| **1.0 CONSTRUCTOR** | | | |
| --- | --- | --- | --- |
| 1.0 LANL Critical Review Yes No | | | |
| 1.1 Project ID Number:  Click here to enter text. | | 1.2 Project Title (with Technical Area-Building, if applicable):  Click or tap here to enter text. | |
| 1.3 Constructor and Project Information | | | |
| LANL Self-Perform  CSR  FSR  # Click or tap here to enter text. | | | Construction Subcontractor  Subcontractor Name: Click or tap here to enter text.  Subcontract Number: Click or tap here to enter text.  STR Name: Click or tap here to enter text. |
| 1.4 Date Submitted: Click enter a date. | | | 1.5 Requested Response Date: Click enter a date. |
| 1.6 DCF No.:Click or tap here to enter text. | | | 1.7 Management Level:  ML-1  ML-2  ML-3  ML-4 |
| 1.8 EIL No(s): Click or tap here to enter text. | | | 1.9 CBOM No(s): Click or tap here to enter text. |
| 1.10 Specification Section and Rev.:Click or tap here to enter text. | | | 1.12 Submittal Sequence Number from Log and Submittal Description:  Click or tap here to enter text. |
| 1.11 Specification Section Title.:Click or tap here to enter text. | | |
| 1.13 Submittal Iteration:  Initial Submittal of New Document  Re-Submittal of Previous Document | | | |
| 1.14 Submittal Revision Comments: | | | |
| Rev # | Comments | | |
| 0 | Click or tap here to enter text. | | |
| ## | Click or tap here to enter text. | | |
| 1.15 Review Type:As indicated in 01 3300 Attachment A - Construction Submittal Log for the project.  Action Submittal – Review and response required prior to work proceeding.  Informational Submittal – Review required for acceptance, but work may proceed prior to review.  Delegated Design Submittal – Review and response required prior to work proceeding. | | | |
| 1.16 Submittal Media (Attachments)  PDF  Physical Sample  Electronic Data (program type such as .cad, .xls etc.) | | | |
| 1.17 Submittal Content:  Complete Submittal - Submittal has been reviewed, checked, and approved for compliance with the Subcontract Documents by the Constructor.  Partial Submittal - Submittal has been reviewed, checked, and approved for compliance with the Subcontract Documents by the Constructor as indicated in the comments below. Future revisions will document compliance with requirements as noted in the exceptions below.  Comments: Click or tap here to enter text.  Exceptions: Click or tap here to enter text. | | | |
| Submittals shall be electronic (pdf) and sent in by email unless the Specification Section or LANL STR/RE directs otherwise. | | | |

| **2.0 EXTERNAL DESIGN AGENCY REVIEW** | | |
| --- | --- | --- |
| 2.0  Section 2.0 is Not Applicable (N/A) when External Design Agency not present. | | |
| 2.1 Statused By (Name and Date) | Click or tap here to enter text. | Click enter a date. |
| 2.2 Comments:  Click or tap here to enter text. | | |
| 2.3 Status Code:  Click or tap here to enter text. | | |

| **3.0 LANL REVIEW** | | |
| --- | --- | --- |
| LANL STR/RE: If LANL’s electronic review system (ERS) will not be used for submittal routing, then the LANL STR/RE is responsible for initiating routing of the submittal to the designated LANL Submittal Reviewers. | | |
| .1 Statused By (Name and Date) | Click or tap here to enter text. | Click enter a date. |
| 3.2 Comments:  Click or tap here to enter text. | | |
| 3.3 Status Code:  1 Reviewed & Accepted as Submitted, Resubmission Not Required. Work may proceed, comments may be noted.  Comments  No Comments  2 Reviewed & Accepted as Noted. Work may proceed subject to incorporation of comments. Resubmission Required for Record prior to project closeout.  3 Not Accepted, Revise and Resubmit. Work shall not proceed.  *Note: Constructor to ensure submittal is complete on resubmission.*  4 Rejected. Work shall not proceed.  *Note: Constructor to ensure submittal is complete on resubmission.*  5 Permission to Proceed Not Required. | | |

**general**

1. These instructions are for completing the form and are not part of the completed form. These instructions shall not be printed with the form.
2. These instructions apply to 01 3300 FM01, *Submittal Transmittal (SBT).*
3. This form is associated with 01 3300, *Submittal Procedures* specification section.
4. Constructor shall use the Submittal Transmittal Form (01 3300 FM01) when transmitting each submittal.
   1. The purpose of the Submittal Transmittal Form (01 3300 FM01) is to provide a cover sheet for transmission of the submittal to the Design Agency and LANL (when applicable for subcontracted design work).
   2. The form includes information regarding the submittal and allows the External Design Agency (when applicable) and LANL to provide a status code that communicates to the Constructor on whether Work related to the submittal can proceed or not.
5. The Constructor is responsible for managing the submittals and transmitting them to the Design Agency and LANL (when applicable for subcontracted design work) for review. The LANL Subcontract Technical Representative (STR)/Responsible Engineer (RE), is responsible for coordinating the reviews with the LANL Submittal Reviewers (or LANL Subject Matter Expert (SME) reviewers). Typically, the LANL RE is a LANL Project Engineer.
6. Section 1.0 of the form is to be completed by the Constructor. Section 2.0 of the form is to be completed by the External Design Agency for subcontracted design work. Section 3.0 of the form is to be completed by the LANL RE based on input from the LANL Submittal Reviewers.
7. In these instructions, 01 3300 Attachment A - Construction Submittal Log is also referred to as submittal log (for simplicity).

**section 1.0 CONSTRUCTOR**

Some of the information captured in this section (DCF #, ML #) is developed as part of the project and communicated between the Constructor and LANL STR/RE through the Subcontract Documents.

| **Field** | **Entry Information** |
| --- | --- |
| 1.0 | Constructor identifies whether submittal requires *LANL Critical Review* per the submittal log by checking box “Yes” or “No”. |
| 1.1 | Constructor enters the Project Identification (ID) Number. |
| 1.2 | Constructor enters the Project Title (with Technical Area-Building associated with project, if applicable). |
| 1.3 | Constructor enters project information in this section.  For LANL self-perform work, Constructor to check the “LANL Self-Perform” box, check the “CSR” or “FSR” box as applicable, and enter the Construction Service Request (CSR) or Facility Service Request (FSR) number.  For subcontracted work, Constructor to check “Construction Subcontractor” box, and enter information in the “Subcontractor Name”, “Subcontract Number” and “STR Name” entries. |
| 1.4 | Constructor enters Date when submittal is transmitted to LANL. |
| 1.5 | Constructor enters Date when response requested from LANL. |
| 1.6 | Constructor enters the Design Change Form (DCF) number. |
| 1.7 | Constructor checks the box corresponding to the appropriate Management Level (ML) (ML-1, ML-2, ML-3, ML-4). |
| 1.8 | Constructor enters Equipment and Infrastructure List (EIL) number (if applicable, e.g., for TA55). |
| 1.9 | Constructor enters Consolidated Bill of Materials (CBOM) number for materials associated with submittal (if applicable). |
| 1.10 | Constructor enters Specification Section Number and Revision. For example, *03 3001 Rev 0*. |
| 1.11 | Constructor enters Specification Section Title. For example, *Reinforced Concrete.* |
| 1.12 | Constructor enters Submittal Sequence Number based on entry in 01 3300 Attachment A - Construction Submittal Log and includes a description. Each submittal sequence shall be a separate submittal, unless agreed otherwise by the LANL STR/RE.  For example, in the submittal log in Spec Section 03 3001, submittal #4 is related to Test Data on concrete mix materials and concrete mixtures. In this case, submittal sequence number and description is: *4 Test Data on concrete mix materials and mixtures.* |
| 1.13 | Constructor checks box for “Initial Submittal of New Document” when submitting the first time (typically starts at Rev. 0). Otherwise, Constructor checks box for “Re-Submittal of Previous Document.” |
| 1.14 | Constructor enters Revision Number and Summary of Changes for each revision. |
| 1.15 | Constructor checks the box corresponding to the Review Type for the submittal (i.e., “Action”, “Informational”, or “Delegated Design”) based on 01 3300 Attachment A - Construction Submittal Log for the project. |
| 1.16 | Constructor checks the box for the Submittal Media, i.e., “PDF”, “Physical Sample”, or “Electronic Data (other than PDF).” |
| 1.17 | Constructor checks the box to identify whether the Submittal Content is “Complete” or “Partial.” By checking the box, Constructor attests that the submittal has been reviewed, checked, and approved prior to sending for review.  For partial submittals, Constructor can also include additional comments and exceptions in this section regarding the submittal content. Comments shall include notes on what is included in the partial submittal; Exceptions shall include content to be included in future revisions.  NOTES:   * Partial submittals are not eligible for LANL Status *Code 1* due to missing content and shall require resubmission until the content is complete and/or corrections incorporated. * Re-submittal of partial submittals shall include approved content from previous partial submittal with new content or corrections to previous partial submittal. See 01 3300 for more details. For example, if partial submittal 03 3001-4 Rev 0 includes concrete mix test result A which is approved, and an additional concrete test result B is added later, 03 3001-4 Rev 1 would include both the approved concrete mix test result A from Rev 0 and new test result B from Rev 1. |

**section 2.0 EXTERNAL DESIGN AGENCY REVIEW**

Section 2.0 only applies when an External Design Agency for subcontracted design work is present.

| **Field** | **Entry Information** |
| --- | --- |
| 2.0 | When External Design Agency is not present, LANL RE checks box indicating this Section is N/A and proceeds to Section 3.0. |
| 2.1 | External Design Agency RE/EOR enters their name and date when the review is complete. |
| 2.2 | External Design Agency RE/EOR enters any comments, if applicable, related to the review of the submittal. |
| 2.3 | External Design Agency RE/EOR enters the status code and its definition for the submittal based on their review. |

**section 3.0 LANL REVIEW**

Section 3.0 applies to LANL, either when LANL is the Design Agency or the Reviewer for subcontracted design work. When an External Design Agency is present for subcontracted work, LANL will review the submittal when it is identified as a “LANL Critical Review”, unless noted otherwise.

| **Field** | **Entry Information** |
| --- | --- |
| 3.1 | LANL RE enters their name and date when the review is complete. |
| 3.2 | LANL RE enters any comments, if applicable related to the review of the submittal. |
| 3.3 | LANL RE checks the box for the status code for the submittal based on LANL SME input. Refer to Section 01 3300 for full submittal code definitions and notes. |