

SECTION 01 33 23 SUBMITTAL PROCEDURES

PART 1 GENERAL

1.1 SUMMARY

- A. Section includes administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other submittals.

1.2 DEFINITIONS

- A. Action Submittals: Written, graphic information, and physical samples that require Government's responsive action.
- B. 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.
- C. Informational Submittals: Written information that does not require Government's responsive action. Submittals may be rejected for not complying with requirements.
- D. 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 GENERAL SUBMITTAL PROCEDURES

- A. General: Prepare and submit submittals required by individual specification sections and in some cases as requested on the Drawings. Types of submittals are indicated in individual specific sections.
 - 1. Contracting Officer (CO) reserves right to require submittals in addition to those called for in individual sections.
 - 2. Organize submittals to be fully indexed with a tabbed divider for every component. Sequentially number pages within the tabbed sections. Organize submittals in exactly the same order as the items are referenced, listed, and/or organized in the specification section.
 - 3. Edit all submittals so that the submittal specifically applies to only the equipment furnished. Neatly cross out all extraneous text, options, models, etc. that do not apply to the equipment being furnished, so that the information remaining is only applicable to the equipment being furnished.
 - 4. Prepare submittals in the English language. Do not include information in other languages.
 - 5. Present measurements in customary American units (feet, inches, pounds, etc.).

6. Show dimensions, construction details, wiring diagrams, controls, manufacturers, catalog numbers, and all other pertinent details.
 7. Indicate Project designated equipment tag numbers from P&IDs for submittal of devices, equipment, and assemblies.
- B. Coordination: Coordinate preparation and processing of submittals with performance of construction activities. Review for legibility, accuracy, completeness, and compliance with Contract Documents.
1. Coordinate submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
 2. Coordinate transmittal of different types of submittals for related parts of Work so processing will not be delayed because of need for concurrent review coordination.
 - a. Contracting Officer reserves right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
- C. Submittal List: Submittal list is attached to the end of this specification section. The intent is to provide an overall summary of submittal requirements and not a comprehensive list. The requirements of individual specification sections and terms and conditions of the Contract still apply regardless of what is shown on submittal list.
- D. Submittal Register: Prepare submittal register with proposed delivery dates.
1. Contractor may make more than one submittal per specification section, but a single submittal may not cover more than one specification section. The only exception to this requirement is when one specification section covers the requirements for a component of equipment specified in another section. For example, circuit breakers are a component of switchgear. The switchgear submittal must also contain data for the associated circuit breakers, even though they are covered in a different specification section.
- E. Processing Time: Allow sufficient time for submittal review, including time for resubmittals, as follows. Time for review shall commence when e-mail notification is received by Contracting Officer (or designee) indicating submittal has been posted on Project management software website and is ready for review. When Contracting Officer has completed review, e-mail notification will be sent to Contractor indicating submittal has been processed. No extension of Contract Time will be authorized

because of failure to transmit submittals in advance of Work to permit processing, including re-submittals.

1. Action Submittals:

- a. Initial Review: Allow 30 days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required.
- b. Resubmittal Review: Allow 20 days for review of each resubmittal.

2. Informational Submittals:

- a. Review: Allow 10 days for review of each submittal.

F. Approved Equals:

- 1. For each item proposed as an “approved equal,” submit supporting data, including:
 - a. Drawings and samples as appropriate.
 - b. Comparison of the physical, functional and performance characteristics of the proposed item with that specified.
 - c. Changes required in other elements of the work because of the substitution including but not limited to civil, structural, architectural, process mechanical, building mechanical, electrical, controls, fire protection, security.
 - d. Changes to operations, maintenance, energy use, chemical use.
 - e. Name, address, and telephone number of vendor.
 - f. Manufacturer’s literature regarding installation, operation, and maintenance, including schematics for electrical and hydraulic systems, lubrication requirements, and parts lists. Describe availability of maintenance service, and state source of replacement materials.
- 2. A request for approval constitutes a representation that Contractor:
 - a. Has investigated the proposed item and determined that it is equal or superior in all respects to that specified.
 - b. Will provide the same warranties for the proposed item as for the item specified.
 - c. Has determined that the proposed item is compatible with interfacing items.
 - d. Will coordinate installation of an approved item and make changes required in other elements of the work because of the substitution.
 - e. Waives claims for additional expenses that may be incurred as a result of the substitution.

G. Electronic Submittals:

1. Identify and incorporate information in each electronic submittal file as follows:

- a. Transmittal Form (CM-16): All submittals shall be transmitted using National Park Service Transmittal Form (CM-16). The form can be downloaded from the DSC Workflows website's [Submittal Review](#) page and completed on the Project management software website. No action will be taken on a submittal item unless accompanied by this Transmittal Form.

- 1) Complete the general information at the top of form.
- 2) Provide all required information based on submittal type.
- 3) Attach all related documents.
- 4) Sign the Contractor section at bottom of the Transmittal Form (CM-16) and select "submit" when complete.

- b. Physical Samples: Complete Transmittal Form (CM-16) on the Project management software website as described above. Deliver physical sample to the Contracting Officer (or designee) onsite for processing. All comments and actions will be documented on the Transmittal Form (CM-16) on the Project management software website.

H. Identification: Submittal number or other unique identifier, including revision identifier.

1. Submittal number shall use a sequential number (e.g., .001). Re-submittals shall include alphabetic suffix after another decimal point (e.g., .001.A).

I. Resubmittals: Make resubmittals using same process used with initial submittal.

1. Include date and content of previous submittal.
2. Include date and content of revision in the title block on the Transmittal Form (CM-16) and clearly indicate extent of revision.
3. Re-submit submittals until they are marked "Approved" or "Approved with notations."

J. Distribution: Furnish copies of final submittals to manufacturers, subcontractors, suppliers, fabricators, installers, and others as necessary for performance of construction activities.

K. Use for Construction: Use only final submittals with mark indicating "Approved" or "Approved with notations." Ensure notations have been incorporated and, at a minimum, keep one copy of final approved submittal onsite for use during construction.

1.4 CONTRACTOR'S USE OF CAD/BIM FILES

A. General:

1. At Contractor's written request, copies of CAD/BIM files will be provided to Contractor for Contractor's use in connection with Project, subject to the following conditions:
 - a. Files provided as is; no format or other changes to files or changes to objects in the drawing will be done by the Government or Government's consultant.

PART 2 PRODUCTS

2.1 ACTION SUBMITTALS

- A. 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 printed data are not suitable for use, submit as Shop Drawings, not as Product Data.
 2. Mark each submittal to show which products and options are applicable.
 3. Include the following information, and highlight products being supplied as applicable:
 - a. Manufacturer's product specifications.
 - b. Manufacturer's Installation Instructions: When Contract Documents require compliance with manufacturer's printed instructions, provide one complete set of instructions to Contracting Officer and keep another complete set of instructions at the Project Site until substantial completion.
 - c. Manufacturer's Catalog Cuts: Submit only pertinent pages; mark each page of standard printed data to identify specific products proposed for use.
 - d. Wiring diagrams showing factory-installed wiring.
 - e. Printed performance curves.
 - f. Operational range diagrams.
 - g. Compliance with specified referenced standards.
 - h. Testing by recognized testing agency.
 4. Submit product data in PDF (portable document format) file format before or concurrent with samples.

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 of CAD/BIM Drawings is otherwise permitted.

1. Preparation:

a. Fully illustrate requirements in Contract Documents. As applicable, include:

- 1) Dimensions.
- 2) Identification of products.
- 3) Fabrication and installation drawings.
- 4) Roughing-in and setting diagrams.
- 5) Wiring diagrams showing field-installed wiring, including power, signal, and control wiring.
- 6) Shopwork manufacturing instructions.
- 7) Templates and patterns.
- 8) Schedules.
- 9) Notation of coordination requirements.
- 10) Notation of dimensions established by field measurement.
- 11) Relationship to adjoining construction clearly indicated.
- 12) Seal and signature of professional engineer if specified.
- 13) Wiring Diagrams: Differentiate between manufacturer-installed and field-installed wiring.

2. Submit Shop Drawings as PDF electronic file.

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

2. Complete and post the Transmittal Form (CM-16) on the NPS/DSC management software website for processing and documentation of action on submitted samples.

3. Identification:

a. Attach label on unexposed side of Samples that includes:

- 1) Generic description of Sample.
- 2) Product name and name of manufacturer.
- 3) Sample source.
- 4) Submittal Number and title of appropriate specification section.

4. Disposition: Maintain sets of approved Samples at Project Site, available for quality-control comparisons throughout course of construction activity. Sample sets may be used to determine final acceptance of construction associated with each set.
5. Samples for Initial Selection: Submit manufacturer's color charts consisting of units or sections of units showing full range of colors, textures, and patterns available.
 - a. 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. Contracting Officer will return with options selected.
6. 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: 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.
 - a. Number of Samples: Submit four sets of Samples. Contracting Officer will retain three Sample sets; remainder will be returned.
- D. Construction Materials: Contractor is encouraged to submit products made out of recycled or environmentally responsible material. Every effort will be made by National Park Service to approve these materials.

2.2 INFORMATIONAL SUBMITTALS

- A. General: Prepare and submit Informational Submittals required by individual Specification Sections.
 1. Post informational submittals as PDF electronic files directly to project management software website.
 2. Certificates and Certifications: Provide a notarized statement with signature of entity responsible for preparing certification. Certificates and certifications shall be signed by officer or other individual authorized to sign documents on behalf of that entity.
 3. Informational submittals that do not comply with requirements specified in Contract Documents will be rejected and one copy will be returned.
- B. Coordination Drawings: Comply with requirements specified in Section 01 31 00, Project Management and Coordination.

- C. Contractors Construction Schedule: Comply with requirements specified in Section 01 32 16, Construction Schedule.
- D. Accident Prevention Plan: Comply with requirements specified in Section 01 35 23, Safety Requirements.
- E. Schedule of Values: Comply with requirements specified in Section 01 32 16, Construction Schedule.
- F. Waste Recycling Plan: Comply with requirements specified in Section 01 74 19, Construction Waste Management and Disposal.
- G. Quality Control Plan: Comply with requirements specified in Section 01 40 00, Quality Requirements.
- H. Storm Water Pollution Prevention Plan: Comply with requirements specified in Section 01 57 23, Temporary Storm Water Pollution Prevention, and storm water permit requirements identified in Section 01 31 00, Project Management and Coordination.
- I. Indoor Air Quality Management Plan: Comply with requirements specified in Section 01 57 19.11, Indoor Air Quality Management.
- J. Leadership in Energy and Environmental Design (LEED™) Submittals: Comply with requirements specified in Section 01 81 13, Sustainable Design Requirements for Non-LEED™ Projects.
- K. Qualification Data: Prepare written information demonstrating capabilities and experience of firm or person. Include lists of completed projects with project names and addresses, names and addresses of architects and owners, and other information specified.
- L. Welding Certificates: Prepare written certification that welding procedures and personnel comply with Contract Documents. Submit record of Welding Procedure Specification (WPS) and Procedure Qualification Record (PQR) on American Welding Society (AWS) forms. Include names of firms and personnel certified.
- M. Installer Certificates: Prepare written statements on manufacturer's letterhead certifying Installer complies with Contract Documents and, where required, is authorized by manufacturer for this specific Project.
- N. Manufacturer Certificates: Prepare written statements on manufacturer's letterhead certifying manufacturer complies with Contract Documents. Include evidence of manufacturing experience where required.
- O. Product Certificates: Prepare written statements on manufacturer's letterhead certifying product complies with Contract Documents.

- P. Material Certificates: Prepare written statements on manufacturer's letterhead certifying material complies with Contract Documents.
- Q. Material Test Reports: Prepare 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 Contract Documents.
- R. Product Test Reports: Prepare written reports indicating current product produced by manufacturer complies with requirements in 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.
- S. Research/Evaluation Reports: Prepare written evidence, from a model code organization acceptable to authorities having jurisdiction, that product complies with building code in effect for Project.
- T. Preconstruction Test Reports: Prepare 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 Contract Documents.
- U. Compatibility Test Reports: Prepare 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.
- V. Field Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, 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 Contract Documents.
- W. Maintenance Data: Prepare written and graphic instructions and procedures for operation and normal maintenance of products and equipment. Comply with requirements specified in Section 01 78 23, Operation and Maintenance Data.
- X. Design Data: Prepare written and graphic information, including: 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.
- Y. Manufacturer's Instructions: Prepare written or published information documenting 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.

Z. Manufacturer's Field Reports:

1. Prepare written information documenting factory-authorized service representative's tests and inspections. As applicable, include:
 - a. Statement on condition of substrates and their acceptability for installation of product.
 - b. Summary of installation procedures being followed, compliance with requirements and, if not, what corrective action was taken.
 - c. Results of operational and other tests and a statement of whether observed performance complies with the requirements.

AA. Permit Compliance Products: Prepare required information for compliance with permit provisions. Products include written notification of Project startup, suspension, and completion of work; photo documentation of site conditions; reports; and drawings.

BB. Demolition and Work Phasing Plan: Prepare a written plan for all major demolition and construction activities.

PART 3 EXECUTION

3.1 CONTRACTOR'S REVIEW

- A. Review each submittal and check for coordination with other Work of Contract and for compliance with Contract Documents. Note corrections and field dimensions.

3.2 CONTRACTING OFFICER'S ACTION

- A. General: Submittals will be disapproved without technical review if identification information is missing, not filled in, or if placed on back of submittal; an incorrect format of submittals is provided; transmittal form is incorrectly filled out; submittals are not coordinated; or submittals do not show evidence of Contractor's approval.

1. Any work done or orders for materials or services placed before approval shall be at Contractor's own risk.

B. Action Submittals:

1. Contracting Officer will review each submittal, generate comments on corrections or modifications required, and indicate appropriate action on the Transmittal Form (CM-16). Submittal will be marked as defined below:
 - a. **APPROVED:** Acceptable with no corrections.
 - b. **APPROVED WITH NOTATIONS:** Minor corrections or clarifications required. Comments are clear and no further review is required.

Contractor shall address review comments when proceeding with the work.

- c. **DISAPPROVED - RESUBMIT:** Rejected as not in accordance with the Contract or as requiring major corrections or clarifications. Contracting Officer will identify reasons for disapproval. Contractor shall revise and resubmit with changes clearly identified.

C. **Informational Submittals:** Contracting Officer will review each submittal and will either **ACCEPT** or **REJECT** it.

D. Partial submittals are not acceptable, will be considered non-responsive, and will be returned without review.

3.3 SUPPLEMENT

A. The supplement listed below, following “End of Section,” is a part of this specification:

- 1. Submittal List.

END OF SECTION

