1. Section 013300 - Submittal Procedures
   1. PART 1 GENERAL
      1. SUMMARY
         1. Section includes requirements for the submittal schedule and administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other submittals.
         2. Related Requirements:
            1. Division 01 Section “Substitution Procedures” for Substitution Request Form.
            2. Division 01 Section "Payment Procedures" for submitting Applications for Payment and the schedule of values.
            3. Division 01 Section “Project Management and Coordination” for submitting and distributing meeting and conference minutes and for submitting Coordination Drawings.
            4. Division 01 Section "Construction Progress Documentation" for submitting schedules and reports, including Contractor's construction schedule.
            5. Division 01 Section “Photographic Documentation” for submitting construction photographs and videos.
            6. Division 01 Section “Quality Requirements” for submitting test and inspection reports and for mockup requirements.
            7. Division 01 Section “Quality Requirements” for delegated design submittal requirements.
            8. Division 01 Section “Product Requirements” for Substitution Request Form.
            9. Division 01 Section “Closeout Procedures” for submitting warranties.
            10. Division 01 Section "Operation and Maintenance Data" for submitting operation and maintenance manuals.
            11. Division 01 Section "Project Record Documents" for submitting record Drawings, record Specifications, and record Product Data.
            12. Division 01 Section "Demonstration and Training" for submitting video recordings of demonstration of equipment and training of Owner's personnel.
            13. Divisions 02 through 33 Sections for specific requirements for submittals in those sections.
      2. DEFINITIONS
         1. Action Submittals: Written and graphic information and physical samples that require Architect's  responsive action. Action submittals are those submittals indicated in individual Specification Sections as "action submittals."
         2. Informational Submittals: Written and graphic information and physical samples that do not require Architect'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."
         3. Maintenance Material Submittals: Extra stock (attic stock) requirements for products to be supplied by the Contractor for Owner’s future use.
         4. Closeout Submittals: See Division 01 Sections “Closeout Procedures” and “Operation and Maintenance Data” for submittals required that are associated with project closeout.
         5. 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.
         6. 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.
         7. ​​Days (as referenced in this section, unless defined otherwise in Owner / Contractor Agreement): Working Days, excluding holidays and weekends.​​
      3. ACTION SUBMITTALS
         1. 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 revisions to submittals noted by 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 startup construction schedule (within 14 days of date established for commencement of the Work). 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.

Submit revised submittal schedule to reflect changes in current status and timing for submittals.

* + - * 1. Format: Arrange the following information in a tabular format:

Scheduled date for first submittal.

Specification Section number and title.

Submittal category: Action; informational.

Name of subcontractor.

Description of the Work covered.

Scheduled date for Architect's ​​ final release or approval.

Scheduled date of fabrication.

Scheduled dates for purchasing.

Scheduled dates for installation.

Activity or event number.

* + 1. SUBMITTAL ADMINISTRATIVE REQUIREMENTS
       1. Architect's Digital Data Drawing Files: Electronic digital data files of the Construction Drawings will be provided by Architect in accordance with the AIA Document C106, Digital Data Licensing Agreement, modified for Contractor's use in preparing submittals.
          1. Architect will furnish Contractor one set of digital data drawing files of the  Contract Drawings for use in preparing Shop Drawings and Project record drawings. Architect will provide updated sets of digital data drawing files only with major subsequent drawing releases and modifications.
          2. Architect makes no representations as to the accuracy or completeness of digital data drawing files as they relate to the Contract Drawings.
          3. The following digital data files will by furnished for each appropriate discipline:

Floor plans.

Reflected ceiling plans.

* + - 1. 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 submittal items required for each Specification Section concurrently and under one transmittal unless partial submittals for portions of the Work are indicated on approved submittal schedule.
         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.

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

* + - 1. Processing Time: Allow time for submittal review, including time for resubmittals, as follows. Time for review shall commence on ​Architect's​ receipt of submittal. Submittals received by Architect after 1:00 pm 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​​ 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.
         2. Intermediate Review: If intermediate submittal is necessary, process it in same manner as initial submittal.
         3. Resubmittal Review: Allow ​10​ days for review of each resubmittal.
         4. Sequential Review: Where sequential review of submittals by Architect's consultants, Owner, or other parties is indicated, allow 15 days for initial review of each submittal.
         5. Concurrent Consultant Review: Where the Contract Documents indicate that submittals may be transmitted simultaneously to Architect and to Architect's consultants, or when agreed to be transmitted simultaneously to Architect and to Architect's consultants by the Owner/Architect/Contractor team, allow 15 days for review of each submittal. Submittal will be returned to Architect before being returned to Contractor.
      2. Electronic Submittals: Identify and incorporate information in each electronic submittal file as follows:
         1. Assemble complete submittal package into a single indexed file incorporating submittal requirements of a single Specification Section and transmittal form with links enabling navigation to each item.
         2. Name file with submittal number or other unique identifier, including revision identifier.

File name to use Specification Section number followed by a decimal point, followed by a sequential number, and then a project identifier (e.g., 061000.01-jobidentifier). Resubmittals to include an alphabetic suffix after another decimal point (e.g., 061000.01.A-jobidentifier). Review and confirm job-specific submittal numbering procedures with Architect at Pre-Construction Meeting.

* + - * 1. Provide means for insertion to permanently record Contractor's review and approval markings and action taken by Architect ​​.
        2. Transmittal Form for Electronic Submittals: Use software-generated form from electronic project management software or electronic form acceptable to Architect and Owner, containing the following information:

Project name.

Date.

Name and address of Architect.

Name of Contractor.

Name of firm or entity that prepared submittal.

Names of subcontractor, manufacturer, and supplier.

Category and type of submittal.

Submittal purpose and description.

Specification Section number and title.

Specification paragraph number or drawing designation and generic name for each of multiple items.

Drawing number and detail references, as appropriate.

Location(s) where product is to be installed, as appropriate.

Related physical samples submitted directly.

Indication of full or partial submittal.

Transmittal number​, numbered consecutively​.

Submittal and transmittal distribution record.

Other necessary identification.

Remarks.

* + - * 1. Metadata: Include the following information as keywords in the electronic submittal file metadata:

Project name.

Number and title of appropriate Specification Section.

Manufacturer name.

Product name.

* + - 1. ​​Paper Submittals: When requested by Architect for certain submittals, submit paper copies of the electronic submittal in addition to the electronic submittal.​​
      2. Options: Identify options requiring selection by Architect.
      3. Deviations and Additional Information: Highlight, encircle, or otherwise specifically identify deviations from the contract documents on submittals. On an attached separate sheet, 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.
      4. 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 marked with approval notation from Architect's ​​ action stamp.
      5. 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.
      6. Use for Construction: Retain complete copies of submittals on Project site. Use only final action submittals that are marked with approval notation from Architect's action stamp.
    1. PROHIBITED SUBMITTALS
       1. Prohibited Submittals: The following items shall not be submitted; if submitted the entire submittal will be returned “Not Approved”:
          1. Material Safety Data Sheets (MSDS).
          2. ​Environmental Product Declarations (EPD.​
          3. ​Health Product Declarations (HPD).​
  1. PART 2 PRODUCTS
     1. SUBMITTAL PROCEDURES
        1. General Submittal Procedure Requirements: Prepare and submit submittals required by individual Specification Sections. Types of submittals are indicated in individual Specification Sections.
           1. Transmit electronic submittals as PDF electronic files .

Architect ​​ will return annotated file. Annotate and retain one copy of file as an electronic Project record document file.

* + - * 1. 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.

Provide a digital signature with digital certificate on electronically submitted certificates and certifications where indicated.

* + - 1. 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:

Manufacturer's catalog cuts.

Manufacturer's product specifications.

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.

* + - * 1. For equipment, include the following in addition to the above, as applicable:

Wiring diagrams showing factory-installed wiring.

Printed performance curves.

Operational range diagrams.

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

* + - * 1. Submit Product Data before or concurrent with Samples.
      1. 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, unless submittal based on Architect's digital data drawing files is otherwise permitted.
         1. Preparation: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:

Identification of products.

Schedules.

Compliance with specified standards.

Notation of coordination requirements.

Notation of dimensions established by field measurement.

Relationship and attachment to adjoining construction to be clearly shown.

Seal and signature of professional engineer if specified.

* + - 1. Samples: Submit actual 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.
         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:

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.

* + - * 1. For projects where electronic submittals are required: In addition to the actual samples submitted, provide corresponding electronic submittal of Sample transmittal, digital image file illustrating Sample characteristics, and identification information for record.
        2. 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.

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.

* + - * 1. 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 two full set(s) of available choices where color, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line. Architect will return submittal (one set) with options selected.

* + - * 1. 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.

Number of Samples: Submit a minimum of two sets of Samples. Architect  will retain one Sample set(s); remainder will be returned.  Mark up and retain one returned Sample set as a project record sample.

Submit a single Sample where assembly details, workmanship, fabrication techniques, connections, operation, and other similar characteristics are to be demonstrated.

If variation in color, pattern, texture, or other characteristic is inherent in material or product represented by a Sample, submit at least three sets of paired units that show approximate limits of variations, unless otherwise indicated in individual Specification Sections.

* + - 1. 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:
         1. Type of product. Include unique identifier for each product indicated in the Contract Documents or assigned by Contractor if none is indicated.
         2. Manufacturer and product name, and model number if applicable.
         3. Number and name of room or space.
         4. Location within room or space.
      2. Coordination Drawing Submittals: Comply with requirements specified in Division 01 Section "Project Management and Coordination."
      3. Contractor's Construction Schedule: Comply with requirements specified in Division 01 Section "Construction Progress Documentation."
      4. ​​Application for Payment and Schedule of Values: Comply with requirements specified in Division 01 Section "Payment Procedures."​​
      5. Test and Inspection Reports and Schedule of Tests and Inspections Submittals: Comply with requirements specified in Division 01 Section "Quality Requirements."
      6. Closeout Submittals and Maintenance Material Submittals: Comply with requirements specified in Division 01 Section "Closeout Procedures."
      7. Maintenance Data: Comply with requirements specified in Division 01 Section "Operation and Maintenance Data."
      8. ​Sustainable Design Submittals: Comply with requirements specified in Division 01 Sustainable Design specification sections.​
      9. 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.
      10. 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 AWS forms. Include names of firms and personnel certified.
      11. 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.
      12. 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.
      13. Product Certificates: Submit written statements on manufacturer's letterhead certifying that product complies with requirements in the Contract Documents.
      14. Material Certificates: Submit written statements on manufacturer's letterhead certifying that material complies with requirements in the Contract Documents.
      15. 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.
      16. 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.
      17. 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.
      18. 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.
      19. 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 primers and substrate preparation needed for adhesion.
      20. 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.
      21. 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.
      22. 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​.
  1. PART 3 EXECUTION
     1. CONTRACTOR'S REVIEW
        1. 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.
        2. Project Closeout and Maintenance Material Submittals: See requirements in Division 01 Section "Closeout Procedures."
        3. 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, checked, and approved for compliance with the Contract Documents.
           1. An example of an acceptable stamp is indicated below:

|  |  |
| --- | --- |
| *(PROJECT NAME & LOCATION):*  *​* | |
| *SUBMITTAL NO.* *​* | *SPECIFICATION TITLE & SECTION NO.* |
| FOR (NAME OF CONTRACTOR): | |
| This Submittal has been reviewed, checked, coordinated, and approved, except for any deviations clearly noted, as required by the Work and the Contract Documents. | |
| Print Name: | |
| Signature | |
| Position: | |
| Date: | |

* + 1. ARCHITECT'S ACTION
       1. Action Submittals: Architect will review each submittal, make marks to indicate corrections or revisions required, and return it. Architect will stamp each submittal and will mark stamp appropriately to indicate action, as follows:
          1. “Approved” indicates the submittal has been reviewed for conformance with design and no exceptions are taken. The work covered by the submittal may proceed provided it complies with the Contract Documents.
          2. “Approved as Noted” indicates submittal has been reviewed for conformance with design and exceptions are taken. The work covered by the submittal may proceed provided it complies with both Architect’s notations and corrections on the submittal and the Contract Documents. Final acceptance will depend upon that compliance.
          3. “Revise and Resubmit” indicates that submittal is to be revised and resubmitted according to the Architect’s notations and corrections, and that complies with the Contract Documents. Do not proceed with the Work covered by the submittal, including purchasing, fabrication, delivery, or other activity for the product submitted.
          4. “Not Approved” indicates that a new submittal is to be prepared that complies with the Contract Documents. Do not proceed with the Work covered by the submittal, including purchasing, fabrication, delivery, or other activity for the product submitted.
       2. Informational Submittals: Architect will review each submittal and notate as follows:
          1. “For Information Only” indicates that file has been received for information and / or record copy only.
          2. “Not Approved” indicates that submittal is not in compliance with requirements, and must be resubmitted.
       3. Architect’s review, approval or other appropriate action is only for checking for conformance with information given and the design concept expressed in the Contract Documents. Architect’s approval of a specific item shall not indicate approval of an assembly in which the item is a component.
       4. Architect’s review of Contractor’s submittals shall not relieve Contractor of responsibility for deviation from Contract Documents unless Contractor has informed Architect in writing of such deviation at time of submission and Architect has given written approval to the specific deviation. Architect’s review shall not relieve Contractor from responsibility for errors and omissions in submittals.
       5. Partial submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from Architect and Construction Manager.
       6. Incomplete submittals are unacceptable, will be considered nonresponsive, and will be returned for resubmittal without review.
       7. Submittals not required by the Contract Documents may be returned by Architect without action.
  1. END OF SECTION  013300