

## Instructions for Completing the Supplier Document Submittal Form

**NOTE:** *The Fluor Hanford review does not relieve the Contractor from responsibility for compliance with contract requirements.*

### **Block Instruction**

Blocks 1-3 are to be completed by Fluor Hanford (FH) for the contract.

1. Enter the project number assigned by FH (if applicable).
2. Enter the contract number.
3. Enter the task number or phase number (if applicable).

Blocks 4-20 are to be completed by the contractor, except as noted (Blocks 8, 18), upon submittal.

4. Enter the submittal number.
5. Enter submittal version number. Original (first time) version starts with 1. Resubmittals use the next sequential submittal revision number (e.g., 2, 3, 4...).
6. Enter the date the submittal is prepared.
7. Enter the name and address of the Contractor making the submittal. Enter signature and date.
8. Verify the mail stop identification number (MSIN), phone, e-mail, and FAX number for the Project Records Specialist (e.g., FH Document Control) to receive the submittal. This information is provided by FH to the Contractor.
9. Enter the quantity of each hard copy document being submitted to FH followed by “E” if electronic is also being provided. If no hard copies are being provided enter “E” for electronic only.
10. Enter a unique number for each document provided in this submittal (e.g., drawing, specification, plan). If a document number does not exist or is not already assigned, assign one and enter it. Individually list each document being submitted either directly on the submittal form or on an attachment.

**NOTE:** *Do not assign document numbers to documents that already have a unique number, only to those that do not.*

11. Enter the revision of each document listed.

**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.*

12. Check the appropriate document family(s) identified in the submittal register provided by FH.
13. Enter the number of pages for each document.
14. Enter the submittal format for each document. Submittal formats are defined in Block 27.
15. Enter the title and/or a brief description for each document.
16. Enter the submittal type for each document. Submittal types are defined in Block 28, and are as specified on the submittal register.
17. Enter the contract specification or statement of work reference associated with each document.
- 18-19. For FH use (leave blank).
20. Contractor checks “Yes” or “No” to indicate if previous FH comments are addressed as part of the submittal.

Blocks 8, and 21-24 are completed by FH, upon receipt by the Project Records Specialist.

8. Project Records Specialist verifies completeness and correctness of the submittal based on the submittal register, and signs and dates the submittal from indicating receipt of the submittal.
20. Project Records Specialist enters the reviewers’ names and MSINs according to the distribution list provided by the project (i.e., electronic distribution).

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21. Project Records Specialist enters the responsible approver(s) for the submittal based on the distribution list provided by the project.
- 22-23. Project Record Specialist enters the FH review response due date to the designated approver and to the contractor based on information provided by Contract Specialist or Buyer's Technical Representative (BTR).

### Blocks 24 and 26 FH Internal Review

24. FH Reviewer(s) provide comments (if applicable) and forwards to the approver. If "Yes", reviewer enters comments applicable to the submittal, including any discrepancies (e.g., documents, revision numbers, quantities, missing documents). The approver enters "Yes" or "No" to indicate whether any comment attachments are included.
26. **Upon completion of the review**, the reviewer completes this block and provides comments back to the Project Record Specialist or provides verification of receipt via email or hard copy to Project Record Specialist indicating his or her receipt of the document.

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

### Blocks 18, and 19-24; Instructions for Blocks 18-25 (See [HNF-PRO-16405](#), *Submittal Management System*)

18. Project Record Specialist enters an "X" for the appropriate submittal action code identified on the stamped copy of the documents by the approver (see Block 29 for a description of the Submittal Action Code).
19. If the B status is selected in Column 18, check "Yes" or "No" for contractor resubmittal required.
- 20-23. Previously Completed
24. (Previously completed).
25. Approver compiles, and reconciles review comments; and checks "Yes" or "No" on the record copy of the submittal to indicate whether comments are included. If "Yes", the Approver enters comments applicable to the submittal, including any discrepancies (e.g., documents, revision numbers, quantities, missing documents). The approver enters "Yes" or "No" to indicate whether any comment attachments are included.

**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.*

### Block 25, BTR Submittal Approval

26. 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 Specialist and Project Records Specialist (Ref. Submittal Action Code description in Block 29, and submittal action in Block 18).

**NOTE 1:** *Project Record Specialist checks the submittal action code assigned by the approver for each document submitted prior to Project Record Specialist returning the submitted document to the Contractor via the Contract Specialist.*

**NOTE 2:** *Project Record Specialist, or their designee, forwards completed submittal form to the Contract Specialist when the review is completed.*

**NOTE 3:** *The Contract Specialist may advise the Project Record Specialist to forward the completed submittal to the contractor with a copy to the Contract Specialist via email authorization to be maintained in the file.*

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### For Information

- 28. This block defines the submittal formats used by the Contractor in Block 14.
- 29. This block defines the submittal types used by the Contractor in Block 16.

### Expanded Description of Submittal Type (Block 16)

- APP = For Approval (the submittal is provided with the intent that FH will approve the submittal prior to the contractor proceeding with work).
- ACC = For Acceptance (the submittal is provided for information with the intent that FH will accept the submittal)
- AFW = Approval for Work (the submittal is provided with the intent that FH authorizes work to be performed to the submittal)

- 30. This block defines the submittal action codes used in Block 18.

### Expanded Description of Submittal Action Codes and Definition of Contractor Actions (Block 29)

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 - Incorporate and Resubmit YES or NO	Used for all documents submitted as approved for work that are marked with a status of “B” can be used in the field except if the contractor considers a comment as increasing the contract with respect to cost and/or duration or as technically unacceptable. If so, the contractor must notify the project before continuing. Notification must be made in writing in accordance with the contract requirements.
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 “yes” checked on the stamp) or “C”, the contractor shall resolve comments, incorporate those agreed on, and resubmit the document in accordance with their contract.