

Instructions for Completing the Subcontractor Document Submittal Form

NOTE: *The Mission Support Alliance review does not relieve the Subcontractor from responsibility for compliance with Subcontract requirements.*

Block Instruction

Blocks 1-2 information for these blocks to be provided by Mission Support Alliance (MSA) for the Subcontract

1. Enter the project number assigned by MSA (if applicable).
2. Enter the Subcontract number and the task, release or phase number (if applicable).

Blocks 3-19 to be completed by the Subcontractor, excluding as noted (Blocks 7, 17 and 18)

3. Enter the submittal number identified on register.
4. Enter submittal version number. Original (first time) version starts with 1. Resubmittals use the next sequential submittal version number (e.g., 2, 3, 4...).
5. Enter the date the submittal is prepared.
6. Enter the name and address of the Subcontractor making the submittal. Enter name and date of originator of submittal form.
7. **MSA Use** – Leave blank: Project Records Specialist (e.g., MSA Document Control) receiving the submittal will update form with signature and receipt date, acknowledge receipt via e-mail or fax of signed and dated hard copy.
8. Enter the quantity of each document being submitted to MSA. If submitted electronically, and no hard copies are being provided, enter “E” for electronic only (see register for requirements).
9. Enter document number for each document provided in this submittal (e.g., drawing, specification, plan). If the document does not have a number, or is miscellaneous data (qualifications, etc.), assign a tracking number and enter it (example – 12345-Test Report-001). Individually list each document being submitted either directly on the submittal form or on an attachment. (Example: if you were submitting multiple drawings, enter “see attached list” and provide list identifying drawing numbers, revision and title for each.)

NOTE: *Do not assign document numbers to documents that already have a designated unique number (i.e., drawings, specs, etc.), only to those that do not.*

10. Enter the revision of each document listed. If document has no revision, enter NA.

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.*

11. Check the appropriate Document TYPE(s) Discipline/Organization identified on the submittal register provided by MSA. Documents may have more than one (1) type checked in this section.

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12. Enter the number of pages for each document.
13. Enter the submittal format for each document. Submittal formats are defined in Block 27.
14. Enter the title and/or a brief description for each document (**NOT THE SUBMITTAL DEFINITION ON THE REGISTER**).
15. Enter the submittal approval type required for each document. Submittal approval types are defined in Block 28, and are as specified on the submittal register.
16. Enter the statement of work or specification reference associated with each document as identified on the submittal register.
19. Subcontractor indicates any special instructions or remarks related to the documents on this version of submittal to MSA.

Blocks 7, and 20 through 23, 26 are completed upon receipt by MSA Project Records Specialist

7. Project Records Specialist (e.g., MSA Document Control) receiving the submittal will update form with signature and receipt date, acknowledge receipt via e-mail or fax of signed and dated hard copy to Subcontractor with copy to Contract Specialist.
20. Project Records Specialist enters the reviewers identified on the distribution list provided by the project (i.e., electronic distribution).
21. Project Records Specialist enters the approver(s) for the submittal based on the distribution list provided by the project.
22. Project Records Specialist enters due date reviewers are to provide comments to the approver of the submittal based on the MSA Buyer Time on the submittal register, or information provided by the Contract Specialist (CS) or Buyer's Technical Representative (BTR).
23. Project Records Specialist enters the MSA review response due date to the Subcontractor based on MSA Buyer Time on the submittal register, or information provided by Contract Specialist (CS) or Buyer's Technical Representative (BTR).

NOTE: *Upon completion of the steps above, Project Records Specialist will generate a review of the submittal to all reviewers and approvers identified on distribution list via electronic e-mail with voting buttons identifying all of the Action Codes in Block 29 or by hard copy distribution to each person identified on distribution list. Document Tracking system will be updated with current status of submittal indicating received date, distribution date and due date.*

26. Project Records Specialist signs and dates submittal form to indicate date completed and returned to Subcontractor.

Blocks 24 and 25 MSA Internal Review

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24. MSA Approver(s) enters comments applicable to the submittal, including any discrepancies (e.g., documents, revision numbers, quantity, missing documents, etc.) identified by reviewers and forwards to the Project Records Specialist. Approver indicates in this block if an attachment is being provided for additional comments to the Subcontractor.
25. **Upon completion of the review**, the BTR, or his designee, concurs to the approver's status of the submittal as "complete and ready to be returned to the Subcontractor," either on hard copy of submittal form evidenced by signature and date, or by e-mail using voting buttons, or by e-mail with written approval allowing Project Records Specialist to complete this block.

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

Blocks 17, and 18 MSA Approver Review (See [MSC-PRO-16405](#), *Submittal Management System*)

17. Project Record Specialist enters an "X" for the appropriate submittal action code identified either on hard copy of submittal form evidenced by signature and date on the approval stamp, or by e-mail using voting buttons, or by e-mail with written approval from designated approver of the submittal allowing Project Records Specialist to perform this function (see Block 29 for a description of the Submittal Action Code).
18. Project Records Specialist enters Y (Yes) or N (No) for submittals with status of "B" identified either on hard copy of submittal form evidenced by signature and date on the approval stamp, or by e-mail using voting buttons, or by e-mail with written approval from designated approver indicating if resubmittal of the documents is required.

NOTE: *The review/approval of submittals is to verify compliance with the Subcontract 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

25. 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 Subcontractor. 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 returning the submitted document to the Subcontractor per instructions from the Contract Specialist.*

NOTE 2: *Project Records Specialist forwards link to completed submittal form to the Contract Specialist when the review is completed and returned to Subcontractor.*

NOTE 3: *The Contract Specialist may advise the Project Record Specialist to forward the completed submittal to the Subcontractor with a copy to the Contract Specialist per telecom or via e-mail authorization.*

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For Information

27. Defines the document Formats used by the Subcontractor in Block 13.
28. Defines the document Approval Types used by the Subcontractor in Block 15.
29. Defines the document Action Codes used by MSA in Block 17.

Expanded Description of Document Approval Types (Block 28)

APP = For Approval (the submittal is provided with the intent that MSA will approve the submittal prior to the Subcontractor proceeding with work).

ACC = For Acceptance (the submittal is provided for information with the intent that MSA will accept the submittal).

AFW = Approval for Work (the submittal is provided with the intent that MSA authorizes work to be performed to the submittal).

FIO = For Information Only (the submittal is not subject to review and/or approval).

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

Code	Status Label	Definition
A	Conforms to the Subcontract requirements	Used for all documents submitted that conform to the Subcontract 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 Subcontractor considers a comment as increasing the Subcontract with respect to cost and/or duration or as technically unacceptable. If so, the Subcontractor must notify the project before continuing. Notification must be made in writing in accordance with the Subcontract requirements.
C*	Revise and Resubmit	Used for all documents that do not conform to the Subcontract requirements. The Subcontractor 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.
D	Acknowledge Receipt	Used to acknowledge only receipt of submittal.

* For submittals marked with a status of “B” (with “yes” checked on the stamp) or “C”, the Subcontractor shall resolve comments, incorporate those agreed on, and resubmit the document in accordance with their Subcontract.