

WATER AGENCIES' STANDARDS

Design Guidelines for Water and Sewer Facilities

SECTION 3.3 SUBMITTALS

3.3.1 PURPOSE

The purpose of this section is to provide a guideline for processing of materials; procedures and shop manufacture submittals provided by a Contractor performing work on Agency capital improvement projects. This section is intended for use by Consulting Engineers hired to perform the work for the Agency and/or Agency personnel.

3.3.2 GENERAL

It is the responsibility of the user of these documents to make reference to and/or utilize industry standards not otherwise directly referenced within this document. The Engineer of Work may not deviate from the criteria presented in this section without prior written approval of the Agency Engineer.

3.3.3 GUIDELINE

Submittals must contain specific information pertaining to the materials or methods chosen by the Contractor that meet the requirements and intent of the contract documents (plans, specifications, and standards etcetera).

- A. Submittals shall contain specific information pertaining to the materials or methods to be used on a particular project as required by the Agency.
- B. The Contractor shall, at his expense, furnish a minimum of six (6) copies of submittals accompanied by a letter of transmittal for the approval of the Agency Engineer. These submittals shall be checked by the Agency Engineer and returned to the Contractor within the time specified by the Agency.
- C. Submittals shall contain specific information describing the materials or methods to be used such as equipment, manufacturer, model numbers, and color etcetera. Submittals for materials to be used shall contain detail drawings and/or exact reproductions showing locations, dimensions and details.
- D. Submittals shall be reviewed using the Agency's contract documents as approved by the Agency's Engineer. The contract documents shall include but not be limited to the plans, specifications and referenced standards. Any corrections or rejections shall be indicated using red ink on the submittals and sent back to the Contractor with a letter of transmittal. Refer to Figure 3.3.A below for a sample of a Submittal Stamp. Submittal stamp shall be applied to the submittal with the use of red ink.

FIGURE 3.3.A
Sample of Submittal Stamp

(AGENCY NAME)	
<input type="checkbox"/>	Rejected; Re-submit
<input checked="" type="checkbox"/>	Approved as submitted
<input type="checkbox"/>	Approved as revised
<input type="checkbox"/>	Accepted for info. only
W.O. No.: 8700 By: RJS Date: 04/15/04	

- E. Submittals with corrections or rejections must be corrected by the Contractor and re-submitted for approval of the Agency Engineer. Approvals as noted for minor corrections will be allowed.
- F. After approval of submittal, one copy will be provided for the Agency files, one copy for the Agency Engineer and/or Construction Manager and one copy for the job or Agency Inspector. The remaining copies will be sent back to the Contractor with a letter of transmittal.
- G. The Agency will maintain a current submittal log indicating the progress and status of each submittal.
- H. All submittals shall be given a unique sequential reference number and referenced on the submittal. Each re-submittal shall have a sequential letter designation indicated after the reference number.

3.3.4 SUBMITTALS

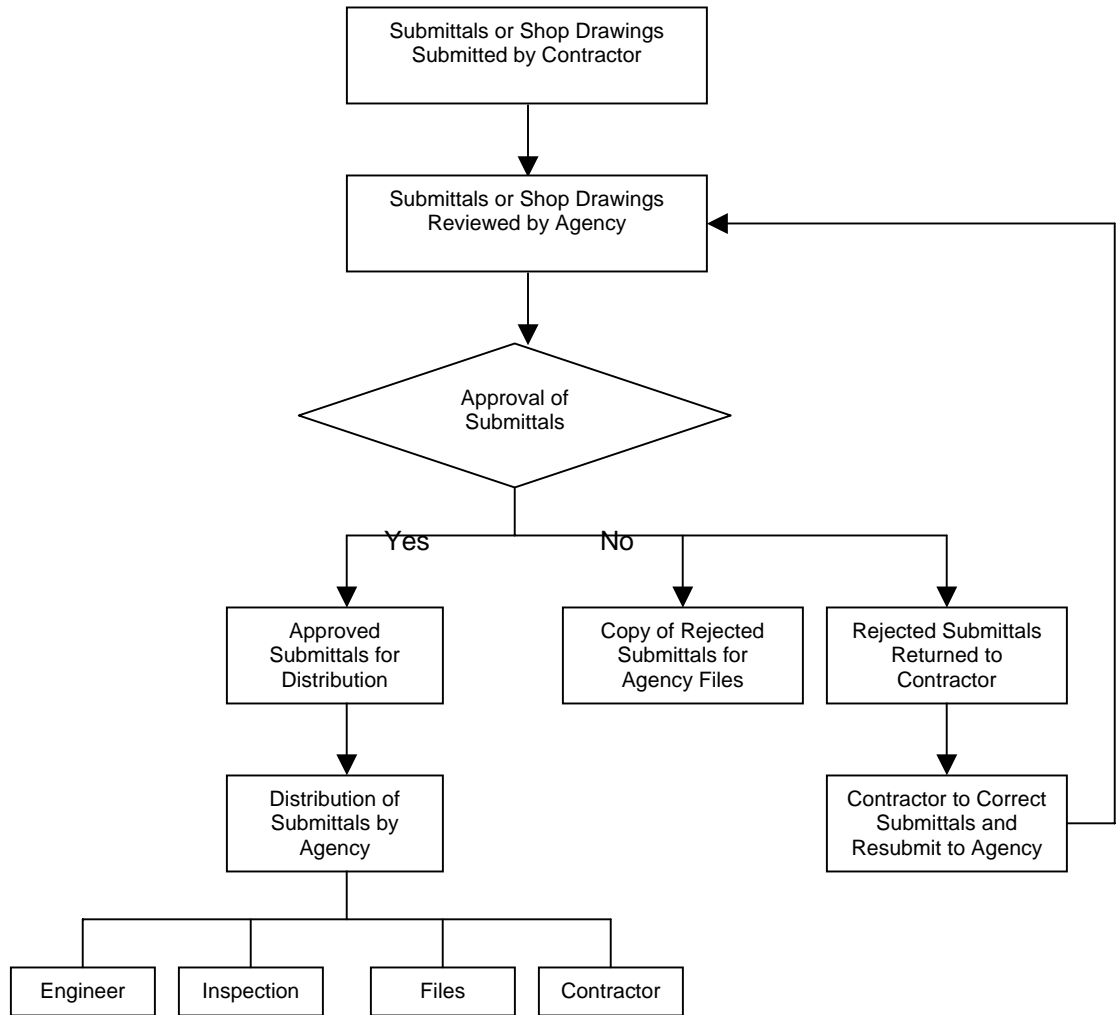
- A. Submittals for methods to be used shall contain all literature, detailed drawings, specifications, affidavits, local references, and certifications of standards available and shall be provided in the submittal. Submittals shall be reviewed for compliance with specifications performance requirements, industry standards, and test standards etcetera.
- B. Submittals or shop drawings are always required for fabricated steel pipe, specials, and butterfly valves. Submittals are required for materials the Contractor wants to use but are not on the Agency's approved materials list.
- C. The Contractor is to make selection of materials from the Agency's approved materials list. Submittals are required for materials listed on the Agency's approved materials list with the designation "submittal required".

3.3.5 REFERENCE

- A. Should the reader have any suggestions or questions concerning the material in this section, please contact one of the agencies listed.
- B. The publications listed below form a part of this section to the extent referenced and are referred to in the text by the basic designation only. Reference shall be made to the latest edition of said publications unless otherwise called for. The following list of publications, as directly referenced within the body of this document, has been provided for the user's convenience. It is the responsibility of the user of these documents to make reference to and/or utilize industry standards not otherwise directly referenced within this document.
 - 1. Agency's Approved Materials List(s).

FIGURE 3.3.B
FLOWCHART

This exhibit is intended to provide an overview of steps taken for Submittal review and approval.



Note: This exhibit provides an example of submittal reviews and is not always the same between Agencies or projects. Verify with the Agency for exact number of submittals required. The Agency will determine who will receive the submittals within the Agency.

END OF SECTION