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<b>Title: Construction Submittal Review Process</b>		

**1.0 PURPOSE:**

The purpose of this procedure is to define the process by which a construction submittal is submitted, reviewed, review comments developed, finalized, and returned to the prime contractor.

**2.0 RESPONSIBILITIES:**

- 2.1 Submittal Review Team Members – The Submittal Review Team Members, when requested by the Construction Manager, shall be responsible for reviewing the submittal, providing qualified comments, disposition and input into the submittal response.
  - 2.2 Construction Manager – If this role is contractually assigned, the construction manager shall be responsible for the following, if this role is not contractually assigned, then the Resident Engineer shall assume these responsibilities. The construction manager shall be responsible for complying with requirements of this procedure to document required approvals of fabrication drawings, shop drawings, materials or products and/or substitutions, prior to use during construction. The construction manager shall be responsible for performing the initial review of the submittal; making a determination as to whether or not they are capable of responding on their own, or identifying the appropriate Submittal Review Team Members based upon subject matter expertise and contractual authority to review and respond to the submittal; reviewing the proposed submittal response(s); determining the completeness of submittal response; finalizing the submittal response; and forwarding the finalized submittal response to the prime contractor. The construction manager is responsible for concluding submittal reviews within an overall maximum cycle time of 15 working days, utilizing EPDS workflow procedures.
  - 2.3 Corridor Construction Manager – The corridor construction manager (if one exists) shall be responsible for monitoring submittal activities by the construction managers on all contracts within their assigned corridor, to assure timely turnarounds (according to this procedure), appropriateness of responses, as well as consistency and coordination within the corridor.
  - 2.4 Corridor Manager – The corridor manager shall be responsible for monitoring all submittal activities within their corridor, to assure timely turnarounds (according to this procedure) and appropriateness of the submittal reviews, as well as to verify consistency and coordination within each contract of their corridor. Ultimately responsible for cost and schedule of the corridor, the corridor managers concurrently are charged with responsibility for assessing potential related impacts from the submittal review on corridor cost and schedule.
  - 2.5 Prime Contractor – The prime contractor shall be responsible for preparation and submission of the submittal, so as not to adversely impact the project schedule. Prime contractor shall also provide as required, submittal clarifications, and shall make requests for additional submittal response information if applicable and shall be responsible to execute the work in accordance with requirements of the submittal response. The prime contractor shall utilize related EPDS workflows, in conducting this procedure.
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### 3.0 SCOPE/APPLICABILITY:

This procedure shall apply to all NTTA corridors and projects in the construction phase within the Project Delivery department.

### 4.0 REFERENCES:

N/A

### 5.0 DEFINITIONS & ACRONYMS

### 6.0 PROCEDURES:

**6.1 Submittal Initiation** – When field conditions exist such that the prime contractor needs to propose a construction solution that is different from approved plans and specifications, or in conditions where the prime contractor is expected to propose a construction solution, the prime contractor shall generate and forward a construction submittal to the construction manager using the associated EPDS workflow.

6.1.1 The prime contractor shall include within the construction submittal all pertinent background information such as drawings, catalog cuts, analysis, or other related justification.

**6.2 Submittal Review** – The construction manager shall perform the initial review and confirm the completeness of the submittal. If the submittal is not complete, the construction manager shall return it to the prime contractor to revise and resubmit.

6.2.1 If the construction manager confirms the submittal is complete, then based upon the content of the submittal, he or she shall determine whether or not he or she has the subject matter expertise to respond to the submittal on his or her own, or if he or she needs to create a secondary submittal review team. If the Construction Manager determines he or she can respond to the submittal on their own, they shall do so and forward a final response with disposition to the prime contractor, all documents that are returned to the prime contractor shall have a review stamp status indicated on the submittal document in red. When the document is reproduced it shall have a red-type stamp that shall have the status, name of the reviewer, firm and date. All submittals should be returned within a maximum of 15 working days of receipt in EPDS.

6.2.1.1 If the Construction Manager determines that he or she does not possess the subject matter expertise to respond alone, then he or she shall establish a submittal review team composed of resources with the appropriate subject matter expertise and contractual responsibility to review and respond to the submittal (typically the Design Section Engineer). Refer to Table 1 for NTTA Specialty Items which must be referred to the GEC as the submittal review team.

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6.2.1.2 The construction manager shall distribute the submittal to the submittal review team, within EPDS, utilizing the PMO form. The submittal review team members shall review the submittal and return it with their comments and disposition back to the Construction Manager utilizing the EPDS workflow within 10 working days. When the Design Section Engineer (DSE), General Engineering Consultant (GEC) or other Subject Matter Expert (SME) on the PMO Form Review Team returns the reviewed submittals, the Construction Manager shall verify that all comments and dispositions are applied to the submittal documents and all documents are returned to the prime contractor shall have a review status indicated on the submitted document in red, and be attached to the EPDS workflow. When the document is reproduced, it shall have a red-type stamp that shall have the status, name of the reviewer, firm and date.

6.2.1.3 The Construction Manager shall resolve any issues with the Review Team comments including reaching a consensus on the approval state and disposition to be applied to every document reviewed and to be returned to the prime contractor.

6.2.1.4 To maintain a standard response on all shop drawing submittal reviews, NTTA recommends the use of the four terms below for the documents disposition. All submitted documents from the Construction Manager, DSE, GEC and Subject Matter Expert shall be addressed with the following disposition on each drawing sheet or set of calculations submitted for review:

- **Approved** *[Means work can proceed, Approved stamped drawing returned with no comments]*
- **Approved as Noted** *[Means work can proceed. Approved stamped drawing returned with redlines to be used as the final document. Nothing needs re-submitted.]*
- **Amend and Resubmit** *[Means work cannot start. Submittal returned with comments to be addressed. Must be revised and re-submitted for approval.]*
- **Rejected- See Remarks** *[Means work cannot start. Submittal returned with major comments to be addressed. Submittal needs to be evaluated, fixed, re-worked and will require re-submittal for approval.]*

6.2.2 When one of the below tabulated fifteen (15) “NTTA Specialty Items” is the subject of the submittal, the construction manager shall forward the submittal to the GEC for submittal review support.

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No.	Item	No.	Item
1.	Light poles (roadway lighting and high mast)	8.	Toll gantry structures
2.	Conduits for power and Intelligent Transportation Systems (ITS)	9.	Sign faces and Sign structures, Dynamic Message Sign (DMS) structures
3.	Conductors	10.	Miscellaneous electrical appurtenances
4.	Traffic Signal (poles and assemblies)	11.	Ground boxes (for power and ITS)
5.	Closed Circuit Television (CCTV) poles	12.	Special electrical items required per plans like LED lighting
6.	ESC	13.	Moisture Treated Subgrade
7.	Toll gantry electrical (generator, equipment in IT building, IT screen wall, lighting in gantry column, etc)	14.	Architectural Submittals
		15.	Standard Drawings (TxDOT/NTTA)
Table 1			

6.2.3 Submittals related to MSE walls shall be forwarded to the DSE of record or the Wall Engineer with contractual responsibility for the project (if one exists).

**6.3 Submittal Disposition and Response** – The Construction Manager shall then consolidate the review comments and dispositions made by the review team members and develop a consolidated review and disposition to be provided back to the prime contractor. This includes creating a full set of approved submittals in EPDS suitable for printing and use for field inspection if some drawing sheets were submitted multiple times before being approved or are re-submitted with a revision after previously being approved.

In observing the overall maximum cycle time of fifteen (15) working days, it is assumed that up to two (2) working days may be required for the construction manager to conduct initial processing, the primary reviewers may require up to the next ten (10) working days, and the construction manager may require up to an added three (3) working days to compile / reconcile submittal review comments, finalize the submittal and send it to the prime contractor.

**6.4 Submittal Distribution** – The construction manager shall forward the reviewed submittal to the prime contractor, utilizing EPDS workflows, with copies to the Corridor Construction Manager and the Corridor Manager whether approved, approved as noted, rejected, or marked with review status of revise and resubmit.

**6.5** The final approved submittal shall be uploaded to Content Management by the Construction Manager.

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6.6 At times when the submittal involves source inspection for the project performed by TxDOT, the construction manager shall send two (2) copies of the approved submittals to TxDOT for use while providing source inspection services.

6.7 **As-Built Documentation** – The prime contractor shall maintain submittals as part of the as-built documentation package.

**7.0 REGULATORY REQUIREMENTS:**

N/A

**8.0 RELATED BOARD POLICY:**

N/A

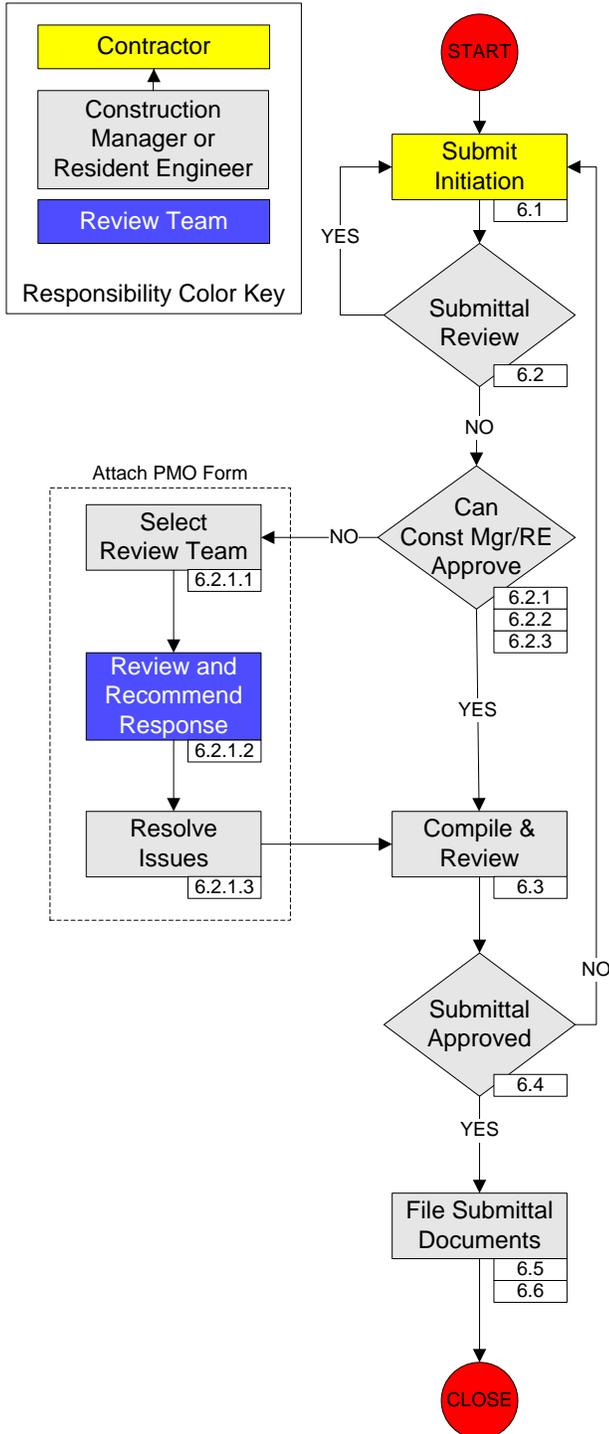
**9.0 COMPONENT DOCUMENTS:**

[CON-02-A1](#) Construction Submittal Reference Card

[CON-02-A2](#) TxDOT Source Inspection Material List

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**10.0 FLOWCHART:**



**Construction Submittal Business Process Workflow**

**Contractor:**

- Submits documents via EPDS to the Construction Manager or Resident Engineer

**Construction Manager or Resident Engineer:**

- Reviews and determines if submittal is complete and/or if clarifications are necessary

**Construction Manager or Resident Engineer:**

- Construction Manager or Resident Engineer determines if they can respond directly or if additional expertise is required (DSE)
- If the submittal is the subject of one of the NTTA Special Items, it shall be forwarded to the GEC
- If the submittal is the subject of MSE Walls, it shall be forwarded to the Wall Engineer (if one exists) or DSE

**Review Team:**

- Reviews question and recommends a response

**Construction Manager or Resident Engineer:**

- Construction Manager or Resident Engineer resolves any issues with Review Team
- Construction Manager or Resident Engineer compiles, reviews and generates response

**Construction Manager or Resident Engineer:**

- Determines if submittal is acceptable
- If not approved, returns submittal to Contractor with response for updates/revisions
- If approved, send approved submittal to Contractor

**Construction Manager or Resident Engineer:**

- Once approved, copy submittal document to Content Management
- If submittal involves Source Inspection by TxDOT, the Construction Manager sends two copies of the approved submittal to TxDOT

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**11.0 REVISION HISTORY:**

Revision	Revised by:	Date Issued	DRN	Reason for Revision
0	John Woelfel	06/05/2008		Original Issue
1	John Woelfel	09/17/2008		Added responsibilities for Corridor Construction Manager and Corridor Manager
2	John Woelfel	02/09/2010	10075	Added the maximum overall 15 working day cycle time requirement for construction manager; documented PMO form requirement within EPDS workflow; Added business process flowchart; defined those "NTTA specialty items" that may require submittal review support from the GEC, and added "Reference Card" form link.
3	David Kastendick	05/06/2011	10267	Revised titles to current NTTA structure and clarifications. No change in procedure or signature. Changed CM to Construction Manager on Business Process Workflow chart. Added CON-02-A2 to 9.0 Component Documents. Updated CON-02-A1