

1. **Purpose:** The purpose of this document is to establish a process that will be used for the development of the Construction Submittal Register and the Construction submittal review process between the Contractor / Design Builder (DB), the Design Team, and HCAA utilizing Prolog as the document control management system.
2. **Submittal Register Development:**
 - A. The Contractor/DB is responsible for the development of a complete submittal register based on the Contract documents and Specifications. The Contractor/DB shall amend / add any submittal register items as applicable due to issued Architect'ss / Engineer's Supplemental Instruction (ASI/ESI), Work Orders, or Change Orders. The Contractor/DB will utilize the Master Plan Document Control's (MPDC) Import Template to prepare the initial register in Excel format. This template will be uploaded to Prolog by MPDC when it has been reviewed and approved by the Design Team and HCAA (to include Maintenance and the PD/PM team). The Contractor/DB shall coordinate with MPDC prior to the development of the submittal register log to ensure proper formatting. This will ensure proper importing of data into Prolog.
 - 2.A.1 While the register is being reviewed, the Contractor will be able to add individual records for submittals that must be reviewed into Prolog.

The Project Manager, Design Team, and Contractor/DB will coordinate to ensure that all required submittals called out in the contract documents have corresponding submittal register items within 30 days of Part 2 contract award.
 - 2.A.2 The Submittal Register shall not include inspections and tests called out in the Specifications, nor shall it include any close-out requirements called out in the Specificatoins. These specific items are managed in separate Prolog Modules and when the import template is prepared there are tabs for the Inspections & Tests and the Close-out Requirements.
 - 2.A.3 The Submittal Register shall include Monthly Reports, Schedule Submissions, and other monthly requirements. A single record can be created in the template and then each month the record can be copied to create the new one for the month.
 - 2.A.4 All Meeting Minutes required by the Contractor/DB will be maintained in the Meeting Minutes module in Prolog.

- B. Below is a detailed review of the required Submittal Register Prolog Fields and the responsible party.

General Tab:

- 2.A.2 Number & Revision: Prolog automatically generates the Number field; use the auto generated number. If a revised submittal is required, the Contractor/DB will create the revised records through the 'Create Package Rev' option within the Submittal Package Module.
- 2.A.3 Description: The Contractor/DB will enter a detailed description with the following naming convention:
- Spec # - Description – Submittal Type*
- Ex. 08 30 00 – Specialty Doors & Frames – Product Data
Ex. 08 30 00 – Specialty Doors & Frames – Shop Drawings
Ex. 08 30 00 – Specialty Doors & Frames – Samples
- 2.A.4 Design Status: The Design Status field is initially populated as "Pending" in the template, and then when it is pulled into a Package for review, the field will be updated by the Design Team with their recommendation for the specific register item.
- 2.A.5 Specification Section: The Contractor/DB will enter the Specification Code as it is listed in the CSI Listing provided by MPDC (2004 Master Plan CSI Close Listing) in this field. Consistent formatting of the Specification Numbering is important for uniform reporting. All specifications (except FDOT) are formatted as xx xx xx, i.e. 08 30 00 Specialty Doors & Frames.
- 2.A.6 Spec Sub Section: The Spec Sub Section is used to call out specific sub sections in the specification. This is not a "subsection of the Major Division Number, i.e. your Specification will be 02 41 16 subsection 1.6C, not 02 00 00 and then sub section 02 41 16. For questions about this, please contact MPDC for further clarification.
- 2.A.7 Type: The Type field is a drop down selection field populated by the Contractor/DB. The list of Submittal Types is provided as a tab in the Import Template called "Category-Type-Options List (bright blue). For submittal types that do not match anything on the list please contact MPDC for assistance.
- 2.A.8 HCAA Action: This field is populated by HCAA Maintenance where it has a requirement to review the submittal. It provides a recommendation for the register item.

- 2.A.9 Responsible Company: This field is populated by the Contractor/DB with the name of the company responsible for providing the submittal. This may be a subcontractor or it may be the Contractor/DB.
- 2.A.10 Action Logged By: This field will automatically populate with the information of the user who is creating the submittal register item.
- 2.A.11 Supplier: The Contractor/DB may enter the supplier name in this field for quick reference. This may be good to know if a submittal is rejected and a new supplier is needed due to a change in materials.
- 2.A.12 Notes: The Contractor/DB can add notes to the submitted register item as needed.
- 2.A.13 Due Date: The Due Date should be updated to align to the Contractor/DB Schedule Dates.
- 2.A.14 Returned: The Design Team / HCAA will populate this field when the final review of the submittal is complete and all status fields are filled in.
- 2.A.15 Closed: The Contractor/DB will close the submittal register items from the Submittal Package Module once fully approved. Items requiring further attention shall remain open.

Sub Project Tab:

- 2.A.16 Sub Project: This field is only required for Projects that have subprojects.
- 2.A.17 Authority Review: This is a yes/no field that is determined by the specification number and whether it is listed as one that requires Authority Maintenance review. The CSI Listing is attached to this procedure and all specifications that require Maintenance Review are indicated with the reviewer names beside them.
- 2.A.17.1 When submittal packages are created that require Authority review this list will be used to populate the Reviewers Tab.
- 2.A.18 Files Tab: Files are uploaded to the submittal register using the Quick Upload button.

3. Submittal Packages Development:

- A. The Contractor/DB will be responsible for creating Submittal Packages for the review of all Submittal Register Items. Packages are created by Specification number and can include several register items for review.
- B. Below is a detailed review of the required Submittal Register Prolog Fields and the responsible party.

General Tab:

- 3.B.1 Number: The Contractor/DB will click the Next button and the record number will automatically populate. The second field to the right of the “Next” button is the CSI Look-up field. The Contractor/DB will select the appropriate CSI (Specification) code to populate this field.
- 3.B.2 Revision: This field is auto-populated when a submittal package is rejected or requires revisions, and the Contractor/DB clicks on the Create a Revised Package record option on the Package tab of the record. This will automatically create a new record, with the revision number, for any open register items in the package.
- 3.B.3 Description: The Contractor/DB will enter a detailed description including Specification Description, i.e. 08 30 00 – Specialty Doors & Frames
- 3.B.4 Closed: After the submittal package is fully approved and/or revised package has been created, the Contractor/DB will select the Closed check box located to the right of the Description field.
- 3.B.5 Author Company: Prolog will automatically populate based on the User creating the Submittal Package.
- 3.B.6 Contact: Prolog will automatically populate based on the User who is creating the Submittal Package.
- 3.B.7 Importance: The Contractor/DB will select the importance of Normal, Low or High.
- 3.B.8 Reviewer’s General Comments: Design and HCAA reviewers may add comments to this field as they choose.
- 3.B.9 Trade: This field is auto-populated based on the Specification selected.

Package Items:

- 3.B.10 Add Submittal: The Contractor/DB will click on the Add Submittal button and select the applicable submittals from the submittal register.
- 3.B.11 Design Status: Once each Submittal item has been reviewed the Design Team will enter the appropriate status here. If there are multiple design reviewers, the responsible party on the Design Team will make a decision as to what this status shall be based on the reviewer comments received.
- 3.B.12 HCAA Status: This is completed by the HCAA Maintenance staff when they have responsibility for reviewing a submittal package. Where there is more than one Maintenance reviewer, the primary Maintenance reviewer for that area will make the final decision for the status.
- 3.B.13 Returned: The Design Team / PM will check the Returned box when the review is complete.
- 3.B.14 Closed: Check this box if the item under review is acceptable. If the disposition is Revise & Resubmit or Rejected, leave this box blank. All items *not* Closed will have a revision created within the package.

Reviewers:

- 3.B.15 Submittals will be processed for review using the Reviewers Tab. Reviewers selected shall be the Design Team, PM, and any Maintenance staff as required in the CSI Listing.
 - 3.B.15.1 If the Contractor/DB has additional team members they want copied on the submittal package but they have no action, MPDC will create a distribution list for notifications of Submittals. This will keep the Reviewers Tab clean with only reviewers listed.

Information:

- 3.B.16 Sub Project: If the project has subprojects the Contractor/DB will select the appropriate Sub Project from the drop down selection available.
- 3.B.17 The Phase, Space, and Date fields are not utilized on this phase.
- 3.B.18 *Authority Review: This field is populated yes or no based on whether or not Authority Review is required per the CSI Code listing. At the beginning of the Program, Maintenance selected the Specification areas that they wish to review and those are indicated on the specification list provided to the Contractor/DB for preparation of the*

submittal register. It is the responsibility of the Contractor/DB to add the appropriate reviewer to the Reviewers Tab for each of the submittal items required to be reviewed by the Authority.