SECTION 01 33 00

ELECTRONIC SUBMITTAL PROCEDURES

BASED ON DFD MASTER SPECIFICATION DATED 2/29/2024

*This section covers most (but not all) submittals that you will encounter. Depending on the requirements of your specific project, additional edits as appropriate to the project shall be made to add or delete items.*

*Edit according to instructions in red text boxes.*

*The use of this section, which requires contractors to use a submittal management system, is intended for projects with 30-40 or more submittals and contract values of $1 million or more. This does not, however, preclude electing to use a submittal management system on smaller projects.*

1. **GENERAL**

**SCOPE**

This section includes requirements for the submittal log and administrative and procedural requirements for electronically submitting Fabrication Drawings, Product Data, Samples and other submittals. Included are the following topics:

PART 1 – GENERAL

Scope

Reference

Related Work

Definitions

Administrative Requirements

PART 2 – PRODUCTS

Submittal Management System

PART 3 – EXECUTION

Submittal Management System

Contractor’s Review

Architect/Engineer’s Action

Closeout Documentation

**REFERENCE**

Applicable provisions of Division 01 govern work under this section.

**RELATED WORK**

Submittals not covered by this Section include:

General Conditions of the General Prime Contractor Contract articles:

Section 01 25 00 “Equals and Substitutions” regarding substitution requests.

Section 01 29 00 “Payment to General Prime Contractor” regarding Applications for Payment and the schedule of values.

“Scheduling and Coordination of Work” regarding schedules and reports, including Contractor's construction schedule.

Section 01 78 23”Final Completion and Final Payment” regarding project closeout and final pay submittals.

“Quality Control and Inspection” and “Reports, Records and Data” regarding scheduling and reporting of tests and inspections.

Division 01 General Requirements articles:

"Operation and Maintenance Manuals and Instructions" regarding operation and maintenance manuals.

Section 01 78 39"Record Documents" regarding record Drawings, record Specifications, and record Product Data.

Other:

“01 74 19 Construction Waste Management” regarding construction waste management submittal requirements.

“01 81 13 Sustainable Building Requirements” regarding sustainable building submittal requirements.

“Section 01 79 00eBuilder” regarding contractual submittal requirements. Section

**DEFINITIONS**

Submittals: All written and graphic information and physical samples demonstrating compliance with Contract Documents that require Architect/Engineer's review including but not limited to the following: design data, pre-engineered systems certification, product data, product schedule, samples, fabrication drawings, tests and certifications submittals. The terms “Submittals” and “Shop Drawings” may be used interchangeably.

**ADMINISTRATIVE REQUIREMENTS**

Coordination: Provide adequate submittal processing time to allow completion of the entire project within the time specified in the Contract Documents. Coordinate preparation and processing of submittals with Project Schedule, including:

1. Review by Architect/Engineer, revision by contractor, if returned by Architect/Engineer, and review of resubmittal.
2. Ordering, manufacturing, fabrication, delivery, installation, and related activities, including required construction sequencing per the construction schedule.

Electronic Submittals: Identify and incorporate information in each electronic submittal file as follows:

1. Assemble each submittal into a single, separate, PDF file.
2. Include Request for Submittal Approval form DOA-4523 as first page of file. Identify features of the submittal which may not be in conformance with contract document requirements.
3. For large submittals, include bookmarks within file to navigate through file.
4. Name file with submittal number or other unique identifier, using Specification Section Number-Submittal Name-Submittal Sequence Number (e.g. 081100-Doors-6).
5. Resubmittals: Make resubmittals in same form and number of copies as initial submittal. Resubmittals shall include the letter “R” and a number inciting the resubmittal number (081100-Doors-6-R1).
6. **PRODUCTS**

**SUBMITTAL MANAGEMENT SYSTEM**

Vendors: Aconex, CMiC, eBuilder, Newforma, Primavera, Procore, Prolog, Submittal Exchange

Provide an electronic tracking and management system capable of storing and displaying a Submittal Log and all project Submittals. The Submittal Log and all Submittal information must be printable and continuously accessible via the Internet by the General Prime Contractor, Subcontractors, Suppliers, Architect/Engineer and DFD with password controlled accessibility and permissions. Provide uploading and editing capabilities for the General Prime Contractor, Subcontractors and Architect/Engineer and viewing capabilities for DFD.

Provide online training and live technical support for system users.

The Submittal Log must automatically enter the date submittals are uploaded or edited, the name of the person taking action and issue E-Mail notifications to the parties who must next act on the submittal. The Submittal Log must identify submittal due dates and those submittals that are on the critical path of the construction schedule and highlight any submittal that is beyond its schedule requirement.

SUBMITTAL LOG:The Submittal Log must include each anticipated submittal,sortable by initial submittal date and by division of work. It must also include the following information for each submittal, arranged in tabular form in the following sequence. (See attached sample Submittal Log pages SL-1 through SL-**X**)

* 1. Project name
  2. DFD Project number
  3. Contractor Name
  4. Specification Section Number
  5. Specification Section Title
  6. Submittal Description
  7. Responsible Contractor or Subcontractor
  8. Date of Initial Submittal Required to Meet Project Schedule
  9. Date of Final Release or Architect/Engineer Approval Required to Meet Project Schedule
  10. Date Initial Submittal Received by Architect/Engineer
  11. Date of Initial Response from Architect/Engineer
  12. Architect/Engineer Action on Initial Submittal
  13. Date Resubmittal Received by Architect/Engineer (if Applicable)
  14. Date of Resubmittal Response from Architect/Engineer (if Applicable)
  15. Architect/Engineer Action on Resubmittal (if Applicable)
  16. Remarks

SUBMITTALS:

Provide Submittals for the following Submittal Types.

Product Data: Provide Product Data information in a single submittal for each element of construction and type of product or equipment. Include the following information, as applicable:

* 1. Manufacturer's catalog cuts.
  2. Manufacturer's product specifications.
  3. Standard color charts.
  4. Dimensions.
  5. Materials of construction.
  6. Statement of compliance with specified referenced standards.
  7. Testing by recognized testing agency.
  8. Application of testing agency labels and seals.
  9. Notation of coordination requirements.
  10. Availability and delivery time information.
  11. Wiring diagrams showing factory-installed wiring.
  12. Capacities and operational characteristics.
  13. Performance and operating criteria, ratings and curves.
  14. Operational range diagrams.
  15. Clearances required to other construction, if not indicated on accompanying Fabrication Drawings.

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, including a unique identifier for each product indicated in the Contract Documents, or as 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.

Fabrication Drawings: Project-specific Fabrication Drawings, drawn accurately to scale. Do not base Drawings on reproductions of the Contract Documents or standard printed data. Fully illustrate requirements of the Contract Documents, including the following information, as applicable:

1. Identification of products.
2. Schedules.
3. Dimensions.
4. Materials of construction.
5. Compliance with specified standards.
6. Notation of coordination requirements.
7. Notation of dimensions established by field measurement.
8. Relationship and attachment to adjoining construction clearly indicated.
9. Seal and signature of design professional if specified.

Except for templates, patterns, and similar full-size drawings, submit Fabrication Drawings on sheets at least 8-1/2 by 11 inches, but no larger than 30 by 42 inches .

Samples: 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 charts, color range sets; and components used for independent testing and inspection. The electronic Submittal Management System is not intended for transmitting samples.

Submit manufacturer's color charts consisting of units or sections of units showing the full range of colors, kind, textures, and patterns available for a check of these characteristics with other elements and for comparison to actual component as delivered and installed.

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.

Where 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

Attach label on unexposed side of Samples that includes the following:

* 1. Generic description of Sample.
  2. Product name and name of manufacturer.
  3. Sample source.
  4. Number and title of applicable Specification Section.
  5. Specification paragraph number and generic name of each item.

Transmit Samples that contain multiple, related components such as accessories together in one submittal package. Provide corresponding electronic submittal of Sample transmittal, digital image file illustrating Sample characteristics, and identification information for record.

Tests 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 notarized statement on original paper copy certificates and certifications, where indicated.

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.

Pre-engineered Systems Certification: Submit electronic files of certificate, signed and sealed by the responsible design professional, for each product and system specifically assigned to Contractor to be designed or certified by a design professional.

1. Indicate that products and systems comply with performance and design criteria in the Contract Documents. Include list of codes, loads, and other factors used in performing these services.
2. **EXECUTION**

ELECTRONIC SUBMITTAL MANAGEMENT SYSTEM

Establish the electronic submittal management system upon contract award and maintain the system for the duration of the General Prime Contractor’s contract. Develop a list of project users and user permissions and update throughout the project when needed. Provide users with passwords, directions for accessing, uploading, editing and technical support resources.

SUBMITTAL LOG:Establish and maintain the project submittal log in the Submittals Management System.

Provide a printed submittal log at the Pre-Construction Meeting. List all known submittals: be particularly mindful of submittals required to maintain orderly progress of the Work and the Project Schedule over the first 60 calendar days of the project or that are need early submission and response due to long lead time for manufacture, fabrication or delivery.

Complete submittal entries in thesubmittal log within 60 calendar days of project Notice to Proceed, including listing submittals for all work activities through project completion.

Update the submittal log weekly to reflect changes in submittal status, submission & reply dates or other information. Provide a printed submittal log for review along with project schedule at construction progress meetings. Maintain electronic access to the submittal log at the construction site at all times.

SUBMITTALS: Reference Division 01, General Conditions of the General Prime Contractor Contract, Submittals, for submittal requirements in addition to the following.

Prepare and submit submittals required by individual Specification Sections and Part 2 above.

Group submittals for related parts of the Work together so processing will not be delayed due to need for concurrent review for coordination. Architect/Engineer reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received

Enter and maintain submittals in the electronic Submittals Management System, except those not able to be digitally transmitted, such as samples or documents required to be original.

On an attached separate sheet prepared on Contractor's letterhead, record relevant information, requests for data, and revisions other than those requested by Architect/Engineer on previous submittals.

Partial submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from the Architect/Engineer.

Incomplete submittals are unacceptable, will be considered nonresponsive, and will be returned for resubmittal without review.

The General Prime Contractor is responsible for review and approval of subcontractor and supplier submittals prior to forwarding to Architect/Engineer. Architect/Engineer will not review submittals received from sources other than the General Prime Contractor.

Maintain a current set of submittals and access to electronic access at the construction site at all times.

Product Data: Collect information into a single submittal for each element of construction and type of product or equipment. Submit before or concurrent with Samples. If information must be specially prepared for submittal because standard published data are not suitable for use, submit as Fabrication Drawings, not as Product Data.

Samples: Submit Samples per Part 2 above. Provide corresponding electronic submittal of Sample transmittal, digital image file illustrating Sample characteristics, and identification information for record.

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 may be incorporated into the Work if so indicated in individual Specification Sections. Such Samples must be in an undamaged condition at time of use. Samples not incorporated into the Work, are otherwise designated as Owner's property.

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

Performance Design: Where performance design services or certifications by a design professional are required, provide components, products, assemblies and systems complying with specific performance and design criteria indicated. Include design professional certifications, signature and seal; calculations, the list of codes and standards the design complies with and other factors used in performing these services.

Tests and Reports: Submit test and inspection reports where required with date of test or inspection, name of firm and individual performing the test or inspection.

RESUBMITTALS: Contractor shall contact Architect/Engineer directly to resolve issues prior to making a resubmittal.

**CONTRACTOR'S REVIEW**

Review each submittal and check for coordination with other Work of the Contract and for compliance with the Contract Documents. Make corrections necessary for coordination and compliance prior to submitting.

Stamp each submittal with a dated and signed approval stamp before submitting to Architect/Engineer.

**ARCHITECT/ENGINEER'S ACTION**

Architect/Engineer will review each submittal, make marks and/or provide written comments to indicate corrections or revisions required, and return it. Architect/Engineer will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action.

**CLOSEOUT DOCUMENTATION**

Prior to project closeout, submit a complete set of project submittals and the submittal log in PDF format on CD, DVD, USB flash drive or downloadable link to the DFD Project Representative.

**END OF SECTION**