TAB 5
Submittals

• Design Phase
• Construction Phase
SUBMITTAL PROCEDURES

The University of Alabama submittal procedures are defined in the Design Guidelines under General Information – Designer’s Responsibilities and in the General Conditions of the Contract for a particular project. The Consultant is responsible for progress design submittals as defined by the Agreement between Owner and Designer (see Tab 3 Contracts). For all projects that are required to be submitted for the Office of the Alabama Building Commission (ABC) review, the provisions as stipulated in the Agreement between Owner and Designer shall be followed.

This section consists of; in order:

DESIGN SUBMITTAL REQUIREMENTS
1. Conceptual Design
2. Schematic Design
3. Design Development
4. Construction Documents
5. Alabama Building Commission

In order to facilitate an orderly start of construction on a project and to respond to typical questions and concerns, the mandatory submittal listing, timeframes associated with such, flow of information and primary parties responsibilities are described herein.

CONSTRUCTION SUBMITTAL REQUIREMENTS (for reference only)
1. Projects mandatory construction submittal listing
2. Timeframes allotted per the contract documents for submission of each
3. Procedures for transmitting information between each of the responsible parties
4. Responsibility of each party in reviewing, approving, commenting, and logging of this information
5. Key points to consider

Note: If accessing this manual electronically please click on the appropriate link below to download the most current document.

Design Guidelines
Alabama Building Commission (ABC)
General Conditions of the Contract
In accordance with the provisions set forth in the Agreement between Owner and Designer, progress design submittals shall be made to the University reflecting work to date for Programming, Planning and Schematic Design, Design Development, and Construction Documents. Percentages of completion for the Basic Service of Work shall be 10% for Programming, Planning and Schematic Design; 30% for Design Development; and 60%, 90%, and 100% during the Construction Documents phase of work.

Written approvals of the project design by the Owner and all public agencies will constitute the release for the Consultant to proceed with the next phase of work. Cost Estimates are also required as a deliverable of each phase of the design. The consultant should work with the University’s PM and its Construction Manager, if applicable, in determining the estimate format and project information required. Bid over-runs are defined in the Agreement between Owner and Designer and the responsibilities and conditions associated with re-design are specifically articulated. Each Consultant should become familiar with the terms and conditions of the specific project agreement (see Tab 3 – Contracts).
1. PROJECT MANDATORY SUBMITTAL LISTING
The following submittals are required for all projects as outlined in the General Conditions of the contract. This list may be amended and additional submittal data required as deemed necessary by the project team. Additional submittal requirements may be included in the supplemental general conditions or more commonly in the individual CSI specification sections.

- **CPM schedule** – Required both electronically (i.e. SureTrak Scheduling Software, P3 Scheduling Software, Microsoft Project) and in hard copy format. The additional requirements for the CPM schedule are outlined in Article 9. Progress Schedule and Charts of the General Conditions.

- **Schedule of Values** – Required to be submitted, a complete breakdown of the contract price showing the value assigned to each of the various parts of work, including an allowance for overhead and profit. Materials must be broken out separately within each category of work to identify expected tax savings. Once approved by the Owner this breakdown will be used as the basis for all payment applications. The additional requirements for the schedule of values are outlined in Article 28. Applications for Partial and Final Payments of the General Conditions.

- **Listing of Subcontractors Proposed for the Work**- Required to be submitted in writing to the Owner for review as outlined in Article 38. The Contractor cannot change subcontractors after the initial list has been approved by the Owner without approval from the Owner to make the said change.

- **Credentials of Contractor's Superintendent** – Required to be submitted for approval by the Owner. The additional requirements for the approval of the Contractor's superintendent are outlined in Article 18. Superintendence and Supervision of the General Conditions.

- **Shop Drawings/Samples/Product Data** – Submission of shop drawings, samples and product data as required for review and approval by the Owner and Designer. The additional requirements related to shop drawings/samples/product data can be found in Article 5 and in Article 8 of the General Conditions.

2. CONTRACTUAL ALLOTMENT OF TIME FOR SUBMISSION

- **CPM schedule**- Per Article 9 of the General Conditions the Contractor has (10) ten days following the issuance of Notice to Proceed to submit the schedule for review.

- **Schedule of Values** – Per Article 28 of the General Conditions the Contractor has (10) ten days following the issuance of the Notice to Proceed to submit the schedule of values for review.

- **Listing of Subcontractors Proposed for the Work**- Per Article 38 of the General Conditions the listing of subcontractors is to be transmitted concurrently with the transmittal of the signed contract agreement.

- **Credentials of Contractor's Superintendent** – Prior to commencement of work on the project site.

- **Shop Drawings/Samples/Product Data** – Shop drawings, product data and samples must be submitted by the Contractor sufficiently in advance of construction requirements to allow for checking, correcting, re-submitting, and rechecking.
3. INFORMATION FLOW/TRANSMITTAL PROCEDURES

- **CPM schedule** - The Contractor’s CPM schedule should be completed in an electronic format; either SureTrak Scheduling Software, Primavera P3 Scheduling Software or Microsoft Project. The electronic file can either be emailed to the Owner or provided on electronic media. The Contractor shall transmit (1) one copy to the Owner and (1) one copy to Designer. The designer will review and approve the contractor’s construction schedule only for compliance with the specified format, Contract Time, and suitability for monitoring work. At the end of each month the Contractor shall update the schedule with the actual percentage completion and the actual start and finish dates. The Contractor should deliver to the Owner two (2) copies of the schedule showing the planned progress of work with that month’s partial application for payment.

- **Schedule of Values** – The Contractor shall transmit (1) one copy of the schedule of values to the Owner and concurrently (1) one copy for review to the Architect pursuant to the timeframe allowed in the contract. Once approved the schedule of values will be used as the basis for all applications for payment until the project is completed (See Tab 7).

- **Listing of Subcontractors Proposed for the Work** - The Contractor shall transmit (1) one copy of the listing of subcontractors to the Owner in a format that provides adequate information about the subcontractors that are proposed for the work.

- **Credentials of Contractor’s Superintendent** – The Contractor shall submit (1) one copy of the superintendent’s resume for review by the Owner.

- **Shop Drawings/Samples/Product Data** – Shop drawings, product data and samples should be submitted in accordance with the requirements of the Architect submittal procedures outlined in the project specifications. The following requirements apply to all shop drawings/samples/product data submittals.
  - The Contractor shall prepare and deliver its submittals to the Designer sufficiently in advance of construction requirements and in a sequence as to cause no delay in the work or in the activities of the Owner or of separate Contractors. In coordinating the submittal process with its construction schedule, the Contractor shall allow sufficient time to permit adequate review by the Architect.
  - The Contractor shall develop a submittal register, including all of the items listed in the project specifications.
  - The Contractor shall submit this submittal register for review by the Owner, the Owner will indicate which of these submittals will be required to be submitted for review by the Owner and the Designer.
  - The Designer shall review and return submittal/shop drawings within 14 calendar days if Owner review is not required. If Owner review/approval is required the completion of this task shall occur within 21 calendar days of receipt of said submittal.

4. RESPONSIBILITIES

**What is required of the Contractor:**

- If stipulated by the agreement between the Contractor and the Owner, the Contractor shall utilize the Owner’s project management software, Prolog Construction Project Management System.

- If the Contractor is not familiar with Prolog Construction Project Management System, the Contractor shall request that an orientation meeting be conducted. The Owner will provide training/orientation on the Prolog Construction Management System software at no cost to the Contractor.
Prolog Construction Project Management System should be used to complete the following activities as it relates to the submittal process:

- Development of Submittal Register.
- Development of Submittal Packages.
- The Contractor shall require that subcontractor’s provide complete packages for review. Once complete packages are provided the Contractor shall log.
- The Contractor shall generate submittal transmittals out of the Prolog Construction Project Management System.
- The Contractor shall log when submittals are transmitted and to whom they are being transmitted to for review. This information should be tracked under the “Reviewers and Notes” tab in the Submittal Package information grouping. (See Exhibit A).
- The Contractor shall generate a report of submittal packages that are overdue during the review and distribute at the weekly OAC meeting for review.

**Exhibit A.**

![Prolog Construction Project Management System screenshot](image-url)
What is required of the Architect/Engineer/Design Consultant:

- The Project Architect shall receive, log and distribute the Contractor's submittals. The Project Architect shall be allowed a minimum (2) two weeks to review the submittal and return to the Contractor. Those submittals requiring Owner review shall be allowed (3) three weeks for review.
- The Project Architect shall review and understand which of those submittals included in the submittal register are to be reviewed concurrently by the Owner. Those submittals that require the Owner's review must be retained by the Architect, after the Architect's review and until the Owner has forwarded any comments back to the architect. The Owner's comments should then be transmitted along with the Architect's comments back to the Contractor.
- Upon completion of the submittal review process the Project Architect shall log the “Action” taken on the submittal by the Architect or Architect’s consultant within the Prolog Project Management System submittal package grouping.
- The Project Architect shall generate a submittal transmittal out of the Prolog Project Management System software and forward back to the Contractor with comments.

What is required of the Owner/Owner's manager:

- Owner/Owner's project manager should transmit the submittal register to the facilities planning group, facilities shop managers or other personnel with possible interest in the specified materials to be incorporated into the project. The Owner/Owner’s representative should request that the individuals reviewing the submittal register indicate which submittals will require their review.
- Upon receipt of the submittal information the Owner/Owner’s project manager should generate a transmittal to the in-house reviewer and forward the submittal to the reviewer for review. The reviewer should have a minimum of (1) one week to review the submittal before returning to the Designer.
- Upon return of the submittal to the Owner/Owner’s project manager by the reviewer the Owner/Owner’s project manager shall generate a transmittal to the project designer and forward the submittal information, along with comments to the Project Designer. Unless it is deemed impractical, a copy of the submittal and comments shall be created and filed in the applicable job file prior to transmitting the original back to the Project Designer.
- The Project Designer shall be responsible for incorporating the Owner's reviewer's comments into the submittal prior to issuance back to the Contractor.

5. KEY POINTS TO CONSIDER

- **Article 3 of the General Conditions** requires that the Contractor have the duty to compare all documents including contract documents, shop drawings, samples and product data to verify that there is no inconsistency, ambiguity, conflicts or discrepancies. If the Contractor determines that there are differences between these documents they have the contractual responsibility to give written notice to the Owner.
- **Article 3 of the General Conditions** also states that the approval of submittals by the Owner or Owner's designer does not relieve the contractor of its continuing duties to comply with the requirements of the contract documents.