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Title: Construction Submittal Review Process		

## 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 Contractor.

## 2.0 RESPONSIBILITIES:

**2.1 NTTA Support Staff** – The NTTA Support Staff, when requested by the Office Engineer, shall be responsible for:

- Reviewing the submittal
- Providing qualified comments
- Disposition and input into the submittal response

**2.2 Office Engineer** – The Office Engineer (or equivalent for smaller projects, e.g. Bookkeeper, Document Specialist or other similar roles) shall be responsible for the following: If this role is not contractually assigned, then the NTTA Resident Engineer shall assume these responsibilities. This role shall be responsible for:

- Complying with requirements of this procedure by documenting required approvals of fabrication drawings, shop drawings, materials or products and/or substitutions, prior to use during construction.
- Performing the initial review of the submittal
- Making a determination as to whether or not they are capable of responding on their own
- Identifying the appropriate EPDS Assistance needed 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
- Sending the finalized submittal response to the Contractor
- Concluding submittal reviews within an overall maximum cycle time of 15 working days, utilizing EPDS workflow procedures and storing the final documents in the attachments tab within the record.

**2.3 Construction Manager** – The Construction Manager shall be responsible for:

- Monitoring all submittal activities on the project
- Assuring timely turnarounds (according to this procedure)
- Appropriateness of the submittal reviews
- Verifying consistency and coordination within the contract
- Assessing potential related impacts from the submittal review on contract cost and schedule.

**2.4 Contractor** – The Contractor shall be responsible for:

- Preparation and submission of the documents
  - Verifying submittal should not adversely impact the project schedule
  - Providing submittal clarifications
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- Promptly answering requests for additional submittal information if applicable
- Executing the work in accordance with requirements of the submittal response
- Utilizing EPDS Construction Submittal Workflow to conduct this procedure.

### 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:

- N/A

### 6.0 PROCEDURES:

#### 6.1 Submittal Initiation – Submittals are required for:

- Conditions where the contractor is expected to propose a construction solution or provide information for approval by the NTTA per the plans and specs, the Contractor shall generate and forward a construction submittal to the Office Engineer using Construction Submittal in EPDS which 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 Office Engineer shall perform the initial review and confirm the completeness of the submittal. If the submittal is not complete or clarifications needed, the Office Engineer shall return the workflow in EPDS to the Contractor to revise and resubmit.

6.2.1 If the Office Engineer confirms it is complete, then based upon the content, a determination should be reached whether or not subject matter expertise or assistance is needed or it can be responded independently. If this role can respond independently, they shall create an Internal Review Attachment (IRA) in EPDS to create written documentation for backup. The name of the IRA shall be the same name as the Submittal (see NTTA EPDS Naming Convention). The Office Engineer creates a final response with disposition to the Contractor, and all returned documents sent to the Contractor shall have a review stamp status indicated on the submittal document(s) in red. When the document is reproduced, it shall have a red-type stamp that shall include:

- the status
- name of the reviewer
- firm

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All submittals should be returned within a maximum of 15 working days of receipt in EPDS.

6.2.2 If the Office Engineer or role determines subject matter expertise is required or contractually NTTA has assigned this scope task to others, then he or she shall create in EPDS an (IRA) and linking it to the submittal for team input (see NTTA EPDS Naming Convention). The review team should be composed of resources with the appropriate subject matter expertise and contractual responsibility to review and respond to the submittal. Refer to Table 1 for NTTA Specialty Items, which are referred to the PMC as the submittal review team (6.2.7). See 6.2.8 for MSE Wall submittal reviewers.

6.2.3 MSE Wall submittal the Office Engineer shall create a review with a IRA. This team may have one or multiple participants. The review team will include (as appropriate to the nature and complexity of the review):

- Engineer of Record
- Construction Engineering Consultant (CEC)
- Program Management Consultant (PMC)
- Subject Matter Expert (SME) under NTTA contract
- Wall Engineer on the Construction Management (CM) Team
- Geotechnical Engineer
- Other SMEs

The team members shall review the submittal in the IRA adding their comments and disposition. Once they have completed the review, they shall place their review stamp on the document (in a common place as directed).

6.2.4 Submittal reviews to be returned completed within 10 working days and shall have a review stamp status indicated on the submittal document(s) in red. When the document is reproduced, it shall have a red-type stamp that shall include:

- the status
- name of the reviewer
- firm
- date

The Office Engineer shall create in EPDS an IRA and link it to the submittal. (see NTTA EPDS Naming Convention). When all reviewers have completed their work and put their stamp on the document, then the Office Engineer will create a final response disposition to the Contractor and include the final stamped document into the EPDS submittal.

6.2.5 The Office Engineer shall resolve any issues with the Review Team comments including reaching a consensus on the approval state and disposition to be applied reviewed to all documents and returned to the Contractor.

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6.2.6 To maintain a standard response on all shop drawing submittal reviews, NTTA recommends the use terms below for the documents disposition. All submitted documents from the Office Engineer, PMC and SME shall be addressed with the following on each drawing sheet or set of calculations submitted for review:

- **Final Approve in EPDS Workflow** *[Means work can proceed. Approved stamped drawing returned with no comments]*
- **Return in EPDS Workflow** *[Means work cannot start. Submittal returned with comments to be addressed, missing attachments or other info. Documents must be revised and re-submitted for NTTA approval.]*

If a submittal is returned to the contractor for revising and resubmission, the Contractor shall include all previously approved sheets with each subsequent resubmission until all sheets of the submittal package are approved.

6.2.7 When one of the below tabulated sixteen (16) “NTTA Specialty Items” is the subject of the submittal, the Office Engineer shall send the submittal to the PMC and SME for submittal review support.

Table 1: NTTA Specialty Items			
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, Dynamic Message Sign (DMS) and associated 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 i.e. LED lighting
6.	Electrical Service Center (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)
6.	Electrical Service Center (ESC)	16.	Landscape and Irrigation

6.2.8 Submittals related to MSE walls shall be sent (via IRA in EPDS) to the following review team: Engineer of record (both Structural and Geotechnical) and the Wall Engineer (Usually in CM Contract - with contractual responsibility for the project (if one exists) and to

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Visual Quality (VQ) and to any other pertinent parties (such as CEC Construction oversight, NTTA Resident Engineer, NTTA Manager of Construction) as it applies to oversight of the work at hand.

- 6.3 Submittal Disposition and Response** – The Office Engineer shall compile and consolidate the review comments and agreement made by the review team members and develop a proposed combined response and resolution. A courtesy review is provided to the NTTA Manager of Construction for an “Owner oversight review”. Then the final documents are sent to the Contractor. The Office Engineer may request number of days to respond and they will follow up until given approval to proceed (even if no comments are provided). They create a full set of approved submittals in EPDS suitable for printing and for field inspection use. If some drawing sheets are re-submitted with a revision after previously being approved then a new submittal will need to be created and submitted with EPDS for revision approval.

The submittal process time is an overall maximum cycle of up to (15) working days. they will take:

1. The Office Engineer will need up to two (2) working days to conduct initial processing
2. The primary reviewers may require up to the next ten (10) working days
3. The Office Engineer may require up to an added three (3) working days to compile / reconcile submittal review comments, send to NTTA courtesy review for Owner oversight and get response, finalize the submittal and send it to the Contractor.

- 6.4 Submittal Distribution** – The Office Engineer shall utilize Construction Submittal EPDS workflow to distribute the response back to the Contractor as Submitter and copy all preset required contacts in EPDS along any additional names needed whether final approved or returned.

- 6.5** The Office Engineer will upload the final approved documents to EPDS.

- 6.6** NTTA contractually utilizes TxDOT source inspection for (structural components). The link to the current items can be found at:  
[http://ftp.dot.state.tx.us/pub/txdot/mtd/inspection\\_testing.pdf](http://ftp.dot.state.tx.us/pub/txdot/mtd/inspection_testing.pdf)

For TxDOT to perform this service NTTA must send approved shop drawings, properly stamped to the TxDOT Drop Box and the documents need to match exactly to those provided for use in NTTA field inspection. The NTTA Support Staff is responsible for transmittal of this information within ten (10) working days. Many contractors request fabrication inspection at the same time they submit shop drawings for approval to NTTA instead of waiting for sent approval.

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

## 7.0 REGULATORY REQUIREMENTS:

- N/A

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**8.0 RELATED BOARD POLICY:**

- N/A

**9.0 COMPONENT DOCUMENTS:**

- N/A

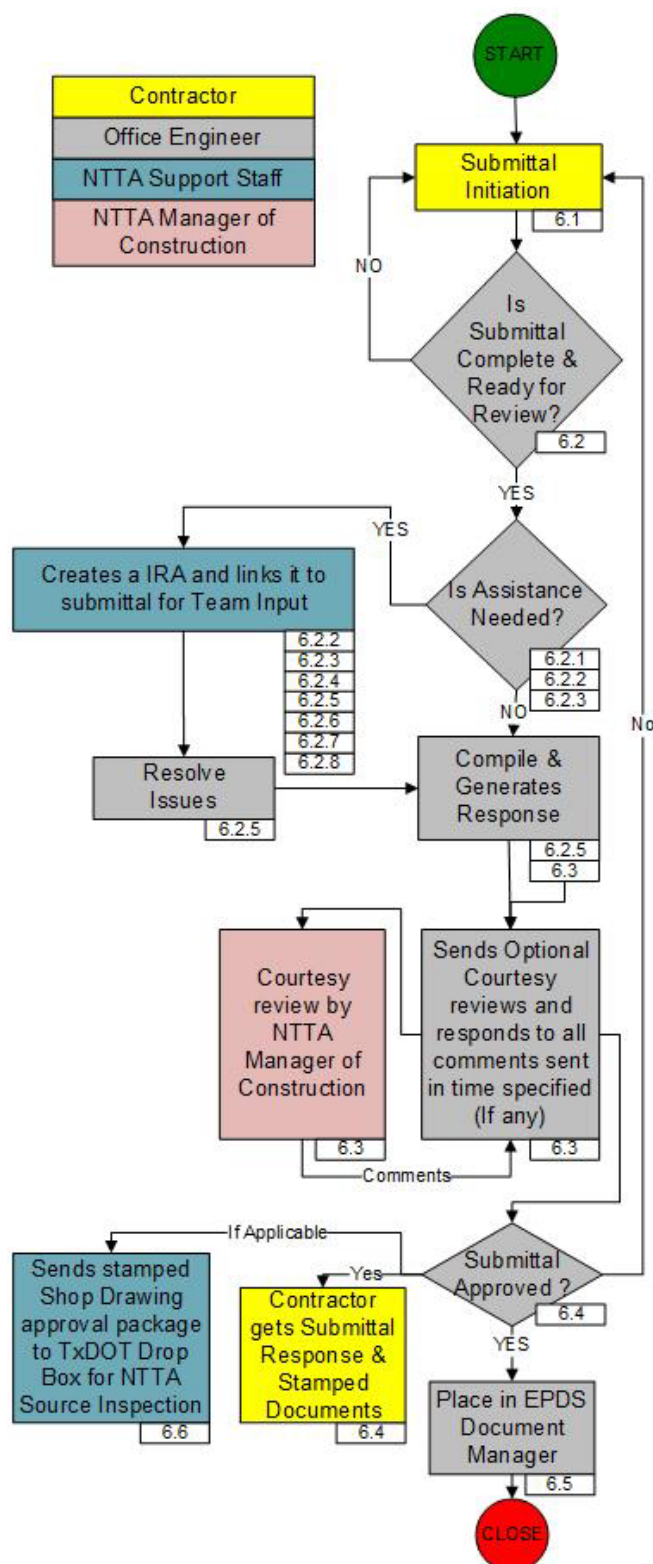
**10.0 FLOWCHART:**

(See next page)

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## Construction Submittal Workflow Process

### Contractor:

- Submits documents via EPDS to the Office Engineer

### Office Engineer:

- Reviews and determines if submittal is complete and ready for review or if clarifications are necessary selects "Return" button in EPDS workflow, adds notes and saves to send back to Submitter

### Office Engineer:

- Office Engineer determines if they can respond directly or if additional expertise is required
- If the submittal is the subject of one of the NTTA Special Items, it shall be sent to the PMC and SME
- If the submittal is the subject of MSE Walls, it shall be sent to the Wall Engineer (if one exists-usually in CM contract), Engineer (both Geotechnical and Structural), Visual Quality (VQ) and all other pertinent parties (see 6.2.8)

### Office Engineer:

- Resolves any issues with the pertinent review team documents
- Compiles, reviews and generates response
- Sends Notification in EPDS of proposed response to NTTA Manager of Construction for courtesy review (No action required – give number of days to wait for response)

### Office Engineer:

- Determines if submittal is acceptable based on courtesy review comments
- If not approved, returns submittal to Contractor within EPDS with response for updates/revisions
- If approved, send approved submittal to Contractor

### Office Engineer:

- All final documents must be found in the attachments tab within the submittal record
- If submittal involves Source Inspection by TxDOT, such as a Shop Drawing, get the approved and stamped submittal information to the appropriate NTTA Support Staff to put in the TxDOT Drop Box

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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	<b>10075</b>	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	<b>10267</b>	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
4	Bryan Dennis	07/23/2025	<b>11142</b>	Update for change in software for EPDS (Moving from Proliance to PMWeb), revised roles and procedures to reflect current practice, updated flowchart.