

**KLH Professional Engineers, PSC P.C.**  
**Submittal Requirements Summary**  
Mechanical, Electrical, Plumbing, Fire-Protection, Technology  
Last Revised: 08/05/2021

Where submittals are required by the Contract Documents, they shall be prepared and supplied in accordance with the Contract Documents. In addition to Division 01, the Contractor is advised to review and comply with the requirements articulated within each Division and within each section of that Division.

Some Divisions may include a division-specific “Submittal Requirements for ....” section. Where this section exists, it articulates additional requirements for submittals that apply to the work of that Division.

This document identifies some of the key requirements that must be complied with in order for a submittal to undergo technical review. These requirements help to identify, track and keep the project organized for all parties involved. They are necessary to ensure a timely turnaround and an appropriate technical review. Submittals that do not conform to the administrative requirements are rejected and returned, without technical review.

## **Key Requirements for Submittals**

- Supply submittals for each section
  - Submittals shall be supplied on a section-by-section and type-by-type basis. For example:
    - Independent product data submittals shall be furnished for each section that requires product data submittals.
    - Independent shop drawing submittals shall be furnished for each section that requires shop drawings.
  - Refer to the specifications for identification of which submittals are required for the project.
  - Separate PDF file packages shall be supplied for each section, for each submittal type, where electronic submittals are required. Each PDF shall represent a single standalone submittal.
  - Separately bound and identified submittals shall be provided where hardcopies are required.
- Include a transmittal
  - Transmittals shall enumerate each submittal for each section of each type and iteration.
- Include cover sheet / title page
  - The cover sheet shall include the information identified in the contract documents. It shall be included as the first page of each electronic and/or hardcopy document-based submittal.
  - An editable and printable PDF form created with editable fields and specification compliant appearance is available from KLH Professional Engineers, PSC P.C. upon request. It may also be downloadable from the website at [www.klhpe.com](http://www.klhpe.com).
- Include an index
  - The index shall enumerate the contents of the submittal.
- Include checklists
  - Where checklists are included with the specifications, complete and include them within the appropriate submittal.
- Supply complete submittals
  - Complete submittals of each type are required. Partial submittals will be rejected.

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- Where a section requires a product data submittal, all product data for that section shall be supplied together, at one time, as one complete submittal. Do not send half the product data as one submittal and the other half as a separate one.
- When resubmittal is required (e.g. Revise and Resubmit) the revised submittal shall be more complete, more accurate and more contract-compliant than its rejected predecessor.
- The submittal number (for each section and type) shall increment for each subsequent submittal.
  - 00 – Original submission
  - 01 – First Resubmission
  - 02 – Second Resubmission
  - Etc...
- Resubmittals shall include a copy of the reviewers comments supplied with the prior submittal rejection and shall be amended with a description of the specific action taken to comply with the reviewer's comments. The absence of this on resubmittal is cause for rejection.
- Name electronic files to match the submittal ID and cover sheet.
  - The electronic file name of submittals shall match the submittal ID included on the submittals cover page. For example: The original/first product data submittal for Section 234116 would be labeled as "234116.00-PD-00"; the first resubmittal of same shall be labeled "234116.00-PD-01". The original/first shop drawings submittal file for the same section would be labeled "234116.00-SD-00"; the first resubmittal of same shall be labeled "234116.00-SD-01".

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## Submittal Response Designations

The following description represents the general meaning of the reviewer's submittal review designations. Refer to the contract documents and submittal review response text for more project-specific definitions.

- “No Exceptions”
  - No deficiencies observed.
  - No resubmission required.
  - No authorization granted to deviate from the contract.
- “Exceptions Noted”
  - Minor deficiencies observed or clarifying statements may be included.
  - Resubmission is not required under the conditions that follow, otherwise resubmittal is required:
    - A) Contractor complies with the direction included;
    - B) Contractor takes no exception to the reviewer's comments;
    - C) Contractor does not believe reviewer's statements constitute additional scope.
  - No authorization granted to deviate from the contract.
- “Revise and Resubmit”
  - Major administrative and/or technical deficiencies observed.
  - Submittal shall be revised and resubmitted in a more complete and more contract compliant manner.
  - No authorization granted to deviate from the contract.