SECTION 01 33 00
SUBMITTALS

PART 1 - GENERAL

1.1 SUMMARY

A. Section Includes:
   1. Mechanics and administration of the submittal process for:
      a. Shop Drawings.
      b. Samples.
      c. Informational submittals.
   2. General content requirements for Shop Drawings.

B. Related Specification Sections include but are not necessarily limited to:
   1. Division 00 - Procurement and Contracting Requirements.
   2. Division 01 - General Requirements.
   3. Construction Progress Schedule submittal requirements are specified in Specification Section 01 32 16.
   4. Operations and Maintenance Manual submittal requirements are specified in Specification Section 01 33 04.
   5. Technical Specification Sections identifying required submittals.

1.2 DEFINITIONS

A. Shop Drawings:
   1. See General Conditions.
   2. Product data and samples are Shop Drawing information.

B. Informational Submittals:
   1. Submittals other than Shop Drawings and samples required by the Contract Documents that do not require review and/or approval by the Engineer.
   2. Representative types of informational submittal items include but are not limited to:
      a. HVAC test and balance reports.
      b. Installed equipment and systems performance test reports.
      c. Manufacturer's installation certification letters.
      d. Instrumentation and control commissioning reports.
      e. Warranties.
      f. Service agreements.
      g. Construction photographs.
      h. Survey data.
      i. Health and safety plans.
      j. Work plans.
      k. Delegated designs per performance specification requirements
   3. For-Information-Only submittals upon which the Engineer is not expected to conduct review or take responsive action may be so identified in the Contract Documents.

1.3 SUBMITTAL SCHEDULE

A. Schedule of Shop Drawings:
   1. Submitted and approved within [20] days of receipt of Notice to Proceed.

2. Account for multiple transmittals under any specification section where partial submittals will be transmitted.

B. Shop Drawings: Submittal and approval prior to [30] percent completion of project.

C. Informational Submittals:
1. Reports and installation certifications submitted within [seven (7)] days of conducting testing, installation, or examination.
2. Submittals showing compliance with required qualifications submitted [twenty (20)] days prior to any work beginning using the subject qualifications.

D. The submittal schedule shall include the following columns as a minimum:

Submittal Section	Submittal Description	Planned Submittal Date	Submittal Need Date	Actual Submittal Date	Actual Return Date	Disposition

1.4 PREPARATION OF SUBMITTALS

A. General:
1. All submittals and all pages of all copies of a submittal shall be completely legible.
2. Submittals which, in the Engineer’s sole opinion, are illegible will be returned without review.
3. Minimize extraneous information for equipment and products not relevant to the submittal.
4. Contractors or vendors written comments on the submittal drawings shall be in green

B. Shop Drawings, Product Data, and Samples:
1. Scope of any submittal and letter of transmittal:
a. Limited to one (1) Specification Section.
b. Submittals with more than one Specification section included will be rejected.
c. Do not submit under any Specification Section entitled (in part) "Basic Requirements" unless the product or material submitted is specified, in total, in a "Basic Requirements" Specification Section.
2. Numbering letter of transmittal:
a. Include as prefix the Specification Section number followed by a series number, "-xx", beginning with "01 IN and increasing sequentially with each additional transmittal for that Specification Section.
b. If more than one (1) submittal under any Specification Section, assign consecutive series numbers to subsequent transmittal letters.
3. Describing transmittal contents:
a. Provide listing of each component or item in submittal capable of receiving an independent review action.
b. Identify for each item:
1) Manufacturer and Manufacturer's Drawing or data number.
2) Contract Document tag number(s).

3) Unique page numbers for each page of each separate item.
c. When submitting "or-equal" items that are not the products of named manufacturers, include the words "or-equal" in the item description.
4. Contractor certification of review and approval:
a. Contractor's review and approval certification stamp shall be applied either to the letter of transmittal or a separate sheet preceding each independent item in the submittal.
1) Stamp may be either a wet ink stamp or electronically embedded.
2) Clearly identify the person who reviewed the submittal and the date it was reviewed.
3) Shop Drawing submittal stamp shall read "(Contractor's Name) has satisfied Contractor's obligations under the Contract Documents with respect to Contractor's review and approval as stipulated in the General Conditions."

[or]

b. Contractor shall execute Exhibit AA, Contractor's Submittal Certification form, to indicate Contractor has reviewed and approved the submittal contents.
1) Clearly identify the person who reviewed the submittal and the date it was reviewed."
c. Submittals containing multiple independent items shall be prepared with each item listed on the letter of transmittal or on an index sheet for all items listing the discrete page numbers for each page of each item, which shall be stamped with the Contractor's review and approval stamp.
1) Each independent item shall have a cover sheet with the transmittal number and item number recorded.
a) Provide clear space of 3 IN SQ for Engineer stamping.
2) Individual pages or sheets of independent items shall be numbered in a manner that permits the entire contents of a particular item to be readily recognized and associated with Contractor's certification.
5. Resubmittals:
a. Number with original Specification Section and series number with a suffix letter starting with "A" on a (new) duplicate transmittal form.
b. Do not increase the scope of any prior transmittal.
c. Provide cover letter indicating how each "B", "C", or "D" Action from previous submittal was addressed and where the correction is found in the resubmittal.
d. Account for all components of prior transmittal.
1) If items in prior transmittal received "A" or "B" Action code, list them and indicate "A" or "B" as appropriate.
a) Do not include submittal information for items listed with prior "A" or "B" Action in resubmittal.
2) Indicate "Outstanding-To Be Resubmitted At a Later Date" for any prior "C" or "D" Action item not included in resubmittal.
a) Obtain Engineer's approval to exclude items.

6. For 8-1/2 x 11 IN, 8-1/2 x 14 IN, and 11 x 17 IN size sheets, provide [five (5)] copies of each submittal for Engineer plus the number required by the Contractor.
   a. The number of copies required by the Contractor will be defined at the Preconstruction Conference, but shall not exceed [three (3)].
   b. All other size sheets:
      1) Submit one (1) reproducible transparency or high resolution print and one (1) additional print of each Drawing until approval is obtained.
      2) Utilize mailing tube; do not fold.
      3) The Engineer will mark and return the reproducible to the Contractor for reproduction and distribution.
7. Contractor shall not use red color for marks on transmittals.
   a. Duplicate all marks on all copies transmitted, and ensure marks are photocopy reproducible.
   b. Engineer will use red marks or enclose marks in a cloud.
8. Transmittal contents:
   a. Coordinate and identify Shop Drawing contents so that all items can be easily verified by the Engineer.
   b. Provide submittal information or marks defining specific equipment or materials utilized on the Project.
      1) Generalized product information, not clearly defining specific equipment or materials to be provided, will be rejected.
   c. Identify equipment or material project use, tag number, Drawing detail reference, weight, and other Project specific information.
   d. Provide sufficient information together with technical cuts and technical data to allow an evaluation to be made to determine that the item submitted is in compliance with the Contract Documents.
   e. Do not modify the manufacturer's documentation or data except as specified herein.
   f. Submit items such as equipment brochures, cuts of fixtures, product data sheets or catalog sheets not exceeding 11 x 17 IN pages.
      1) Indicate exact item or model and all options proposed by arrow and leader.
   g. When a Shop Drawing submittal is called for in any Specification Section, include as appropriate, scaled details, sizes, dimensions, performance characteristics, capacities, test data, anchoring details, installation instructions, storage and handling instructions, color charts, layout Drawings, rough-in diagrams, wiring diagrams, controls, weights and other pertinent data in addition to information specifically stipulated in the Specification Section.
      1) Arrange data and performance information in format similar to that provided in Contract Documents.
      2) Provide, at minimum, the detail specified in the Contract Documents.

h. If proposed equipment or materials deviate from the Contract Drawings or Specifications in any way, clearly note the deviation and justify the said deviation in detail in a separate letter immediately following transmittal sheet. Any deviation from plans or specifications not depicted in the submittal or included but not clearly noted by the Contractor may not have been reviewed. Review by the Engineer shall not serve to relieve the Contractor of the contractual responsibility for any error or deviation from contract requirements.

9. Samples:
   a. Identification:
      1) Identify sample as to transmittal number, manufacturer, item, use, type, project designation, tag number, Specification Section or Drawing detail reference, color, range, texture, finish and other pertinent data.
      2) If identifying information cannot be marked directly on sample without defacing or adversely altering samples, provide a durable tag with identifying information securely attached to the sample.
   b. Include application specific brochures, and installation instructions.
   c. Provide Contractor's review and approval certification stamp or Contractor's Submittal Certification form as indication of Contractor's checking and verification of dimensions and coordination with interrelated work.
   d. Resubmit revised samples of rejected items.

C. Informational Submittals:
   1. Prepare in the format and detail specified in Specification requiring the informational submittal.

1.5 TRANSMITTAL OF SUBMITTALS

A. Shop Drawings and Samples:
   1. Transmit all submittals to:

      HDR
      [Address]
      [City, State, Zip]
      Attn: [_____]

   2. Utilize two (2) copies of attached Exhibit A to transmit all Shop Drawings and samples.
   3. All submittals must be from Contractor.
      a. Submittals will not be received from or returned to subcontractors.

B. Informational Submittals:
   1. Transmit under Contractor's standard letter of transmittal or letterhead.
   2. Submit in triplicate or as specified in individual Specification Section.
   3. Transmit to:

      HDR
      [Address]
      [City, State, Zip]
      Attn: [Project Manager]

C. Electronic Transmission of Submittals:
   1. Transmittals [may][shall] be made electronically.
      a. Use [HDR's Project Tracker Collaboration System (PTCS)][(other commercial project collaboration application)][email].
      b. Protocols and processes will be determined at the Pre-Construction Conference.
   2. Provide documents in Adobe Acrobat Portable Document Format (PDF), latest version.
   3. Do not password protect or lock the PDF document.
   4. Drawings or other graphics must be converted to PDF file format from the original drawing file format and made part of the PDF document.
      a. Scanning of drawings is to be used only where actual file conversion is not possible and drawings must be scanned at a resolution of 300 dpi or greater.
      b. Required signatures may be applied prior to scanning for transmittal.
   5. Electronic drawings shall be formatted to be at full-scale (or half-scale when printed to 11x17).
      a. Do not reduce drawings by more than 50 PCT in size.
      b. Reduced drawings shall be clearly marked "HALF-SIZE" and shall scale accurately at that size.
   6. Rotate sheets that are normally viewed in landscape mode so that when the PDF file is opened the sheet is in the appropriate position for viewing.
   7. Create bookmarks in the bookmarks panel for the cover, the Table of Contents, and each major section of the document.
   8. Using Adobe Acrobat Standard or Adobe Acrobat Professional, set the PDF document properties, initial view as follows:
      a. Select File →Properties→Initial View.
      b. Select the Navigation tab: Bookmarks Panel and Page.
      c. Select the Page layout: Single Page.
      d. Select the Magnification: Fit Page.
      e. Select Open to page: 1.
      f. Set the file to open to the cover page with bookmarks to the left, and the first bookmark linked to the cover page.
   9. Set the PDF file "Fast Web View" option to open the first several pages of the document while the rest of the document continues to load.
      a. To do this:
         1) Select Edit→Preferences→ Documents→Save Settings.
         2) Check the Save As optimizes for Fast Web View box.
   10. File naming conventions:
      a. File names shall use a "ten dot three" convention (XXXXXX-YY-Z.PDF) where XXXXXX is the Specification Section number, YY is the Shop Drawing Root number and Z is an ID number used to designate the associated volume.
   11. Labeling:
      a. As a minimum, include the following labeling on all CD-ROM discs and jewel cases:
         1) Project Name.
         2) Equipment Name and Project Tag Number.
         3) Project Specification Section.
         4) Manufacturer Name.

5) Vendor Name.
12. Binding:
a. Include labeled CD(s) in labeled jewel case(s).
1) Bind jewel cases in standard three-ring binder Jewel Case Page(s), inserted at the front of the Final paper copy submittal.
2) Jewel Case Page(s) to have means for securing Jewel Case(s) to prevent loss (e.g., flap and strap).

1.6 ENGINEER'S REVIEW ACTION

A. Shop Drawings and Samples:
1. Items within transmittals will be reviewed for overall design intent and will receive one (1) of the following actions:
a. A - FURNISH AS SUBMITTED.
b. B - FURNISH AS NOTED (BY ENGINEER).
c. C - REVISE AND RESUBMIT.
d. D - REJECTED.
e. E - ENGINEER'S REVIEW NOT REQUIRED.
2. Submittals received will be initially reviewed to ascertain inclusion of Contractor's approval stamp.
a. Submittals not stamped by the Contractor or stamped with a stamp containing language other than that specified herein will not be reviewed for technical content and will be returned rejected.
3. In relying on the representation on the Contractor’s review and approval stamp, Owner and Engineer reserve the right to review and process poorly organized and poorly described submittals as follows:
a. Submittals transmitted with a description identifying a single item and found to contain multiple independent items:
1) Review and approval will be limited to the single item described on the transmittal letter.
2) Other items identified in the submittal will:
a) Not be logged as received by the Engineer.
b) Be removed from the submittal package and returned without review and comment to the Contractor for coordination, description and stamping.
c) Be submitted by the Contractor as a new series number, not as a re-submittal number.
b. Engineer, at Engineer’s discretion, may revise the transmittal letter item list and descriptions, and conduct review.
1) Unless Contractor notifies Engineer in writing that the Engineer’s revision of the transmittal letter item list and descriptions was in error, Contractor’s review and approval stamp will be deemed to have applied to the entire contents of the submittal package.
4. Submittals returned with Action "A" or "B" are considered ready for fabrication and installation.
a. If for any reason a submittal that has an "A" or "B" Action is resubmitted, it must be accompanied by a letter defining the changes that have been made and the reason for the resubmittal.
b. Destroy or conspicuously mark "SUPERSEDED" all documents having previously received "A" or "B" Action that are superseded by a resubmittal.

5. Submittals with Action "A" or "B" combined with Action "C" (Revise and Resubmit) or "D" (Rejected) will be individually analyzed giving consideration as follows:
   a. The portion of the submittal given "C" or "D" will not be distributed (unless previously agreed to otherwise at the Preconstruction Conference).
      1) One (1) copy or the one (1) transparency of the "C" or "D" Drawings will be marked up and returned to the Contractor.
         a) Correct and resubmit items so marked.
   b. Items marked "A" or "B" will be fully distributed.
   c. If a portion of the items or system proposed are acceptable, however, the major part of the individual Drawings or documents are incomplete or require revision, the entire submittal may be given "C" or "D" Action.
      1) This is at the sole discretion of the Engineer.
      2) In this case, some Drawings may contain relatively few or no comments or the statement, "Resubmit to maintain a complete package."
      3) Distribution to the Owner and field will not be made (unless previously agreed to otherwise).
6. Failure to include any specific information specified under the submittal paragraphs of the Specifications will result in the submittal being returned to the Contractor with "C" or "D" Action.
7. Calculations required in individual Specification Sections will be received for information purposes only, as evidence calculations have been stamped by the professional as defined in the specifications and for limited purpose of checking conformance with given performance and design criteria. The Engineer is not responsible for checking the accuracy of the calculations and the calculations will be returned stamped "E. Engineer's Review Not Required" to acknowledge receipt.
8. Contractor shall furnish required submittals with sufficient information and accuracy to obtain required approval of an item with no more than [three] submittals. Engineer will record Engineer’s time for reviewing a fourth or subsequent submittal of a Shop Drawings, sample, or other item requiring approval, and Contractor shall be responsible for Engineer’s charges to Owner for such time. Owner may impose a set-off against payments due to Contractor to secure reimbursement for such charges.
9. Transmittals of submittals which the Engineer considers as "Not Required" submittal information, which is supplemental to but not essential to prior submitted information, or items of information in a transmittal which have been reviewed and received "A" or "B" action in a prior submittal, will be returned with action "E. Engineer's Review Not Required."
10. Samples may be retained for comparison purposes.
    a. Remove samples when directed.
    b. Include in bid all costs of furnishing and removing samples.
11. Approved samples submitted or constructed, constitute criteria for judging completed work.
    a. Finished work or items not equal to samples will be rejected.

PART 2 - PRODUCTS - (NOT APPLICABLE TO THIS SPECIFICATION SECTION)

PART 3 - EXECUTION - (NOT APPLICABLE TO THIS SPECIFICATION SECTION)

END OF SECTION

EXHIBIT A Shop Drawing Transmittal No. _____-_____
(Spec Section) (Series)

Project Name:		Date Received:	
Project Owner:		Checked By:	
Contractor:	HDR Engineering, Inc.	Log Page:	
Address:	Address:	HDR No.:	
		Spec Section:	
		Drawing/Detail No.:	
Attn:	Attn:	1st. Sub	ReSub.
Date Transmitted:	Previous Transmittal Date:		

Item No.	No. Copies	Description	Manufacturer	Mfr/Vendor Dwg or Data No.	Action Taken*

Remarks:

* The Action designated above is in accordance with the following legend:

A - Furnish as Submitted B - Furnish as Noted C - Revise and Submit 1. Not enough information for review. 2. No reproducibles submitted. 3. Copies illegible. 4. Not enough copies submitted. 5. Wrong sequence number. 6. Wrong resubmittal number. 7. Wrong spec. section. 8. Wrong form used. 9. See comments. D - Rejected	E - Engineer's review not required 1. Submittal not required. 2. Supplemental Information. Submittal retained for informational purposes only. 3. Information reviewed and approved on prior submittal. 4. See comments. 5. Delegated Design - Submittal received as requested by the Contract Documents. The Engineer did not review the engineering or technical content of the submittal. Engineer’s review and approval will be only to determine if the items covered by the submittals will, after installation or incorporation in the Work, conform to the information given in the Contract Documents and be compatible with the design concept of the completed Project as a functioning whole as indicated by the Contract Documents. Any deviation from plans or specifications not depicted in the submittal or included but not clearly noted by the Contractor may not have been reviewed. Review by the Engineer shall not serve to relieve the Contractor of the contractual responsibility for any error or deviation from contract requirements.

Comments:

By Date

Distribution Contra Fi Fie Owne Oth

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EXHIBIT AA **Contractor's Submittal Certification**

Shop Drawing
Transmittal No.: _____

Contract/Project Name: _____

_____

Company Name: _____

has

1. reviewed and coordinated this Shop Drawing or Sample with other Shop Drawings and Samples and with the requirements of the Work and the Contract Documents;

2. determined and verified all field measurements, quantities, dimensions, specified performance and design criteria, installation requirements, materials, catalog numbers, and similar information with respect thereto;

3. determined and verified the suitability of all materials offered with respect to the indicated application, fabrication, shipping, handling, storage, assembly, and installation pertaining to the performance of the Work; and

4. determined and verified all information relative to Contractor's responsibilities for means, methods, techniques, sequences, and procedures of construction, and safety precautions and programs incident thereto.

☐ This Submittal **does not** contain any variations from the requirements of the Contract Documents.

☐ This Submittal **does** contain variations from the requirements of the Contract Documents. A separate description of said variations and a justification for them is provided in an attachment hereto identified as:

"Shop Drawing Transmittal No. _____Variation and Justification Documentation"

Insert picture file or electronic
signature of Authorized Representative

_____ _____
Authorized Representative Date

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END OF FORM