

SECTION 013300 - SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.1 SUMMARY

- A. Section includes requirements for the submittal schedule and administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other submittals.

1.2 DEFINITIONS

- A. Action Submittals: Written and graphic information and physical samples that require Architect's and Commissioning Agent'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 Architect's and Commissioning Agent'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. File Transfer Protocol (FTP): Communications protocol that enables transfer of files to and from another computer over a network and that serves as the basis for standard Internet protocols. An FTP site is a portion of a network located outside of network firewalls within which internal and external users are able to access files.
- D. 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.

1.3 ACTION SUBMITTALS

- A. Submittal Schedule: Submit a schedule of submittals, arranged in chronological order by dates required by construction schedule. Include time required for review, ordering, manufacturing, fabrication, and delivery when establishing dates. Include additional time required for making corrections or modifications to submittals noted by the Architect and additional time for handling and reviewing submittals required by those corrections.
 - 1. Coordinate submittal schedule with list of subcontracts, the schedule of values, and Contractor's construction schedule.

2. Initial Submittal: Submit concurrently with start-up construction 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 with the first complete submittal of Contractor's construction schedule.
 - a. Submit revised submittal schedule to reflect changes in current status and timing for submittals.
4. Format: Arrange the following information in a tabular format:
 - a. Scheduled date for first submittal.
 - b. Specification Section number and title.
 - c. Submittal category: Action, informational.
 - d. Name of subcontractor.
 - e. Description of the Work covered.
 - f. Scheduled date for Architect's final release or approval.
 - g. Scheduled dates for purchasing.
 - h. Scheduled dates for installation.
 - i. Activity or event number.
5. Architect reserves the right to withhold 10 percent of each payment request, in addition to retainage fee if any, until the submittal schedule is received and accepted by the Architect.

1.4 SUBMITTAL ADMINISTRATIVE REQUIREMENTS

- A. Architect's Digital Data Files: Electronic copies of Drawings of the Contract Drawings and Project Manual will not be provided by Architect.
- B. Coordination: Coordinate preparation and processing of submittals with performance of construction activities.
 1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
 2. Submit all Action and Informational submittal items required for each Specification Section concurrently unless partial submittals for portions of the Work are indicated on approved submittal schedule.
 - a. Exception: Where samples for initial selection and samples for verification are both required, submit samples for verification after initial selection has been returned by Architect.

3. Submit action submittals and informational submittals required by the same Specification Section as separate packages under separate transmittals.
 4. 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. Architect reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
- C. Processing Time: Allow time for submittal review, including time for resubmittals, as follows. Time for review shall commence on Architect's receipt of submittal. Architect will document on submittal the date of receipt. Submittals received by Architect after 1:00 p.m. will be considered as received the following working day. 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 resubmittals.
1. Initial Review: Allow 10 working days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required. Architect will advise Contractor when a submittal being processed must be delayed for coordination. Delaying submittals to facilitate coordination between submittals shall not constitute a delay of the Work nor shall it be the basis for an extension of time.
 2. Sequential Review: Sequential review is a submittal that requires review by more than one design discipline. Where sequential review of submittals by Architect's consultants, Owner, or other parties is required, allow 15 days for initial review of each submittal.
 3. Concurrent Consultant Review: Transmit submittals directly to Architect's consultants, provide duplicate copy of transmittal to Architect. Allow 15 days for initial review of each submittal. Submittal will be returned to Architect before being returned to Contractor. Concurrent review of submittals is limited to the following:
 4. If intermediate submittal is necessary, process it in same manner as initial submittal.
 5. Allow 15 days for review of each resubmittal.
- D. Electronic Submittals: 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.
 - a. Unique identifier, including revision number. Submittals shall be numbered with the Section number, followed by a dash, followed by a three-digit number, followed by a dash, and ending with a sequential submission number as indicated below. The numbering system shall be retained throughout all revisions.
 - 1) Section Number: Section number where submittal is specified.

- 2) Three-Digit Number: Sequential number, beginning with "001," for each submittal transmitted to Architect for each Section.
 - 3) Submission Number: Use "0" for initial submittal, "1" for first resubmittal, "2" for second resubmittal, and so forth.
 - 4) Example: 061000-001-0 (Section 061000, first submission of the Section, initial submittal).
2. Provide means for insertion to permanently record Contractor's review and approval markings and action taken by Architect.
 3. Scanned Copies: Legible scanned PDF files of paper originals are acceptable. Scanned submittals that are not legible will be rejected.
 4. Sheet Orientation: Orient PDF sheets to a "Ready-to-Read" orientation with majority of text horizontal to the sheet with no additional adjustments or formatting required by the viewer.
 5. File Security: Do not set any permissions on the file. Protected documents will not be accepted.
 6. Transmittal Form for Electronic Submittals: Use PDF of completed Submittal Transmittal form in Document 00 60 00 "Forms."
 7. Metadata: Include the following information in the electronic submittal file metadata:
 - a. Title: Project title
 - b. Author: Contractor's name.
 - c. Subject: Submittal type (product data, shop drawing, report, etc.)
 - d. Keywords: Number and title of appropriate Specification Section; manufacturer name; product name/model number.
 8. File Size: Limit file size of each submittal as follows. Break larger PDF files into multiple packages where necessary to meet delivery restrictions. Identify split packages as "1 of #" and "2 of #" in the subject line.
 - a. Email Delivery: 2 Megabytes.
 - b. FTP Delivery: 100 Megabytes.
- E. Options: Identify options requiring selection by Architect.
- F. Deviations and Additional Information: On an attached separate document, prepared on Contractor's letterhead, record relevant information, requests for data, revisions other than those requested by Architect on previous submittals, and deviations from requirements in the Contract Documents, including minor variations and limitations. Include same identification information as related submittal.
- G. Resubmittals: Make resubmittals in same form and number of copies as initial submittal.
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 stamped with Architect's action stamp marked "NO EXCEPTIONS TAKEN" or "MAKE CORRECTIONS NOTED."
4. Costs of compensation for Architect's additional services and expenses made necessary for review of submittals exceeding the limits set forth below shall be at the Contractor's expense.
 - a. Reviews of Each Submittal: Three, including initial review.
- H. Distribution: Furnish copies of final submittals to manufacturers, subcontractors, suppliers, fabricators, installers, authorities having jurisdiction, and others as necessary for performance of construction activities. Show distribution on transmittal forms.
- I. Use for Construction: Retain complete copies of submittals on Project site. Use only final action submittals with Architect's action stamp marked "NO EXCEPTIONS TAKEN" or "MAKE CORRECTIONS AS NOTED."
- J. The Contractor shall perform no portion of the Work for which the Contract Documents require submittal and review of Shop Drawings, Product Data, Samples or similar submittals until the respective submittal has been reviewed by Architect and returned to Contractor with Architect's action stamp marked "NO EXCEPTIONS TAKEN" or "MAKE CORRECTIONS AS NOTED."

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. Post electronic submittals as PDF electronic files directly to Project Web site specifically established for Project. Do not post zipped files.
 - a. Architect will return annotated file. Annotate and retain one copy of file as an electronic Project record document file.
 2. Submit electronic submittals via email as PDF electronic files. Do not post zipped files.
 - a. Architect will return annotated file. Annotate and retain one copy of file as an electronic Project record document file.

3. Certificates and Certifications Submittals: Provide a statement that includes signature of entity responsible for preparing certification. Certificates and certifications shall be signed by an officer or other individual authorized to sign documents on behalf of that entity.
 - a. Provide a digital signature with digital certificate on electronically-submitted certificates and certifications where indicated.
 - b. Provide a notarized statement on original paper copy certificates and certifications where indicated.
 4. Systems Submittals: Identify submittals for systems such as fire alarms and fire protection systems, on the transmittal and act upon the system singularly as a combined submittal. If resubmission is required, resubmit entire system submittal,
- 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 printed 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. Manufacturer's catalog cuts.
 - b. Manufacturer's written recommendations.
 - c. Manufacturer's product specifications.
 - d. Standard color charts.
 - e. Mill reports.
 - f. Standard product operating and maintenance manuals.
 - g. Compliance with recognized trade association standards.
 - h. Compliance with recognized testing agency standards.
 - i. Application of testing agency labels and seals.
 - j. Notation of coordination requirements.
 - k. 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 before or concurrent with Samples.
 6. Submit Product Data in the following format:

- a. PDF electronic file.
 - b. Paper copies.
- C. Shop Drawings: Prepare and submit Project-specific information, drawn accurately to scale. Do not reproduce, digitally or otherwise, the Contract Documents and submit as Shop Drawings. Do not use, copy or reproduce title blocks, dimensions, notes, keynotes, symbols schedules or details from Contract Drawings, digital or otherwise. Use of the Contract Drawings shall be limited to reproduction, digitally or otherwise, of the exterior wall layout, interior partition layout, grid lines, doors, and windows. Do not base Shop Drawings on standard printed data.
1. Preparation: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:
 - a. Identification of products.
 - b. Fabrication and installation drawings.
 - c. Roughing-in and setting diagrams.
 - d. Wiring diagrams showing field-installed wiring, including power, signal, and control wiring. Differentiate between manufacturer-installed and field-installed wiring.
 - e. Shopwork manufacturing instructions.
 - f. Templates and patterns.
 - g. Schedules.
 - h. Design calculations.
 - i. Compliance with specified standards.
 - j. Notation of coordination requirements.
 - k. Notation of dimensions established by field measurement.
 - l. Relationship and attachment to adjoining construction clearly indicated.
 - m. 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 size of Contract Drawings.
 3. Submit Shop Drawings in the following format:
 - a. PDF electronic file.
- D. Samples: Submit physical units of materials or products 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.
1. Transmit Samples that contain multiple, related components such as accessories together in one submittal package.

2. Refer to individual Specification Sections for requirements for Samples that illustrate workmanship, fabrication techniques, details of assembly, connections, operation, and similar construction characteristics.
3. Identification: Attach label on unexposed side of Samples that includes the following:
 - a. Generic description of Sample.
 - b. Product name and name of manufacturer.
 - c. Sample source.
 - d. Number and title of applicable Specification Section.
 - e. Specification paragraph number and generic name of each item.
4. Submit corresponding electronic submittal of Sample transmittal, digital image file illustrating Sample characteristics, and identification information for record.
5. 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 Owner's property, are the property of Contractor.
6. 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: Submit one full set of available choices where color, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line.
 - b. Architect will return submittal with options selected.
7. Samples for Verification: Submit full-size units or Samples of size indicated, prepared from the same material to be used for the Work, cured and finished in manner specified, and physically identical with the 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:
 - 1) Submit three sets of Samples.
 - 2) Submit a single Sample where assembly details, workmanship, fabrication techniques, connections, operation, and other similar characteristics are to be demonstrated.

- 3) Submit at least three sets of paired units that show approximate limits of variations if variation in color, pattern, texture, or other characteristic is inherent in material or product represented by a Sample.
 - b. Architect will retain one Sample set; remainder will be returned. Mark up and retain one returned Sample set as a Project record sample.
 8. Preparation: Mount, display, or package Samples in manner specified to facilitate review of qualities indicated. Prepare Samples to match Architect's sample where so indicated. Attach label on unexposed side that includes the following:
 - a. Generic description of Sample.
 - b. Product name or name of manufacturer.
 - c. Sample source.
 9. Submit Samples for review of kind, color, pattern, and texture for a final check of these characteristics with other elements and for a comparison of these characteristics between final submittal and actual component as delivered and installed.
 - a. Transmit Samples that contain multiple, related components such as accessories together in one submittal package.
 - b. Refer to individual Specification Sections for requirements for Samples that illustrate workmanship, fabrication techniques, details of assembly, connections, operation, and similar construction characteristics.
- E. **Welding Certificates:** Prepare and submit written certification that welding procedures and personnel comply with requirements. Submit record of Welding Procedure Specification (WPS) and Procedure Qualification Record (PQR) on AWS forms. Include names of firms and personnel certified.
- F. **Product Certificates:** Submit written statements on manufacturer's letterhead certifying that product complies with requirements.
- G. **Material Certificates:** Submit written statements on manufacturer's letterhead certifying that material complies with requirements.
- H. **Research Reports:** Submit written evidence, from a model code organization acceptable to authorities having jurisdiction, that product complies with building code in effect for Project. Include the following information:
 1. Name of evaluation organization.
 2. Date of evaluation.
 3. Time period when report is in effect.
 4. Product and manufacturers' names.
 5. Description of product.
 6. Test procedures and results.

7. Limitations of use.

- I. Compatibility Test Reports: Prepare and submit reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of compatibility tests performed before installation of product. Include written recommendations for primers and substrate preparation needed for adhesion.
- J. Field Test Reports: Prepare and submit reports, written by a qualified testing agency, on testing agency's standard form, 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.
- K. Material Safety Data Sheets: If requested by Owner, submit data sheets directly to Owner. Do not submit data sheets to Architect. Architect will not review data sheets and will not return them to Contractor.
- L. Design Data: Prepare and submit written and graphic information, including, but not limited to, performance and design criteria, list of applicable codes and regulations, and calculations. Include list of assumptions and other performance and design criteria and a summary of loads. Include load diagrams if applicable. Provide name and version of software, if any, used for calculations. Include page numbers.

2.2 DELEGATED-DESIGN SERVICES

- A. Performance and Design Criteria: Where professional design services or certifications by a design professional are specifically required of Contractor by the Contract Documents, provide products and systems complying with specific performance and design criteria indicated.
 - 1. If criteria indicated are not sufficient to perform services or certification required, submit a written request for additional information to Architect.
- B. Delegated-Design Services Certification: In addition to Shop Drawings, Product Data, and other required submittals, submit digitally-signed PDF electronic file paper copies of certificate, signed and sealed by the responsible design professional, for each product and system specifically assigned to Contractor to be designed or certified by a design professional.
 - 1. Indicate that products and systems comply with performance and design criteria in the Contract Documents. Include list of codes, loads, and other factors used in performing these services.
- C. BIM File Incorporation: Incorporate delegated-design drawing and data files into Building Information Model established for Project.
 - 1. Prepare delegated-design drawings in the following format: Same digital data software program, version, and operating system as the original Drawings.

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 Architect.
- B. Project Closeout and Maintenance/Material Submittals: Refer to requirements in Section 017700 "Closeout Procedures."
- C. 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 of Contractor's approval, and statement certifying that submittal has been reviewed, coordinated, checked, and approved for compliance with the Contract Documents.

3.2 ARCHITECT'S ACTION

- A. General: Architect will not review submittals that have not been properly transmitted, reviewed by Contractor, or do not bear Contractor's approval stamp and will return them without action.
- B. Action Submittals: Architect will review submittal, make marks to indicate corrections or revisions required, and return it to Contractor. Architect will stamp each submittal with an action stamp as illustrated at the end of this Section, and will mark stamp appropriately to indicate action, as follows:
 - 1. "NO EXCEPTIONS TAKEN": No further review of Submittal required.
 - 2. "MAKE CORRECTIONS AS NOTED. Resubmittal not required unless Contractor cannot comply with corrections noted.": Incorporate corrections in Work. If Contractor cannot comply with corrections as noted, revise to respond to exceptions and resubmit.
 - 3. "REVISE AS NOTED AND RESUBMIT": Revise as noted and resubmit for further review.
 - 4. "RESUBMIT PROPERLY Submittal not reviewed for reasons noted."
 - 5. "NOT REVIEWED Submittal not required by Contract Documents.": Remove from submittal log.
 - 6. "RECEIVED FOR CLIENT'S RECORD ONLY. Submittal not reviewed."
- C. Informational Submittals: Architect will review each submittal and will not return it, or will return it if it does not comply with requirements. Architect will forward each submittal to appropriate party.

- D. Partial submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from Architect.
- E. Incomplete submittals are unacceptable, will be considered nonresponsive, and will be returned for resubmittal without review.
- F. Submittals not required by the Contract Documents will not be reviewed and may be discarded or returned marked "NOT REVIEWED."
- G. Substitution items received as product data, shop drawing, or sample submittals required by individual Sections will be returned to Contractor without review. Comply with requirements in Section 012500 "Substitution Procedures" for submission of substitution request.
- H. Submittals will not be considered complete without the required LEED supporting documentation that is required for the submission of the Project to USGBC and LEED Criteria Worksheet.
 - 1. Architect reserves the right to reject any submittal that is missing the required LEED-related documentation.
 - 2. Adjustments to the Construction Schedule will not be allowed for failure of the Contractor to submit all required LEED-related documentation as part of the first submission, or in an otherwise timely manner.
 - 3. Increase of the Contract Sum will not be allowed in order to meet the specified LEED-related requirements.

END OF SECTION