WORKING COPY

VERIF. DATE: _____

INTIALS: _____

CP3-RD-0012 **FRev. 1**	**TITLE**: Contractor/Supplier Submittal Process	Page 1 of 9

DOCUMENT CATEGORY: ☒ Administrative ☐ Technical

LEVEL OF USE: ☒ Information Level ☐ Reference Level ☐ Continuous Use

FUNCTIONAL AREA: Records and Document Control **SUBJECT MATTER AREA:** Records Management	**SUBJECT MATTER EXPERT**: Carolee Thompson, RMDC Specialist Lead
NUCLEAR SAFETY REVIEW DOCUMENTATION: USQ not required as of 11/16/2017	**APPROVED BY/DATE** (Signature on file): Brad Montgomery, Records and Document Control Manager 12/18/17
REQUIRED REVIEW DATE (or expiration date for temporary change): 12/18/2017	**EFFECTIVE DATE**: 12/20/2017

REVISION/CHANGE LOG

Revision/Change Letter	Description of Changes	Pages Affected	Date of Revision/Change
FR0	Bluesheet.	All	9/21/2017
FR1	Revision from bluesheet, included additional detail and clarification of process, and revised or deleted all forms.	All	12/18/2017

TABLE OF CONTENTS

1.0 PURPOSE AND SCOPE 3
1.1 Purpose 3
1.2 Scope 3
2.0 REFERENCES 3
2.1 Use References 3
2.2 Source References 3
3.0 COMMITMENTS 3
4.0 RESPONSIBILITIES 3
4.1 Subcontract Administrator Group/Business Services 3
4.2 Records Management (RM) 3
4.3 Contract Technical Representative (CTR) 4
4.4 Contractor/Supplier Submittal Reviewer 4
5.0 GENERAL INFORMATION 4
6.0 INSTRUCTIONS 4
6.1 Submittal Register and Log 4
6.2 Submittal Processing and Review 5
6.3 Processing Voided and Cancelled Documents 7
7.0 RECORDS 8
7.1 Records Generated 8
7.2 Records Disposition 8
APPENDIX A – ACRONYMS/DEFINITIONS 9

1.0 PURPOSE AND SCOPE

1.1 Purpose

This procedure provides guidance for the processing and control of contractor/supplier submittals by Paducah Gaseous Diffusion Plant (PGDP) Deactivation & Remediation (D&R) Contractor personnel and subcontractors.

1.2 Scope

This procedure encompasses the methods and requirements for controlling the receipt, review and approval, distribution, and storage of contractor/supplier submittals. This procedure applies to all individuals involved in this process.

This procedure does **not** apply to documents submitted as part of supplier quotations. Following award, any documents requiring submittal per the contract or Purchase Order (PO) are formally submitted by the contractor and processed per the requirements of this procedure.

2.0 REFERENCES

2.1 Use References

- CP3-OP-0024, *Forms Control*
- CP3-RD-0015, *Project Files Management*

2.2 Source References

- CP3-CP-0005, *Preparation of Request for Proposal*
- CP3-OI-0007, *Contract Technical Representative*

3.0 COMMITMENTS

None

4.0 RESPONSIBILITIES

4.1 Subcontract Administrator Group/Business Services

- Controls access to the folder containing the Attachment J-8, *Contractor/Supplier Submittal Register* template.
- Ensures a copy of the completed Attachment J-8, *Contractor/Supplier Submittal Register*, is provided to Records Management (RM) at the time it is provided externally to Contractor/Suppliers.
- Ensures contract includes subcontract Attachment J-6, *Correspondence and Submittal Process* to Contractor/Supplier in order to be compliant with the intent of this procedure.

4.2 Records Management (RM)

- Provides Contractor with copies of forms to be used for submittals and instructions on submittal process.
- Acknowledges receipt of contractor/supplier submittals.
- Logs and routes for review the received contract submittals to the Contract Technical Representative (CTR) and applicable reviewers.

- Receives, logs, and provides reviewed submittals from the CTR to the applicable contractor/supplier in a timely manner.

4.3 Contract Technical Representative (CTR)

- Ensures the completion and inclusion of Attachment J-8, *Contractor/Supplier Submittal Register*, in the acquisition documentation and ensures a copy is sent to RM.
- Leads prioritization sequencing of submittal documents, as applicable.
- Tracks submittal due dates and review dates.
- Receives, compiles, and resolves comments from reviewers.
- Marks the appropriate status code of the submittal, signs, and dates CP3-RD-0012-F02, *Contractor/Supplier Submittal* as the Approver.
- Routes submittal and reviewer comments to RM for processing back to contractor/suppliers.

4.4 Contractor/Supplier Submittal Reviewer

- Reviews submittals in accordance with the contract requirements.
- Forwards completed CP3-RD-0012-F04, *Contractor/Supplier Submittal Review Sheet* to CTR.

5.0 GENERAL INFORMATION

5.1 Contract and/or purchase order (PO) required submittals shall be submitted to the group indicated on Attachment J-8, *Contractor/Supplier Submittal Register*. **If** personnel receive submittal documents that have not been properly processed through RM, **then** documents should be forwarded to RM prior to taking any further actions.

5.2 The standard review period for a contractor submittal is 5 days. **If** the CTR is aware of a submittal document requiring a priority review, **then** the CTR should notify RM to expedite the processing of these documents for review and return to the Contractor.

5.3 The CTR serves as a technical liaison and is responsible for monitoring the Contractor's performance and delivery of the product and/or services. Since the CTR reviews and compiles the review sheets, the CTR has approval authority for all contractor submittals and may direct deviation from the Attachment J-8.

5.4 Forms are to be completed according to requirements listed in CP3-OP-0024, *Forms Control*.

5.5 RM personnel processing contractor submittal records will prepare and submit the records to Records Management. The CTR or Project File Custodian must turn over all other project records including emails according to CP3-RD-0015, *Project Files Management*.

6.0 INSTRUCTIONS

6.1 Submittal Register and Log

<u>Project Manager/Project Engineer/CTR</u>

6.1.1 Obtain the Attachment J-8, *Contractor/Supplier Submittal Register* template from the Subcontract Administrator Group.

6.1.2 Modify the Attachment J-8, template to reflect only submittals needed for the project and include in acquisition documentation.

6.1.3 Notify RM of project start date and provide RM with names of submittal reviewers coinciding with the functional reviewers designated on the Attachment J-8.

CTR

6.1.4 Once contract has been awarded, ensure the contract number, title, and contractor name are included on the Attachment J-8 and forward to RM.

Records Management

6.1.5 **When** a completed Attachment J-8, *Contractor/Supplier Submittal Register* is received, initiate the creation of a submittal log for the project by adding applicable information to the Contractor/Supplier Submittal Database. Include, at a minimum, the following:

- Submittal Number
- Submittal Title
- Submittal Reviewers
- Submittal Approval Status

6.1.6 Contact the designated Contractor and provide the following:

- CP3-RD-0012-F02, *Contractor/Supplier Submittal*
- Instructions for submitting documents required by the J-8
- Instructions for protecting submittals containing Personally Identifiable Information (PII)
- Project-specific password, if applicable

6.2 Submittal Processing and Review

Records Management

6.2.1 Upon receipt of contractor submittal, verify submittal number, title, and content matches Attachment J-8, *Contractor/Supplier Submittal Register*.

6.2.2 Ensure the number of pages submitted matches the document page count listed on CP3-RD-0012-F02, *Contractor/Supplier Submittal*.

6.2.3 Date stamp the received CP3-RD-0012-F02, submittal cover sheet.

6.2.4 **If not** received as one document, **then** combine CP3-RD-0012-F02 and the submittal document prior to sending for review.

6.2.5 Insert submittal information on CP3-RD-0012-F04, *Contractor/Supplier Submittal Review Sheet.*

NOTE:

Only the CTR needs to review submittal revisions which result from incorporating comments from a submittal which was previously assigned a B-Status.

6.2.6 **If** submittal is a revision **and** the previous revision was designated "B-CHANGE as noted and RESUBMIT," **then** send the submittal and review sheet only to the CTR.

6.2.7 **If not** a revision to a submittal previously designated "B-CHANGE as noted and RESUBMIT," **then** route received submittal to the CTR and designated reviewers along with CP3-RD-0012-F04, *Contractor/Supplier Submittal Review Sheet*.

6.2.8 **When** routing a submittal for review, include who the review sheets are to be returned to **and** the review period or response due date.

6.2.9 Add submittal information to the Contractor/Supplier Submittal Database and update fields as appropriate.

CTR

6.2.10 **If** submittal is a revision and the previous revision was designated "B-CHANGE as noted and RESUBMIT," **then** verify the comments were incorporated and/or resolved appropriately, sign **and** date the review sheet and submittal cover sheet **and** go to Step **6.2.18**.

Contractor/Supplier Submittal Reviewer

6.2.11 Review submittal in accordance with the contract and document comments on CP3-RD-0012-F04, *Contractor/Supplier Submittal Review Sheet*.

6.2.12 Circle the appropriate status code ('A', 'B', 'C', 'D'), ensure name and function are printed in Reviewer block, **and** sign and date CP3-RD-0012-F04, *Contractor/Supplier Submittal Review Sheet*. Return form to CTR and/or designated individual.

6.2.13 **If** comments were written in the submittal and not transcribed to the review sheet, **then** return the entire submittal document to the CTR and/or designated individual.

CTR

6.2.14 Review submittal documents to ensure reviews were done correctly and documentation was completed.

6.2.15 Resolve any conflicting comments as applicable.

6.2.16 Unless resolved internally and documented as such, mark submittal cover with the lowest status code ('A', 'B', 'C', 'D') designated by a reviewer.

6.2.17 After marking the status, sign and date the submittal cover CP3-RD-0012-F02, *Contractor/Supplier Submittal*.

6.2.18 Forward to RM the completed submittal cover, completed review sheets, and any markups or other applicable information to be sent to the Contractor.

Records Management

6.2.19 Quality check received submittal documents to ensure documentation was completed in accordance with the requirements of this procedure and CP3-OP-0024, *Forms Control*.

6.2.20 Consolidate the submittal document and all review sheets into one submittal package. The preferred order is

- Signed cover sheet, CP3-RD-0012-F02, *Contractor/Supplier Submittal*
- Submittal document
- Signed review sheets, CP3-RD-0012-F04, *Contractor/Supplier Submittal Review Sheet* and any applicable markups

6.2.21 Mark each page of the submittal package with the following:

- Submittal number
- Status
- Status date
- Approver

6.2.22 Forward completed and signed submittal package back to the applicable Contractor/Supplier and those identified on Attachment J-8, *Contractor/Supplier Submittal Register* under the submittal distribution column.

6.2.23 Update Contractor/Supplier Submittal Database with applicable information.

6.3 Processing Voided and Cancelled Documents

Project Manager/CTR

6.3.1 Notify RM in writing when a submittal document is voided or cancelled.

Records Management

6.3.2 Document in the Contractor/Supplier Submittal Database that the submittal document is voided or cancelled.

6.3.3 Retrieve the electronic version of the submittal and mark as cancelled or voided, as appropriate.

6.3.4 Forward modified submittal package to the applicable Contractor/Supplier and those identified on Attachment J-8, *Contractor/Supplier Submittal Register* under the submittal distribution column.

CTR

6.3.5 Ensure field copies of submittals are either destroyed or replaced with the appropriately marked version.

7.0 RECORDS

7.1 Records Generated

The following records may be generated by this procedure:

- Attachment J-8, *Contractor/Supplier Submittal Register*
- CP3-RD-0012-F02, *Contractor/Supplier Submittal*
- CP3-RD-0012-F04, *Contractor/Supplier Submittal Review Sheet*
- Submittal Document

7.2 Records Disposition

The records are to be maintained in accordance with CP3-RD-0010, *Records Management Process*.

Appendix A – Acronyms/Definitions

ACRONYMS

CTR – Contract Technical Representative

PII – Personally Identifiable Information

PO – Purchase Order

RM – Records Management

DEFINITIONS

Contractor Supplier/Submittal Register – A document used to identify submittals required from the Contractor for each contract. The register is also referred to as a J-8.

Status – General term for the state of an in-process submittal. The following identifiers are used to indicate the status of submittals:

- **A** – Approved or Accepted
- **B** – Approved as Noted, **or** Change as Noted and Resubmit
- **C** – Not Approved, Change as Noted and Resubmit
- **D –** Information Only, Receipt Acknowledged

Submittal – Document and data required from a supplier or contractor in order to meet contract requirements.