SECTION 01 3300

SUBMITTAL PROCEDURES

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LANL MASTER SPECIFICATION SECTION

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| --- |
| Rev. 7 Summary of changes: Updated construction submittal code definitions, added user notes and examples on usage of codes, added guidance on partial submittals, added article on *LANL Critical Review*, aligned with 01 3300 Attachment A – Construction Submittal Log (May 2024), major re-structuring of Part 1, and moved articles from Parts 2 & 3 into Part 1. |

Word file at <https://engstandards.lanl.gov/specs.shtml>

[01 3300 Attachment A - Construction Submittal Log](https://engstandards.lanl.gov/specs.shtml#01) template listing all submittals required by all the LANL Master Specification sections must be tailored to the project by deleting submittals that are not required and adding any project-specific ones (including for project-developed sections). See also ESM Chapter 1 Section Z10 Attachment F, *Specifications*, for further instructions on allowable tailoring.

This template must be edited for each project. In doing so, Specifier must add job-specific requirements. Brackets are used in the text to indicate designer choices or locations where text must be supplied by the designer.  Once the choice is made or text supplied, remove the brackets.  The section must also be edited to delete requirements for processes, items, or designs that are not included in the project -- and specifier’s notes such as these.

To seek a variance from requirements in the section that are applicable, contact the Engineering Standards Manual Chapter 1 General [POC](https://engstandards.lanl.gov/POCs.shtml#gen). Please contact POC with suggestions for improvement as well.  
  
When assembling a specification package, include applicable sections from all Divisions, especially Division 1, General Requirements.  
  
Section developed for ML-4 projects.  For ML-1, 2, and 3 applications, additional requirements might be necessary if increased confidence in procurement or execution is desired, and independent review is necessary. See ESM Chapter 1 Section Z10 Specifications and Quality sections; however, this is the standard LANL process for most projects, ML-1 through ML-4.

When not using an electronic review system (e.g., Aproove) for review and/or DCRM for routing, modify as necessary for related logistics.

For guidance on construction submittal review process, see Resource under [Section 01 3300](https://engstandards.lanl.gov/specs.shtml#01).  
  
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1. GENERAL
   1. SECTION INCLUDES
      1. Submittal Procedure Administrative Requirements
      2. Submittal Description (General)
      3. Constructor’s Review
      4. Design Agency’s Action
      5. LANL Critical Review
      6. Delegated Design Services
      7. Delegated Design Review
      8. 01 3300 Attachment A - Construction Submittal Log
      9. 01 3300 Forms for Transmittal and Review
   2. RELATED SECTIONS
      1. Section 01 4000, *Quality Requirements – Non-nuclear*
      2. Section 01 7700, *Closeout Procedures*
      3. Section 01 7823, *Operation and Maintenance Data*
      4. Section 01 7839, *Project Record Documents*
      5. [Section 01 8113.13, *Sustainable Design*]
   3. ACRONYMS AND DEFINITIONS
2. For definitions and acronyms, refer to [COE Glossary of Terms](https://engstandards.lanl.gov/_assets/GLOS-COE-1.pdf). Definitions exist for the following terms (and others): A/E, BIM, Constructor, Delegated Design, Design Agency, EDRMS, EOR, ESM, FDAR, FSR, IPT, RCD, RE, SME, STR, Submittal, TSM.
3. Action Submittals: Written and graphic information and physical samples that require the Design Agency EOR’s responsive action. Action submittals are indicated in 01 3300 Attachment A - Construction Submittal Log or may also be indicated in the individual Specification Sections.
4. A/E: Architect/Engineer.
5. BIM: Building Information Model.
6. Constructor: Entity performing fabrication or physical construction activity (LANL or Construction Subcontractor).
7. CSR: Construction Service Request.
8. DCRM: Document Control and Records Management.
9. Delegated Design Agency: Organization providing delegated design services.
10. Delegated Design Submittals: Products and systems complying with specific performance and design criteria prepared by a design professional. Delegated design submittals require Design Agency EOR’s responsive action. Delegated design submittals are indicated in individual Specification Sections and in 01 3300 Attachment A - Construction Submittal Log.
11. Design Agency: Organization responsible for preparation of engineering design and documentation (LANL or Subcontractor (External A/E or External Design Agency)).
12. EDRMS: Electronic Document and Records Management System.
13. EOR: Engineer of Record.
14. ESM: Engineering Standards Manual.
15. FSR: Field Service Request.
16. Informational Submittals: Written or graphic information and physical samples that do not require the Design Agency EOR’s responsive action. Submittals may be rejected for not complying with requirements. Informational submittals are indicated in 01 33300 Attachment A - Construction Submittal Log or may also be indicated in the individual Specification Sections.
17. IPT: Integrated Project Team.
18. LANL Critical Review: Those submittals identified in 01 3300 Attachment A – Construction Submittal Log as “LANL Critical Review Required” (or LANL Critical Review) require review by LANL SMEs (or LANL Submittal Reviewers). By default, critical review is a “consecutive review” i.e., LANL SME review occurs after External Design Agency EOR’s review and approval. When a “concurrent review” (i.e., LANL SMEs review in parallel with External Design Agency EOR’s review) is requested by the Constructor, Project Manager, or other entity, the LANL Responsible Engineer will evaluate and implement the request, if deemed appropriate. For all reviews, LANL Responsible Engineer will resolve conflicts between Reviewer comments. NOTE: Consecutive or concurrent reviews don’t apply to submittals that are not identified as “LANL Critical Review”, since those submittals are not reviewed or returned by LANL.
19. LANL Responsible Engineer (RE): Person assigned by LANL Engineering Management who manages all phases of the submittal process. LANL RE may be a Design Engineer, Plant System Engineer, Cognizant System Engineer, Process Engineer, or Project Engineer.
20. LANL Submittal Reviewers: Also referred to as LANL SME Reviewers in this section. Persons assigned by the LANL RE to review construction submittals. LANL Submittal Reviewer may be LANL Design Engineers, Field Engineers, Facility Design Authority Representatives (FDARs), Quality Assurance representatives, Code Inspectors, System Engineers, Fire Marshal representatives, Subcontract Technical Representatives, Environmental Compliance representatives, Start Up and Commissioning representatives, or other members of the Integrated Project Team.
21. NTP: Notice to Proceed.
22. RCD: Requirements and Criteria Document.
23. Schedule of Values: A statement furnished by Constructor allocating portions of the Subcontract sum to various portions of the Work and used as the basis for reviewing Constructor's Applications for Payment (i.e., Constructor’s proposed payment schedule based on milestones).
24. SME: Subject Matter Expert.
25. STR: Subcontract Technical Representative.
26. Subcontract Documents: Documents through which LANL procures work (e.g., design and/or construction services).
27. TSM: Tailored Standards Manual.
    1. ACTION SUBMITTALS
28. Submittal Schedule: Submit a submittal schedule, 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 Design Agency [and LANL (when applicable for subcontracted design work)] and additional time for handling and reviewing submittals required by those corrections.
    1. Coordinate submittal schedule with list of sub-tier Subcontractors, the Schedule of Values, and Constructor’s construction schedule.
    2. Within 30 days of NTP, provide the submittal schedule. Update the schedule and provide revised schedule on a timely basis according to Subcontract Document requirements, i.e., every month along with Applications for Payment or 3-week look ahead.
    3. SUBMITTAL PROCEDURE ADMINISTRATIVE REQUIREMENTS

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When LANL is not the Design Agency, the Subcontract Documents shall specify how the Constructor shall transmit submittals to the External Design Agency and how they will receive submittal comments.

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1. Transmittal of Submittals:
2. General Submittal Procedure Requirements: Constructor to prepare and submit submittals required by individual Specification Sections to the Design Agency [and LANL (when applicable for subcontracted design work)] for review. Review Types of submittals are indicated in individual Specification Sections and/or 01 3300 Attachment A – Construction Submittal Log.

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If a project will utilize a web site (or other) instead of an approved electronic review system (e.g., Aproove), replace first subparagraph below with the following:

“Post electronic submittals as PDF files directly to [Project web site] specifically established for Project and notify LANL [STR] [RE] via email.”

LANL DCRM will tag submittals with metadata (PS for *Pressure Safety* and SD for *Sustainable Design*) in Document Records Management System (e.g., EDRMS), when applicable, based on 01 3300 Attachment A – Construction Submittal Log to facilitate report generation of such documents.

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* 1. Submit electronic submittals via email as PDF files to the LANL DCRM ([project-dcrm@lanl.gov](mailto:project-dcrm@lanl.gov) unless another email is provided). Copy (cc) the LANL [STR] [RE] unless they have indicated they do not want to be copied. When electronic files are over 20MB, use [transfer.lanl.gov.](https://transfer.lanl.gov/)
  2. LANL will retain one copy of the file as an electronic Project record document file.
  3. [When LANL is not the Design Agency, for submittals identified as “LANL Critical Review Required” per 01 3300 – Attachment A Construction Submittal Log:
     1. Consecutive Review: Constructor to transmit submittal to LANL DCRM after review and approval of submittal by External Design Agency.
     2. Concurrent Review: Constructor to transmit submittal to External Design Agency and LANL DCRM at the same time, when concurrent review is approved by the LANL RE.
  4. When LANL is not the Design Agency, for submittals not identified as “LANL Critical Review Required” per 01 3300 – Attachment A Construction Submittal Log:
     1. Constructor to transmit submittal to LANL [STR] [RE] for record purposes after review and approval of submittal by External Design Agency.]

1. Submittal file names shall follow the naming convention below (include revision identifier): SBT-XXXXXX-YY\_ZZZZ-N, where:
2. XXXXXX is the LANL Construction Subcontract Number (for LANL Self-Perform, use CSR or FSR number)
3. YY\_ZZZZ is the Specification Section Number
4. N is the Submittal’s Sequential Number from the 01 3300 Attachment A – Construction Submittal Log.
5. For example: SBT-258018-03\_3001-4.
6. Use Submittal Transmittal Form 01 3300 FM01 to transmit submittals per the Constructor’s Submittal Schedule.
   * 1. Obtain electronic version of Submittal Transmittal Form 01 3300 FM01 from the LANL [STR] [RE] (e.g., at the preconstruction conference) or from the [LANL Engineering Standards website](https://engstandards.lanl.gov/specs.shtml#01) (under Section 01 3300).
     2. For delegated design submittals, in addition to 01 3300 FM01, also include Delegated Design Review Record Form 01 3300 FM02. Obtain electronic version of 01 3300 FM02 from the LANL [STR] [RE] (e.g., at the preconstruction conference) or from the [LANL Engineering Standards website](https://engstandards.lanl.gov/specs.shtml#01) (under Section 01 3300).
7. Partial Submittals: When partial submittals are provided or required (requires Design Agency’s approval, refer to Article [1.8] *Design Agency’s Action*), they shall be transmitted as described above, with the following exceptions:
8. Partial submittals are not eligible for LANL Status *Code 1* due to missing content and shall require resubmission until the content is complete and/or corrections incorporated.
9. Re-submittal of partial submittals shall include approved content from previous partial submittal with new content or corrections to previous partial submittal.
   1. For example, if partial submittal 03 3001-4 Rev 0 includes concrete mix test result A which is approved, and an additional concrete test result B is added later, 03 3001-4 Rev 1 would include the approved concrete mix test result A from Rev 0 and new test result B from Rev 1.

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For projects with no physical submittals, paragraph below regarding physical (non-electronic) submittals can be deleted in coordination with the LANL STR/RE.

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1. Physical (non-electronic) Submittals: Paper submittals are strongly discouraged, so physical submittals should be limited to items such as samples and mockups. Constructor to identify and incorporate information in each physical submittal as follows:
   1. Transmittal Form for Physical Submittals: Submit the Submittal Transmittal Form 01 3300 FM01 electronically and follow by delivery of physical submittal. Place a permanent label or title block on each submittal item for identification with same identifying information as included in 01 3300 FM01.
   2. Assemble each submittal individually and appropriately for transmittal and handling. Submittals received from sources other than Constructor will be returned without review by the Design Agency EOR.
   3. Additional Copies: Unless additional copies are required for final submittal, and unless Design Agency EOR observes noncompliance with provisions in the Subcontract Documents, initial submittal may serve as final submittal.
2. Electronic Submittals: Constructor to identify and incorporate information in each electronic submittal file as follows:
   1. Transmittal Form for Electronic Submittals: Use Submittal Transmittal Form 01 3300 FM01. PDF the form and combine with submittal PDF into a single PDF file.
   2. Assemble complete submittal package into a single indexed file incorporating submittals of a single Submittal Log item and Submittal Transmittal Form 01 3300 FM01 with links enabling navigation to each item. Other methods (e.g., bundling of like submittals or all submittals for a Specification section) require the approval of LANL [STR] [RE].
   3. Metadata: Include the following information as keywords in the electronic submittal file metadata:
      1. Project name
      2. Number and title of appropriate specification section
      3. [Manufacturer name]
      4. [Product name]
      5. [Insert required information].
3. Design Agency’s Electronic Files: Electronic files (e.g., PDF) of the Subcontract Drawings will [not] be provided by Design Agency for Constructor’s use in preparing submittals.

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Delete subparagraphs below if electronic files of subcontract drawings will not be provided by Design Agency.

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1. Design Agency will furnish Constructor with electronic set of the Subcontract Drawings for use in preparing Submittals, Shop Drawings, [Delegated Design Submittals], [and Project record drawings].
2. Constructor shall execute a data licensing agreement in the form of [AIA Document C106, Digital Data Licensing Agreement] [Agreement included in Project Manual] [Agreement form acceptable to LANL and Design Agency].
3. Native Files of Subcontract Drawings:
   1. Digital Drawing Software Program: The Subcontract Drawings are available in [Insert name and version of digital drawing software program].
   2. [Any other digital software program].
   3. Native Files distributed only under the following conditions:
      1. Use of native files is solely at receiver’s risk. Design Agency does not warrant accuracy of files. Receiving files in native form does not relieve receiver of responsibilities for measurements, dimensions, and quantities set forth in Subcontract Documents. In the event of ambiguity, discrepancy, or conflict between information in native files and that in Subcontract Documents, notify Design Agency of discrepancy and use information in [physical] [electronic] copy of Subcontract Drawings and Specification package.
      2. Native files do not necessarily represent the latest Subcontract Documents, existing conditions, and as-built conditions. Receiver of native files is responsible for determining and complying with these conditions and for incorporating addenda and modifications.
      3. Receiver of native files is responsible for removing information not normally provided on shop drawings and removing references to Subcontract Documents. Shop Drawings submitted with information associated with other trades (i.e., not part of the scope of the submittal) or with references to Subcontract Documents shall result in a rejection of the submittal (e.g., LANL Status *Code 4*).
4. Coordination: Constructor to coordinate preparation and processing of submittals with performance of construction activities.
   1. Coordination of submittals:
      1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
      2. Coordinate transmittal of different submittals for related parts of the Work so processing will not be delayed because of need to review submittals concurrently for coordination.
   2. Design Agency EOR [and LANL SME Reviewer (when applicable for subcontracted design work)] reserve(s) the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
   3. Submit Complete Submittals: Include all items required for submittals in each Specification Section unless Partial Submittals (refer to paragraph [1.5.A.4]) for portions of the Work are indicated on approved submittal schedule and 01 3300 FM01. In most circumstances, submitting earlier than required per the submittal schedule is always allowed.
5. Processing Time: Constructor to allow time for submittal review, including time for resubmittals, as noted below. Time for review shall commence on Design Agency’s receipt of submittal. No extension of the Subcontract Schedule will be authorized because of failure to transmit submittals adequately in advance of the Work.
   1. Review Duration for Design Agency:
      1. Shop drawings, coordination drawings, sustainable design and delegated design submittals: Allow [ten (10)] working days for review of each submittal. Allow additional time if coordination with subsequent submittals is required. Design Agency will advise Constructor when a submittal being processed must be delayed for coordination.
      2. For all other submittals: Allow [five (5)] working days for review of each submittal. Allow additional time if coordination with subsequent submittals is required. Design Agency will advise Constructor when a submittal being processed must be delayed for coordination.
      3. Resubmittal Review: Allow [ten (10)] working days for review of each resubmittal.

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The paragraph below applies when LANL is not the Design Agency. When LANL is the Design Agency, all reviews identified for the project are considered critical reviews and the paragraph above on *Review Duration for Design Agency* applies.

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* 1. [When LANL is not the Design Agency:
     1. By default, LANL will perform consecutive reviews for “LANL Critical Reviews”, unless concurrent reviews are approved by the LANL RE. In a consecutive review, LANL review duration will be the same as that of the Design Agency (see paragraph [1.5.F.1]).
     2. [When concurrent reviews have been approved for “LANL Critical Reviews”, submittals may be transmitted simultaneously to External Design Agency and to LANL. Allow ten (10) working days for review of each submittal (and resubmittal). Submittal will be returned to External Design Agency, before being returned to Constructor.]
     3. For submittals that are not “LANL Critical Reviews”, submittals will not be reviewed and returned by LANL.]
  2. Return of Submittals: Allow a minimum of [three (3)] working days after completion of the submittal review.

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For Subcontracted work, contact the LANL STR regarding use of and training with an approved electronic review system.

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1. Submittal Review
   1. Constructor is responsible for managing and transmitting the submittals for reviews. In addition, the Constructor is responsible to transmit the review comments from the delegated design submittal reviews to the Delegated Design Agency.
   2. Submittals shall be reviewed in an approved electronic review system (e.g., Aproove), unless an alternate review method is approved by the LANL [STR] [RE]. After review of the submittal package, the “Status Code” will be chosen, and result returned to the Constructor.
   3. Design Agency EOR will document submittal review comments. Retain submittal review comments with the submittal documents.
   4. [When LANL is not the Design Agency: LANL SME reviewers will document submittal review comments for submittals requiring “LANL Critical Review”, unless specified otherwise. Retain submittal review comments with the submittal documents.
      1. By default, LANL will perform consecutive reviews i.e., after review and approval of the submittal by the External Design Agency.
      2. [When concurrent reviews have been approved, LANL will review at the same time as the External Design Agency.]
      3. For submittals that are not “LANL Critical Reviews”, submittals will not be reviewed and returned by LANL.]
   5. Delegated Design: Design Agency EOR and LANL SME reviewers will document Delegated Design review comments on 01 3300 FM02 or in an approved electronic review system (e.g., Aproove). Retain delegated design submittal review comments with the submittal documents.
2. LANL Status Codes: LANL will utilize the following “LANL Status Codes” to indicate the status of submittals resulting from the review, and the action required of the Constructor.
   1. [When LANL is not the Design Agency: LANL’s review and/or permission to proceed does not constitute acceptance or approval of submittals and does not relieve the Constructor and the External Design Agency from full compliance with the Subcontract Documents or from any error that may exist.]
   2. [When LANL is the Design Agency: LANL’s review and/or permission to proceed constitutes acceptance of the submittals.]
   3. LANL Status code definitions in this Section take precedence over those in AP-341-720, *Engineering Construction Submittals*, in the event of a conflict. Note that LANL Status Codes cannot be changed on a per project basis since these are implemented institution-wide by document control systems (e.g., Aproove, EDRMS).

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**Disclaimer:** User notes and examples provided under each submittal code definition are for guidance purposes only to the LANL RE and LANL Submittal Reviewers. It is the responsibility of the LANL RE in coordination with the LANL Submittal Reviewers to make the final decision on submittal status code based on project scope and risk.

The list below summarizes which status codes may apply:

* When purchasing, fabrication, delivery and installation may proceed: Use Code 1 or 2
* When purchasing, fabrication, delivery and installation shall not proceed: Use Code 3 or 4
* For Informational Submittals only: Use Code 5.

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* 1. Purchasing, fabrication, delivery, and installation may proceed:

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User Notes and Examples for use of Code 1:

* Comments, if any, are typically editorial in nature that do not require a resubmittal of the document.
* Example of editorial comments include:
  + Spelling/typos or grammatical corrections.
* Some technical comments may be permitted that do not require a resubmittal of the document.
* Examples of minor technical comments:
  + No change in submittal that requires a resubmittal for record.
  + Color selections.
  + LANL RE/Submittal Reviewer to clarify in review comments on product selections to ensure the correct product/specs are provided/ordered.

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* 1. Code 1: **Reviewed and Accepted as Submitted, Resubmission Not Required**. **Work may proceed, comments may be noted**. Where the submittal is statused *Code 1*, the Work covered by the submittal may proceed provided it complies with both the Design Agency’s EOR/LANL notations/minor corrections on the submittal, and the Subcontract Documents. Final acceptance will depend on that compliance.

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User Notes and Examples for use of Code 2:

* This is the most typical code used when a reviewer has comments, but work may proceed upon incorporation of comments. Comments are typically not editorial in nature.
* LANL RE/Submittal Reviewer to clarify in review comments on what is acceptable for work to proceed.
* Examples:
  + - * One item submitted is not acceptable, while the rest are acceptable when multiple items are submitted under one submittal (does not include anything related to quality requirements).
        + For example, if the submittal includes 4 paint products of which 1 is not acceptable.
      * Rebar shop drawing with correction to rebar length/bar bending schedule.
      * Bill of material for items with minor quantity correction(s).

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* 1. Code 2: **Reviewed and Accepted as Noted. Work may proceed subject to incorporation of comments. Resubmission Required for Record prior to project closeout**. Where the submittal is statused *Code 2*, the Work covered by the submittal may proceed provided it complies with both the Design Agency’s EOR/LANL notations/corrections on the submittal, and the Subcontract Documents. Final acceptance will depend on that compliance. Resubmission of submittal is required prior to project closeout.
  2. Purchasing, fabrication, delivery and installation shall not proceed:

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User Notes and Examples for use of Code 3:

* This is used when submittal does not meet design, code or quality requirements.
* LANL RE/Submittal Reviewer to clarify in review comments on what needs to be revised for resubmission including basis for work not proceeding.
* Examples:
  + - * Incomplete submittals (such as not including all pages of the document or all products/items in the submittal).
      * Noncompliance with subcontract or code compliance issue such as:
        + AHJ concern.
        + Submittal doesn’t comply with design or code. For example,

If a design calls out an anchor, but the submittal calls out something different.

Incorrect concrete mix in submittal vs. what is identified in the design drawings.

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1. Code 3: **Not Accepted, Revise and Resubmit. Work shall not proceed.** Where the submittal is statused *Code 3*, do not proceed with the Work covered by the submittal including purchasing, fabrication, delivery or other activity associated with the submittal. Revise submittal and ensure it is complete. See Design Agency’s EOR/LANL notations/corrections and the Subcontract Documents.

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User Notes and Examples for use of Code 4:

* Typically, reviews are not fully conducted as documents are clearly noncompliant.
* LANL RE/Submittal Reviewers must include reference to design, ESM or TSM, RCD or codes and standards as basis of rejection, if applicable.
* Adequate information was not provided to perform a complete review.
* Examples:
  + Noncompliance with subcontract document or major code compliance issue.
    - Documents pertain to the wrong project or wrong equipment.
    - Document lacks information to show code compliance.
    - Easy to identify information is missing without a detailed review.
      * Submittal content does not match submittal title or submittal includes content from unrelated submittals.

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1. Code 4: **Rejected**. **Work shall not proceed.** Where the submittal is statused *Code 4*,do not proceed with the Work covered by the submittal. Prepare a new submittal that complies with the Subcontract Documents.

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Examples for use of Code 5:

* Installation Instructions
* Operation & Maintenance Manual
* Warranty

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* 1. For Information Submittals only:

1. Code 5: **Permission to Proceed Not Required**. If the submittal is primarily for information purposes, record purposes, special processing, or other Subcontractor activity, the submittal will be returned statused *Code 5*.
2. [External Design Agency Status Codes: External Design Agency shall utilize the following “Status Codes”:
   1. “LANL Status Codes” defined in paragraph [1.5.H] above

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* 1. [External Design Agency to include their status code definitions here]]

1. Options: Constructor shall identify the options requiring selection by Design Agency when item in submittal is to be purchased or fabricated [or delivered or installed].
2. Deviations from offsite fabrication Subcontract Requirements: Constructor to submit Supplier Deviation Disposition Request (SDDR) [Form 2178](http://engstandards.lanl.gov/2178.doc)*.*
3. Resubmittals: Constructor to make resubmittals in same form and number of copies as initial submittal.
   1. Update Submittal Transmittal Form 01 3300 FM01, as required.
   2. Note date and content of previous submittal.
   3. Note date and content of revision in label or title block and clearly indicate extent of revision.
   4. Resubmit submittals until they are marked with approval notation from Design Agency’s status code [and LANL Status *Code 1* or *Code 5*, for submittals identified as “LANL Critical Reviews”, when LANL is not the Design Agency].
4. Distribution: Constructor to furnish copies of final submittals to manufacturers, subcontractor sub-tiers, suppliers, fabricators, installers and others as necessary for performance of construction activities.
5. Use for Construction: Constructor to retain complete copies of submittals on Project site. Use only submittals that are marked with approval notation from Design Agency’s status code [and LANL Status *Code 1, Code 2* or *Code 5*, for submittals identified as “LANL Critical Reviews”, when LANL is not the Design Agency].
6. Submittal Waiver: Submittal Waiver Form 01 3300 FM01-W allows the Constructor to request a “waiver” in place of a submittal. The waiver form shall be completely and correctly filled out by the Constructor and sent to the Design Agency and LANL [STR] [RE].
   1. [When LANL is not the Design Agency, for waiver including submittal requiring “LANL Critical Review”: External Design Agency EOR shall first approve the waiver prior to LANL’s review. Waiver request shall be approved when accepted by the External Design Agency EOR and accepted by LANL (LANL Status *Code 1* or *Code 5* in electronic review system).
   2. When LANL is not the Design Agency, for waiver including submittal not requiring “LANL Critical Review”: Waiver request shall be approved when accepted by the External Design Agency EOR. Constructor to transmit approved waiver to LANL [STR] [RE] for record purposes.]
   3. [When LANL is the Design Agency: LANL RE/SME Reviewer will “Accept” (LANL Status *Code 1* or *Code 5* in electronic review system) or “Not Accept” (LANL Status *Code 4* in electronic review system) the waiver request based on input from the LANL Submittal Reviewers.]
   4. Waived submittals do not require design change paperwork unless noted by the Design Agency EOR or LANL.
   5. All approved waivers shall be transmitted to LANL DCRM for project record purposes. Waiver will take the place of the submittal in the Document Records Management System (e.g., EDRMS).
   6. At project closeout, waived submittals shall be shown as struck from individual Specification Sections and 01 3300 Attachment A – Construction Submittal Log, where applicable.
   7. SUBMITTAL DESCRIPTION (GENERAL)
   8. The following submittal descriptions are generic. More details on the specific submittals may be provided in the individual Specification Sections.
   9. Calculations (CA): Prepare design calculations to document analytical determinations to reflect the basis for selection of systems and components. Room numbers, equipment nomenclature, fixture numbers, zone numbers or any other designations must be consistent with those indicated on the drawings or specification sections. Calculations must be checked, reviewed, PE (professional engineer) sealed, when required, and dated by the designer and checker, and complete in all respects.
   10. Certificates (CT):
       1. Certificates 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.
          1. Provide a digital signature with digital certificate on electronically submitted certificates and certifications, where indicated.
          2. Provide a notarized statement on original paper copy certificates and certifications, where indicated.
       2. Installer Certificates: Submit written statements on manufacturer's letterhead certifying that Installer complies with requirements in the Subcontract Documents and, where required, is authorized by manufacturer for this specific project.
       3. Manufacturer Certificates: Submit written statements on manufacturer's letterhead certifying that manufacturer complies with requirements in the Subcontract Documents. Include evidence of manufacturing experience, where required.
       4. Material Certificates: Submit written statements on manufacturer's letterhead certifying that material complies with requirements in the Subcontract Documents.
       5. Product Certificates: Submit written statements on manufacturer's letterhead certifying that product complies with requirements in the Subcontract Documents.
       6. Welding/NDE Certificates: Prepare written certification that welding/NDE procedures and personnel comply with requirements in the Subcontract Documents. Submit record of Welding Procedure Specification and Procedure Qualification Record on AWS forms. Include names of firms and personnel certified.
   11. Design Data: Prepare and submit written and graphic information, including, but not limited to, performance and design criteria, list of applicable codes and standards, 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.
   12. Installation Instructions (II): Provide manufacturer’s approved instructions for installation, step-by-step if necessary, showing the field installation of parts, components, equipment, and other similar items.
   13. Maintenance Data (OM): Comply with requirements specified in Section 01 7823, *Operation and Maintenance Data.*
   14. Product Data (CD): 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 every submittal to show which products and options are applicable.
       3. Include the following information, as applicable:
          1. Manufacturer's catalog cutsheets.
          2. Manufacturer's product specifications.
          3. Standard color 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.
       6. Submit Product Data in the following format:
          1. PDF file.
          2. [[Five] paper copies of Product Data unless otherwise indicated. Design Agency will return one copy.]
   15. 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 Subcontract Documents or assigned by Constructor, 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.
       5. Submit product schedule in the following format:
          1. PDF file.
          2. [[Three] paper copies of product schedule or list unless otherwise indicated. Design Agency will return two copies.]
   16. Project Record Documents (RD): Comply with requirements specified in Section 01 7839, *Project Record Documents*.
   17. Qualification Data (QD): 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 Projects’ Design Agencies and Owners, and other information specified.
   18. Samples (S): Submit Samples for review of kind, color, pattern, and/or 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. Submittal sequence number and generic name of each item.
       3. For projects where electronic submittals are required, provide corresponding Form 01 3300 FM01 for Sample transmittal, digital image file illustrating Sample characteristics, and identification information for record.
       4. 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 not designated as LANL's property, are the property of the Constructor.
       5. Samples for Initial Selection: Submit manufacturer's color charts consisting of units or sections of units showing the full range of colors, textures, and patterns available.
          1. Number of Samples: Submit one full set(s) of available choices where color, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line. Design Agency shall return submittal 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, 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.
          1. Number of Samples: Submit [three] [Insert number] sets of Samples. Design Agency will retain two Sample sets; remainder shall 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.
             2. If 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.
   19. Shop Drawings (SD): Prepare project-specific information, drawn accurately to scale. Do not base Shop Drawings on reproductions of the Subcontract Documents or standard printed data unless submittal based on Design Agency’s native drawing files is otherwise permitted.
       1. Preparation: Fully illustrate requirements in the Subcontract 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, if applicable.
          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 at least [8-1/2 inches by 11 inches, but no larger than 30 inches by 42 inches.]
       3. Submit Shop Drawings in the following format:
          1. PDF file.
          2. [Two paper copies of each submittal. Design Agency shall return one copy.]

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* + - 1. [Five paper copies of each submittal. Design Agency will retain one copy; remainder shall be returned.]
    1. BIM File Incorporation: Develop and incorporate Shop Drawing files into Building Information Model (BIM) established for Project.
       1. Prepare Shop Drawings in the following format: Same drawing software program and version as the original Drawings.
  1. Spare Parts and Maintenance Materials (SP): Submit spare parts, extra materials and maintenance materials in quantities, sizes, finishes and colors as identified in each individual Specification Section. Parts and materials to be in manufacturer’s original packaging with original labeling. Identify location where parts or materials are installed within facility.
  2. Submittals at Closeout: Comply with requirements specified in Section 01 7700, *Closeout Procedures.*
  3. Sustainable Design Submittals: Comply with requirements specified in [individual Specification Sections] [Section 01 8113.13, *Sustainable Design*].
  4. Test and Inspection Reports and Schedule of Tests and Inspections (TR) Submittals: Comply with requirements specified in Section 01 4000, *Quality Requirements – Non-nuclear*.
     1. 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.
     2. 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 Subcontract Documents.
     3. 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 Subcontract Documents.
     4. 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 Subcontract Documents.
     5. Product Test Reports: Submit written reports indicating that current product produced by manufacturer complies with requirements in the Subcontract 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.
     6. 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.
  5. Warranty (WA): Submit written and executed documentation of warranties as specified in applicable specification sections. Refer to Section 01 7823, *Operation and Maintenance Data and* Section 01 7700, *Closeout Procedures.*
  6. CONSTRUCTOR’S REVIEW
  7. Constructor’s Review: Certify that submittal has been reviewed, checked, and approved for compliance with the Subcontract Documents in Section 1.0 of the LANL Submittal Transmittal Form 01 3300 FM01. Provide any comments on the form.
  8. Project Closeout and Maintenance Material Submittals: See requirements in Section 01 7700, *Closeout Procedures*.
  9. DESIGN AGENCY’S ACTION

1. See paragraph [1.5.G] on submittal review process.
2. Action Submittals: Design Agency shall review each submittal, redline the submittal to indicate corrections or revisions required and return it.
3. Informational Submittals: Design Agency shall review each submittal and will not return it unless it does not comply with requirements.
4. Partial submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from Design Agency.
5. Incomplete submittals are unacceptable, shall be considered nonresponsive, and shall be returned for resubmittal without review.
6. Submittals not required by the Subcontract Documents may be returned by the Design Agency without action.
   1. LANL CRITICAL REVIEW
      1. See paragraph [1.5.G] on submittal review process.
      2. [When LANL is not the Design Agency, LANL will perform Critical Reviews for those submittals identified in 01 3300 Attachment A - Construction Submittal Log as “LANL Critical Review Required” i.e., LANL will review in addition to the External Design Agency EOR.
         1. Work shall not proceed until the submittal is approved by the External Design Agency EOR and receives a *Code 1*, *Code 2* or *Code 5* from LANL.
         2. By default, critical review is a “consecutive review” i.e., LANL SME review occurs after External Design Agency EOR’s review. When a “concurrent review” is requested (i.e., LANL SMEs review in parallel with External Design Agency EOR’s review) by the Constructor, Project Manager, or other entity, the LANL RE will evaluate and implement the request, if deemed appropriate. For all reviews, LANL RE will resolve conflicts between Reviewer comments.
         3. See paragraph [1.5.H.1] regarding what LANL review constitutes regarding Work proceeding and the Constructor’s and External Design Agency’s responsibilities.
      3. When LANL is not the Design Agency, LANL will not review submittals not identified in 01 3300 Attachment A - Construction Submittal Log as “LANL Critical Review Required”.
         1. Work shall not proceed until the submittal is approved by the External Design Agency EOR.]
      4. [When LANL is the Design Agency, all submittals require Critical Review as identified for the project in 01 3300 Attachment A - Construction Submittal Log per Article [1.8] *Design Agency’s Action*.
         1. Work shall not proceed until the submittal is accepted and receives a *Code 1*, *Code 2* or *Code 5* from LANL.
         2. See paragraph [1.5.H.2] regarding what LANL review constitutes regarding Work proceeding.]
   2. DELEGATED DESIGN SERVICES
7. Performance and Design Criteria: Where professional design services or certifications by a design professional are specifically required of Constructor through the Subcontract Documents, provide products and systems complying with specific performance and design criteria indicated. Design expectations for Delegated Design Agency are the same as those for the Design Agency, unless specifically reduced.
   * 1. If criteria indicated are not sufficient to perform services or certification required, submit a written request for additional information to Design Agency.
8. Delegated Design Services: For each product and system specifically assigned to Constructor to be designed or certified by a design professional, submit [digitally signed PDF file] [and [three] paper copies]], signed and sealed by the responsible design professional registered in the State of New Mexico when required by ESM or TSM Chapter 1 (unless waived by LANL). In addition, submit Shop Drawings, Product Data, and other required submittals.
9. Indicate that products and systems comply with performance and design criteria in the Subcontract Documents. Include list of codes, standards, loads, and other factors used in performing these services.
10. BIM File Incorporation: Incorporate delegated design drawings and data files into Building Information Model established for Project.
11. Prepare delegated design drawings in the following format: Same drawing software program and version as the original Drawings.
    1. DELEGATED DESIGN REVIEW
12. Constructor shall submit delegated design documents to Design Agency [and LANL (when LANL is not the Design Agency and submittal identified as “LANL Critical Review Required” in 01 3300 Attachment A – Construction Submittal Log) for consecutive review, unless concurrent review is approved by the LANL RE]. See paragraph [1.5.G] on submittal review process for delegated design.
13. Delegated Design Review Record (DDRR) Form 01 3300 FM02 shall be included with the delegated design submittal documents when the Design Agency and/or LANL submit comments, unless an approved electronic review system (e.g., Aproove) is used.
14. Design Agency shall review the delegated design submittal and provide applicable comments on the DDRR or approved electronic review system and return it to the Constructor.
15. [When LANL is not the Design Agency, for submittal identified as “LANL Critical Review Required”,] LANL SME(s) will review the delegated design submittal and provide applicable comments on the DDRR or approved electronic review system and return it to the Constructor.
16. Delegated Design Agency is responsible for incorporating comments in the Delegated Design documents prior to resubmitting the design (if required) and/or issuing the Delegated Design documents for construction.
17. Partial Delegated Design submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from Design Agency.
18. Incomplete Delegated Design submittals are unacceptable, shall be considered nonresponsive, and shall be returned for resubmittal without review.
19. PRODUCTS (Not used)
20. EXECUTION (Not used)

END OF MAIN SECTION; ATTACHMENT AND FORMS FOLLOW

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The [01 3300 Attachment A - Construction Submittal Log template](https://engstandards.lanl.gov/specs.shtml#01) is located in the LANL Master Specifications Index below 01 3300. Tailor and attach or include immediately after this section so it appears to be an attachment.

[Forms 01 3300 FM01, FM01-W and FM02](https://engstandards.lanl.gov/specs.shtml#01) are also located in the LANL Master Specifications Index below 01 3300.

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01 3300 ATTACHMENT a: CONSTRUCTION SUBMITTAL LOG

01 3300 fM01: Submittal Transmittal form

01 3300 FM01-w: suBmittal waiver form

01 3300 fm02: DELEGATED DESIGN REVIEW RECORD FORM

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Do not delete the following reference information.  
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THE FOLLOWING STATEMENT IS FOR LANL USE ONLY

This project specification section is based on LANL Master Specification Section 01 3300 Rev. 7, dated October 9, 2024.