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Submittals Form

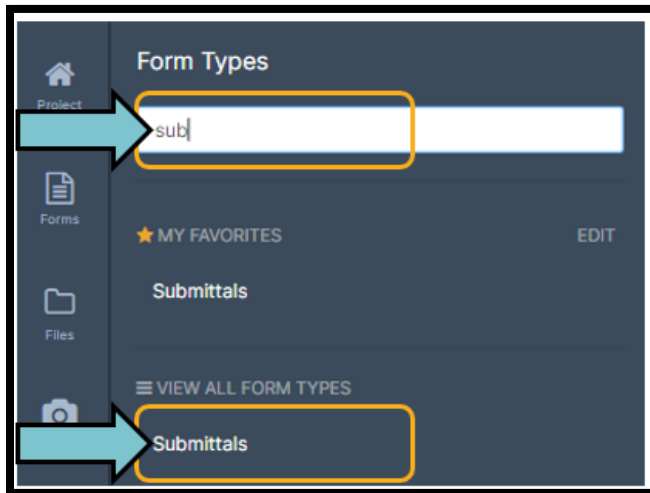
Purpose: The *Submittals* form is used to manage the submission and review process for various project-related documents. These may include, but are not limited to:

- Vendor Packages
- Installation Packages
- Fabrication Packages
- Plans and Procedures
- Testing Procedures and Reports
- Operations & Maintenance (O&M) Packages
- Other relevant documentation

This process applies to any submittal required by contract that must receive approval from Invenergy or another party prior to fabrication or use on the project.

Initiators: Contractors, Consultants, Suppliers, Invenergy.

1. Navigate to the “Submittals” form.



Submittal Items shared with me

Items Packages

☒ Show Latest revision I have access to

Item #	Subject	Submittal Category	Submitting Company	Submitting Contact	Revision	Revision Date	Status	Status Updated By	Created On	Related	Shared
Specification Section Collection-Civil											
☐ Collection-Civil-01.A01	Geotech Study_Grunloh_STU102923_A01		Invernergy LLC	Alex Golden	A01	10/16/23			12/6/23 1:54 PM	1 0 0	190
Specification Section SAFETY											
☐ SAFETY-01.0	Civil Contractors Safety Plan		Invernergy LLC	Alex Golden	0				3/20/23 11:06 AM	0 0 0	190
☐ SAFETY-04.0	Site Name ERP Plan		Invernergy LLC	Michelle Peton	0				5/24/23 10:21 AM	0 0 0	190
Specification Section Substation											
☐ Substation-011	Substation Calculations	Calculations	Invernergy LLC	Lindsey Karam	1		Approved with Comments	Ali Syed	4/18/24 10:24 AM	0 0 0	190
☐ Substation-021	MV Circuit Breaker	Installation Package	Invernergy LLC	Ali Syed	1	4/23/24			4/23/24 2:34 PM	0 0 0	190

2. The “Show Latest Revision I have access to” checkbox is selected by default. To view previous revisions in the log view, uncheck that box. Clicking on a specific Submittal Item will show more details and features
 - a. Details
 - i. Shows Submittal Item attributes, including Status and Revision Requests/Comments
 - ii. The “Edit” button can be used to update any incorrect Submittal information and is used for review purposes.

Submittal Items vs. Submittal Packages

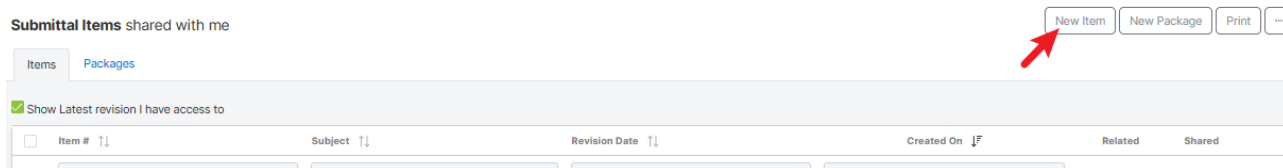
☐	PV-Civil Quality & Testing-02.0		MV Backfill Field Density Tests		3/13/25 9:23 AM	0 0	264	Edit
Item #	Subject	Revision Date	Reviewer Action	Action Notes	Closed			
PV-Civil Quality & Testing-10.0	Terracon - MV Backfill Compaction Test - Block 5A1 > Block 5A2	3/12/25		Approved	☐			
PV-Civil Quality & Testing-11.0	Terracon - MV Backfill Compaction Test - Block 4B4 > Block 4B5	3/12/25		Approved with comments	☐			
PV-Civil Quality & Testing-12.0	Terracon - MV Backfill Compaction Test - Block 4B2 > Block 4B3	3/12/25		Approved	☐			
PV-Civil Quality & Testing-13.0	Terracon - MV Backfill Compaction Test - Block 4B1 > Block 4B2	3/12/25		Approved	☐			

The Submittals form includes two separate tabs to organize submissions: **Items** and **Packages**. When creating a new Submittal for review, always use the “**New Item**” button. Submittal **Items** are individual documents or deliverables that are reviewed by the appropriate party. These items can be grouped into **Packages** to improve organization, but only **Items** themselves are subject to review.

Creating a Submittal Item

1. Click the “New Item” button

Submittal Items shared with me



The screenshot shows a web interface for managing submittal items. At the top right, there are four buttons: 'New Item', 'New Package', 'Print', and a dropdown menu. A red arrow points to the 'New Item' button. Below the buttons, there is a tabbed interface with 'Items' and 'Packages' tabs. Under the 'Items' tab, there is a checkbox labeled 'Show Latest revision I have access to'. Below this, there is a table with columns: 'Item #', 'Subject', 'Revision Date', 'Created On', 'Related', and 'Shared'.

2. Fill out all fields up till “Closed?” and “Use for Revision Request” Sections. Further field clarification is listed below:
 - a. **Submittal Category:** Select the appropriate submittal type. If the relevant Submittal Category is not available in the picklist, reach out to ProjectTeam@invenergy.com.
 - b. **Section:** This field is tied to specifications. Utilize the prepopulated scope of work specifications to organize submittals.
 - **Note:** Section will contain all Specification entries found in the Specification Form; make sure to select the pre-populated scope of work options. The Submittal Form log will be organized by this form entry.
 - c. **Number:** This field is auto-assigned once you select a Section. It follows a sequential format based on previous entries in the selected Section.
 - d. **Status:** Used to keep the document up to date and used for documentation identification for Document Controls. When a document is first uploaded, the status should be set to “Submitted & Reviewing.” These statuses are outlined further in the “Submittals and Document Controls” section.

DETAILS

Subject *

This field is required

Submittal Category

Description

Submitting Company

Submitting Contact

Section *

Number *

Revision *

0

Revision Date

Requested Approval By

Status

Status Updated By

Closed

Use For Revision Requests

Create New

3. Please note, if the submittal is the first iteration, the revision number of the submittal is 0.
4. Once finished with entering this information, you will start a workflow corresponding to the scope of work of the documents submitted.



5. Upload Submittal Item attachments to the “Attachments” section. This can include PDFs of material spec sheets, test results, and/or Equipment/Vendor drawings.
6. If editing to the Detail of the Form is required or an additional page(s) or document needs to be uploaded into the Attachments but does not affect the integrity of the Submittal iteration and approval process, edit and update within that submittal’s iteration as opposed to making a revision. Add any reference links and comments as necessary.

Submittal Items Process

Reviewing Submittal Items

1. Utilize the “Use for Revision Requests” Section to log comments for submittal reviews/revisions.

 DETAILS Edit

Subject
Geotech Study_Grunloh_STU_081325_A02

Submittal Category
Geotech

Description

Submitting Company
Invenergy LLC

Submitting Contact
Alex Golden

Section: ⓘ
Collection-Civil

Number ⓘ
01

Revision
0

Revision Date
8/13/25

Requested Approval By
12/13/23

Status ⓘ
Submitted & Reviewing

Status Updated By
Alex Golden

Closed?
☐

Use For Revision Requests ↻ ...

Use For Revision Requests

Action Notes

Revision/Review Requested By Company

Revision Reviewer

Comments Table ↻ ...

#	Page Label	File Name	Author's Company	Author	Comments	Responder (Company)	Responder (Contact)	Response	Status	Conclusion
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- “Action Notes” should be used to articulate the action required of the submitter of the document(s). This could be having them include a missing document, resubmitting a document, or calling for them to initiate a revision of the document.
 - “Revision/Review Requested by Company” should be the primary company who is reviewing/requesting revisions for the submittal document(s). If Invenergy and multiple parties are reviewing at the same time, put Invenergy as the primary reviewer.
 - “Revision Reviewer” should be the primary contact from the primary party reviewing the document.
2. Download and markup document(s) with a markup tool and then upload the marked-up document(s) into the attachment section.

3. If a Submittal does not require significant review or significant tracking of revision changes, utilize the “Action Notes” section to summarize review and next steps.
4. If a Submittal requires significant review or significant tracking of revision changes, utilize the “Comment Table” for review.
 - a. Import the markup comments into the “Comments” Table using the batch upload feature. Use the sections of the table highlighted in picture below.

Comments Table

	#	Page Label	File Name	Author's Company	Author	Comments	Responder (Company)	Responder (Contact)	Response	Status	Conclusion
☐	1	A0.1	BUILDING PLANS/ OC	Invernergy	Alex Golden	Misspelling on "Plan"					
☐	2	A0.1	BUILDING PLANS/ OC	Invernergy	Alex Golden	Confirm Markup on Drawing.					
☐	3	A1.0	GROUND FLOOR PLA	Invernergy	Alex Golden	Require an extra emergency exit on the west wall.					
☐	4	A1.2	ROOF PLAN	Invernergy	Alex Golden	Looks asymmetrical on western roof apex.					
☐	5	A1.1	SECOND FLOOR PLA	Invernergy	Alex Golden	Need Walls in center hall to be 3' further apart					
☐	6	A1.2	ROOF PLAN	Invernergy	Alex Golden	What are the Lines in the markedup section.					
☐	7	A0.1	SECOND FLOOR PLA	Invernergy	Alex Golden	Check Markup on Page, This should state 2nd floor Plan					

- b. Pass the workflow back to the submitter or next party in the workflow chain. If there are extra reviewers, allow them to make revision comments. If the next step is the original submitter, they should utilize the comment table to comment back to the reviewer's original comments. They should use the section of the table highlighted in the picture below. Once their review of the comments is complete, they can pass the workflow.

Comments Table

	#	Page Label	File Name	Author's Company	Author	Comments	Responder (Company)	Responder (Contact)	Response	Status	Conclusion
☐	1	A0.1	BUILDING PLANS/ OC	Invernergy	Alex Golden	Misspelling on "Plan"	Blattner Energy, LLC	Chloe Warsek	noted and fixed for next revision.		
☐	2	A0.1	BUILDING PLANS/ OC	Invernergy	Alex Golden	Confirm Markup on Drawing.	Blattner Energy, LLC	Chloe Warsek	This is here for X Reason, we cannot adjust.		
☐	3	A1.0	GROUND FLOOR PLA	Invernergy	Alex Golden	Require an extra emergency exit on the west wall.	Blattner Energy, LLC	Chloe Warsek	After Reviewing X Safety Regulation, we		
☐	4	A1.2	ROOF PLAN	Invernergy	Alex Golden	Looks asymmetrical on western roof apex.	Blattner Energy, LLC	Chloe Warsek	Will Look into this.		
☐	5	A1.1	SECOND FLOOR PLA	Invernergy	Alex Golden	Need Walls in center hall to be 3' further apart	Blattner Energy, LLC	Chloe Warsek	Walls look fine		
☐	6	A1.2	ROOF PLAN	Invernergy	Alex Golden	What are the Lines in the markedup section.	Blattner Energy, LLC	Chloe Warsek	Lines are for marking distance from X.		
☐	7	A0.1	SECOND FLOOR PLA	Invernergy	Alex Golden	Check Markup on Page, This should state 2nd floor Plan	Blattner Energy, LLC	Chloe Warsek	Will Adjust in next revision.		

- c. Invernergy Stakeholder should validate if the review is complete by utilizing the comments table last 2 sections, “Status” and “Conclusion”

ProjectTeam
Process Guide:
Submittals

Revision 01
Approval Date 04/07/2025
Implementation Date 04/07/2025

	#	Page Label	File Name	Author's Company	Author	Comments	Responder (Company)	Responder (Contact)	Response	Status	Conclusion
☐	1	A0.1	BUILDING PLANS/ OC	Invenergy	Alex Golden	Misspelling on "Plan"	Blattner Energy, LLC	Chloe Warsek	noted and fixed for next revision.	Completed x	
☐	2	A0.1	BUILDING PLANS/ OC	Invenergy	Alex Golden	Confirm Markup on Drawing.	Blattner Energy, LLC	Chloe Warsek	This is here for X Reason, we cannot adjust.	Cancelled x	Item will not be adjusted
☐	3	A1.0	GROUND FLOOR PLAN	Invenergy	Alex Golden	Require an extra emergency exit on the west wall.	Blattner Energy, LLC	Chloe Warsek	After Reviewing X Safety Regulation, we	Approved x	Add Emergency Exit on West Wall
☐	4	A1.2	ROOF PLAN	Invenergy	Alex Golden	Looks asymmetrical on western roof apex.	Blattner Energy, LLC	Chloe Warsek	Will Look into this.	Incompl... x	Found that the roof needs to be adjusted by 5
☐	5	A1.1	SECOND FLOOR PLAN	Invenergy	Alex Golden	Need Walls in center hall to be 3' further apart	Blattner Energy, LLC	Chloe Warsek	Walls look fine	Cancelled x	No issue found
☐	6	A1.2	ROOF PLAN	Invenergy	Alex Golden	What are the Lines in the markedup section.	Blattner Energy, LLC	Chloe Warsek	Lines are for marking distance from X.	Completed... x	Line is used to show specification restraint.
☐	7	A0.1	SECOND FLOOR PLAN	Invenergy	Alex Golden	Check Markup on Page, This should state 2nd floor Plan	Blattner Energy, LLC	Chloe Warsek	Will Adjust in next revision.	Incompl... x	

d. Status has 5 options to utilize, in which 3 are for review and 2 are for verification for revisions.

- Review Statuses: Use when initially reviewing response from Submittal submitter.
 - i. **Approved:** Comment response is accepted and will be incorporated into a new revision.
 - ii. **Rejected:** Comment response is not accepted. Follow-up with the 3rd party needs to occur. Utilize failing the workflow with comments till approved or cancelled.
 - iii. **Cancelled:** Initial comment is to be disregarded. Use on comments that no longer apply based on the response and/or discussion with 3rd party.
- Verification Statuses: Use when a revision has been submitted and verify if changes have been implemented
 - i. **Completed:** Approved comments have been addressed in next revision.
 - ii. **Incomplete:** Approved comments have NOT been addressed in the next revision.
- Please note, the workflow is passed when the review period has been completed, NOT when all comment statuses are marked as "Accepted". This will mean there may be multiple statuses in the comment log when the workflow is to be passed.

5. Close-Out

- a. For all workflows involving external parties, the Invenergy Project Manager in collaboration with the relevant Engineer will be the last step in the workflow. The Invenergy stakeholders will review the Submittal and verify the review has completed and establish next steps for either revision or completion.
- b. Once all Submittal workflows have been completed, the Invenergy stakeholder completing the workflow shall ensure the "Use for Revision Requests" fields are

populated as needed and update the status field. See “Submittals and Document Controls” section for required status fields for form closeout.

- c. The “Closed?” checkbox should be utilized to verify that the revisions requested have been implemented into the next iteration of the submittal. When the current revision of the Submittal has been checked for these revisions, the “Closed?” box should be checked.

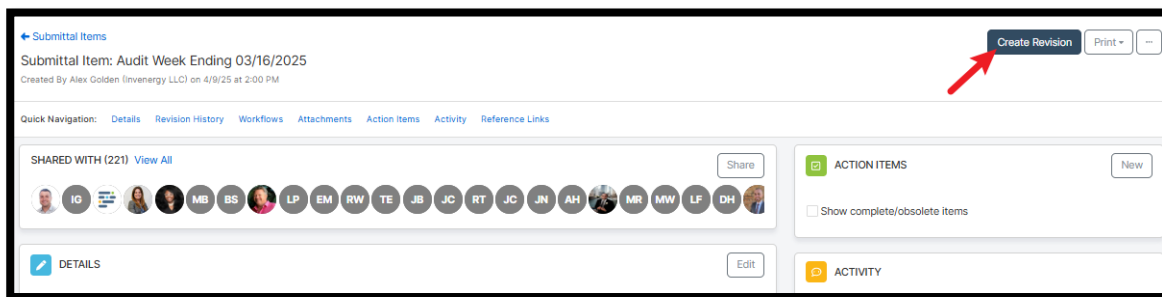
NOTE: The Invenergy Project Manager is ultimately responsible for ensuring all Submittals are closed out, but other Invenergy personnel can assist with this process.

Creating a Revision

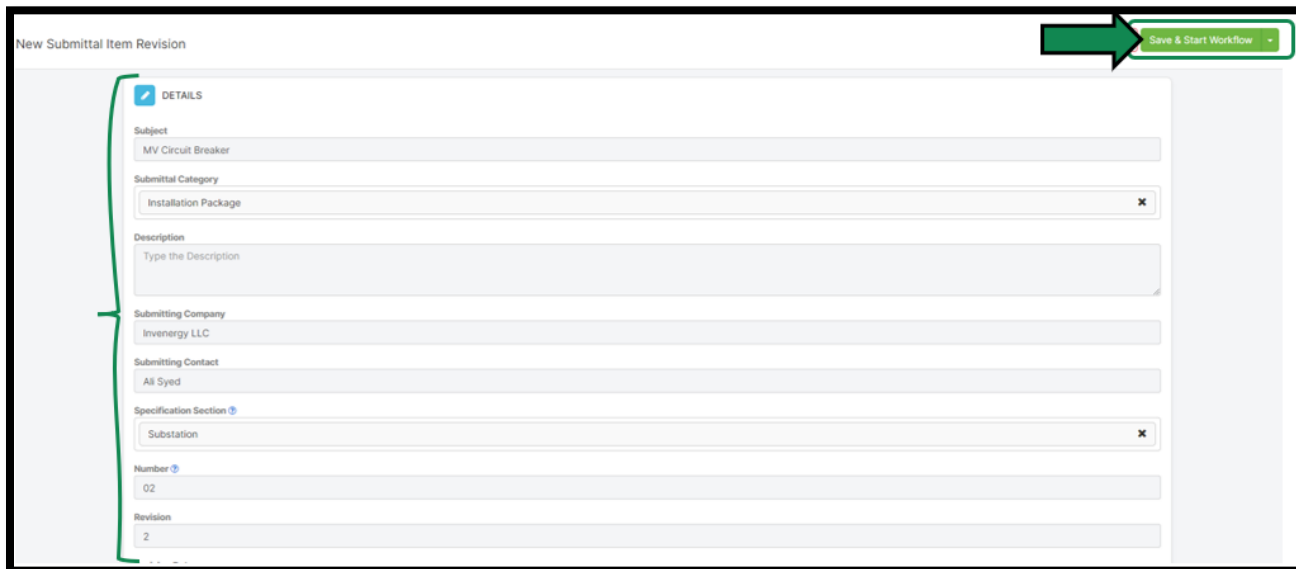
A Submittal Item may need to be revised based on the outcome of the review process. To maintain historical information, a new revision should be used rather than modifying the previous Submittal Item revision’s information and/or attachments.

Please note: A revision is NOT warranted when uploading attachments that were missed/omitted from a Submittal Item.

1. Open the Submittal Item that needs to be revised.
2. Click the “Create Revision” button on the top right of the window



3. All fields besides Description and Revision Date will be carried over from the previous revision. The Revision field will be automatically increased to the next number.



New Submittal Item Revision

DETAILS

Subject: MV Circuit Breaker

Submittal Category: Installation Package

Description: Type the Description

Submitting Company: Invenergy LLC

Submitting Contact: Ali Syed

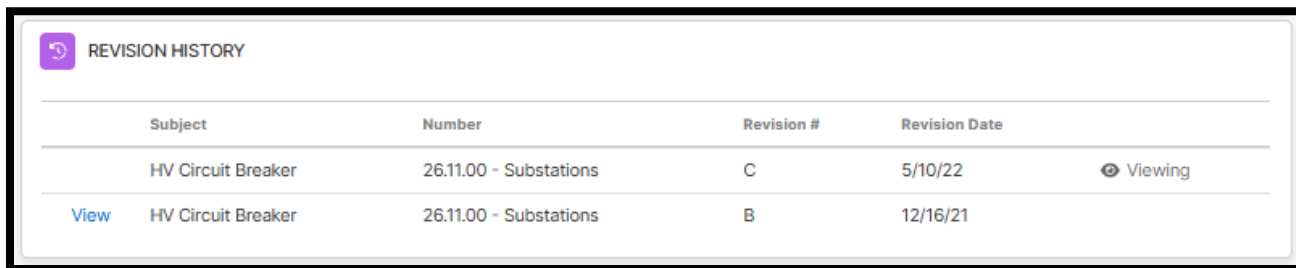
Specification Section: Substation

Number: 02

Revision: 2

Save & Start Workflow

4. Update the “Revision Date” field as appropriate and clear all the fields and tables located under “Use for Revision Requests”.
5. Once finished with entering the attributes, start a workflow by hitting the “Save & Start Workflow” button.
6. Upload Submittal Item attachments to the “Attachments” section.
7. As revisions are made, those sequential iterations will be organized within the Submittal Item Form’s Revision History section. Ensure previous revisions have the Status marked as “Request for Revision”.
 - a. All revisions of the Submittal Item are shown in this table. The eye icon indicates which version is currently displayed. To view previous revisions, click on “View” to the left of the previous version you’d like to see.



REVISION HISTORY

Subject	Number	Revision #	Revision Date	Viewing
HV Circuit Breaker	26.11.00 - Substations	C	5/10/22	Viewing
View HV Circuit Breaker	26.11.00 - Substations	B	12/16/21	

8. Add any reference links and comments as necessary and utilize the workflow to review.

Creating a Submittal Package

You can assemble submittal items into packages if the items are associated with certain tasks, pieces of equipment, or test processes. Please note, Submittal Packages will NOT have workflows for review. Workflow reviews will be done at the individual Submittal Item level.

1. From the Submittals log view, click “New Package” in the top right.

The screenshot shows a web form titled "DETAILS" for creating a new submittal package. The form includes several input fields: "Subject" (with a red border and a "This field is required" message), "Specification Section" (with a dropdown arrow), "Number", "Revision" (with a dropdown arrow and the value "0"), "Revision Date", and "Description" (a large text area). At the bottom, there is a "Submittal Items" section with a table header: "Item #", "Subject", "Revision Date", "Action Notes", and "Attachments". To the right of the table are two buttons: "Add Existing" and "Create New".

2. To add Submittal Items into the package, navigate to the Submittal Package (in edit mode) and select "Add Existing," then select the Submittal Items you'd like to add to the package.
3. Once Submittal Items have been added, click “Save and Share” and share to all appropriate parties.

Submittals and Document Controls

Below is an example of how the Submittals are processed in the form and stored within the folder structure.

When a project reaches Substantial and Mechanical completion, the Document Controls team will assess the status fields within the Submittals Form. Once assessed that the forms have been officially completed, the Document Controls team will assign a Document ID and transfer all form attachments to the appropriate folder location within the “Files” section of Project Team.

Example of file path to where the Submittals will be stored once the status has been updated: (Document Controls will move attachments, this is for awareness of final storage location)

“Files” Section -> 03 Construction -> 07 PM -> 7.01 Job Books -> 7.05 Submittals

*The attachments will be stored within the folder structure under the corresponding scope, relevant to the contractor’s specific Job Books location.

Document Controls is responsible for retrieving and archiving all final deliverables that fall under the following statuses:

- **Accepted**
- **Accepted with Comments**
- **Approved** (if project requires a certificated body)

Additionally, the “Closed?” box will need to be marked to ensure the Submittals has been fully completed.

Other statuses that can be chosen, but do not identify a “Closed” or Final form are as follows:

- **Submitted & Reviewing**
- **Revise & Resubmit**
- **Rejected**
- **Voided**
- **Internal Review Only**

DETAILS Edit

Submittals Form (Solar) – Contractor/Consultant/EOR submits:

Subject
Subject Revision 9.23

Submittal Category

Description

Submitting Company

Submitting Contact

Section: ⓘ
0

Number ⓘ
01

Revision
9

Revision Date

Requested Approval By

Status ⓘ
Accepted with Comments

Status Updated By

Closed?
☐

PMs/Engineers – Please update Status Drop Down accordingly:

Status Update:

- Final & Accepted
- Accepted with Comments
- Approved

Submittals Form (Solar) - Contractor/Consultants/EOR Submits

Classification Package Types – Highlighted YELLOW:

Vendor Package (Ex. Below)

- System Description
- Bill of Materials
- Equipment Details, Description and cut sheets including certification for compliance applicable codes and standards
- Mill Certificates

Fabrication Package (Ex. Below)

- Fabrication Shop Drawings
- Selection and Specifications of Key Equipment
- Final shop Drawings incorporating comments from review.

Installation Package (Ex. Below)

- Layout Installation
- Schematic and Preliminary Designs
- Equipment and wiring layout general arrangement drawings issued for construction
- Controls, monitors, protections, and instrumentation drawings

Plans and Procedures (QA/QC) (Ex. Below)

- Onsite welding certificates and procedures
- Any site-specific remediation plans
- Installation, start-up, commissioning, monitoring, and test plans and documents.
- Quality Assurance plans and inspection records
- Performance monitoring plan to ensure compliance with mutually agreed upon performance criteria
- Energization Plan

Testing and Reports (Ex. Below)

- Geotechnical investigation report
- Noise Report
- Corrosion study report for racking and module frames
- Performance of equipment components and subsystems
- Material Test Report including, but not limited to soil compaction and concrete cylinder tests.
- Results of audits and other surveys that may be performed by Contractor

Training & Personnel Certification (Ex. Below)

- Training documentation and certificates for onsite personnel

O&M Package (Ex. Below)

- Recommended spare parts list
- Recommended special tools For maintenance list
- Solar PV System maintenance, schedule, troubleshooting guidelines, and contact information for technical assistance and special tools, spare parts ordering
- O&M Manuals
- Supply Agreement & Warranty

Calculations (Ex. Below)

- Engineering design calculations

Description	Version Control
Issue For Bid	A,B, C
FEED	RA,RB,RC
IFR	30%, 60%, 90%
IFC	R0, R1, R2
As-Built	AsBuilt

Date DocumentType Company PackageType Version

➤ If initial submission:

Ex. 2023-10-20 Access Panel Grunloh VEN A1

➤ If Revision Submission

Ex. 2023-10-20 Access Panel Grunloh VEN R1

Package Type Abbreviations:

VEN = Vendor Package

FAB = Fabrication Package

INST = Installation Package

PLANS = Plans and Procedures

TEST = Testing and Reports

TRAIN = Training & Personnel Cert

O&M = O&M Package

CALC = Calculations

ProjectTeam
Process Guide:
Submittals

Revision 01
Approval Date 04/07/2025
Implementation Date 04/07/2025

Team	Reviewed and Added Comments	Reviewed and Accepted
Electrical Engineering		
Solar Engineering	Reilly Smith	
Wind Engineering	Rose Martin, Jeromy Miceli	
BESS Engineering	Ryan Green	
Civil Engineering		
SCADA Engineering		Yelitza Kaiser
Transmission Engineering	Emma Brown	
Project Management	Leslie Talamantez	
Document Controls		JB