



# Submittals Review

## K-12 Legacy

# Purpose & Procedure

- ▶ The purpose of the Submittals BP is to provide a means for managing and tracking the various forms of submittals required for a successful construction project.
- ▶ The Submittals BP is used by contractors for the submission, review and approval of submittals as stipulated in the contract documents

- ▶ Workflow

Created by: **Contractor** → Sent to: **A/E Review** → Sent to: **Contractor Update, Consultant Review, or Hold Notice Notification**

# Roles & Responsibilities

- ▶ Contractor

- ▶ Submits documents, samples, etc. to A/E (A/E) for conformance with contract documents

- ▶ A/E

- ▶ Reviews the contractor submittals for conformance with contract requirements
- ▶ Advises contractors of submittals held for coordination of colors, patterns, etc.
- ▶ Returns incomplete or unacceptable submittals to the contractor
- ▶ Coordinates review of submittals with their consultants
- ▶ Advises Lead Contractor (non-CM projects) of submittal review status for scheduling purposes

# Contractor Submission

- ▶ If Submittals are attached to the BP record the Contractor will Select Workflow Action: Submit
- ▶ If Submittals are submitted separately they will select Workflow Action: Submit via Transit
- ▶ The A/E will then receive this record as a Task

Workflow Actions: Submit, Submit via Transit

Project Number: SFC-080001.01  
Project Name: Oak Hills Local Building Project  
Organization Name:   
Facility Name:   
Record Number:   
Creator: Katie Tuttle  
Creation Date:   
Status:   
Due Date:   
Title: Test Submittal

Submit  
To: Barbara Taylor, Katie Tuttle, Kaylie Ruf, Moeniq  
Cc:   
Task Due: 05/03/2016  
Task Notes:   
Send For: AE Review

Name	Line Item Status	Status Date	Variation?	Type
Docusign-job-aid.pdf	Submitted	04/19/2016	No	

# Submittals in Transit Await

- ▶ Submittals not sent to the A/E electronically may take one or more days in transit. This step allows the record to account for submittals in transit and delay the start of the A/E's 14-day review period until receipt of the documents by the A/E.
- ▶ Upon receipt of delivery, the A/E must move the record into the A/E Review step.

# Submittals in Transit Await

- ▶ A/E Receives and email that they have a task to complete
- ▶ Log into OAKS CI and locate your project
- ▶ Navigate to Collaboration -> Tasks
- ▶ Double click the Submittal record to open

The screenshot shows the Primavera Unifier web interface. The browser address bar indicates the user is logged in as Katie Tuttle. The interface displays a list of tasks under the 'Tasks' tab. The table below shows the task details:

Type	Number	Title	Record Due	From
Submittals K12	SUB-0003	Mailing Submittal		Katie Tuttle, s
Submittals K12	SUB-0002	Test Submittal		Katie Tuttle, s
Contract Modification K12	CM-0003	Test		Katie Tuttle, s
Applications for Payment K12	PR-0003	App #001		Katie Tuttle, s
Contract Modification K12	CM-0002	Test 2		Katie Tuttle, s
Contract Modification K12	CM-0001	Test		Katie Tuttle, s
Contract Schedule of Values K12	SOV-002	Test 2 SOV		Katie Tuttle, s
Request for Interpretation K12	RFI-01	Test RFI		Katie Tuttle, s
Submittals K12	SUB-0001	Test Submittal		Katie Tuttle, s
Contract K12	CON-003	Test Contract 3		Katie Tuttle, s

# Submittals in Transit Await

- ▶ Click Accept Task
- ▶ Review the lower form of the Submittal record to confirm receipt of non-electronically submitted documents

Submittals - 1001 Sanitary SewerSubmittal - Project No. SFC-130336.01 - Internet Explorer

https://oaksci.osfc.ohio.gov/bp/studio/bp/log/open?srcid=3795&model=us1&fromcostlog=1&project\_id=1137

File Edit View Actions Help

**Accept Task** Decline Task Close Window

**Submittals K12**

**General**

Project Number: SFC-080001.01 Record Number: SUB-0003  
Project Name: Oak Hills Local Building Project Creator: Katie Tuttle  
Organization Name: Creation Date: 04/19/2016 06:17 AM (UTC-8)  
Facility Name: Status: Pending  
Title: Mailing Submittal Due Date:

**Task Details**

From: Katie Tuttle Task Due Date: Task Notes (0)  
To: A. E. Barbara Taylor More Task Status: Not Started  
Cc:  
Sent For: Submittals in Transit Await

**Submittals List**

Attachment Index (1) Current View: All Display Attachments with Comments by: All  
New Rename Move Delete 1 Item(s) Page 1 of 1 Display 100 Items Per Page

Attachment Index	Name	Line Item Status	Status Date	Variation?	Type
	Floor Sample	Submitted	04/19/2016	No	

Comments Download Find References

Linked Records (0) General Comments Linked Mail (0)

# Submittals in Transit Await

- ▶ Record will remain in A/E Hold step until submittal is received by the A/E
- ▶ Select Workflow Action: Submittal Received
- ▶ Record will now be sent to the A/E Review Step

Submittals - 5083 033000 Vapor Barrier Data - Project No. SFC-130336.01 - Internet Explorer

https://oaksci.osfc.ohio.gov/bp/studio/bp/log/open?srcid=77598&model=us1&fromcostlog=1&project\_id=1137

File Edit View Actions Help

Send Save Spelling... Discussion Close Window

Workflow Actions Submittal Receive  
Submittal Received

Submittals K12

General

Project Number: SFC-080001.01 Record Number: SUB-0003  
Project Name: Oak Hills Local Building Project Creator: Katie Tuttle  
Organization Name: Creation Date: 04/19/2016 06:17 AM (UTC-8)  
Facility Name: Status: Pending  
Title: Mailing Submittal Due Date:

Action Details

Submittal Received (Click here to view latest content)

To... Barbara Taylor,Katie Tuttle,Kaylie Ruf,Moening Task Due: 05/03/2016 Task Notes:

Cc...  
Send For: AE Review

Submittals List

Attachment Index : (1) Current View: All Display Attachments with Comments by: All

New Rename Move Delete 1 Item(s) Page 1 of 1 Display 100 Items Per Page

Name	Line Item Status	Status Date	Variation?	Type
Floor Sample	Submitted	04/19/2016	No	

Add Copy Import Remove Comments Download Find Reference

Linked Records (0) General Comments Linked Mail (0)

# A/E Review

- ▶ Navigate to Collaboration -> Tasks
- ▶ Double click the Submittal record to open

The screenshot shows the Primavera Unifier web interface. The browser address bar displays the URL: [https://oaksci.osfc.ohio.gov/bp/nav/main/user#t:'us\\_sf,m'/user',p:1137,k:'project\\_tasks'](https://oaksci.osfc.ohio.gov/bp/nav/main/user#t:'us_sf,m'/user',p:1137,k:'project_tasks'). The user is identified as Katie Tuttle. The interface shows a navigation menu on the left with 'Tasks' selected. The main content area displays a table of tasks under the heading 'Tasks - Current View: All'. The table has columns for Type, Number, Title, Record Due, and From. The second row, 'Submittals K12' with Number 'SUB-0002' and Title 'Test Submittal', is highlighted with a red box. A red arrow points to this row from the right side of the screen.

Type	Number	Title	Record Due	From
Submittals K12	SUB-0003	Mailing Submittal		Katie Tuttle, s
Submittals K12	SUB-0002	Test Submittal		Katie Tuttle, s
Contract Modification K12	CM-0003	test		Katie Tuttle, s
Applications for Payment K12	PR-0003	App #001		Katie Tuttle, s
Contract Modification K12	CM-0002	Test 2		Katie Tuttle, s
Contract Modification K12	CM-0001	Test		Katie Tuttle, s
Contract Schedule of Values K12	SOV-002	Test 2 SOV		Katie Tuttle, s
Request for Interpretation K12	RFI-01	Test RFI		Katie Tuttle, s
Submittals K12	SUB-0001	Test Submittal		Katie Tuttle, s
Contract K12	CON-003	Test Contract 3		Katie Tuttle, s

# A/E Review

- ▶ Click Accept Task

Submittals - 5083 033000 Vapor Barrier Data - Project No. SFC-130336.01 - Internet Explorer

https://oaksci.osfc.ohio.gov/bp/studio/bp/log/open?scid=7759&tmodel=us1&fromcostlog=1&project\_id=1137

File Edit View Actions Help

Accept Task Decline Task Close Window

Submittals K12

General

Project Number: SFC-080001.01 Record Number: SUB-0002

Project Name: Oak Hills Local Building Project Creator: Katie Tuttle

Organization Name: Creation Date: 04/19/2016 06:13 AM (UTC-8)

Facility Name: Status: Pending

Title: Test Submittal Due Date:

Task Details

From: Katie Tuttle Task Due Date: 05/03/2016 Task Notes (0)

To: A. E. Barbara Taylor More... Task Status: Not Started

Cc: Sent For: AE Review

Submittals List

Attachment Index (1) Current View: All Display Attachments with Comments by: All

New Rename Move Delete 1 Item(s) Page 1 of 1 Display 100 Items Per Page

Name	Line Item Status	Status Date	Variation?	Type
Docusign-job-aid.pdf	Submitted	04/19/2016	No	

Comments Download Find References

Linked Records (0) General Comments Linked Mail (0)

# A/E Review

- ▶ Review the Submittal record, Attachments and any submittal items received by courier or other means for conformance with Contract requirements.
- ▶ The submitted items may be part of the electronic record or may be a hard copy document, sample, etc.
- ▶ If the submittal item is not attached to the record, record the Received Date of each item in the lower form Non-Electronic Submissions Block.
- ▶ All electronic submissions will automatically record the Sent and Received Dates.

The screenshot displays a web application window titled "Submittals - 5083 033000 Vapor Barrier Data - Project No. SFC-130336.01 - Internet Explorer". The browser address bar shows the URL: [https://oaksci.osfc.ohio.gov/bp/studio/bp/log/open?srcid=7759&model=us1&fromcostag=1&project\\_id=1137](https://oaksci.osfc.ohio.gov/bp/studio/bp/log/open?srcid=7759&model=us1&fromcostag=1&project_id=1137). The interface includes a menu bar (File, Edit, View, Actions, Help) and a toolbar with icons for Send, Save, Spelling, Discussion, and Close Window. The main content area is divided into sections: "General" (Submittals K12), "Action Details", and "Submittals List". The "Submittals List" section shows "Attachment Index : (1)" and "Current View: All". Below this, there are controls for "New", "Rename", "Move", and "Delete", and a "Page 1 of 1" indicator. The "Attachments" section contains a table with one row highlighted in red:

	Name	Line Item Status	Status Date	Variation?	Type
	Docusign-job-aid.pdf	Submitted	04/19/2016	No	

At the bottom of the window, there is a toolbar with icons for Add, Copy, Import, Remove, Comments, Download, Find, and Reference. The status bar at the very bottom shows "Linked Records (0)", "General Comments", and "Linked Mail (0)".

# A/E Review

- ▶ When the review of a submittal item is completed, in the lower form, open the Submittal Line Item record for the submitted item and enter the appropriate review determination in the Line Item Status field.
- ▶ The default status will read Submitted.
- ▶ Enter Conformed, Conformed as Noted, Revise and Resubmit or No Action Required.
- ▶ Enter the Status Date when one of the four final review determinations is entered.

The screenshot shows a web browser window titled "Line Item - Internet Explorer" with the URL [https://oaksci.osfc.ohio.gov/bp/studio/bp/document/itemopen?group\\_id=-1&a=form.0&id=0&model=](https://oaksci.osfc.ohio.gov/bp/studio/bp/document/itemopen?group_id=-1&a=form.0&id=0&model=). The page displays a "Submittals K12 Line Item" form. The form includes fields for "Name" (DocuSign-job-aid.pdf), "Type" (Sample), and "Variation from Contract Documents?". A dropdown menu for "Line Item Status" is open, showing options: Submitted, Conforms, Conforms as Noted (highlighted), Held, No Action Required, Received, Rejected, Requested, Revise & Resubmit, and Submitted. Below the status dropdown is a "Status Date" field. The form also has sections for "Non-Electronic Submissions" (with "Sent Date" and "How Was It Sent?" fields), "Notes" (with a text area containing "I have reviewed and verify that this conforms to specifications."), and "Publish Submittals" (with a "Path" field). At the bottom, there are "OK" and "Cancel" buttons and a "Linked Records (0)" link.

# A/E Review

- ▶ Notice that the line item status has changed from “Submitted” to “Conforms as Noted”

Submittals - 5083 033000 Vapor Barrier Data - Project No. SFC-130336.01 - Internet Explorer

https://oaksci.osfc.ohio.gov/bp/studio/bp/log/open?srcid=77598&model=us1&fromcostlog=1&project\_id=1137

File Edit View Actions Help Workflow Actions -Select-

Send Save Spelling... Discussion Close Window

**General** Submittals K12

Project Number: SFC-080001.01 Record Number: SUB-0002  
Project Name: Oak Hills Local Building Project Creator: Katie Tuttle  
Organization Name: Creation Date: 04/19/2016 06:13 AM (UTC-8)  
Facility Name: Status: Pending  
Title: Test Submittal Due Date:

**Action Details**

(Click here to view latest content)

To...  
Cc...  
Send For:

Task Notes:

**Submittals List**

Attachment Index : (1) Current View: All Display Attachments with Comments by: All

New Rename Move Delete 1 Item(s) Page 1 of 1 Display 100 Items Per Page

Name	Line Item Status	Status Date	Variation?
DocuSign-job-aid.pdf	Conforms as Noted	04/19/2016	No

Add Copy Import Remove Comments Download Find Reference

Linked Records (0) General Comments Linked Mail (0)

# A/E Review

- ▶ Choose the appropriate workflow action:
  - ▶ Accepted -> Record goes to the End step
  - ▶ Send for Consultant Review
  - ▶ Return for Clarification -> Goes back to the Contractor
  - ▶ Send Hold Notice
- ▶ Click Send

The screenshot shows a web browser window with the URL [https://oaksci.osfc.ohio.gov/bp/studio/bp/log/open?srcid=77598&model=us1&fromcostlog=1&project\\_id=1137](https://oaksci.osfc.ohio.gov/bp/studio/bp/log/open?srcid=77598&model=us1&fromcostlog=1&project_id=1137). The page title is "Submittals - 5083 033000 Vapor Barrier Data - Project No. SFC-130336.01 - Internet Explorer". The main content area is titled "Submittals K12" and contains a form with the following fields:

Project Number:	SFC-080001.01	Record Number:	SUB-0002
Project Name:	Oak Hills Local Building Project	Creator:	Katie Tuttle
Organization Name:		Creation Date:	04/19/2016 06:13 AM (UTC-8)
Facility Name:		Status:	Pending
Title:	Test Submittal	Due Date:	

Below the form is the "Action Details" section, which includes an "Accept" button with a link to view the latest content, and fields for "To...", "Cc...", and "Send For: End". There is also a "Task Notes" section.

The "Submittals List" section shows a table with one item:

Name	Line Item Status	Status Date	Variation?
Docusign-job-aid.pdf	Conforms as Noted	04/19/2016	No

A red arrow points to the "Accept" option in the "Workflow Actions" dropdown menu.

# A/E Review

- ▶ Important Note: If the line items of a submission receive a varying determination in the status (conforms vs. revise and submit, etc.) select the corresponding worst case workflow action when forwarding the record and communicate this information with the Contractor for scheduling and coordination purposes.

# Questions?

Please contact OAKS CI Support Desk:

[oaksci@ofcc.ohio.gov](mailto:oaksci@ofcc.ohio.gov)

614.644.2211