

## SECTION 01 3300

### SUBMITTAL PROCEDURES

#### PART 1 GENERAL

##### 1.1 SUMMARY

- A. Section includes:
  - 1. Administrative and procedural requirements for making submittals.
- B. Related Requirements: The following requirements are specified in other Sections except as otherwise indicated.
  - 1. Proposed products list is specified with substitution procedures.
  - 2. Quality requirements, including mock-ups and sample installations.
  - 3. Payment procedures for submitting Applications for Payment and the schedule of values.
  - 4. Construction progress documentation such as schedules, reports, and Contractor's construction schedule.
  - 5. Operation and maintenance data.
  - 6. Project record documents such as Drawings, record Specifications, and record Product Data.
  - 7. Demonstration and training submittals, such as video recordings of demonstration of equipment and training of Owner's personnel.

##### 1.2 DEFINITIONS

- A. Contractor: Refers to an entity in direct Contract with the Owner to perform the Work of the Contract. Contractor shall review and approve product submittals.
- B. Product Submittals: In general, Product Submittals show characteristics of the proposed construction in one of the following forms:
  - 1. Shop Drawings: Drawings, diagrams, schedules and other data specially prepared for the Work by the Contractor or a Subcontractor, Sub-subcontractor, manufacturer, supplier, or distributor to illustrate some portion of the Work.
  - 2. Product Data: Illustrations, standard schedules, performance charts, color charts, instructions, brochures, diagrams, and other information furnished by the Contractor to illustrate materials or equipment for some portion of the Work.
    - a. Product Data does not include Material Safety Data Sheets. Do not submit MSDS. They will be returned without review.
  - 3. Samples: Physical examples that illustrate materials, equipment, or workmanship and establish standards by which the Work will be judged.
- C. 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.
- D. 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.
- E. 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.

- F. 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 SUBMITTAL REQUIREMENTS. GENERAL

A. Responsibility:

1. The General Contractor shall be fully responsible for providing submittals that are approvable in conformance with the Contract Documents.
2. The General Contractor shall be fully be responsible for:
  - a. Delays in the delivery of materials.
  - b. Delays in progress of the work.
  - c. Damages incurred due to constructor's failure to submit, revise and resubmit submissions in accordance with the requirements herein.

B. Mass Submittals: Do not make "Mass Submittals" to Architect.

1. "Mass Submittals" are defined as eight or more submittals (consisting of 50 sheets per day or 250 sheets per week) in four working day contiguous period or 15 or more submittals in one week.
2. If "Mass Submittals" are received, Architect's review time stated herein will be extended as necessary to perform proper review.
3. Architect will review "Mass Submittals" based upon priority determined by Architect after consultation with Owner and General Contractor.
4. If submittals are rejected or returned marked "Revise and Resubmit" or similar action, to the Contractor after the first review, the Contractor shall take appropriate action to provide an approvable final second submission.
5. The Architect shall have no obligation to review any submittal more than the quantity of times stated herein.
6. If the Contractor would like additional submittal reviews performed by the Architect or the Architect's consultants, those reviews would be considered a Time and Expense ("T&E") Additional Service. The Contractor shall reimburse the Owner for costs associated by additional submittal reviews. By submitting a submittal more than twice, the act of submission authorizes the Architect to initiate submittal review and begin charging for this work.

C. Submittal packages with more than one product / page: Package will be reviewed as a whole, the most restrictive Review Action governs the whole package. This means that if all items are approved, or approved as noted except for one, the entire package will be Revise and Resubmit or Rejected.

D. Electronic Submittals: Provide information in each electronic submittal file as follows:

1. Submittal File Format: PDF
2. Submittal Package: Assemble complete package into a single file
3. Bookmarks: Provide indexed file with links enabling navigation to each item.
4. Filename Syntax: Project identifier, submittal number, with revision identifier.
  - a. File name shall use project identifier and Specification Section number followed by a decimal point and then a sequential number (e.g., SHU-06 1000.01).
  - b. Resubmittals shall include an alphabetic suffix after another decimal point (e.g., SHU-06 1000.01.A).
5. Cover Sheet: Include Submittal Form as agreed with the Architect

6. Metadata: Include the following information in the electronic file metadata
  - a. Project name.
  - b. Number and title of appropriate Specification Section.
  - c. Manufacturer name.
  - d. Product name.

E. Architect's Review:

1. Total Quantity Of Architect Reviews: 2.
2. Architect's Review Time:
  - a. Begins: When General Contractor posts file to Architect's site.
  - b. Ends: When Architect posts file with Architect's Action to Architect's site.
3. Architect will return the submittal file with Architect's Action via the Architect's site. Once available, the General Contractor will download this file and log / process it with the General Contractor's system.

1.4 SUBMITTALS SCHEDULE

- A. Submit a schedule of submittals, arranged in chronological order by dates as required by construction schedule. For action submittals, allow for 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. Note that submittal schedule is a separate document required in addition to the construction schedule.
  2. Submit the Submittals Schedule for information.
- B. Submit all required types of submittals for each product together. For example: Shop Drawings will not be reviewed when related Samples, Product Data, and test reports have not been submitted.
- C. Coordinate submittal schedule with list of subcontracts, the schedule of values, Contractor's construction schedule, and proposed products list.
- D. Initial Submittal: Submit initial Submittals Schedule not more than 7 days after receipt of reviewed Proposed Products List, or 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.
- E. Submit revised submittal schedule to reflect changes in current status and timing for submittals. Final Submittal: Submit concurrently with the first complete submittal of Contractor's construction schedule. Categorize submittal items by type, and designate the respective types by type code. Refer to code definitions below.
  1. Submittals not included in the submittal schedule will be reviewed in what the Architect determines to be a reasonable time frame.
- F. "Latest possible date" means the date of receipt by Architect. This date allows for review and return to Contractor in time to meet the construction schedule.

Type	Code Explanation
SD	Shop Drawings
PD	Product Data

Type	Code Explanation
S	Sample
DC	Design calculations
L	Letter
SoC	Statement of Compliance
Cer	Certificate/Certification
Q	Qualifications statement (such as for Contractor, fabricator, or erector.)
SC	Sample construction (such as mock-up or sample installation.)
InI	Installation instructions
AT	Acceptance Test
Opl	Operating instructions
Mal	Maintenance instructions
MAA	Maintenance agreement
MaM	Maintenance materials
Rcp	Receipt (such as for keys, tools, and detachable parts, including delivery tickets.
RD	Record Documents
SW	Special Warranty
TR	Test Report

#### 1.5 GENERAL SUBMITTAL PROVISIONS

- A. Requirements specified for submittals are intended to provide efficient handling, while permitting review responsibilities to be carried out.
- B. Architect will accept submittals only from the Contractor. Only items specified to be submitted will be accepted.
- C. Submittals shall be transferred electronically.
- D. MSDS: Do not submit Material Safety Data Sheets. If MSDS are required by the Contract Documents, request clarification of instructions from the Architect.
- E. Review Stamp:
  - 1. Architect will supply Review Stamp to Contractor as an electronic file.
  - 2. Contractor shall embed the Review Stamp on blank sheet immediately following transmittal. Refer to Affixing Review Stamp heading in this Section.
  - 3. Do not revise Review Stamp wording or format. Change in the size of the stamp shall be approved prior to use.
  - 4. Do not include additional review stamps or notes that contradict the Review Stamp wording.
  - 5. The Contractor shall sign and date each instance of the Review Stamp, providing evidence that Contractor has reviewed the submittal and fulfilled contractual requirements for verification and coordination. The Contractor shall address all items within the Contractor Action area of the Stamp.

#### 1.6 GENERAL SUBMITTAL PROCEDURES

- A. General: Prepare and submit submittals required by individual Specification Sections.
  - 1. Prepare and submit submittals required by individual Specification Sections.
  - 2. Types of submittals are indicated in individual Specification Sections.
  - 3. Post electronic submittals as PDF electronic files directly to Architect's site specifically established for Project.
  - 4. Posting to, and retrieving files from the Architect's site does not relieve the General Contractor from managing their Submittal process.

5. Posting to, and retrieving files from the Architect's site is in addition to the General Contractor's submittal management responsibilities.
- B. Before preparing the initial submittal of each type, request the Architect's direction regarding format.
- C. Closeout Submittals and Maintenance Material Submittals: Comply with requirements specified in Section governing closeout procedures.
- D. 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.
- E. Where notarized statement is required, provide a notarized statement on original paper copy certificates and certifications where indicated.
- F. Test and Inspection Reports Submittals: Comply with requirements specified in Section governing quality requirements.
- G. Schedule of Tests and Inspections: Comply with requirements specified in Section governing quality requirements.
- H. 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.
- I. 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.
- J. 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.
- K. Contractor's Construction Schedule: Comply with requirements specified in Section governing construction progress documentation.
- L. Application for Payment: Comply with requirements specified in Section payment procedures.
- M. Schedule of Values: Comply with requirements specified in Section governing payment procedures.
- N. 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:
  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.
- O. Sustainable Design Submittals: Comply with requirements specified in Section governing sustainable design requirements.
- P. Coordination Drawings: Comply with requirements specified in Section 01 3100 - PROJECT

#### MANAGEMENT AND COORDINATION.

- Q. 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.
- R. 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.
- S. 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.
- T. 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.
- U. Product Certificates: Submit written statements on manufacturer's letterhead certifying that product complies with requirements in the Contract Documents.
- V. Material Certificates: Submit written statements on manufacturer's letterhead certifying that material complies with requirements in the Contract Documents.
- W. 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.
- X. Product Test Reports: Submit written reports indicating 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.
- Y. Maintenance Data: Comply with requirements specified in Section governing operation and maintenance data.

#### 1.7 PRODUCT SUBMITTAL ADMINISTRATIVE REQUIREMENTS

- A. Architect's Digital Data Files:
  - 1. With the Owner's concurrence, electronic copies of files used to create the Contract Drawings will be provided by Architect for Contractor's use in preparing submittals, subject to the Architect's electronic file transfer agreement. The Contractor shall expect, and shall so agree, to execute and deliver the Architect's agreement before the transfer of such Instruments of Service.
    - a. Contractor is prohibited from submitting Design Team details as submittals. Design Team drawings shall be used as backgrounds, except for MEP /FP coordination.
  - 2. Request the Architect's electronic file transfer agreement form. Submit the request for file transfer directly to the Architect. Include the executed agreement and a list of documents requested, as identified in the Contract Documents.
  - 3. The files will not be identical to the Contract Drawings. Prior to requesting files, discuss with the Architect how the files will differ from the Contract Documents, and related limitations, such as which Drawings will not be represented, the file format, what information will be included, and method of transmittal.

- 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 submittal items required for each Specification Section concurrently 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.
    - a. The right is reserved 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. Time for review shall commence on Architect'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.
  - 1. Initial Review: Normally, allow 10 working days for initial review of each submittal. Allow additional time if coordination with other submittals is required.
  - 2. When a large volume of submittal materials is scheduled, additional review time may be required. Similarly, a particular submittal may require review completion in less than the agreed normal time. Due to variations in submittal volume and processing needs, agreed review time is not intended to apply to extreme conditions.
  - 3. Resubmittal Review: Allow 10 working 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 working days for initial review of each submittal.
- D. Expedited Submittal Review: Identify those submittals in the Submittal Schedule that will require expedited review in order to prevent delay of the Work in order for Architect to evaluate time required.
  - 1. This process is not to be used to compensate for Contractor's errors in organizing then Work.
  - 2. Where unforeseen need for expedited review is required, notify Architect as soon as possible. Architect shall endeavor to review and return expedited submittals as quickly as is practicable.
  - 3. Expedited submittals shall be limited to once a month, and are subject to the "Mass Submittals" restrictions herein.
- E. Maintain at the Project Site ready access to the latest reviewed Shop Drawings and Product Data, and one set of samples.

## 1.8 PREPARING PRODUCT SUBMITTALS

- A. Title Block for Product Submittals.
  - 1. Shop Drawings, the cover sheets for Product Data, and the labels for Samples shall each have an identifying title block containing:
    - a. Project title.
    - b. Architect's name, Project Number, and Contract Package title.
    - c. Brief description of submittal item.
    - d. Contractor's name and project or contract number.
    - e. Name and phone number of manufacturer, supplier, subcontractor, or other such

organization furnishing the submittal to the Contractor.

- B. 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. Contractor to hire domestically based drafters as necessary to facilitate the creation of professionally prepared shop drawings and coordinate between subcontractors and provide any non-contract-document backgrounds necessary for work. Submittals that do not comply will be rejected outright without review.
1. Preparation: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:
    - a. Identification of products.
    - b. Schedules.
    - c. Compliance with specified standards.
    - d. Notation of coordination requirements.
    - e. Notation of dimensions established by field measurement.
    - f. Relationship and attachment to adjoining construction clearly indicated.
    - g. 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 (215 by 280 mm), but no larger than 30 by 42 inches (750 by 1067 mm).
  3. Include custom project specific details, including axonometric step-by-step installation sequence.
  4. Dimensions are required from verifiable reference points. Example: Do not dimension to some random element which is, in turn, dimensioned to some other random point. Dimension to column grids is preferred.
  5. Cloud and tag revisions on all submittals.
  6. Provide maximum page count for submittal packages, divide submittals into multiple submittals if required. Each submittal gets standard review time and must follow maximum submittal per day/week requirements.
  7. Preparation: Fully illustrate requirements in the Contract Documents. Reference details in documentation set with number and title. Include the following information, as applicable:
    - a. Dimensions.
    - b. Show column Grids. Dimension to Column Grids.
    - c. Identification of products.
    - d. Fabrication and installation plans.
    - e. Roughing-in and setting diagrams.
    - f. Use identifying numbers conforming to the Contract Documents (i.e. door numbers and similar items), dimensions, and appropriate trade names.
    - g. Wiring Diagrams:
      - 1). Differentiate between manufacturer-installed and field installed wiring.
      - 2). Show field-installed wiring, including power, signal, and control wiring.
    - h. HSS Seam Locations: Indicate each Dimensioned locations of all splices and joints in any sheet and coil materials.
    - i. Shopwork manufacturing instructions.
    - j. Templates and patterns.
    - k. Schedules.
    - l. Design calculations.
    - m. Compliance with specified standards.
    - n. Notation of coordination requirements.
    - o. Notation of dimensions established by field measurement.
    - p. Relationship to adjoining construction clearly indicated, including axonometric step-by-step installation



- q. Seal and signature of professional engineer if specified.
  - 8. Submit Shop Drawings in the following format:
    - a. PDF electronic file.
  - 9. Each sheet of the same item or system shall be uniform in size and numbered consecutively.
  - 10. Each sheet shall contain the title block specified below plus an unobstructed space at the right side or bottom, of size not less than 150 x 200 mm (6 by 8 inches) for submittal review stamps and notations.
  - 11. Include the Review Stamp to each sheet.
  - 12. Dimensions on Shop Drawings shall be the same system of measure (i.e., metric or inch-pound) as on the Contract Drawings.
  - 13. Comments: Contractor's review notes shall be in green. Architect shall use red.
- C. Product Data:
- 1. Submit the manufacturer's Product Data in PDF format.
  - 2. Where the publication displays more products than the product intended to be submitted, prominently mark to indicate the exact product and product options and accessories being submitted, and strike-out non-applicable information.
    - a. Mark where selections are to be made.
    - b. Tailor large catalogs so that excessive unrelated products are not included.
  - 3. To highlight and mark-up Product Data information, use bold markings that will be easily seen after photocopying. Contractor's notes shall be in green; Architect shall use red.
  - 4. Clearly convey the differences between similar products included in the submittal.
    - a. Clearly highlight information that differs for different sizes or grades.
  - 5. Correlate Product Data with Contract Documents:
    - a. Describe where product will be used.
    - b. Where the Contract Documents include designations such as types or marks, mark Product Data with these designations and include them on the Submittal. For example: glass types; fixture item numbers.
    - c. Clearly highlight information on Product Data that shows compliance with specified requirements. For example: manufacturer (not supplier, distributor, etc.); model number; rating; performance characteristics.
  - 6. If multiple manufacturers or products are being submitted for similar items, include manufacturer or product name in separate line item descriptions on the Submittal. Don't use distributor or other supplier names other than manufacturer.
  - 7. Dimensioning on Product Data shall be the same system of measure (metric vs. inch-pound) as on the Contract Drawings. If preprinted catalogues display only the system not used in the Contract Drawings, mark-up the Product Data with the other system's dimensions.
- 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.
- 1. Submit a single material Sample with an identifying label firmly attached.
    - a. Labels shall be of a size to contain the title block specified below plus unobstructed space for submittals review stamps and notations.
    - b. Each sample shall display, as a minimum, the Architect's project number, and the submittal and item numbers. Submit transmittal, Review Stamp, and scan of identifying information of sample electronically. The A/E's review will be provided electronically.
    - c. The Architect will retain the sample or sample set.
    - d. Maintain at least one sample or sample set at the site.
  - 2. Transmit Samples that contain multiple, related components such as accessories together in one submittal package.
  - 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. Mount approved samples on Sample Boards. Provide separate boards for exterior and interior approved samples. Organize boards based on material relationships. Make boards portable.
5. For projects where electronic submittals are required, provide corresponding electronic submittal of Sample transmittal, digital image file illustrating Sample characteristics, and identification information for record.
6. 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. If not specifically noted as to be used in final construction, the sample is not to be used as such.
  - b. Samples not incorporated into the Work are the property of Owner.
7. 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(s) of available choices where color, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line. Follow sample submittal process noted above for both initial samples and final samples.
  - b. highlight, circle, underline, and annotate all applicable information within color charts, specify on documents with spec section reference and description exactly what product charts are for.
  - c. Architect will return submittal with options selected.
8. 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. Note: Include minimum and maximum samples size if full fixture/ equipment is not specified
  - a. Number of Samples: Submit three sets of Samples. Architect will retain two Sample sets; remainder will be returned. Markup and retain one returned Sample set as a project record 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 three 3 sets of paired units that show approximate limits of variations.
    - 3). ( Lighting specific) wire and plug samples, provide any ballast or equipment required for use, product reps generic product samples are not acceptable.
9. Sample Sets Showing Range of Variation: Where variations are unavoidable due to nature of the materials, submit sets of samples of not less than three units showing extremes and middle of range. Attach samples in sets together unless doing so is not reasonably practical. Installation of products which are outside of the Sample Range is strictly forbidden. The Architect shall be the sole judge of acceptability of products.

10. Recording of Sample Installation: Note and preserve the on-site indicators of each area constituting a sample installation, but remove indicators at final clean-up of Project. Use normal submittal process to provide record of sample.
  - E. Manufacturer's Instructions: Prepare written or published information that documents manufacturer's recommendations, guidelines, and procedures for installing or operating a product or equipment. Include name of product and name, address, and telephone number of manufacturer. Include the following, as applicable:
    1. Preparation of substrates.
    2. Required substrate tolerances.
    3. Sequence of installation or erection.
    4. Required installation tolerances.
    5. Required adjustments.
    6. Recommendations for cleaning and protection.
  - F. Manufacturer's Field Reports: Prepare written information documenting factory authorized service representative's tests and inspections. Include the following, as applicable:
    1. Name, address, and telephone number of factory-authorized service representative making report.
    2. Statement on condition of substrates and their acceptability for installation of product.
    3. Statement that products at Project site comply with requirements.
    4. Summary of installation procedures being followed, whether they comply with requirements and, if not, what corrective action was taken.
    5. Results of operational and other tests and a statement of whether observed performance complies with requirements.
    6. Statement whether conditions, products, and installation will affect warranty.
    7. Other required items indicated in individual Specification Sections.
    8. Note: the manufacturer's approval does not supersede or negate the architect's approval and does not imply compliance with the Contract Documents.
  - G. Submittal Compliance Form.
    1. Fill in the information required and include as a line item on the Submittal Cover Sheet for each applicable Submittal.
    2. Upon receipt, the Architect will complete the form in the space below "Architect Action" and indicate the Action on the Submittal Cover Sheet.
    3. Procedures and processing time are the same as indicated in this Section.
- 1.9 AFFIXING REVIEW STAMP
- A. Separate Line Items: Affix an image of the Review Stamp to each separately-reviewable item of the submittal package. For example:
    1. On each separate Shop Drawing sheet, affix a Review Stamp image.
    2. For each separate type of a product identified for the specified item, affix a separate Review Stamp image. For example, glass type; masonry unit type; metal panel type.
  - B. When affixed, the Review Stamp shall not obscure information contained in the submittal.
  - C. Fill in name of Contractor and Contractor's project or contract number, if not already entered on stamp.
  - D. In the section of the stamp titled "Contractor Action," fill in the following information:

1. Section number of the Specification Section for which the submittal is being made, and Paragraph number of specific submittal requirement within the Section. Do not include items from more than one Specification Section on one form.
2. Submittal number.
3. Item number.
4. Date submitted by Contractor.
5. Mark to signify whether item is Shop Drawing, Product Data, or Sample, or, if 'Other,' enter descriptive words on the blank line.
6. Signature of authorized representative of the Contractor who has performed the Contractor's review and approval of the submittal item, and the date.

#### 1.10 DELEGATED-DESIGN SERVICES

- A. General: Refer to section 01 3399 - CONTRACTOR'S DESIGN RESPONSIBILITY.
- B. 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.
- C. 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.
- D. Delegated-Design Services Certification: In addition to Shop Drawings, Product Data, and other required submittals, submit digitally-signed PDF electronic file, 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.

#### 1.11 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. Make corrections and add additional information, such as field dimensions prior to submitting to Architect. Mark with approval stamp before submitting to Architect. Do not submit non-conforming submittals to Architect.
- B. Project Closeout and Maintenance Material Submittals: See requirements in Section 01 7700 - 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, checked, and approved for compliance with the Contract Documents. Submittals without review stamp will be rejected outright.
- D. The Contractor shall direct specific attention, in writing or on resubmitted Shop Drawings, Product Data, Samples or similar submittals, to revisions other than those requested by the Architect on

previous submittals. In the absence of such written notice the Architect's approval of a resubmission shall not apply to such revisions.

#### 1.12 ARCHITECT REVIEW

- A. General: Architect will not review submittals that do not display Contractor's signature indicating that Contractor has reviewed submittal and that Contractor affirms that it is complete and meets submittal requirements. Contractor's review is more in-depth than applying the Contractor's Review stamp. If no evidence of complete and substantive review by the Contractor is found by the Architect, submittal will be rejected outright.
- B. Partial submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from Architect.
- C. Incomplete submittals are not acceptable, will be considered nonresponsive, and will be returned without review, unless a prior agreement is made in the interest of expediting the schedule.
- D. Informational Submittals: Architect's staff and consultants will review the 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.
- E. Action Submittals: Architect's staff and consultants will review the submittals, and mark the Review Stamp on each submittal item with an action code. When more than one action code is assigned to the item, the most restrictive designation marked on the stamp will govern what next shall be done with the item. The code meanings are described below.
- F. The following are the definitions to the stamp's action language:
  - 1. APPROVED
    - a. Action: No corrections or comments to the submittal. General Contractor may proceed provided the submittal complies with the requirements of the Contract Documents; resubmission is not required.
  - 2. APPROVED AS NOTED – PROCEED
    - a. Action: Comply with corrections or clarifying comments noted on the submittal. General Contractor may proceed without further corrections or comments to the original submittal, provided the submittal complies with the requirements of the Contract Documents. Review is complete and all corrections are deemed obvious without any ambiguity.
  - 3. REVISE AND RESUBMIT
    - a. Action: Submittal does not comply with the requirements of the Contract Documents. Architect/Engineer will state reason(s) for revision. General Contractor may not proceed; submittal must be corrected and resubmitted. The General Contractor will assume that any submittal marked with this action has not received a complete review, and that the Architect/Engineer may mark the revised submittal – when received – with significant new review comments to be addressed by the General Contractor.
  - 4. NO ACTION TAKEN OR REQUIRED
    - a. Action:
      - 1). The submittal is for record purposes or for information.
      - 2). The submittal is not a required submittal and the Architect/Engineer is exercising the option not to review the submittal in accordance with the General Conditions of the Contract for Construction.
  - 5. REJECTED – DO NOT USE
    - a. Action: Submittal does not comply with the requirements of the Contract Documents or is otherwise not required. General Contractor may not use or incorporate product or fabrication into the work. Do not resubmit.

6. DISCLAIMER STAMP / TEXT

- a. REVIEWED FOR GENERAL CONFORMANCE WITH THE DESIGN CONCEPT OF THE WORK. CORRECTIONS AND COMMENTS MADE OR NOT MADE ON THE SUBMITTAL DO NOT RELIEVE THE CONTRACTOR FROM COMPLIANCE WITH THE CONTRACT DOCUMENTS. REFER TO THE CONTRACT DOCUMENTS FOR CONTRACTOR'S RESPONSIBILITIES.

1.13 SUBMITTAL INSTRUCTIONS

- A. General: Use the Submittal Form, Document 00 6211 of this specification.
- B. Submittal Definition.
  1. Each submittal consists of items from only ONE Specifications section.
  2. Complete Submittal: If ALL the items required by the Specifications section are listed on one Submittal (including continuation sheet), it is a complete submittal.
  3. Partial Submittals: If it is necessary to divide the required items of a given Specifications section into two or more submittals to meet schedule or handling requirements, the separate submittals are partial submittals. All partial submittals have the same submittal number, and are differentiated by sequential P-numbers (see below).
  4. All items in each submittal, whether complete or partial, will be processed together: Individual items will not be 'broken out' for special handling. Arrange submittals accordingly.
- C. Item Kind: Identify each submittal item using the type code specified for submittal schedule entries.
- D. Shop Drawings: Include a description of each drawing, matching the description on the drawing itself.
- E. Description: Provide a brief, clear generic description of each line item, using the Drawings or Specifications as a guide. If more than one manufacturer's model numbers are included in the submittal package, indicate the model numbers in parentheses in the affected line items. Do not list distributors or suppliers other than the manufacturer.
- F. Resubmittals: In addition to providing the R-number, enter the information using the same line item number as the original submittal package. Doing so will avoid delay in handling the resubmittal package.

1.14 SUBMITTAL NOTIFICATIONS

- A. Submittal Notifications. The General Contractor shall notify the Architect by email that a submittal is ready for review. Submittal notifications shall include the following information:
  1. The email subject line shall contain the submittal file name (using the project specified file naming syntax) and description (e.g. CCAC-06 1000-001 ROUGH CARPENTRY SHOP DRAWINGS).
  2. The email body shall include the following information:
    - a. Specification section number requiring the submittal (e.g. 06 1000)
    - b. Specification paragraph referencing the required submittal (e.g. 1.04A)
    - c. Submittal number: The sequential number within each specification section (e.g. 001, 002, etc.).
    - d. Revision letter: The sequential letter if resubmittals are required (e.g. A, B, etc.).
    - e. Submittal description (e.g. Rough Carpentry Shop Drawings)
    - f. Date of the submittal notifications. Submittal notifications issued after 3:00 pm will be entered on the following working day.
  3. Issue individual email notifications for each submittal. Do not consolidate multiple submittals

under one email notification. Grouped submittals will be returned without the Architect's action response.

4. Email Attachments: The submittal notification shall include the electronic submittal as an email file attachment.
5. Configuration Requirements:
  - a. The General Contractor must configure their Submittal Management tool within the Project Web Site to send submittal notifications and attachments to an architect-provided email account. Resubmittals must be sent in same manner.
  - b. The General Contractor must configure their Submittal Management tool within the Project Web Site to receive returned submittals via "reply to" email, using the same email subject line.

**PART 2 PRODUCTS (NOT USED)**

**PART 3 EXECUTION (NOT USED)**

**END OF SECTION**

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