

GENERAL REQUIREMENTS for CONSTRUCTION

SECTION 013300 - SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.1 RELATED DOCUMENTS

- A. The Contract Documents, including but not limited to, the Drawings and individual Specification Sections and Contractor's Submission Schedule, apply to this Section.

1.2 SUMMARY

- A. Section includes requirements for the submittal schedule and administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other submittals.
- B. Related Sections:
 - 1. Section 013200 – Construction Progress Documentation, for submitting schedules and reports, includes Contractor's construction schedule.
 - 2. Section 017700 – Contract Closeout Requirements, for documents required to closeout contract.
 - 3. Section 017823 – Operation and Maintenance Manuals, for submitting operation and maintenance manuals.

1.3 DEFINITIONS

- A. Action Submittals: Written and graphic information and physical samples that require the Design Professional's responsive action. Action submittals are those submittals indicated in individual specification sections as action submittals.
- B. Informational Submittals: Written and graphic information and physical samples that do not require the Design Professional's responsive action. Submittals may be rejected for not complying with requirements. Informational submittals are those submittals indicated in individual specification sections as informational submittals.
- C. Portable Document Format (PDF): An open standard file format licensed by Adobe Systems used for representing documents in a device-independent and display resolution-independent fixed-layout document format.
- D. Required Submittal List Utility application: Interacts with and to be used with the Owner's Contract Manager system. The Design Professional uses the utility to itemize the list of submission items needed to be submitted by the Contractor in order to insure the design intent will be satisfied and inclusive of all Project turnover documents and/or Contract Closeout Requirements.
- E. Contractor's Submission Schedule: The itemized list of project submission requirements printed as a report from Contract Manager. The Contractor enters the date each item needs to be submitted in order to meet the CPM schedule and returns this document to the Owner.

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1.4 ACTION SUBMITTALS

- A. Submittal Schedule: The Contractor's Submission Schedule is attached to this section, prepared by the Design Professional. The Contractor is to coordinate and cooperate with the Owner and Design Professional to arrange in chronological order by dates required by the construction schedule. Coordinate time required for review, ordering, manufacturing, fabrication, and delivery to establish dates. Coordinate additional time required for making corrections or modifications to submittals noted by the Design Professional and additional time for handling and reviewing submittals required by those corrections.
1. Coordinate the Contractor's Submission Schedule with list of subcontracts, the schedule of values, and coordinated CPM schedule.
 2. Initial Submittal: Submit in accordance with start-up CPM schedule. Include submittals required during the first 60 days of construction. List those submittals required to maintain orderly progress of the Work and those required early because of long lead time for manufacture or fabrication.
 3. Final Submittal: Submit concurrently in accordance with the complete CPM schedule.
 - a. Coordinate with the Owner and Design Professional revised Contractor's Submission Schedule to reflect changes in current status and timing for submittals.
- B. Format for Submittals: Submit required submittals in electronic (PDF) file format.

1.5 SUBMITTAL ADMINISTRATIVE REQUIREMENTS

- A. Design Professional's Digital Data Files: Electronic copies of CAD Drawings of the Contract Drawings will not be provided by the Design Professional for the Contractor's use in preparing submittals.

Coordination: Coordinate preparation and processing of submittals with the performance of the Work.

1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
2. Commissioning Authority will review submittals applicable to systems being commissioned for compliance with commissioning needs, concurrent with the Design Professional review and approval.
3. Submit all submittal items required for each Specification Section concurrently unless partial submittals for portions of the Work are indicated on approved submittal schedule.
4. Submit action submittals and informational submittals required by the same Specification Section as separate packages under separate transmittals.
5. Coordinate transmittal of different types of submittals for related parts of the Work so processing will not be delayed because of need to review submittals concurrently for coordination.
 - a. Submit Operation and Maintenance Manuals concurrent with action submittal.
 - b. The Owner or Design Professional reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.

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- B. Processing Time: Allow time for submittal review, including time for re-submittals, as follows. Time for review shall commence on the Design Professional's receipt of submittal. No extension of the Contract Time will be authorized because of failure to transmit submittals enough in advance of the Work to permit processing, including re-submittals.
1. Initial Review: Allow 15 days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required. The Design Professional will advise the Contractor when a submittal being processed must be delayed for coordination.
 2. Intermediate Review: If intermediate submittal is necessary, process it in same manner as initial submittal.
 3. Re-submittal Review: Allow 15 days for review of each re-submittal.
 4. Sequential Review: Where sequential review of submittals by the Design Professional's consultants, the Owner, or other parties is indicated, allow 21 days for initial review of each submittal.
- C. Identification and Information: Place a permanent label or title block on each paper copy submittal item for identification.
1. Indicate name of firm or entity that prepared each submittal on label or title block.
 2. Provide a space approximately 6 by 8 inches on label or beside title block to record Contractor's review and approval markings and action taken by the Design Professional.
 3. Include the following information for processing and recording action taken:
 - a. Project name.
 - b. Date.
 - c. Name of Design Professional.
 - d. Name of Construction Manager (if applicable).
 - e. Name of Contractor.
 - f. Name of subcontractor.
 - g. Name of supplier.
 - h. Name of manufacturer.
 - i. Submittal number including revision identifier.
 - 1) Submittal number shall be the submittal item number and Submittal Package number designated in the Contractor's Submission Schedule.
 - j. Drawing number and detail references, as appropriate.
 - k. Location(s) where product is to be installed, as appropriate.
 - l. Other necessary identification.
- D. Identification and Information: Identify and incorporate information in each electronic submittal file as follows:
1. Assemble complete submittal package into a single indexed file with links enabling navigation to each item.
 2. Name file with submittal number or other unique identifier, including revision identifier.
 3. Provide means for insertion to permanently record the Contractor's review and approval markings and action taken by the Design Professional.
 4. Include the following information on an inserted cover sheet:

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- a. Project name.
 - b. Date.
 - c. Name and address of Design Professional.
 - d. Name of Construction Manager (if applicable).
 - e. Name of Contractor.
 - f. Name of firm or entity that prepared submittal.
 - g. Name of subcontractor.
 - h. Name of supplier.
 - i. Name of manufacturer.
 - j. Number and title of appropriate Specification Section.
 - k. Drawing number and detail references, as appropriate.
 - l. Location(s) where product is to be installed, as appropriate.
 - m. Related physical samples submitted directly.
 - n. Other necessary identification.
5. Include the following information as keywords in the electronic file metadata:
- a. Project name.
 - b. Number and title of appropriate Specification Section.
 - c. Manufacturer name.
 - d. Product name.
- E. Options: Identify options requiring selection by the Design Professional.
- F. Deviations: Identify deviations from the Contract Documents on submittals.
- G. Additional Copies: Unless the Design Professional observes noncompliance with provisions in the Contract Documents, initial submittal may serve as final submittal.
- H. Transmittal: Assemble each submittal individually and appropriately for transmittal and handling. Transmit each submittal using a transmittal form. The Design Professional will return submittals, without review, received from sources other than the Contractor.
1. Transmittal Form: Use the Contractor's office form.
 2. Transmittal Form: Provide locations on form for the following information:
 - a. Project name.
 - b. Date.
 - c. Destination (To:).
 - d. Source (From:).
 - e. Names of subcontractor, manufacturer, and supplier.
 - f. Category and type of submittal.
 - g. Submittal purpose and description.
 - h. Specification Section number and title.
 - i. Indication of full or partial submittal.
 - j. Drawing number and detail references, as appropriate.
 - k. Transmittal numbered consecutively.
 - l. Submittal and transmittal distribution record.
 - m. Remarks.
 - n. Signature of transmitter.

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3. On an attached separate sheet, prepared on the Contractor's letterhead, record relevant information, requests for data, revisions other than those requested by the Design Professional on previous submittals, and deviations from requirements in the Contract Documents, including minor variations and limitations. Include same identification information as related submittal.
- I. Re-submittals: Make re-submittals in same form and format.
 1. Note date and content of previous submittal.
 2. Note date and content of revision in label or title block and clearly indicate extent of revision.
 3. Resubmit submittals until they are marked with approval notation from the Design Professional's action stamp.
 - J. Distribution: Furnish copies of final submittals to manufacturers, subcontractors, suppliers, fabricators, and installers, authorities having jurisdiction, and others as necessary for performance of construction activities. Show distribution on transmittal forms.
 - K. Use for Construction: Use only final submittals that are marked with approval notation from the Design Professional's action stamp.

PART 2 - PRODUCTS

2.1 SUBMITTAL PROCEDURES

- A. General Submittal Procedure Requirements: Prepare and submit submittals required by individual Specification Sections. Types of submittals are indicated in individual Specification Sections.
 1. Submit electronic submittals via email as electronic (PDF) files, to the Design Professional. If applicable, the Design Professional will forward submittals to the Commissioning Authority for systems being commissioned. The Owner may request paper copies of certain submittals for onsite coordination.
 - a. The Design Professional, through the Owner, will return annotated file. Annotate and retain one copy of file as an electronic Project turnover document file.
 - b. The Commissioning Authority through the Design Professional will return annotated file.
 2. Operation and Maintenance Manual Submittals: Submit concurrent with the Action Submittal, as related in individual Specification Sections.
 3. Closeout Submittals: Comply with requirements specified in Section 017700 – Contract Closeout Requirements and as listed in the Contractor's Submission Schedule.
 4. Permits, Certificates and Certifications Submittals: Provide a statement that includes signature of entity responsible for preparing certification. Permits, Certificates and certifications shall be signed by an officer or other individual authorized to sign documents on behalf of that entity.

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- B. Product Data: Collect information into a single submittal for each element of construction and type of product or equipment.
1. If information must be specially prepared for submittal because standard published data are not suitable for use, submit as Shop Drawings, not as Product Data.
 2. Mark each copy of each submittal to show which products and options are applicable.
 3. Include the following information, as applicable:
 - a. Submittal Package number and Submittal Item number.
 - b. Manufacturer's catalog cuts.
 - c. Manufacturer's product specifications.
 - d. Standard color charts.
 - e. Statement of compliance with specified referenced standards.
 - f. Testing by recognized testing agency.
 - g. Application of testing agency labels and seals.
 - h. Notation of coordination requirements.
 - i. Availability and delivery time information.
 4. For equipment, include the following in addition to the above, as applicable:
 - a. Wiring diagrams showing factory-installed wiring.
 - b. Printed performance curves.
 - c. Operational range diagrams.
 - d. Clearances required to other construction, if not indicated on accompanying Shop Drawings.
 5. Submit Product Data concurrent with Samples.
 6. Submit Product Data in electronic (PDF) file format.
- C. Shop Drawings: Prepare Project-specific information, drawn accurately to scale. Do not base Shop Drawings on reproductions of the Contract Documents or standard printed data.
1. Preparation: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:
 - a. Submittal Package number and Submittal Item number.
 - b. Identification of products.
 - c. Schedules.
 - d. Compliance with specified standards.
 - e. Notation of coordination requirements.
 - f. Notation of dimensions established by field measurement.
 - g. Relationship and attachment to adjoining construction clearly indicated.
 - h. Seal and signature of professional engineer if specified.
 2. Sheet Size: Except for templates, patterns, and similar full-size drawings, submit Shop Drawings on sheets at least 8-1/2 by 11 inches but no larger than 30 by 42 inches.
- D. Samples: Submit Samples for review of kind, color, pattern, and texture for a check of these characteristics with other elements and for a comparison of these characteristics between submittal and actual component as delivered and installed.

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1. Transmit Samples that contain multiple, related components such as accessories together in one submittal package.
 2. Identification: Attach label on unexposed side of Samples that includes the following:
 - a. Submittal Package number and Submittal Item number.
 - b. Generic description of Sample.
 - c. Product name and name of manufacturer.
 - d. Sample source.
 - e. Number and title of applicable Specification Section.
 3. Disposition: Maintain sets of approved Samples at Project site, available for quality-control comparisons throughout the course of construction activity. Sample sets may be used to determine final acceptance of construction associated with each set.
 - a. Samples that may be incorporated into the Work are indicated in individual Specification Sections. Such Samples must be in an undamaged condition at time of use.
 - b. Samples not incorporated into the Work, or otherwise designated as the Owner's property, are the property of the Contractor.
 4. Samples for Initial Selection: Submit manufacturer's color charts consisting of units or sections of units showing the full range of colors, textures, and patterns available.
 - a. Number of Samples: For turnover purpose, submit six full sets of available choices where color, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line. The Design Professional, through the Owner, will return submittal with options selected.
 5. Samples for Verification: Submit full-size units or Samples of size indicated, prepared from same material to be used for the Work, cured and finished in manner specified, and physically identical with material or product proposed for use, and that show full range of color and texture variations expected. Samples include, but are not limited to, the following: partial sections of manufactured or fabricated components; small cuts or containers of materials; complete units of repetitively used materials; swatches showing color, texture, and pattern; color range sets; and components used for independent testing and inspection.
 - a. Number of Samples: Submit six sets of Samples. The Design Professional, through the Owner, will retain two Sample sets; remainder will be returned. Mark up and retain one returned Sample set as a turnover sample.
 - 1) Submit a single Sample where assembly details, workmanship, fabrication techniques, connections, operation, and other similar characteristics are to be demonstrated.
 - 2) If variation in color, pattern, texture, or other characteristic is inherent in material or product represented by a Sample, submit at least six sets of paired units that show approximate limits of variations.
- E. Subcontract List: Prepare a written summary identifying individuals or firms proposed for each portion of the Work, including those who are to furnish products or equipment fabricated to a special design. Include the following information in tabular form:

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1. Name, address, and telephone number of entity performing subcontract or supplying products.
 2. Number and title of related Specification Section(s) covered by subcontract.
 3. Drawing number and detail references, as appropriate, covered by subcontract.
 4. Submit subcontract list in PDF electronic file, to the Owner.
- F. Qualification Data: Prepare written information that demonstrates capabilities and experience of firm or person. Include lists of completed projects with project names and addresses, contact information of architects and owners, and other information specified.
- G. Welding Certificates: Prepare written certification that welding procedures and personnel comply with requirements in the Contract Documents. Submit record of Welding Procedure Specification and Procedure Qualification Record on American Welding Society (AWS) forms. Include names of firms and personnel certified.
- H. OSHA Certificates: Upon the Owner's request, submit certificates of the OSHA 10-hour Construction Safety and Health Course – S1537-A, for all laborers, workers and mechanics working on site.
- I. Installer Certificates: Upon the Owner's request, submit written statements on manufacturer's letterhead certifying that Installer complies with requirements in the Contract Documents and, where required, is authorized by manufacturer for this specific Project.
- J. Manufacturer Certificates: Upon the Owner's request, submit written statements on manufacturer's letterhead certifying that manufacturer complies with requirements in the Contract Documents. Include evidence of manufacturing experience where required.
- K. Material Test Reports: Submit reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting test results of material for compliance with requirements in the Contract Documents.
- L. Preconstruction Test Reports: Submit reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of tests performed before installation of product, for compliance with performance requirements in the Contract Documents.
- M. Field Test Reports: Submit reports indicating and interpreting results of field tests performed either during installation of product or after product is installed in its final location, for compliance with requirements in the Contract Documents.

PART 3 - EXECUTION

3.1 CONTRACTOR'S REVIEW

- A. Action and Informational Submittals: Review each submittal and check for coordination with other Work of the Contract and for compliance with the Contract Documents. Note corrections and field dimensions. Mark with approval stamp before submitting to the Design Professional.
- B. Approval Stamp: Stamp each submittal with a uniform, approval stamp. Include Project name and location, submittal number, Specification Section title and number, name of reviewer, date

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of the Contractor's approval, and statement certifying that submittal has been reviewed, checked, and approved for compliance with the Contract Documents.

3.2 DESIGN PROFESSIONAL'S ACTION

- A. General: The Design Professional will not review submittals that do not bear the Contractor's approval stamp and will return them without action.
- B. Action Submittals: The Design Professional will review each submittal, make marks to indicate corrections or modifications required, and return it through the Owner. The Design Professional will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action.
- C. Informational Submittals: The Design Professional will review each submittal and will return it if it does not comply with requirements.
- D. Partial submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from the Design Professional.
- E. Incomplete submittals are not acceptable, will be considered nonresponsive, and will be returned without review.
- F. Submittals not required by the Contract Documents may not be reviewed and may be discarded.
- G. On projects that have commissioning, the Commissioning Authority will receive copies of the submittals through the Design Professional and will provide comments on the submittals via the Design Professional.

3.3 CONTRACTOR'S SUBMITTAL SCHEDULE

- A. The Contractor's Submission Schedule: The Contractor's Submission Schedule, prepared by the Design Professional is attached following the end of this section. The Contractor shall provide the dates each item needs to be submitted to the Owner no later than 30 days after approval of CPM schedule. The schedule shall include the date of all shop drawings, samples, materials that shall be submitted and the date approval is required. The Contractor shall adhere to the submittal processing time as describe in paragraph 1.5 above when developing the submittal schedule. The Contractor is to coordinate and cooperate with the Owner and Design Professional to complete scheduling in accordance with the approved CPM schedule.

END OF SECTION 013300