SECTION **01 33 00** - **SUBMITTAL PROCEDURES**

**Content Requests:**

Revise this Section by deleting and inserting text to meet Project-specific requirements.

1. GENERAL
   * + 1. SUMMARY

Section Includes:

Submittal schedule requirements.

Administrative and procedural requirements for submittals.

Retain subparagraphs below to cross-reference requirements Contractor might expect to find in this Section but are specified in other Sections.

Retain one of first four subparagraphs below to coordinate requirements for sustainable design documentation with requirements for other submittals.

Retain one of first two subparagraphs below to coordinate requirements for sustainable design documentation with requirements for other submittals.

Retain subparagraph below to coordinate requirements for sustainable design documentation with requirements for other submittals.

* + - 1. DEFINITIONS

Retain terms that remain after this Section has been edited for a project.

Action Submittals: Written and graphic information and physical samples that require Government's responsive action. Action submittals are those submittals indicated in individual Specification Sections as "action submittals."

* + - * 1. Informational Submittals: Written and graphic information and physical samples that do not require Government'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."
      1. SUBMITTAL SCHEDULE

Revise "Submittal Schedule" Paragraph below to suit Project. If there is an office submittal review sequence policy, insert specific requirements. See the Evaluations for discussion on submittal review sequence policies.

Submittal Schedule: Submit, as an action submittal, a list 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 revisions to submittals noted by Government and additional time for handling and reviewing submittals required by those corrections.

Coordinate submittal schedule with list of subcontracts, the schedule of values, and Contractor's construction schedule.

If a startup construction schedule is not required, delete "Initial Submittal Schedule" Subparagraph below or revise to require initial submittal within 14 days of date established for commencement of the Work.

Initial Submittal Schedule: Submit within 10 days of Notification of Award and not less than 5 days prior to preconstruction conference, concurrently with startup 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.

After Government review and after each revision, distribute to Government, subcontractors, and other parties required to comply with scheduled dates.

Post current copies of submittal schedule in Project meeting rooms and field office.

Final Submittal Schedule: Submit concurrently with the first complete submittal of Contractor's construction schedule.

Revise submittal schedule as required to reflect changes in current status and timing for submittals.

After each revision, distribute to Government, subcontractors, and other parties required to comply with scheduled dates.

Post current copies of submittal schedule in Project meeting rooms and field office.

Format: Arrange the following information in a tabular format:

Scheduled date for first submittal.

Specification Section number and title.

Related Specification Section number and title.

Submittal Category: Action; informational.

Name of subcontractor.

Description of the Work covered.

Scheduled date for submission or resubmission.

Scheduled date for Government's final release or approval.

Retain four subparagraphs below if CPM construction schedules are required.

Scheduled dates for purchasing.

Scheduled date of fabrication.

Scheduled dates for installation.

Activity or event number.

* + - 1. SUBMITTAL REGISTER

Submittal Register: Prepare a submittal register using the form provided at the end of this Section. Maintain the submittal register as the Work progresses.

Submittal register will be provided to Contractor in electronic spreadsheet file if requested.

* + - 1. SUBMITTAL FORMATS

Submittal Information: Include the following information in each submittal:

Project name.

Date.

Retain first subparagraph below if a construction manager has been retained for Project.

Name of Contractor.

Name of firm or entity that prepared submittal.

Names of Subcontractor, manufacturer, and supplier.

Revise first subparagraph below to suit Project and office practice.

Unique submittal number, including revision identifier. Include Specification Section number with sequential alphanumeric identifier and alphanumeric suffix for resubmittals.

Category and type of submittal.

Submittal purpose and description including identifying names, symbols, and abbreviations indicated in Contract Documents.

Include salient features and other information necessary for complete identification.

Include capacity and performance data in same form, units of measure, and completeness as requirements in Contract Documents.

Number and title of Specification Section, with paragraph number and generic name for each of multiple items.

Drawing number and detail references, as appropriate.

Indication of full or partial submittal.

Location(s) where product is to be installed including room names and numbers, as appropriate.

Other necessary identification.

Remarks.

Signature of transmitter.

Options: Identify options requiring selection by Government.

* + - * 1. Deviations and Additional Information: On each submittal, clearly indicate deviations from requirements in the Contract Documents, including minor variations and limitations; include relevant additional information and revisions, other than those requested by Government on previous submittals. Indicate by highlighting on each submittal or noting on attached separate sheet.

Retain "Paper Submittals" Paragraph below if requiring paper copies of submittals instead of digital submittals.

Retain "Action Submittals" and "Informational Submittals" subparagraphs below as default requirements for paper copies of submittals; other quantity requirements may be included with individual submittal requirements elsewhere in this article. Additional copies may be required for projects with a construction manager or a commissioning authority.

Revise "Additional Copies" Subparagraph below to suit Project and office policy. Marking numerous copies of submittals can be time consuming.

If retaining second option in "Transmittal for Submittals" Subparagraph below, insert a sample of the form in Project Manual.

Retain "Electronic Submittals" Paragraph below if requiring electronic submittals to be sent to Government via email.

Retain "Submittals Utilizing Web-Based Project Management Software" Paragraph below if requiring PDF submittals to be uploaded to web-based Project management software site.

* + - * 1. Submittals Utilizing Web-Based Project Software: Prepare submittals as PDF files or other format indicated by Project management software.
      1. SUBMITTAL PROCEDURES

Prepare and submit submittals required by individual Specification Sections. Types of submittals are indicated in individual Specification Sections.

Retain "Email," "Web-Based Project Software," or "Paper" Subparagraph below.

Coordinate requirements of "Web-Based Project Management Software" Subparagraph below with requirements for web-based Project management software specified in Section 01 32 00 "Construction Progress Documentation."

Web-Based Project Management Software: Prepare submittals in PDF form, and upload to web-based Project management software website. Enter required data in web-based software site to fully identify submittal.

Coordination: Coordinate preparation and processing of submittals with performance of construction activities.

Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.

Submit all submittal items required for each Specification Section concurrently unless partial submittals for portions of the Work are indicated on approved submittal schedule.

Submit action submittals and informational submittals required by the same Specification Section as separate packages under separate transmittals.

Retain subparagraph below if one submittal has an impact on another submittal. Submittals that require concurrent review should be so indicated in those Sections.

Coordinate transmittal of submittals for related parts of the Work specified in different Sections, so processing will not be delayed because of need to review submittals concurrently for coordination.

Government reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.

Processing Time: Allow time for submittal review, including time for resubmittals, as follows. Time for review shall commence on Government'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 resubmittals.

Initial Review: Allow 14 days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required. Government will advise Contractor when a submittal being processed must be delayed for coordination.

Intermediate Review: If intermediate submittal is necessary, process it in same manner as initial submittal.

Resubmittal Review: Allow 14 days for review of each resubmittal.

Retain "Sequential Review" Subparagraph below if required.

Sequential Initial Review: Where sequential initial review of submittals by Government's consultants or other parties is indicated, allow 14 days for initial review of each submittal.

Insert list of submittals requiring sequential review in first subparagraph below, or delete and identify submittals in Sections where they are specified. Structural, HVAC, plumbing, and electrical components are examples of the Work that often require sequential review.

Allowing procedure in "Concurrent Consultant Review" Subparagraph below may cause tracking problems for Government and Construction Manager, if any. Delete below if not allowed. See the Evaluations.

Concurrent Consultant Review: Where the Contract Documents indicate that submittals may be transmitted simultaneously to Government and to Government's consultants, allow 14 days for review of each submittal. Submittal will be returned to Government before being returned to Contractor.

Submit one copy of submittal to concurrent reviewer in addition to specified number of copies to Government.

Resubmittals: Make resubmittals in same form and number of copies as initial submittal.

Note date and content of previous submittal.

Note date and content of revision in label or title block, and clearly indicate extent of revision.

Resubmit submittals until they are marked with approval notation from Government's action stamp.

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.

* + - * 1. Use for Construction: Retain complete copies of submittals on Project site. Use only final action submittals that are marked with approval notation from Government's action stamp.
      1. SUBMITTAL REQUIREMENTS

Additional copies may be required for each type of submittal in this article for projects with a construction manager or a commissioning authority.

Product Data: Collect information into a single submittal for each element of construction and type of product or equipment.

If information must be specially prepared for submittal because standard published data are unsuitable for use, submit as Shop Drawings, not as Product Data.

Mark each copy of each submittal to show which products and options are applicable.

Include the following information, as applicable:

Manufacturer's catalog cuts.

Manufacturer's product specifications.

Manufacturer's printed recommendations.

Standard color charts.

Statement of compliance with specified referenced standards.

Testing by recognized testing agency.

Application of testing agency labels and seals.

Notation of coordination requirements.

Availability and delivery time information.

For equipment, include the following in addition to the above, as applicable:

Wiring diagrams that show factory-installed wiring.

Printed performance curves.

Operational range diagrams.

Clearances required to other construction, if not indicated on accompanying Shop Drawings.

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.

Preparation: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:

Comply with Government's requirements and office policy.

Identification of products.

Schedules.

Compliance with specified standards.

Notation of coordination requirements.

Dimensions including clearances required to adjacent construction.

Notation of dimensions established by field measurement.

Relationship and attachment to adjoining construction clearly indicated.

Seal and signature of professional engineer if specified.

Retain "Paper Sheet Size" Subparagraph below if requiring paper submittals.

Print Sheet Size: Except for templates, patterns, and similar full-size Drawings, submit Shop Drawings on sheets at least 8-1/2 by 11 inches (216 by 279 mm), but no larger than 30 by 42 inches (750 by 1067 mm).

Retain one of first two subparagraphs below. First subparagraph assumes Government and Contractor will make copies from opaque print.

Retain "BIM Incorporation" Subparagraph below when Project uses BIM through the Construction Stage and Contractor is required to prepare Shop Drawings for incorporation into the BIM. Revise as required to reflect Project scope agreements.

Samples: Mount or display samples to facilitate review. Submit Samples for review of type, color, pattern, and texture for a check of these characteristics with other materials or with Government's sample.

Transmit Samples that contain multiple, related components, such as accessories together in 1 submittal package.

Identification: Permanently attach label on unexposed side of Samples that includes the following:

Project name and submittal number.

Generic description of Sample.

Product name and name of manufacturer.

Sample source.

Number and title of applicable Specification Section.

Specification paragraph number and generic name of each item.

Retain "Email Transmittal (PDF)," "Web-Based Project Management Software (PDF)," or "Paper Transmittal" Subparagraph below.

Web-Based Project Management Software: Prepare submittals in PDF form, and upload to web-based Project software website. Enter required data in web-based software site to fully identify submittal.

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.

Retain first subparagraph below if required.

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.

Samples not incorporated into the Work, or otherwise designated as Government's property, are the property of Contractor.

Revise "Samples for Initial Selection" Subparagraph below if Project requires a different procedure. Consider indicating Samples for initial selection as a separate item in the submittal schedule. Delete subparagraph if colors and other characteristics are preselected and specified or scheduled.

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.

Number of Samples: Submit 4 full sets minimum of available choices where color, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line. Government will retain 3 sets and return remaining set with options selected.

"Samples for Verification" Subparagraph below can be used with or without Samples for initial selection. Revise to suit Project.

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 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.

Number of Samples: Submit 4 sets minimum of Samples. Government will retain 3 Sample sets; remainder will be returned.

If variation in color, pattern, texture, or other characteristic is inherent in material or product represented by a Sample, submit at least 3 sets of paired units that show approximate limits of variations.

"Product Schedule" Paragraph below describes Contractor's submittal in tabular form, detailing product and installation requirements for an individual Section.

Product Schedule: As required in individual Specification Sections, prepare a written summary indicating types of products required for the Work and their intended location. Include the following information in tabular form:

Type of product. Include unique identifier for each product indicated in the Contract Documents or assigned by Contractor if none is indicated.

Manufacturer and product name, and model number if applicable.

Number and name of room or space.

Location within room or space.

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.

Usually retain "Design Data" Paragraph below for products, systems, and assemblies whose requirements are fully developed in the Contract Documents, and where products are pre-engineered to meet various design criteria, such as loads. See "Delegated Design Services" Article for submittal requirements where delegated design services are required.

* + - * 1. Design Data: Prepare and submit written and graphic information indicating compliance with indicated performance and design criteria in individual Specification Sections. Include list of assumptions and summary of loads. Include load diagrams if applicable. Provide name and version of software, if any, used for calculations. Number each page of submittal.
        2. Certificates:

Certificates and Certifications Submittals: Submit 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. Provide a notarized signature where indicated.

Insert definition of Contractor certificates here if required by individual Specification Sections. See the Evaluations.

Installer Certificates: 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.

Manufacturer Certificates: Submit written statements on manufacturer's letterhead, certifying that manufacturer complies with requirements in the Contract Documents. Include evidence of manufacturing experience where required.

Material Certificates: Submit written statements on manufacturer's letterhead, certifying that material complies with requirements in the Contract Documents.

Product Certificates: Submit written statements on manufacturer's letterhead, certifying that product complies with requirements in the Contract Documents.

Welding Certificates: Prepare written certification that welding procedures and personnel comply with requirements in the Contract Documents. Submit record of AWS B2.1/B2.1M on AWS forms. Include names of firms and personnel certified.

Test and Research Reports:

Compatibility Test Reports: 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 substrate preparation and primers required.

Field Test Reports: Submit written 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.

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.

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.

Product Test Reports: Submit written reports indicating that current product produced by manufacturer complies with requirements in the Contract Documents. Base reports on evaluation of tests performed by manufacturer and witnessed by a qualified testing agency, or on comprehensive tests performed by a qualified testing agency.

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:

Name of evaluation organization.

Date of evaluation.

Time period when report is in effect.

Product and manufacturers' names.

Description of product.

Test procedures and results.

Limitations of use.

* + - 1. DELEGATED DESIGN SERVICES

This article directly relates to requirement for Contractor to provide professional services where indicated by the Contract Documents. Refers to a "design professional," but no definition of the term is included. Retain this article if authorities having jurisdiction allow Contractor to perform these services. See the Evaluations.

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.

If criteria indicated are insufficient to perform services or certification required, submit a written request for additional information to Government.

Delegated Design Services Certification: In addition to Shop Drawings, Product Data, and other required submittals, submit digitally signed PDF file 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.

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.

Retain "BIM Incorporation" Paragraph below when Project uses BIM through the Construction Stage and delegated design drawings and data will be incorporated into the BIM.

* + - 1. CONTRACTOR'S REVIEW

Action Submittals 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 Government.

In "Contractor's Approval" Paragraph below, retain first option if requiring paper submittals and second option for digital submittals.

* + - * 1. Contractor's Approval: Indicate Contractor's approval for each submittal with a uniform approval stamp. Include name of reviewer, date of Contractor's approval, and statement certifying that submittal has been reviewed, checked, and approved for compliance with the Contract Documents.

Government will not review submittals received from Contractor that do not have Contractor's review and approval.

* + - 1. GOVERNMENT'S REVIEW

Most architects (and construction managers) use a stamp to indicate action taken on submittals. Retain "Action Submittals" Paragraph below if using such a stamp, or substitute another system to comply with office policy or Government's requirements. The Government will review and approve or take other appropriate action upon the Contractor's submittals. The Construction Manager will review and approve submittals before transmitting those recommended for approval to Government. Retain second option if using PDF or paper submittals.

Action Submittals: Government will review each submittal, indicate corrections or revisions required, and return.

Retain "PDF Submittals," "Paper Submittals," or "Submittals by Web-Based Project Management Software" Subparagraph below.

On advice of counsel, retain appropriate terms for action stamp, and insert term and explanation of each action taken in first subparagraph below. See example in the Evaluations.

On advice of counsel, retain appropriate terms for action stamp, and insert term and explanation of each action taken in first subparagraph below. See example in the Evaluations.

Submittals by Web-Based Project Management Software: Government will indicate, on Project management software website, the appropriate action.

Web-based Project software may define each type of action taken by Government. Consult Government's legal counsel and insert action terms and their definitions. See example in the Evaluations.

Actions taken by indication on Project management software website have the following meanings:

Approved as Submitted: Final unrestricted release. Work covered by the submittal may proceed provided it complies with requirements of the Contract Documents.

Approved as Noted: Final but restricted release. Work covered by the submittal may proceed provided it complies with notations and corrections on the submittal and requirements of the Contract Documents.

Approved, Except as Noted - Resubmit: Final but partially restricted release. Work covered by the submittal may proceed provided it complies with requirements of the Contract Documents except do not proceed with Work covered by notations and corrections on the submittal, including purchasing, fabrication, or delivery. Revise or prepare new submittal that addresses notations and corrections and resubmit without delay. Repeat if necessary to obtain a different action mark.

Disapproved: Revise and resubmit. Do not proceed with Work covered by the submittal, including purchasing, fabrication, or delivery. Revise or prepare new submittal that addresses notations and corrections and resubmit without delay. Repeat if necessary to obtain a different action mark.

Do not use, or allow others to use, submittals marked "Disapproved" or submittals without an appropriate final stamp indicating action taken.

* + - * 1. Informational Submittals: Government will review each submittal and will not return it or will return it if it does not comply with requirements.
        2. Partial submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from Government.

Review of separate portions of the Work does not constitute review of the assembly or system that includes that portion of the Work.

* + - * 1. Incomplete submittals are unacceptable, will be considered nonresponsive, and will be returned for resubmittal without review.
        2. Government will return without review submittals received from sources other than Contractor.

Review of submittals that are not required may increase Government's liability and require additional effort for which fees may be unavailable. Revise paragraph below according to office practice.

* + - * 1. Submittals not required by the Contract Documents will be returned by Government without action.

1. PRODUCTS (Not Used)
2. EXECUTION (Not Used)

END OF SECTION