

Central Plateau Cleanup Company
CONTRACTOR DOCUMENT SUBMITTAL FORM INSTRUCTIONS

Block Instruction

Blocks 1-17 (*skip 16*) to be completed by the Contractor, excluding as noted.

1. Enter the project number assigned by CPCCo (*if applicable*).
 2. Enter the contract number and the task, release or phase number (*if applicable*).
 3. Enter the submittal number as identified on register for the submittal.
 4. Enter submittal revision number. Original (*first time*) version starts with 1. Resubmittals use the next sequential submittal version number (*e.g., 2, 3, 4...*).
 5. Enter the date the submittal is prepared.
 6. Enter the name and address of the Contractor making the submittal. Enter name and date of originator of submittal form. A printed date and signature will be taken as a signature, submitted by e-mail/electronically.
 7. **CPCCo Use** - Leave blank: Project Records Specialist (*e.g., CPCCo Document Control*) receiving the submittal will update form with signature and receipt date, acknowledge receipt via e-mail or fax of signed and dated hard copy.
 8. Enter the quantity of each document being submitted to CPCCo. If submitted electronically, and no hard copies are being provided, enter "E" for electronic only (*see register for requirements*).
 9. Enter document number for each document provided in this submittal (*e.g., drawing, specification, plan*). If the document does not have a number, or is miscellaneous data (*qualifications, etc.*), assign a tracking number and enter it (*example - 12345- Test Report-001*). Individually list each document being submitted either directly on the submittal form or on an attachment. (*Example: if you were submitting multiple drawings, enter "see attached list" and provide list identifying drawing numbers, revisions and titles for each*).
- NOTE:** *Do not assign a new document number to documents that already have a designated unique number (i.e., drawings, specs, etc.), only to those that do not.*
10. Enter the revision of each document listed. If document has no revision, enter NA.
- NOTE:** *All documents must have a unique number for tracking purposes. The revision identifier must be established to indicate draft (revision A, B, C...) and final approved documents (revision 0, 1, 2...). The revision identifier for each document shall not be changed subsequent to the first submittal of a given document, except when revised by a resubmittal.*
11. Enter the number of pages for each document.
 12. Enter the submittal format for each document. Submittal formats are defined in Block 25.
 13. Enter the title and/or a brief description for each document.
 14. Enter the submittal approval type required for each document. Submittal approval types are defined in Block 26, and are as specified on the submittal register.
 15. Enter the statement of work or specification reference associated with each document as identified on the submittal register.
 17. Contractor indicates any special instructions or remarks related to the documents on this version of submittal to CPCCo. If this submittal is a re-submittal to a previously approved submittal then explain why it is being re-submitted here.

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Blocks 7, 18 through 21, and 24 are completed upon receipt by CPCCo Project Records Specialist

7. Project Records Specialist (e.g., *CPCCo Document Control*) receiving the submittal will update form with signature and receipt date, acknowledge receipt via e-mail or fax of signed and dated hard copy to Contractor with copy to Contract Officer.
18. Project Records Specialist enters the reviewers identified on the distribution list provided by the project (i.e., *electronic distribution*).
19. Project Records Specialist enters the approver(s) for the submittal based on the distribution list provided by the project.
20. Project Records Specialist enters due date reviewers are to provide comments to the approver of the submittal based on the CPCCo Buyer Time on the submittal register, or information provided by the Contract Officer (CO) or Buyer's Technical Representative (BTR).
21. Project Records Specialist enters the CPCCo review response due date to the Contractor based on CPCCo Buyer Time on the submittal register, or information provided by Contract Officer (CO) or Buyer's Technical Representative (BTR).

NOTE: *Upon completion of the steps above, Project Records Specialist will generate a review of the submittal to all reviewers and approvers identified on distribution list via electronic e-mail with voting buttons identifying all the Review Status in Block 27 or by hard copy distribution to each person identified on distribution list. Document Tracking system will be updated with current status of submittal indication received date, distribution date and due date.*

24. Project Records Specialist signs and dates submittal form to indicate date completed and returned to Contractor.

Blocks 22 and 23 CPCCo Internal Review

22. CPCCo Approver(s) enters comments applicable to the submittal, including any discrepancies (e.g., *documents, revision numbers, quantity, missing documents, etc.*) identified by reviewers and forward to the Project Records Specialist. Approver indicates in this block if an attachment is being provided for additional comments to the Contractor.
23. **Upon completion of the review**, the BTR, or designee, concurs to the approver's status of the submittal as "*complete and ready to be returned to the Contractor*", either on hard copy of submittal form evidenced by signature and date, or by e-mail using voting buttons, or by e-mail with written approval allowing Project Records Specialist to complete this block.

NOTE: *No response from the reviewer will be considered as "No Comments."*

Block 16 CPCCo Approver Review (See [CPCC-PRO-AC-16405](#), *Submittal Management System*)

16. Project Record Specialist enters an "X" for the appropriate submittal review status identified either on hard copy of submittal form evidenced by signature and date on the approval stamp, or by e-mail using voting buttons, or by e-mail with written approval from designated approver of the submittal allowing Project Records Specialist to perform this function (see *Block 27 for a description of the Submittal Review Status*).

NOTE: *The review/approval of submittals is to verify compliance with the contract requirements, completeness and accuracy. Comments provided should clearly document any discrepancy (e.g., technical deficiency, conflicting revision numbers, quantities, missing documents), as appropriate.*

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Block 23, BTR Submittal Approval

23. BTR concurs with the approver's status of the submittal as complete, or to be revised and resubmitted as required, and ready to be returned to the Contractor. Alternately the BTR may provide this approval via e-mail to the Contract Officer and Project Records Specialist (*Ref. Submittal Review Status description in Block 27*).

NOTE 1: *Project Record Specialist checks the submittal review status assigned by the approver for each document submitted prior to returning the submitted document to the Contractor per instructions from the Contract Officer.*

NOTE 2: *Project Records Specialist forwards link to completed submittal from to the Contract Officer when the review is completed and returned to Contractor.*

NOTE 3: *The Contract Officer may advise the Project Record Specialist to forward the completed submittal to the Contractor with a copy to the Contract Officer per telecom or via e-mail authorization.*

For Information

25. Defines the document Formats used by the Contractor in Block 12.

26. Defines the document Approval Types used by the Contractor in Block 14.

27. Defines the document Review Status used by CPCCo in Block 16.

Expanded Description of Document Approval Types (Block 26)

APW = Approval Required Prior to Work (*Central Plateau Cleanup Company [Buyer] must approve the Contractor's submittal prior to the Contractor being authorized to proceed with any activity/work associated with the submittal*).

AP = Approval Required (*Buyer must approve the Contractor's submittal; however, work associated with the submittal may proceed prior to Buyer approval*).

Expanded Description of Submittal Review Status and Definition of Contractor Actions (Block 27)

Code	Status Label	Definition
A	Conforms to the Contract Requirements	Used for all documents submitted that conform to the contract requirements.
B*	Minor Comments - Approved With Exceptions as Corrected	Used for all documents submitted as approved for work that are marked with a status of "B" can be used in the field.
C*	Revise and Resubmit	Used for all documents that do not conform to the contract requirements. The Contractor shall resolve comments with the project, incorporate those agreed on, and resubmit the documents. Documents and materials or activities associated with documents marked with a status of "C" shall not be used or performed in the field.

* For submittals marked with a status of "B" with re-submittal required or "C", the Contractor shall resolve comments, incorporate those agreed on, and resubmit the document in accordance with their contract.