguishable from the drawing number and should be as close as possible to the title block. A short description of the nature of the revision must be included, and revised areas on the drawings shall be clouded and identified with the revision number. Correct title block format, drawing number and revision level information can be requested from the assigned Project Engineer.
		4. “Typical,” “standard,” or “off-the-shelf” drawings will be acceptable only if they have all non-applicable sections either removed or noted on each drawing.
	3. Design Drawings
		1. Preliminary Designs: The Contractor shall submit one electronic set of Preliminary Design Drawings in PDF and one full-size and one half-size paper copy set.
		2. Final Designs and Revisions: The Contractor shall submit one electronic signed and sealed set of Issued for Construction drawings in PDF. Revised drawings during project execution shall be submitted as PDF, as well. In addition, the Contractor shall submit the native CAD files in Bentley Microstation dgn format for all drawings in the construction package, including reference files.
	4. As-Built Drawings:
		1. Progress as-Builts: During construction, Contractor shall keep a marked, up‑to‑date set of as-built drawings on the jobsite as an accurate record of all deviations between Work as shown and Work as installed. These drawings shall be available to Contractor and owner for inspection at any time during regular business hours.
		2. Final as-Builts: Contractor shall, at its expense and not later than (\_\_\_) (typically 15) calendar days after Use and Possession of the project, submit for acceptance to CNS Pantex a complete set of marked up, as-built reproducible drawings with AS-BUILT clearly printed on each sheet.
		3. Contractor shall correct any returned as-builts submittals. Final as-builts are required for Final Acceptance and before Final Payment.
		4. Endorsement: Contractor shall sign each final as-built drawing and shall note thereon that deviations and annotations are complete and accurate.
	5. Electronic Media
		1. Data submitted on electronic media shall be accompanied by a PX-4835, and will include the following information:
			+ Contract number.
			+ A detailed description of the contents per the PX-5541 or drawing files.
			+ Number and type of items.
			+ Note if the submittal is a re-submittal.
		2. Contractor shall allow for submittal processing time and can contact Pantex on a submittal status only after (\_\_\_) (typically 14) calendar days from submittal receipt. For the project Turnover Records, the contractor shall allow (\_\_\_) calendar days from final turnover document receipt for submittal processing time *(Delete this sentence if review time for Turnover Records is the same as other project submittals)*. Submittals will be returned with a Review Status stamp that contains an action code identifying the CNS Pantex response. The action codes are as follows:
			+ Code A – Work May Proceed.
			+ Code B – Revise and Resubmit – Proceed.
			+ Code C – Revise and Resubmit – Stop Work.
			+ Code D – Review Not Required – Receipt Acknowledged.
		3. Permission to proceed, based on the action codes provided, does not constitute acceptance or approval of design details, calculations, analyses, test methods, or materials developed or selected by the Contractor and/or supplier. CNS Pantex review of submittals is intended for internal purposes only and is not intended to validate Contractor contractual compliance. In addition, permission to proceed does not constitute acceptance or approval of contract/design changes and does not relieve Contractor and/or supplier from full compliance with contractual obligations or release any “holds” placed on the contract. Contractual changes, design changes, and hold releases are managed by other processes within the contract.
		4. Work shall not proceed until submittals requiring prior review have been returned by CNS Pantex with the appropriate action code to proceed.
		5. Contractor shall incorporate changes, as required, by comments on submittals and resubmit corrected submittals for review. Submittals that have been given an action Code A, Work May Proceed, notation by CNS Pantex shall not be changed without notification to CNS Pantex. If changes are required, affected submittals shall be resubmitted to CNS Pantex for review.
1. SUBMITTAL DISPOSITION
	1. The work process for submittals is as follows. The Contractor (or supplier) validates that contents, to be submitted to CNS Pantex, meet the intent of the contractual requirements and identifies components along with justification that are not in compliance. The Contractor then submits the submittal package to the Project Division’s Project Records Coordinator for disposition. CNS Pantex Technical Reviewers will review the submittal and designate an action code from Section 4 (c). Work impacted by a particular submittal is not expected to proceed until submittals, requiring review, have been granted concurrence from CNS Pantex.
	2. Each submittal requiring review will have a Review Status stamp applied indicating the review status of the submittal. Each submittal package is to have a cover sheet. CNS Pantex will identify action codes on the cover sheet. The action codes identify the CNS Pantex response to the submittal. The “Technical Reviewer” signature is applied by the authority for that submittal, and the Project Manager (PM) (if one is assigned), then acknowledges the submittal.
	3. The following explains the review status and action codes and how they relate:
		1. Code A: Work May Proceed.
			* Review Status: Work may proceed. This is based on the submittal having been given a review which may or may not have covered all areas of the submittal’s subject matter. This review status does not constitute acceptance or approval of design details, calculations, analysis, test methods, or materials developed or selected by the supplier, or contract/design changes and does not relieve the supplier from full compliance with contractual obligations.
		2. Code B: Revise and Resubmit - Proceed.
			* Review Status: Work may proceed; however, the contractor shall incorporate comments and the document shall be re-submitted within (\_\_\_) (typically 5) working days. Same level of review has been given as Action Code A. Marks or notes have been applied to the submittal indicating deficiencies that are minor in nature and do not impact the desired outcome of the work.
		3. Code C: Revise and Resubmit - Stop Work.
			* Review Status: Work affected by the submittal may not proceed. Same level of review has been given as Action Code A. Marks or notes have been applied to the submittal indicating deficiencies that are major in nature and could potentially impact the desired outcome of the work. The submittal shall be revised and resubmitted by the Contractor incorporating the intent of the remarks. Re-submittal will be reviewed to assure the intent of the marks and/or notes have been incorporated prior to allowing work to proceed.
			* Special cases may exist where the submittal process needs to be expedited to maintain project schedule. Upon a submittal receiving an action code “C,” the Contractor may request approval to resubmit red‑line documents in place of formally revised documents. Upon approval, the request and re-submittal using red-lines is to occur within 5 working days. Expedited submittals using red-line documents are to be followed with a formally revised document submittal within 30 days.
		4. Code D: Review Not Required – Receipt Acknowledged.
			* Review Status: This action code is used when a review is not required and the submittal is provided as informational or reference use.
2. REFERENCES
	1. Governing Documents

<https://webapps.cns.doe.gov/LinksMgr/linksMgr?docType=RMSFlowdown&docNum=DIV-01030>

* 1. Authorizing Documents
		1. DIR-0001, *Roles and Responsibilities for the Management and Operation of Pantex Plant*
	2. Related Documents
		1. Engineering Standard 6.6-1511
	3. Forms
		1. Generated Forms
			+ PX-4835, *Contractor Submittal Form*
			+ PX-5541, *Specification Submittal Reference Sheet*
		2. Related Forms
			+ None
	4. Records
		1. PX-4835, *Contractor Submittal Form* RS 50000032
		2. PX-5541, *Specification Submittal Reference Sheet* RS 50000032

**EXHIBIT 1**

**PX-4835, *Contractor Submittal Form***

**REQUEST MOST CURRENT ISSUE FROM SUBCONTRACT TECHNICAL REPRESENTATIVE**

**EXHIBIT 2**

**PX-5541, *Specification Submittal Reference Sheet***

*[Attach completed PX-5541]*