



# **A/Z Submittal Standards Manual**

*A Guide to Submittal Process Management*

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## Introduction

The submittal process is a foundational pre-construction activity that directly influences project success. Depending on the scale of the project, it is the responsibility of the Project Manager (PM), Assistant Project Manager (APM), or Project Engineer (PE) to initiate and manage this process from the outset of each project. The first critical step is to build the Submittal Log using the contract set of documents. In essence, when we create a Submittal Log, we are building the project on paper—laying out a roadmap for material procurement, approvals, and timely installation.

This Submittal Log serves as both a **compliance checklist** and a **closeout index**, ensuring that all contractual and specification requirements are fulfilled. We use **Procore** as our project management system to track all submittal activity in real-time, providing transparency and accountability throughout the process. Procore is designed for fast-track projects with real-time information sharing.

Regardless of project size, we follow a consistent and disciplined approach. Timely and accurate submittals are essential—they drive the construction process by ensuring the right materials are approved, ordered, and delivered onsite on time.

### Key Principles:

- ▶ The submittal process is time-sensitive and directly linked to construction sequencing.
- ▶ Building the Submittal Log is equivalent to building the project on paper.
- ▶ Effective submittal management requires attention to detail, defined workflows, and constant follow-up.
- ▶ It is the responsibility of the PM/APM/PE to manage all aspects of the process, ensuring that all stakeholders remain aligned and that no delays impact material procurement or construction progress.

By following the standards and using this manual as a reference, project teams can ensure a smooth, compliant, and efficient submittal process that supports successful project delivery from start to finish.

## Purpose

The purpose of this manual is to establish a **standardized and systematic approach** for managing submittals throughout the life cycle of a project. This includes the identification, review, approval, and tracking of all required documentation to ensure that materials, equipment, and systems are submitted and approved in alignment with project specifications and schedules.

By following this consistent process, project teams can enhance coordination, minimize delays, maintain quality control, and ensure all submittals are completed and archived properly to support a **timely and successful project closeout**.

## Definition

Submittals are documents such as shop drawings, product data sheets, brochures, test reports, procedures, certifications, samples, and color charts prepared by subcontractors, vendors, manufacturers, or distributors. These materials demonstrate how specific parts of the work will be fabricated and installed. All subcontractors and vendors are required to provide these submittals in accordance with their subcontract, contract, or purchase order to verify that the proposed materials and methods comply with the project's contract documents.

## Creation of the Submittal Log

This is where the real work begins. Creating the Submittal Log is a hands-on, detail-oriented task that involves a thorough review of the contract documents—both drawings and specifications—to identify all required submittals for each specification section. This step is more than administrative; it's your first opportunity to truly learn the project, put on your builder's hat, and begin constructing the project on paper.

All submittals are tracked in Procore, our project management platform, which provides centralized documentation and real-time status tracking. Ultimately, the Submittal Log becomes a comprehensive list of the project's "nuts and bolts"—the key materials, systems, and components necessary for execution.

There are various ways to approach submittal log development depending on the size, scope, and complexity of the project. Regardless of the method used, the objective remains the same: to produce a complete, organized, and easy-to-navigate list of deliverables that will serve as the foundation for smooth execution and timely closeout.

### Why It Matters:

Spending time upfront to create a well-organized and accurate Submittal Log will pay dividends throughout the duration of the project. A reliable benchmark of success is your ability to quickly provide submittal status updates for any subcontractor and instantly access key information for the project team, at the click of a button. The effort invested early not only streamlines project execution but also reinforces strong communication, coordination, and accountability. You'll thank yourself later.

### The Traditional Approach:

Start with an Excel spreadsheet including the following columns:

Submittal Log					
Spec Section	Description	Submittal #	Revision	Submittal Title	Type

Then, open the drawings and specifications and begin populating the list.

### Advantages Of This Method:

- ▶ Gives you a simplified, editable overview before creating records in Procore.
- ▶ Easier to revise and review with the Project Team before formal upload.
- ▶ Helps you focus on the essentials—the deliverables—without the distractions of data entry into Procore.

Once the list is complete and reviewed, navigate to **Submittals > Settings > Imports** in Procore. Download the import template, copy and paste your list into it, and import it directly into Procore. You can then use the bulk edit feature to refine records as needed. Once finalized, **export the Submittal Log from Procore and submit it to the Architect/Engineer (A/E) "For Approval."**

**Note:** If your project includes a specification book, upload or create the specifications in Procore first. Then export them to Excel so that the spec section numbers and descriptions match exactly during import. This helps avoid duplication or conflicts.

**Note:** Especially on smaller projects with less formal structure, it's important to review not just the drawings and specifications, but also the Estimate and A/Z Proposal to confirm scope ownership and identify the corresponding submittal items.

**Note:** The Subcontractor Proposal is another valuable reference point. It outlines both "Inclusions" and, just as importantly, "Exclusions," helping to ensure submittal items are properly assigned and that there are no discrepancies in the buy-out.

**Note:** While developing the submittal log, if you come across discrepancies in the contract documents, these should be addressed through RFIs (Requests for Information). Be sure to make note of them and submit a formal RFI when appropriate. The RFI process is the official method for clarifying or amending the contract documents.

## Procore Submittal Builder

Procore also offers a built-in "Submittal Builder" tool. This allows you to create submittals directly within Procore while reviewing the specifications. It's a helpful feature, but results may vary depending on your familiarity with the submittal process. In general, this tool may not produce as concise or tailored a list as the traditional method.

## Submittal Titles Matter

Submittal Titles are critical for communication and clarity. A well-written title should be descriptive, tangible, and specific. With experience, your ability to write meaningful titles will improve. A good habit is to review the submittal log before distributing it to subcontractors and ask yourself:

"Do I clearly understand what I'm asking for—line by line?"

If you don't, the subcontractor won't either.

Once you receive the submittal, consider refining the title to reflect the actual content submitted. This small effort adds clarity and professionalism, which in turn supports a smoother and faster review process by the A/E.

**Note:** Use Tag numbers from drawing schedules to enhance title clarity.

### Examples:

- ▶ Packaged Rooftop Units – AC-1 & AC-2
- ▶ Carpet Tile – CPT-1
- ▶ Overhead Coiling Door – 10-Year Warranty

## Division 01 - Submittal Items List

Division 01 submittals typically cover Administrative Requirements, Safety Requirements, Permits, A/Z Closeout Requirements, Subcontractor Warranties (Workmanship), and Project Record Documents (As-Builts). Given the wide range of projects A/Z manages, the complexity of contract documents can vary significantly. For smaller projects that may not include formal Division 01 specifications, we still apply the standard Division 01 CSI specification numbers to preserve the organizational structure of project requirements.

### (Attachment 01 – Division 01 Submittal List)

## Closeout Submittal Items

It is essential to include all required closeout submittal items when building the Submittal Log. These may include—but are not limited to—As-Built Drawings, Operations & Maintenance Manuals (O&M's), Start-Up Reports, Warranties, and Attic Stock.

### Submittal Numbering Strategy – “500” Series

We utilize the “500” series numbering system as an organizational strategy to ensure a complete and gap-free submittal log by project closeout. During the initial development of the Submittal Log, all anticipated entries—such as product data sheets and shop drawings—are preliminarily numbered in sequence (e.g., 501, 502, 503) to create a comprehensive list of required deliverables.

As actual submittals are received from subcontractors or vendors, these preliminary entries are renumbered sequentially starting at 001, 002, 003, and so forth, within each applicable specification section. This method allows for flexibility in aligning the numbering with the order in which submittals are received, while maintaining a clear, consistent, and gap-free sequence.

The ultimate goal is to maintain a well-organized, sequential, and complete submittal log that accurately reflects all submitted items throughout the project and at final closeout.

**Note:** You may choose from several numbering formats—1, 01, or 001—but whichever format is used, consistency throughout the project is essential.

### Submittal Numbering Strategy – “900” Series for Closeout Items

The “900” number sequence is designated for all closeout submittals. This sequence begins at 900 to ensure that closeout items are sorted to the end of their respective specification sections for easier organization and reference.

### Submittal Statuses in Procore

Understanding the three basic submittal statuses in Procore is essential for effectively managing the submittal log:

- ▶ **Draft** – The submittal has been created but is NOT yet submitted for its approval workflow. Submittal workflow due dates do not automatically advance while a submittal is in the “Draft” status.
- ▶ **Open** – The submittal is waiting for a response from the approvers on the submittal workflow. This is the system's default status for a new submittal.
- ▶ **Closed** – The submittal has been closed.

It is essential to understand these basic statuses to effectively manage your submittal log. As outlined above, submittals in the “Open” status are those that have been submitted into the workflow and are awaiting action from one or more approvers. This status clearly indicates that the submittal is in the approvers’ court, providing a clear distinction between items pending submission and those actively under review.

In some cases, workflows can be configured to assign a “submitter” with a specific due date. This setup triggers automated email reminders if the submittal remains overdue, which some users find helpful for proactive tracking. Both configuration methods are acceptable, but it is important to maintain consistency in your chosen approach, as it directly affects how submittals are tracked, reported, and managed within the log.

## Location Field

If your project involves phases or sub-projects under the primary job number with varying substantial completion dates, utilize the "Location" field. This enables sorting by 'Location' and facilitates the creation of turnover packages based on these "Locations".

**(Attachment 02 – Submittal Log)**

## Assign Responsible Contractor

Once a subcontract is awarded, the subcontractor's Company and Contact Information must be added to the Project Directory in Procore. It's essential that all information entered is complete and accurate to ensure consistency and clarity across all project participants.

This is also the point at which the subcontractor is assigned responsibility for relevant submittal items in Procore. Since this marks the beginning of the working relationship, it's important to contact the subcontractor promptly, typically starting with a phone call, to introduce yourself and initiate the submittal process.

Clear communication and expectation-setting are critical at this stage. Without it, you may receive submittals in a wide range of formats from different subcontractors. After the initial conversation, follow up with an email that includes a list of required submittal items with due dates, along with a "Letter of Instruction" outlining any project-specific requirements. As an example, this may include LEED or BABA requirements.

**(Attachment 03 – Submittal Instruction Letter)**

**Note:** If the project includes Scope Review Meetings, it is strongly recommended that the Project Engineer or Assistant Project Manager attend and present the submittal list and requirements to the respective bidder. This helps ensure there are no exceptions taken to the established procedures and is one of the most effective ways to set the stage for a successful project.

## Submittal Receive & Review Steps

### Initial Verification

Start by verifying that the submittal was received in accordance with the instructions provided in the submittal instruction letter previously issued to the subcontractor. At a minimum, each submittal must clearly reference the relevant specification section or drawing number and include mark-ups that identify exactly what is being submitted. Key identifiers should include, but are not limited to, size, color, model number, and any applicable accessories or options. If the submittal does not meet these requirements or was not submitted as instructed, return it to the subcontractor for correction and resubmission.

### The Four "Cs" of Submittal Review

The Four "Cs" of Submittal Review refer to a structured approach used to evaluate the quality and suitability of a submittal. Each "C" addresses a specific area of review critical to project success. If a submittal clearly fails to meet the intent of the design drawings or specifications, it should not be forwarded to the Architect or Engineer. Instead, return it directly to the subcontractor or vendor with clear instructions to revise and resubmit the correct, specified material without delay.

## Compliance

Does the submittal meet the requirements of the contract documents—specifications, drawings, and applicable codes?

Examples:

- ▶ A submittal for fire-rated doors must list UL listings that match specification requirements.
- ▶ Concrete mix design must conform to specified compressive strength, slump, and aggregate type.

## Completeness

Is all the required information included? Is the submittal fully filled out, legible, and clearly marked?

Examples:

- ▶ Fire sprinkler submittal includes hydraulic calculations, cut sheets, and pipe layout drawings.
- ▶ A roofing system submittal includes a complete assembly, with fastener spacing, flashing details, and warranty documentation.

## Coordination

Does the submittal align with other trades, systems, or design elements to avoid conflicts?

Examples:

- ▶ HVAC equipment dimensions are checked against architectural clearances and ceiling height constraints.
- ▶ Equipment pads are sized and located correctly relative to mechanical and electrical connections.

## Constructability

Can the submitted product or system be realistically installed as designed under project site conditions?

Examples:

- ▶ A piece of prefabricated equipment that is too large to fit through existing access points without demolition.
- ▶ A ceiling-mounted unit that conflicts with overhead piping and cannot be serviced post-installation.

By applying these Four Cs, project engineers and managers ensure that what is being submitted is correct, coordinated, and feasible, helping to avoid costly delays, rework, and field conflicts.

# Sending a Submittal “For Approval” to the A/E

## Submittal Review Questions/Comments

The submittal process is also a communication tool. If you encounter questions or have comments during your review, this is the time to raise them. Clearly mark up the submittal with your question(s) and include a note such as “A/E to Verify.”

Avoid answering questions or providing information that falls under someone else’s responsibility. If helpful, you may reference a specific section or detail that could guide them to the answer. However, do not make design decisions on behalf of the Subcontractor, Vendor, or Architect/Engineer.

Whenever possible, place comments directly on the drawing or data sheet. If that's not feasible, use the "Description" field to clearly communicate your questions or concerns.

## Submittal Stamp

The A/Z submittal stamp serves as a limited acknowledgment of review for coordination purposes, not a technical approval. It ensures that the design team, subcontractors, and suppliers retain their contractual responsibilities while also documenting the CM's role in overseeing and managing the flow of submittals.

All submittals must be stamped with the A/Z Submittal Stamp before being submitted to the Architect/Engineer for review. To obtain the dynamic version of the stamp, which automatically populates your name and the date each time it's used, please contact Project Controls.

The stamp may be applied directly to shop drawings or product data, provided it does not obscure any text or critical information. However, the preferred and most common placement is on the Submittal Cover Sheet.

### ***(Attachment 04 – Submittal Stamp)***

## Submittal Workflow Overview

Understanding the **Procore Submittal Workflow** is critical to managing a smooth and accountable submittal process. The workflow functionality is one of the most powerful features of the Submittal tool, and as project leads, we must be able to clearly articulate its use and guide project stakeholders, including the Owner, Architect/Engineer (A/E), and consultants, from day one.

To date, **Procore's workflow has proven flexible enough to support every approval scenario encountered.** The system is built around two fundamental types of approval logic:

### Sequential Workflow

- ▶ To enable sequential approval, assign one user per line item in the workflow.
- ▶ Procore will route the submittal from one reviewer to the next in the order listed.

### Parallel Workflow

- ▶ For parallel approval, assign two or more users to a single line item.
- ▶ All users on that line item can review the submittal simultaneously before it moves to the next step.
- ▶ You can still have multiple line items in the workflow, and Procore will process each item in sequence.

**Note:** If the submittal has been sent to the A/E and a "Reviewer" is not in the "Workflow," the A/E has an option to "Forward for Review." This action inserts a Reviewer into the "Workflow".

## Role of the Submittal Manager

As the **Submittal Manager**, you are responsible for defining the appropriate **Approvers** for each submittal. These may vary depending on the project's complexity, scope, and number of disciplines involved. It's important to only include reviewers who are actively participating in the review process—**avoid adding passive or non-responsive participants to the workflow.**

### ***(Attachment 05 – Submittal Workflow)***

## Workflow Preferences

The answer often depends on the preferences of the Submittal Manager, but consistency throughout the project is key. Here are a few common practices to consider:



## Initial Review via Outlook

Many Project Engineers and APMs prefer to receive submittals via Outlook first. This acts as a pre-screening step, allowing for a quick initial check before the submittal is entered in Procore.

## Adding the Subcontractor to the Workflow (Open Status)

Some managers include the subcontractor as the first step with an "Open" status. This enables Procore to automatically notify them of overdue submittals. Once the submittal is submitted, the subcontractor can be removed from the workflow to simplify reporting.

## Simplified Workflow (Draft Status)

Some prefer a streamlined approach where only required approvers are added, and the submittal remains in "Draft" status until it is formally sent "For Approval." This method is more manual and hands-on, as it requires the Submittal Manager to regularly follow up on unsubmitted items.

## Avoid Adding A/Z as an Approver

A/Z personnel should not be added as approvers in the workflow. A/Z does not officially approve submittals—doing so could expose us to unnecessary liability by generating a response within Procore.

**Note:** Regardless of the approach, maintaining clarity, consistency, and accountability in the workflow setup is essential for project success. Tailor the process to fit your team and project needs—but ensure it's well-documented and uniformly applied.

## Document Preparation & Submission Protocol

In accordance with A/Z's Standard Operating Procedures (SOPs), all submittals must be submitted "For Approval" as a single, merged PDF file that includes a Cover Sheet. This requires exporting the Procore Cover Sheet, applying the A/Z submittal stamp, and merging it with the submittal content into one cohesive, professional document.

The finalized PDF must be uploaded to the General Attachments section in Procore and must follow A/Z's standardized file naming convention to ensure consistency, traceability, and ease of reference.

### Submittal File Naming Format:

Spec Section#-Submittal No. [Status] – Submittal Title

This structured approach not only maintains document control integrity but also reinforces A/Z's commitment to delivering high-quality, professional documentation in every phase of the submittal process. It reflects our identity as a best-in-class organization known for excellence and attention to detail.

## Distribution List

In Procore, it's important to understand the difference between a Distribution Group and a Distribution List. A Distribution Group is a predefined set of users created in the Project Directory. These groups can then be added to a Distribution List when managing submittals. This approach streamlines the process by allowing you to quickly assign recipients based on the purpose of the submittal—whether it's being sent For Approval, Distribution, or simply to inform related trades once a submittal is Approved or Approved as Noted. Using Distribution Groups in this way helps ensure consistent and efficient communication throughout the submittal workflow.

## Samples

To process a Sample submittal, begin by creating the submittal item in the Procore Submittal Tool, ensuring it corresponds to the correct specification section. Once the physical sample is available, take clear photos of both the front and back. Merge these images with the submittal cover page to create a complete PDF package and submit it to the Architect/Engineer (A/E) for approval. The physical sample should then be sent to the designated approver's office. Be sure to instruct the approver to provide their formal response directly within Procore. This process ensures the sample is properly documented, tracked, and approved in accordance with the established submittal procedures.

## Attic Stock/Spare Parts Submittal Process

To properly process an attic stock or spare parts submittal, begin by creating a submittal item in Procore specifically categorized as a Closeout item. Once the attic stock is received, compile a detailed inventory list including item descriptions and units of measure. Depending on the volume, this list can either be documented directly on a transmittal or organized in an Excel spreadsheet. Be sure to take clear photographs of the attic stock as part of the documentation. Next, prepare a Transmittal that includes the inventory list and photos, and obtain the client's signature acknowledging receipt. This step is critical, as it helps avoid any future disputes regarding the delivery of attic stock or spare parts. Finally, submit the submittal "For Record" in Procore and file all documentation in the project's Closeout folder.

## Submittal Response from A/E

When the submittal is received back to A/Z, the recipient shall review the submittal to determine the A/E's "Response". Our default "Response" types include the following:

- ▶ **Approved (APP)** – In general, with this response, no corrections are required. However, always review the submittal to confirm no action is required by the design team.
- ▶ **Approved as Noted (AAN)** – If a submittal is returned with comments, first review the notes carefully to ensure you agree with them. If any comments raise concerns or seem unclear, consult with the project team and/or the Architect/Engineer before forwarding the submittal to the subcontractor or vendor.
  - Once ready to proceed, return the submittal to the responsible subcontractor/vendor and clearly communicate the notations. It is essential to follow up with written email confirmation to verify that all comments have been acknowledged and addressed.
- ▶ **For Record Only (FRO)** – In general, with this response, no corrections are required. However, always review the submittal to confirm no action is required by the design team.
- ▶ **Revise & Resubmit (R&R)** – If a submittal is returned with a "Revise and Resubmit" response, clearly communicate the required changes based on the reviewer's comments to avoid confusion. Next, "Create Revision" with Due Dates. It is important to follow up regularly to ensure the revised submittal is returned in a timely manner to prevent any impact on the project schedule.
- ▶ **Rejected (REJ)** – If a submittal is returned with a "Rejected" response, coordinate with the subcontractor to ensure a revised submittal is prepared and resubmitted in compliance with the contract documents. Next, "Create Revision" with Due Dates. It is important to follow up regularly to ensure the revised submittal is returned in a timely manner to prevent any impact on the project schedule.

**Note:** Procore includes a set of default submittal responses, which can be modified to fit project needs. You also have the option to create custom responses and map them to the default categories. These responses will appear as selectable options in dropdown menus and filters within the Submittals tool, based on how they are configured.

## Close & Distribute

The “Close & Distribute” step is the final and critical phase of the submittal process. It is essential that all submittals are promptly distributed to the appropriate parties. The primary purpose of this step is to draft a message that communicates any actions required of the subcontractor or vendor based on the submittal response.

### Distribute All Submittals, Including “For Record”

All submittals—regardless of response type—should be formally distributed, including those marked “For Record.” For example, a Subcontractor Workmanship Warranty submitted for closeout may not require action, but distributing it confirms that it has been logged and filed appropriately. Doing so ensures that the submittal log remains complete, consistent, and uniform across the project.

### Export PDF with Attachments

Once you select “Close & Distribute,” the final step is to export the complete submittal as a PDF. Procore provides the option to merge the Cover Sheet with the A/E’s response—this combined file becomes the Final Attachment. This final document must be saved to the Closeout Folder. This is a critical closeout action, as end-of-project staffing is often limited, and retroactively gathering final attachments can be time-consuming or incomplete.

### Final Submittal File Naming Format

Lastly, ensure the submittal file name follows our standardized naming convention, incorporating the appropriate status code to maintain consistency.

Example:

- ▶ 230523-006 REJ Steam Boiler Check Valves
- ▶ 230523-006 Rev 1 RAR Steam Boiler Check Valves
- ▶ 230523-006 Rev 2 AAN Steam Boiler Check Valves
- ▶ 230523-006 Rev 3 APP Steam Boiler Check Valves

**Note:** Only submittals marked as “Approved” or “Approved as Noted” are typically filed in the Closeout Folder. However, if a “Revise and Resubmit” response includes partial approvals, the approved portions should still be filed in the Closeout Folder, as they may not be part of the subsequent resubmission.

**Note:** A Step-by-Step Guide to execute the key strokes in Procore has been created to maintain data consistency.

**(Attachment 06 – Submittal Process – Step-by-Step Guide)**

## Additional Details

### Reporting

For most projects, the built-in reporting and filtering features of the Submittal tool are sufficient. However, on larger projects, creating a custom report can add significant value. For example, use the “Custom (Long)” field to input brief status comments and include this in your report. This approach helps communicate submittal progress clearly, often streamlining discussions and reinforcing confidence that the process is under control. Consistency is key—use the same report format for weekly OAC meetings to ensure the team sees reliable and familiar updates.

**Note:** For self-perform Project Engineers and Assistant Project Managers managing multiple projects, it is recommended to create a custom submittal log at the company level. This enables you to generate a single report that tracks submittal status across all projects for more efficient oversight.

## Dunning Letters

In the context of construction submittals, **dunning letters** are formal written notices issued to subcontractors, vendors, or suppliers who have failed to provide required documentation within the established timeframe. These letters are used to **escalate non-responsiveness** and drive action on overdue submittals that are critical to maintaining project momentum.

While dunning letters may feel somewhat "old-school" and require manual effort to prepare, they are highly effective, particularly when directed to the individual who signed the subcontract. These letters serve as **formal contract correspondence** and **require a response**, helping to reinforce the importance of compliance with submittal requirements.

It's important to **coordinate with your Project Manager** before issuing any dunning letter to ensure alignment with the overall project strategy and communication.

We have three preformatted **Dunning Letter Templates** available in the File Portal:

- ▶ Initial Submittal Letter (**Attachment 07 – Initial Submittal Letter**)
- ▶ Overdue Submittal Letter (**Attachment 08 – Overdue Submittal Letter**)
- ▶ Closeout Submittal Letter (**Attachment 09 – Closeout Submittal Letter**)

To streamline the process, submittal data can be easily exported from Procore into Excel, allowing for simple copy-and-paste into the letter templates.

## Release for Fabrication

For long-lead items—such as structural steel, building envelope components, elevators, and major mechanical or electrical equipment—early submittal and approval are critical. After you've taken the necessary steps to identify the submittal item, assign it to the subcontractor, review it, and submit it for design team approval (including potential resubmittals), you must take one final step: **obtain confirmation that the submittal has been formally "Released for Fabrication."**

Do not assume that the distribution of the approved submittal to the subcontractor or vendor means fabrication has begun. Frequently, the submittal response is "Approved as Noted," which may require additional clarification or coordination. Therefore, it's essential to obtain explicit confirmation—ideally through a **formal letter** or, at minimum, a **documented email** from the subcontractor or vendor—verifying the **Release for Fabrication date**.

This confirmation helps mitigate risk and supports accurate schedule tracking for procurement and installation milestones.

## First Inspection

Upon arrival of components, assemblies, or equipment to the jobsite, the project team must conduct a **First Inspection**. This step is essential to **validate material compliance**, confirming that the items delivered align with the approved submittals and meet all contract specifications.

In addition to verifying compliance, the inspection helps identify any damage sustained during shipping or handling. Addressing discrepancies or defects at this early stage is critical for maintaining schedule integrity and avoiding delays in installation or follow-on work.

## Closeout Meeting

Conducting a closeout meeting with the Owner prior to Substantial Completion is a proven best practice that sets the stage for a smooth and well-coordinated project turnover. It creates an opportunity to review the A/Z closeout format or any Owner-specific requirements, ensuring all stakeholders are aligned on documentation expectations and reducing the risk of rework. Presenting a draft of the AIA **G704 Certificate of Substantial Completion** at this meeting helps familiarize the Owner and Architect with its purpose, content, and the timeline for execution. Once signed, the G704 also establishes the official Date of Substantial Completion, which serves as the starting point for subcontractor workmanship warranties. This proactive and organized approach builds confidence among all parties and demonstrates strong control over the closeout process.

## Closing Remarks

Managing the submittal log is a core responsibility of the Project Engineer or Assistant Project Manager. It's a task that draws on your leadership, communication skills, and attention to detail—qualities that directly impact project success. Whether you're a new Project Engineer or a seasoned Project Manager, every project presents unique challenges. These guidelines offer a structured, scalable approach to the submittal process, suitable for projects of any size. When executed effectively, this process becomes a critical driver of project success, enhancing profitability and leaving a strong impression that can lead to repeat business at closeout.

## Attachments

- ▶ 01 - Division 01 Submittal List
- ▶ 02 - Submittal Log
- ▶ 03 - Submittal Instruction Letter
- ▶ 04 - A/Z Submittal Stamp
- ▶ 05 - Submittal Workflow
- ▶ 06 - Submittal Process Step-by-Step Guide
- ▶ 07 - Submittal Dunning Letters – Initial
- ▶ 08 - Submittal Dunning Letters – Overdue
- ▶ 09 - Submittal Dunning Letters - Closeout

## Example Division 01 Submittal Items List

### *Administrative Requirements (Spec Division 01)*

Specification Number	Description	Notes
<b>013000</b>	<b>Administrative Requirements</b>	
	Schedule of Values	
	Submittal Log	
<b>013500</b>	<b>Safety Requirements</b>	
	Site Specific Safety Plan	
	Crisis Management Plan >1M	
	JHA - Trade	As Required
	JHA - Trade	As Required
	JHA - Trade	As Required
<b>014000</b>	<b>Quality Requirements (T&amp;I Log)</b>	
	QAQC Plan	
<b>014126</b>	<b>Permits</b>	
	Building Permit	
	Mechanical Permit	
	Electrical Permit	
<b>017000</b>	<b>Closeout Requirements</b>	
	G704 - Certificate of Substantial Completion	
<b>017800</b>	<b>A/Z Closeout Requirements</b>	
	Scope of Work	Add @ Closeout
	Project Directory	Add @ Closeout
	Drawing Log	Add @ Closeout
	RFI Log	Add @ Closeout
<b>017836</b>	<b>Subcontractor Warranties</b>	
	Warranty - A/Z Corp	As Required
	Warranty - Subcontractor Name	As Required
	Warranty - Subcontractor Name	As Required
	Warranty - Subcontractor Name	As Required
<b>017839</b>	<b>Project Record Documents</b>	
	As-Builts - Trade	As Required
	As-Builts - Trade	As Required
	As-Builts - Trade	As Required
	As-Builts - Trade	As Required
<b>023000</b>	<b>Subsurface Investigation</b>	
	GPR Scan Report	

Click here to enter a date.

Mr./Ms. First Name Last Name

Title

Company

Address

City, State Zip

**Re: Submittal Instruction Letter**  
**Project Name for Client Name**

Dear Mr./Ms. Last Name,

To facilitate the submittal process for the [Project Name] project, please follow the requirements below. Adhering to these instructions will help ensure timely review and approval throughout the project lifecycle.

**Submittal Requirements:**

- ▶ Submit all submittals as a **single PDF** to **jsmith@a-zcorp.com**.
- ▶ Include the **project-specific Submittal Cover Sheet** (attached).
- ▶ Reference the applicable **Specification Section** or **Drawing Number**.
- ▶ Submit items **individually**, not grouped.
- ▶ Include **quantities** for each item.
- ▶ Specify **Country of Origin** for all products.
- ▶ Attach the completed **Bill of Materials Template**.
- ▶ Provide all required **Sustainable Design** documentation.
- ▶ Include all applicable **Build America, Buy America (BABAA)** documentation.
- ▶ Clearly identify any **deviations** from contract documents.
- ▶ All items must be **clearly marked up** to show what is being submitted (e.g., **size, color, model #, accessories, options**).

Thank you in advance for your attention to these requirements. If you have any questions, please contact me directly so we can work together to ensure approvals on the first submission.

Sincerely,

A/Z Corporation

John Smith

Vice President

Cc: Jane Doe

## A/Z Submittal Stamp



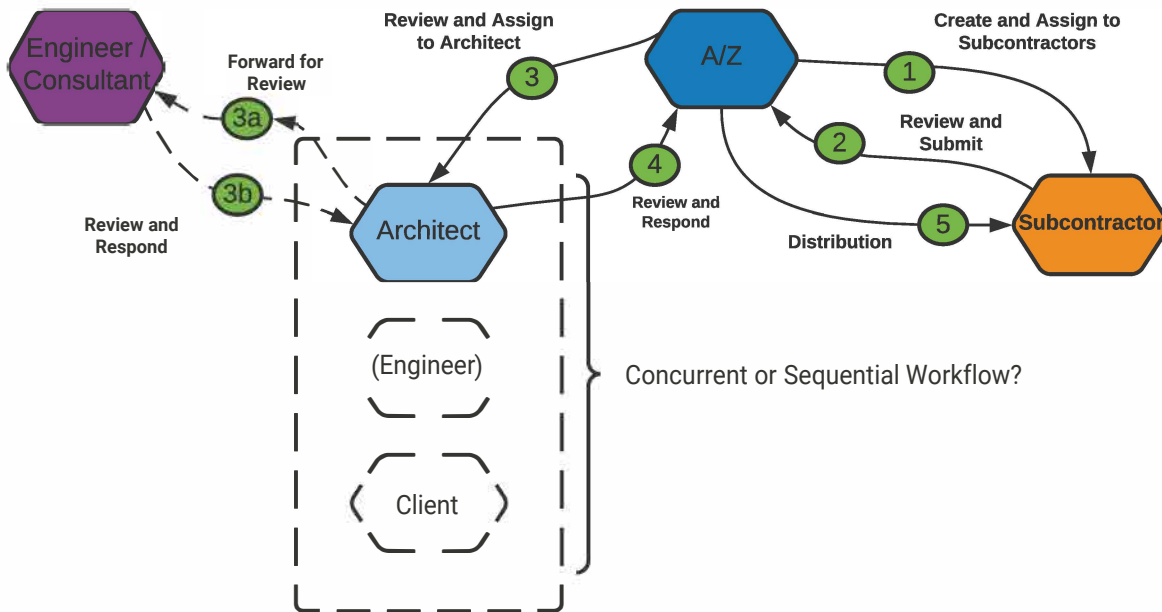
Our review is for the general conformance with the design concept and contract documents. Any marking or comments must not be construed as relieving the subcontractor/supplier from compliance with the project plans and specifications nor departures there from. The subcontractor / supplier remains responsible for details and accuracy, for confirming and correlating all quantities and dimensions, for selecting fabrication processes for the techniques of assembly, and for performing this work in a safe manner and in accordance with all applicable codes.

Date: \_\_\_\_\_

Reviewed by: \_\_\_\_\_



# Sanofi B85 - Submittal Workflow Template



## Considerations

- 1.) Don't assume Workflow. Create Flowchart with Names.
- 2.) "Approver" has option to "Forward For Review" This "inserts a reviewer" into the concurrent workflow.
- 3.) Utilization of "Location" Field
- 4.) Custom Fields are an Option
- 5.) Custom Reports? (Priority & Comments)
- 6.) Set Working Days. ☐ Sun ☒ Mon ☒ Tue ☒ Wed ☒ Thu ☒ Fri ☐ Sat

Architectural			
Step	Name	Approver	Review Days
1	Subcontractor	Submitter	10
2	Sanofi - Andreas Hoeverman Sanofi - Steven Miller Sanofi - Tom Schenke	Approver	10
3	Stantec - Roger Kelemecz	Approver	10
CC Distribution: Shannon M, Kevin M, Cara O (Stantec) Mark G, Ted F (A/Z Corp)			

Plumbing			
Step	Name	Approver	Review Days
1	Subcontractor	Submitter	14
2	Sanofi - Andreas Hoeverman Sanofi - Steven Miller Sanofi - Tom Schenke	Approver	3
3	Stantec - Joseph Pawell	Approver	3
CC Distribution: Shannon M, Kevin M, Cara O (Stantec) Mark G, Ted F (A/Z Corp)			

Electrical			
Step	Name	Approver	Review Days
1	Subcontractor	Submitter	14
2	Sanofi - Andreas Hoeverman Sanofi - Steven Miller Sanofi - Mitch Robinson	Approver	3
3	Stantec - Gerry Linendoll	Approver	3
CC Distribution: Shannon M, Kevin M, Cara O (Stantec) Mark G, Ted F (A/Z Corp)			

Fire Protection			
Step	Name	Approver	Review Days
1	Subcontractor	Submitter	14
2	Sanofi - Andreas Hoeverman Sanofi - Steven Miller Sanofi - Steve McManus	Approver	3
3	Stantec - Joseph Pawell	Approver	3
CC Distribution: Shannon M, Kevin M, Cara O (Stantec) Mark G, Ted F (A/Z Corp)			

HVAC			
Step	Name	Approver	Review Days
1	Subcontractor	Submitter	14
2	Sanofi - Andreas Hoeverman Sanofi - Steven Miller Sanofi - Travis Moore	Approver	3
3	Stantec - Kyle Nedlik	Approver	3
CC Distribution: Shannon M, Kevin M, Cara O (Stantec) Mark G, Ted F (A/Z Corp)			

Safety Items (JHA, SSHASP)			
Step	Name	Approver	Review Days
1	Subcontractor	Submitter	14
2	Sanofi - Andreas Hoeverman Sanofi - Steven Miller Sanofi - Mike Kunkle	Approver	3
CC Distribution: Shannon M, Rex Hepner, Mark G, Ted F (A/Z Corp)			

Note: Workflow can be revised in the future if necessary. If somebody will be on vacation, the approver designee can be changed

## Sanofi B85 - Submittal Workflow Template

Structural			
Step	Name	Approver	Review Days
1	Subcontractor	Submitter	14
2	Sanofi - Andreas Hoeverman Sanofi - Steven Miller Sanofi - Tom Schenke	Approver	3
3	Stantec - Scott Tubbs	Approver	3
CC Distribution: Shannon M, Kevin M, Cara O (Staniec) Mark G, Ted F (A/Z Corp)			

BAS/Controls			
Step	Name	Approver	Review Days
1	Subcontractor	Submitter	14
2	Sanofi - Andreas Hoeverman Sanofi - Steven Miller Sanofi - Paul Trygar	Approver	3
3	Stantec - Gerry Linendoll & Kyle Nedlink	Approver	3
CC Distribution: Shannon M, Kevin M, Cara O (Stantec) Mark G, Ted F (A/Z Corp)			

Sitework			
Step	Name	Approver	Review Days
1	Subcontractor	Submitter	14
2	Sanofi - Andreas Hoeverman Sanofi - Steven Miller Sanofi - Adam Haydt	Approver	3
3	Design Consultant - Aaron Sister	Approver	3
CC Distribution: Shannon M, Kevin M, Cara O (Staniec) Mark G, Ted F (A/Z Corp)			

Environmental			
Step	Name	Approver	Review Days
1	Subcontractor	Submitter	14
2	Sanofi - Andreas Hoeverman Sanofi - Steven Miller Sanofi - Jeff Smith	Approver	3
CC Distribution: Shannon M, Kevin M, Cara O (Staniec) Mark G, Ted F (A/Z Corp)			

# Submittal Process – Step-by-Step Guide

Last Updated: 06/09/25

## Create Submittal

- ▶ Enter **Submittal Title**, **Specification Section**, and **Submittal Number** (consistent format: 1, 01, 001).
- ▶ Select **Submittal Type**, assign **Submittal Manager**, set **Status to Draft**, enter "**Submit By**" **Date**, and add **Distribution List**.

## Assign (Upon Award)

- ▶ Enter the **Responsible Contractor** and who the submittal was **Received From**.

## Receive & Review (From Trade Contractor via Outlook)

Perform submittal review for:

- ▶ **Compliance** with contract documents
- ▶ **Completeness**
- ▶ **Coordination** with other trades
- ▶ **Constructability**

## Send (For Approval)

### Edit Submittal

- ▶ Change **Status to Open**, enter **Received Date**, define **Workflow** with approvers/due dates, add **message to A/E**, confirm **Distribution List**.

### Prepare Package

- ▶ Export **Cover Page**, copy header for **File Name** (e.g., 23 34 33-1.0 – Air Curtains), save to desktop, apply **A/Z Stamp**.

### Create PDF

- ▶ Merge the submittal with stamped cover page into **one PDF**.

### Upload & Attach

- ▶ Add to **General Attachments** in Procore, update and send necessary emails.

**Note:** A/Z may update Procore/respond on behalf of A/E if a reply is received via Outlook.

## Close & Distribute

- ▶ Edit **CC Distribution** (if needed).
- ▶ **Distribute:**
  - Step 1: Attach **A/E Response**
  - Step 2: Draft message to **Subcontractor**
  - Step 3: Use the **Distribute** button to send.
- ▶ **Export Final Package:**
  - Select **Procore Cover Sheet** with A/E response, save as **Final Attachment**, retrieve from Outlook, rename using Procore title (e.g., 23 34 33-1.0 – AAN Air Curtains), and file to **Closeout Folder** (*Important!*)

Click here to enter a date.

Mr./Ms. First Name Last Name

Title

Company

Address

City, State Zip

Re: **Project Submittal Requirements**  
**Project Name for Client Name**

Dear Mr./Ms. Last Name,

In order to facilitate the submittal process for the Project Name, A/Z has prepared a list of contractually required submittals to assist Your Firm Name with the meeting requirements of the contract referenced above. At this time, A/Z believes that Company Name is required to furnish the following items:

Spec. Section	Description	Due Date
X	X	X

The above list is not intended to be comprehensive and additional items may be required based upon the terms of the contract or requirements of the project. This list does not alter or amend your contractual obligations, but rather serves as a listing and schedule to assist your firm in the tracking and production of the required items.

If you feel modifications are required to the above list, please respond in writing within 48 hours of receipt of this notice. Thank you in advance for your dedication and timely response to this project requirement.

Sincerely,

**A/Z Corporation**

Name

Title

File: Project #

Click here to enter a date.

Mr./Ms. First Name Last Name

Title

Company

Address

City, State Zip

Re: **Project Overdue Submittal Items**  
**Project Name for Client Name**

Dear Mr./Ms. Last Name,

According to our records, the following submittal items are overdue for the Project Name. As you know, these submittal items are contractually required deliverables for the contract referenced above. At this time, A/Z believes that Company Name is required to immediately furnish the following overdue items:

Spec. Section	Description	Due Date
X	X	X

The above list is not intended to be comprehensive, and additional items may be required based on the terms of the contract or requirements of the project. This list does not alter or amend your contractual obligations, but rather serves as a listing and schedule to assist your firm in the tracking and production of these items.

If you feel modifications are required to the above list, please respond in writing within 48 hours of receipt of this notice. Thank you in advance for your dedication to the timely response to this notification.

Sincerely,

**A/Z Corporation**

Name

Title

File: Project #

Click here to enter a date.

Mr./Ms. First Name Last Name

Title

Company

Address

City, State Zip

**Re: Project Closeout Requirements**

**Project Name for Client Name**

**A/Z Contract:**

Dear Mr./Ms. Last Name,

In order to facilitate the timely turnover of the Project Name Project to the owner, A/Z has prepared a list of contractually required deliverables to assist in the closeout of the contract referenced above. Please be aware that final payments will be withheld until all contractually required closeout requirements have been received, approved, and accepted by A/Z and the owner. At this time, A/Z believes that Client Name is required to furnish the following:

Spec. Section	Description	Due Date
X	X	X

While the above list is intended to be comprehensive, additional items may be required based on the terms of the contract or requirements of the project. The list does not alter or amend your contractual obligations, but rather serves as a listing and schedule to assist your firm in the tracking and production of the required items.

If you feel modifications are required to the above list, please respond in writing within 48 hours of receipt of this notice. Thank you in advance for your dedication to the timely closeout of this project.

Sincerely,  
A/Z Corporation

John Smith  
Vice President

Cc: Jane Doe