

**SECTION 01330**  
**SUBMITTAL PROCEDURES**

**PART 1 – GENERAL**

**1.01 SUMMARY**

- A. This Section specifies the general requirements and procedures for preparing and submitting design and construction documents to the Authority and Jurisdictional Authorities for approval or for information. The submittals shall consist of, but not be limited to design drawings, computations, and specifications; Shop Drawings; Working Drawings; product data; samples; documents, letters, certifications and reports; permit applications and Jurisdictional Authority approval documents; and other submittals.

**1.02 DEFINITIONS**

- A. **Schedule of Required Submittals:** A compendium of all required design and construction related submittals identified throughout the Contract Documents.
- B. **Contract Document Submittal Log:** A document indicating the status of all Required Submittals listed in the Schedule of Required Submittals.

**1.03 SUBMITTAL SCHEDULE**

- A. Coordinate the schedule for design submittals with the Project Schedule. The schedule for design submittals shall reflect the time required for designing, reviewing, ordering, manufacturing, fabricating, and delivery, including additional time required for re-submittals.
- B. Provide a preliminary Schedule of Required Submittals, as described in Section 00720, SUBMITTALS, within 15 Days after the effective date of Notice to Proceed (NTP) for the Authority's review. The preliminary Schedule of Required Submittals shall be updated through discussions with the Authority during periodic progress meetings or through special meetings subsequent to initial Authority approval.
- C. Submit a Contract Document Submittal Log, within 30 Days after the effective date of NTP. The Contract Document Submittal Log, created in MS Excel or MS Access, shall consist of all submittals required by the Contract Documents and Issued for Construction Specifications. Populate the Contract Document Submittal Log with submittal data as the design and construction progress. The Contract Document Submittal Log shall list all versions of a submittal, however only one version of a submittal may be in effect at any one time.
- D. Submittals made shall be arranged and maintained in a tabular format by specification Section as well as in chronological order by the dates required for construction. The log shall include:
1. Scheduled date for initial Submittal, review, and "need" date for acceptance in order to fabricate and install, corresponding to the Project Schedule activity.
  2. Contract number, specification Section number and title
  3. Name of Subcontractor or Supplier
  4. Type of Submittal (Shop Drawings, product data, samples, or other), description of the item, name of manufacturer, trade name, and model number
  5. Highlight submittals that are on the critical path and require expedited review to meet the schedule. Indicate lead time to the date of fabrication and installation.

6. State if submitted for approval or information.

7. Re-submittals: Reason for change

E. The Contract Document Submittal Log shall be updated and submitted on a monthly basis.

#### 1.04 SUBMITTAL ADMINISTRATIVE REQUIREMENTS

A. Submit one electronic copy in the format specified, unless noted otherwise, through the Authority's Project Management Software System (PMSS). The Contracting Officer's Representative will return one electronic copy through the PMSS.

B. Allow 21 Days for all other submissions and resubmissions.

C. The Contracting Officer's Representative will discard submittals received from sources other than the Design-Builder.

D. Prepare separate submittals for each item in a specification Section. Group them in the order listed, paragraph by paragraph, and package them together.

E. Transmit submittals of related parts of the Work concurrently such that processing will not be delayed for coordination. Incomplete submittals will be returned to the Design-Builder with no action taken by the Authority.

F. For Design Drawings submittals, include title block in accordance with the WMATA CAD Manual. For Design Specification submittals:

1. Indicate Project name and Contract number and the date of submission.

2. Indicate name of firm or entity that prepared each submittal.

G. For all other submittals, place a permanent label or title block on each submittal item for identification.

1. Indicate Project name and Contract number, the date of submission, reference to the specification Section article, and drawing number and detail to which the submittal applies.

2. Indicate name of firm or entity that prepared each submittal.

3. Provide a blank space approximately 5 by 5 inches, in the lower right corner of each drawing just above the title block, to record the Design-Builder's review and approval markings and action taken by the Contracting Officer Representative.

H. All submittals shall be accompanied with a transmittal form containing the following minimum information.

1. Project name and Contract number, the date of submission, Subcontractor, Supplier, manufacturer name, and submittal number

2. Submittal purpose and description

3. Reference to the specification Section, drawing number, and title

4. Reference applicable standards, such as ASTM or Federal Specification numbers

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

6. Identification of deviations from the Issued for Construction Drawings and Specifications

7. Notation that Submittal is a safety critical item, if identified on the "Certifiable Items List"

## 1.05 DESIGN DOCUMENTS

- A. All Design Documents shall be submitted for the Authority's review at the completion level designated by the Authority. This includes design drawings, supporting calculations, design reports based on geotechnical data and field surveys, Jurisdictional Authority correspondence, private and public utility company correspondence, and any other pertinent design basis information.
- B. Submit Design Drawings in AutoCAD and bookmarked-by-discipline Adobe (.PDF) formats that can be edited (without seals) and plotted either as full-size or half-size drawings that are scalable. Submit Adobe (.PDF) of Issued for Construction Drawings sealed and signed by a professional engineer or architect, as applicable, registered in the jurisdiction where the work will be performed for official record.
- C. Submit Design Calculations and Reports in MS Word and bookmarked-by-discipline Adobe (.PDF) formats.
- D. Submit Design Specifications in MS Word and bookmarked-by-Section Adobe (.PDF) formats. Submit Adobe (.PDF) of Issued for Construction Specifications sealed and signed by a professional engineer or architect, as applicable, registered in the jurisdiction where the work will be performed for official record.

## 1.06 SHOP DRAWINGS

- A. General:
  - 1. Submit Shop Drawings in AutoCAD and Adobe (.PDF) formats.
  - 2. Shop Drawings shall indicate all pertinent features of the products and the method of fabrication, connection, erection, or assembly with respect to the Work.
  - 3. The first drawings submitted by Design-Builder, Subcontractor, or vendor will be reviewed for conformance with this Section. Once accepted, use the drawing format as a standard for subsequent drawings.
- B. Dimensioning: Follow applicable dimensioning and tolerance practices as specified in ANSI/ASME Y14.5.
  - 1. Prepare Project-specific information, drawn accurately to scale. Do not base Shop Drawings on reproductions of the Contract Documents or standard printed data.
  - 2. Provide sufficient dimensions on drawings so that size, shape, and location may be determined without calculation.
  - 3. Show each dimension clearly so that only one interpretation is possible. Show each dimension for a feature once.
  - 4. Text must be legible on 11 by 17-inch prints.
  - 5. Include on the Shop Drawings details necessary for the installation, maintenance, and repair of all equipment provided.

## 1.07 PRODUCT DATA

- A. Submit product data in Adobe (.PDF) format.
- B. If information must be specially prepared for a submittal because standard published data is not suitable for use, submit as Shop Drawings, not as product data.

- C. Modify manufacturers' standard drawings, catalog cuts, brochures, diagrams, schedules, performance charts, illustrations, calculations, printed installation, erection, application, and placing instructions, and other descriptive data to delete information that is not applicable to the Contract. Indicate dimensions, clearances, performance characteristics, capacities, wiring and piping diagrams, and controls. Supplement standard information with additional information applicable to this Contract.
- D. Submit product data concurrent with samples.

#### 1.08 SAMPLES

- A. 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 submittals and actual components as delivered and installed.
- B. Maintain sets of accepted samples at the Site, available for quality control comparisons throughout the course of construction activity. Sample sets may be used to determine conformance of construction associated with each set.
  - 1. Samples that may be incorporated into the Work are indicated in individual specification Sections. Samples not incorporated into the Work, or otherwise designated as the Owner's property, are the property of Design-Builder.
- C. Samples for Verification: Submit full-size units or samples of a size indicated, physically identical with material or the product proposed for use and that shows a 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.
- D. Number of Samples: Submit five sets of Samples. The Contracting Officer Representative will retain three Sample sets; the remainder will be returned. Mark up 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.
- E. If variations in color, pattern, texture, or other characteristics are inherent in the material or product represented by a sample, submit at least three sets of paired units that show approximate limits of variations.

#### 1.09 CERTIFICATES AND CERTIFICATIONS

- A. Submit original certificates and certifications in MS Word and Adobe (.PDF) formats.
- B. Provide certificates and certifications that demonstrate proof of compliance with Contract specification requirements for products, materials, equipment, and systems.
- C. Authority Approval of a certification shall not be construed as relieving the Design-Builder from furnishing products that meet the specified design intent.

#### 1.10 AS-BUILT DOCUMENTS

- A. The Design-Builder shall maintain a record set of As-Built Drawings and Specifications annotated to show all changes incorporated as Work progresses.
- B. Submit As-Built Drawings in AutoCAD and bookmarked-by-discipline Adobe (.PDF) formats that can be plotted either as full-size or half-size drawings that are scalable.

- C. Before the scheduled date of Substantial Completion, the Design-Builder shall submit approved as-built documents for the completed Work as specified in Section 01775, CLOSEOUT.

#### 1.11 AUTHORITY'S REVIEW

- A. The Contracting Officer Representative shall receive construction submittals from the Vendor and will distribute them within the Authority for review.
  - 1. Shop Drawings, samples, and other submission reviews by the Authority will not include checking of dimensions for potential conflicts.
  - 2. Approval by the Authority of a specific item will not indicate Approval of an assembly of which the item is a component.
  - 3. Incomplete submittals will be returned for resubmission without review.
- B. Submittals that are reviewed by the Authority will be returned to the Vendor with one of the following approval codes:
  - 1. Code 1: Approved Without Condition or Comment.
  - 2. Code 2: Approved As Noted, Resubmittal Not Required. The Design-Builder shall comply with changes, conditions, or comments on the submittal.
  - 3. Code 3: Disapproved. The entire submittal is disapproved and shall be resubmitted.

#### 1.12 RESUBMISSIONS, DISTRIBUTION, AND USE

- A. Make resubmissions in same form and number of copies as initial submittal. Note the date and content of previous submittal. Clearly indicate extent of revision.
- B. Furnish copies of final submittals to manufacturers, Subcontractors, Suppliers, fabricators, installers, Jurisdictional Authorities, and others as necessary for performance of construction activities. Show distribution on transmittal forms.
- C. Retain complete copies of submittals on Site.

#### 1.13 RFI ADMINISTRATIVE REQUIREMENTS

- A. Submit one electronic copy on the RFI form provided by the Authority, through the Authority's Project Management Software System (PMSS). The Contracting Officer's Representative will return one electronic copy through the PMSS.
- B. Allow 7 Days for the review of each RFI.
- C. The Contracting Officer's Representative will discard RFIs received from sources other than the Design-Builder.
- D. All submittals shall be accompanied with a transmittal form containing the following minimum information.
  - 1. Project name and Contract number, the date of submission, and RFI number
  - 2. Clear statement of the question to be addressed by the Authority
  - 3. Reference to the specification Section, drawing number, and title that is the subject of the RFI

PART 2 – PRODUCTS (not used)

PART 3 – EXECUTION (not used)

END OF SECTION