

PART 1 - GENERAL

1.1 SUMMARY

- .1 Types of items described in this Section:
 - .1 Requirements for the submittal schedule and administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other submittals.
- .2 Types of items you will not find described in this Section:
 - .1 Requirements for submitting applications for payment and the schedule of values.
 - .2 Requirements for submitting schedules and reports, including contractor's construction schedule.
 - .3 Requirements for submitting operation and maintenance manuals.
 - .4 Requirements for submitting record drawings, record specifications, and record product data.
 - .5 Requirements for submitting video recordings of demonstration of equipment and training of Canadas personnel.

1.2 DEFINITIONS

- .1 Action Submittals: Written and graphic information and physical samples that require Departmental Representative's responsive action. Action submittals are those submittals indicated in individual Specification Sections as *action submittals*.
- .2 Informational Submittals: Written and graphic information and physical samples that do not require Departmental Representative'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*.
- .3 Portable Document Format (PDF): a digital file format licensed by Adobe and other software developers and used to display and print information in a consistent format regardless of computer operating system, monitor, or printer.
- .4 Days: Days of the week, excluding Saturday, Sunday, and any statutory holidays.

1.3 ACTION SUBMITTALS

- .1 Submittal Schedule: Submit a schedule of submittals, arranged in chronological order by dates required by construction schedule. Include time required for review, ordering, manufacturing, fabrication, and delivery when establishing dates. Include additional time required for making corrections or revisions to submittals noted by Departmental Representative and additional time for handling and reviewing submittals required by those corrections.
 - .1 Coordinate submittal schedule with list of subcontracts, and Contractor's construction schedule.
 - .2 Submit Submittal Schedule concurrently with the first complete submittal of Contractor's construction schedule.
 - .3 Format: Arrange the following information in a tabular format:
 - .1 Scheduled date for first submittal.
 - .2 Specification Section number and title.
 - .3 Submittal category: Action; informational.
 - .4 Name of subcontractor.
 - .5 Description of the Work covered.
 - .6 Scheduled date for Departmental Representative's final release.
 - .7 Scheduled date of fabrication.

1.4 SUBMITTAL ADMINISTRATIVE REQUIREMENTS

- .1 Digital Data Files: Electronic CAD files of the Contract Drawings are available upon request from the Departmental Representative for the Contractor's use in preparing submittals.
 - .1 Available files:
 - .1 Floor plans.
 - .2 Reflected ceiling plans.
 - .2 Departmental Representative makes no representations as to the accuracy or completeness of digital data drawing files as they relate to the Contract Drawings.
 - .3 Digital Format: Files will be provided in the format generated by the drawing software used to produce the drawing.
- .2 Coordination: Coordinate preparation and processing of submittals with the performance of the construction activities.
 - .1 Coordinate each submittal to accommodate time required for 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.
 - .5 Departmental Representative reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
- .3 Processing Time: Allow time for submittal review, including time for resubmittals, as follows. Time for review shall commence on Departmental Representative'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: Allow 15 days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required. Departmental Representative will advise Contractor when a submittal being processed must be delayed for coordination.
 - .2 Intermediate Review: If intermediate submittal is necessary, process it in same manner as initial submittal.
 - .3 Resubmittal Review: Allow 15 days for review of each resubmittal.
- .4 Electronic Submittals: Place a permanent label or title block on each submittal item for identification.
 - .1 Indicate name of firm or entity that prepared each submittal on label or title block.
 - .2 Include the following information for processing and recording action taken:
 - .1 Project name.
 - .2 Date.
 - .3 Name of Contractor.
 - .4 Name of subcontractor.
 - .5 Name of supplier.
 - .6 Submittal number or other unique identifier, including revision identifier.
 - .1 Submittal number shall use Specification Section number followed by a decimal point and then a sequential number (e.g., 061000.01). Resubmittals shall include an alphabetic suffix after another decimal point (e.g., 061000.01.A).
 - .7 Number and title of appropriate Specification Section.
 - .8 Drawing number and detail references, as appropriate.

- .9 Location(s) where product is to be installed, as appropriate.
 - .10 Other necessary identification.
- .5 Transmittal for Submittals: Assemble each submittal individually and appropriately for transmittal and handling. Transmit each submittal using a transmittal form. Departmental Representative may discard submittals received from sources other than Contractor.
 - .1 Transmittal Form for Submittals: Provide locations on form for the following information:
 - .1 Project name.
 - .2 Date.
 - .3 Name of Contractor.
 - .4 Names of subcontractor, manufacturer, and supplier.
 - .5 Category and type of submittal: action or informational as indicated in the applicable Specification Section.
 - .6 Specification Section number and title.
 - .7 Specification paragraph number or drawing designation and generic name for each of multiple items.
 - .8 Drawing number and detail references, as appropriate.
 - .9 Indication of full or partial submittal.
 - .10 Transmittal number, if applicable
 - .11 Submittal and transmittal distribution record.
 - .12 Remarks.
 - .13 Signature of transmitter.
- .6 Options: Identify options requiring selection by Departmental Representative.
- .7 Deviations and Additional Information: On an attached separate sheet, prepared on Contractor's letterhead, record relevant information, requests for data, revisions other than those requested by Departmental Representative on previous submittals, and deviations from requirements in the Contract Documents, including minor variations and limitations. Include same identification information as related submittal.
- .8 Resubmittals: Make resubmittals in same form and number of copies as initial submittal.
 - .1 Note date and content of previous submittal.
 - .2 Note date and content of revision in label or title block and clearly indicate extent of revision.
 - .3 Resubmit submittals until they are marked with approval notation from Departmental Representative's action stamp.
- .9 Distribution: Furnish copies of final submittals to manufacturers, subcontractors, suppliers, fabricators, installers, authorities having jurisdiction, and others as necessary for performance of construction activities.
- .10 Use for Construction: Retain complete copies of submittals on Project site. Use only final action submittals that are marked with approval notation from Departmental Representative's action stamp.

PART 2 - PRODUCTS

2.1 SUBMITTAL PROCEDURES

- .1 With respect to the submission and processing of paperwork, such as submittals, SIs, RFIs, RCOs, CCOs, COPs, etc., an online Construction Contract Administration service of the Departmental Representative's choosing will be implemented for the duration of the project. Upon completion of the project, Contractor is to submit five copies of CDs of project data available from online Construction Contract Administration service.

- .2 General Submittal Procedure Requirements: Prepare and submit submittals required by individual Specification Sections. Types of submittals are indicated in individual Specification Sections.
 - .1 Action Submittals: Submit electronic copy of each submittal unless otherwise indicated.
 - .2 Informational Submittals: Submit electronic copy of each submittal unless otherwise indicated. Departmental Representative will not return copies.
 - .1 Return of Action Submittals: Departmental Representative will return a PDF of a reviewed Submittal via online Construction Contract Administration service. No paper copies will be returned.
- .3 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 published data are not suitable for use, submit as Shop Drawings, not as Product Data.
 - .2 Mark each copy of each submittal to show which products and options are applicable.
 - .3 Include the following information, as applicable:
 - .1 Manufacturer's catalogue cuts.
 - .2 Manufacturer's product specifications.
 - .3 Standard colour charts.
 - .4 Statement of compliance with specified referenced standards.
 - .5 Testing by recognized testing agency.
 - .6 Application of testing agency labels and seals.
 - .7 Notation of coordination requirements.
 - .8 Availability and delivery time information.
 - .4 For equipment, include the following in addition to the above, as applicable:
 - .1 Wiring diagrams showing factory-installed wiring.
 - .2 Printed performance curves.
 - .3 Operational range diagrams.
 - .4 Clearances required to other construction, if not indicated on accompanying Shop Drawings.
 - .5 Submit Product Data before or concurrent with Samples.
- .4 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.
 - .1 Preparation: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:
 - .1 Identification of products.
 - .2 Schedules.
 - .3 Compliance with specified standards.
 - .4 Notation of coordination requirements.
 - .5 Notation of dimensions established by field measurement.
 - .6 Relationship and attachment to adjoining construction clearly indicated.
 - .7 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 no larger than 11 x 17 in size.
- .5 Samples: Submit Samples for review of kind, colour, 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 Identification: 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.
- .3 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.
 - .1 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.
 - .2 Samples not incorporated into the Work, or otherwise designated as Canada's property, are the property of Contractor.
- .4 Samples for Initial Selection: Submit manufacturer's colour charts consisting of units or sections of units showing the full range of colours, textures, and patterns available.
 - .1 Number of Samples: Submit one full set(s) of available choices where colour, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line. Departmental Representative will return submittal with options selected.
- .5 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 colour 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 colour, texture, and pattern; colour range sets; and components used for independent testing and inspection.
 - .1 Number of Samples: Submit two sets of Samples. Departmental Representative will retain one Sample set; remainder will be returned.
 - .2 Submit a single Sample where assembly details, workmanship, fabrication techniques, connections, operation, and other similar characteristics are to be demonstrated.
 - .3 If variation in colour, pattern, texture, or other characteristic is inherent in material or product represented by a Sample, submit at least two sets of paired units that show approximate limits of variations.
- .6 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. Include unique identifier for each product indicated in the Contract Documents or 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.
- .7 Coordination Drawing Submittals: Comply with requirements specified in Division 01 Section *Project Management and Coordination*.
- .8 Contractor's Construction Schedule: Comply with requirements specified in Division 01 Section *Construction Progress Documentation*.
- .9 Application for Payment and Schedule of Values: Comply with requirements specified in Division 01 Section *Payment Procedures*.

- .10 Test and Inspection Reports and Schedule of Tests and Inspections Submittals: Comply with requirements specified in Division 01 Section *Quality Requirements*.
- .11 Closeout Submittals and Maintenance Material Submittals: Comply with requirements specified in Division 01 Section *Closeout Procedures*.
- .12 Maintenance Data: Comply with requirements specified in Division 01 Section *Operation and Maintenance Data*.
- .13 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 design consultants and owners, and other information specified.
- .14 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. Include names of firms and personnel certified.
- .15 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.
- .16 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.
- .17 Product Certificates: Submit written statements on manufacturer's letterhead certifying that product complies with requirements in the Contract Documents.
- .18 Material Certificates: Submit written statements on manufacturer's letterhead certifying that material complies with requirements in the Contract Documents.
- .19 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.
- .20 Product Test Reports: Submit written reports indicating that 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.
- .21 Research Reports: Submit written evidence, from a model code organization acceptable to authorities having jurisdiction, that product complies with building code in effect for Project. Include the following information:
 - .1 Name of evaluation organization.
 - .2 Date of evaluation.
 - .3 Time period when report is in effect.
 - .4 Product and manufacturers' names.
 - .5 Description of product.
 - .6 Test procedures and results.
 - .7 Limitations of use.
- .22 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.

- .23 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.
- .24 Field Test Reports: Submit written 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.
- .25 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.

2.2 DELEGATED-DESIGN SERVICES

- .1 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 Submittals shall bear the seal and signature of the Contractor's design professional licensed in the jurisdiction of the project.
 - .2 If criteria indicated are not sufficient to perform services or certification required, submit a written request for additional information to Departmental Representative.

PART 3 - EXECUTION

3.1 CONTRACTOR'S REVIEW

- .1 Action and Informational Submittals: Review each submittal and check for coordination with other Work of the Contract and for compliance with the Contract Documents. Note corrections and field dimensions. Mark with approval stamp before submitting to Departmental Representative.
- .2 Project Closeout and Maintenance Material Submittals: See requirements in Division 01 Section *Closeout Procedures*.
- .3 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.

3.2 DEPARTMENTAL REPRESENTATIVE'S ACTION

- .1 Action Submittals: Departmental Representative will review each submittal, make marks to indicate corrections or revisions required, and return it. Departmental Representative will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action.
- .2 Informational Submittals: Departmental Representative will review each submittal and will not return it, or will return it if it does not comply with requirements.
- .3 Partial submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from Departmental Representative.

- .4 Incomplete submittals are unacceptable, will be considered nonresponsive, and will be returned for resubmittal without review.
- .5 Submittals not required by the Contract Documents may be returned by the Departmental Representative without action.

END OF SECTION