

SECTION 01300

SUBMITTALS

PART 1 - GENERAL

1.01 SECTION INCLUDES

- A. Submittal Schedule.
- B. Shop Drawings.
- C. Product Data.
- D. Samples.
- E. Quality Assurance Submittals.
- F. Maintenance Manuals.
- G. Test Reports.
- H. Warranties.
- I. CAD File Agreements.

1.02 DEFINITIONS

- A. Field samples are full-size physical examples erected on-site to illustrate finishes, coatings, or finish materials. Field samples are used to establish the standard by which the Work will be judged.
- B. Mockups are full-size assemblies for review of construction, coordination, testing, or operation; they are not Samples.

1.03 RELATED SECTIONS

- A. Section 01630 - Substitutions and Product Options: Procedures for submitting product substitutions.

1.04 SUBMITTAL PROCEDURES

- A. Coordination: Coordinate preparation and processing of submittals with performance of construction activities. Transmit each submittal sufficiently in advance of performance of related construction activities to avoid delay.
 - 1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
 - 2. Coordinate transmittal of different types of submittals for related elements of the Work so processing will not be delayed by the need to review submittals concurrently for coordination.
 - a. The Architect reserves the right to withhold action on a submittal requiring coordination with other submittals until all related submittals are received.
 - 3. Processing: To avoid the need to delay installation as a result of the time required to process submittals, allow sufficient time for submittal review, including time for resubmittals.
 - a. Allow 2 weeks for initial review. Allow additional time if the Architect must delay processing to permit coordination with subsequent submittals.
 - b. If an intermediate submittal is necessary, process the same as the initial submittal.
 - c. Allow 2 weeks for reprocessing each submittal.

- d. Job delays occasioned by requirement of resubmission of samples, shop drawings, and product data not in accordance with Contract Documents are Contractor's responsibility and will not be considered valid justification for extension of time. Schedule ample time to allow for resubmittals and delivery time.
- B. Submittal Preparation: Place a permanent label or title block on each submittal for identification. Indicate the name of the entity that prepared each submittal on the label or title block.
- 1. Provide a space approximately 4 by 5 inches on the label or beside the title block on Shop Drawings to record the Contractor's review and approval markings and the action taken.
 - 2. Provide a space approximately 4 by 5 inches on the label or beside the title block on Shop Drawings to record the Architect/Engineer's review and approval markings and the action taken.
 - 3. Include the following information on the label for processing and recording action taken.
 - a. Submittal number.
 - b. Project name.
 - c. Date.
 - d. Name and address of the Architect.
 - e. Name and address of the Contractor.
 - f. Name and address of the Subcontractor.
 - g. Name and address of the Supplier.
 - h. Name of the Manufacturer.
 - i. Number and title of appropriate Specification Section.
 - j. Drawing number and detail references, as appropriate.
- C. Submittal Transmittal: Package each submittal appropriately for transmittal and handling. Transmit each submittal from the Contractor to the Architect using a transmittal form. The Architect will not accept submittals received from sources other than Contractor.
- 1. On transmittal form, record relevant information and requests for data. On the form, or separate sheet, record deviations from Contract Document requirements, including variations and limitations. Include Contractor's certification that information complies with Contract Document requirements.
- D. Submittals will be returned to Contractor without checking if, in the opinion of the Architect, they have been submitted in violation of specified procedures, inadequately checked by Contractor, or are inadequate and in substantial error.

1.05 CONTRACTOR'S INSURANCE CERTIFICATES

- A. Contractor shall provide evidence of required insurances to Owner, through the Architect, at the time of Contract signing.
- B. Contractor shall obtain the required Certificates of Insurance from all Subcontractors and maintain these certificates, available for reference at Contractor's office.
- C. Contractor shall submit to Owner, through the Architect, a letter stating that evidence has been obtained from each Subcontractor that all insurance requirements are in force and the Certificates of Insurance are available for reference in Contractor's office.

1.06 SUBMITTAL SCHEDULE

- A. After development and acceptance of Contractor's Construction Schedule, prepare a complete Schedule of Submittals. Submit the schedule within 10 days of date required for submittal of Construction Schedule.
 - 1. Coordinate Submittal Schedule with the list of subcontracts, Schedule of Values, and the list of products as well as the Contractor's Construction Schedule.
 - 2. Prepare the schedule in chronological order. Provide the following information:
 - a. Scheduled date for the first submittal.

- b. Related Section number.
 - c. Submittal category (Shop Drawings, Product Data, or Samples).
 - d. Name of the subcontractor.
 - e. Description of the part of the Work covered.
 - f. Scheduled date for resubmittal.
 - g. Scheduled date for the Architect's final release or approval.
- B. Distribution: Following response to the initial submittal, print and distribute copies to Architect, Owner, subcontractors, and other parties required to comply with submittal dates indicated. Post copies in the Project meeting room and field office.
- 1. When revisions are made, distribute to the same parties and post in the same locations. Delete parties from distribution when they have completed their assigned portion of the Work and are no longer involved in construction activities.
- C. Schedule Updating: Revise the schedule after each meeting or activity where revisions have been recognized or made, but not less than monthly. Issue the updated schedule concurrently with the report of each meeting.

1.07 SHOP DRAWINGS

- A. Submit newly prepared information drawn accurately to scale. Mark with dark colored pen, encircle, or otherwise indicate deviations from the Contract Documents. Do not use highlighter. Do not reproduce Contract Documents or copy standard information as the basis of Shop Drawings. Standard information prepared without specific reference to the Project is not a Shop Drawing.
- B. Shop Drawings include fabrication and installation Drawings, setting diagrams, schedules, patterns, templates and similar Drawings. Include the following information:
- 1. Dimensions.
 - 2. Identification of products and materials included by sheet and detail number.
 - 3. Compliance with specified standards.
 - 4. Notation of coordination requirements.
 - 5. Notation of dimensions established by field measurement.
 - 6. Sheet Size: Except for templates, patterns and similar full-size Drawings, submit Shop Drawings on sheets at least 8-1/2 by 11 inches (215 by 280 mm) but no larger than 36 by 48 inches (890 by 1220 mm).
 - 7. Initial Submittal: 2 prints. One copy will be returned to Contractor for reproduction and distribution.
 - 8. Do not use Shop Drawings without an appropriate final stamp indicating action taken.

1.08 PRODUCT DATA

- A. Collect Product Data into a single submittal for each element of construction or system. Product Data includes printed information, such as manufacturer's installation instructions, catalog cuts, standard color charts, roughing-in diagrams and templates, standard wiring diagrams, and performance curves.
- 1. Mark, with dark colored pen, each copy to show applicable choices and options. Do not use highlighter. Where printed Product Data includes information on several products that are not required, mark copies to indicate the applicable information. Include the following information:
 - a. Show performance characteristics and capacities.
 - b. Show dimensions and clearances required.
 - c. Show wiring or piping diagrams and controls.
 - d. Manufacturer's printed recommendations.
 - e. Compliance with trade association standards.
 - f. Compliance with recognized testing agency standards.
 - g. Application of testing agency labels and seals.
 - h. Notation of dimensions verified by field measurement.
 - i. Notation of coordination requirements.
 - j. Delete data not related to this Project or mark "VOID" as applicable.

2. Do not submit Product Data until compliance with requirements of the Contract Documents has been confirmed.
3. Preliminary Submittal: Submit a preliminary single copy of Product Data where selection of options is required.
4. Submittals: Submit 1 copy of each required submittal; 1 copy will be returned for reproduction and distribution.
 - a. Unless noncompliance with Contract Document provisions is observed, the submittal may serve as the final submittal.
5. Distribution: Furnish copies of final submittal to installers, subcontractors, suppliers, manufacturers, fabricators, and others required for performance of construction activities. Show distribution on transmittal forms.
 - a. Do not proceed with installation until a copy of Product Data is in the Installer's possession.
 - b. Do not permit use of unmarked copies of Product Data in connection with construction.

1.09 SAMPLES

- A. Submit full-size, fully fabricated Samples cured and finished as specified and physically identical with material or product proposed. Samples include partial sections of manufactured or fabricated components, cuts or containers of materials, color range sets, and swatches showing color, texture, and pattern.
 1. Mount or display Samples in the manner to facilitate review of qualities indicated. Prepare Samples to match the Architect's sample. Include the following:
 - a. Specification Section number and reference.
 - b. Generic description of the Sample.
 - c. Sample source.
 - d. Product name or name of the manufacturer.
 - e. Compliance with recognized standards.
 - f. Availability and delivery time.
 2. Submit Samples for review of size, kind, color, pattern, and texture. Submit Samples for a final check of these characteristics with other elements and a comparison of these characteristics between the final submittal and the actual component as delivered and installed.
 - a. Where variation in color, pattern, texture, or other characteristic is inherent in the material or product represented, submit at least 3 multiple units that show approximate limits of the variations.
 - b. Refer to other Specification Sections for requirements for Samples that illustrate workmanship, fabrication techniques, details of assembly, connections, operation, and similar construction characteristics.
 - c. Refer to other Sections for Samples to be returned to the Contractor for incorporation in the Work. Such Samples must be undamaged at time of use. On the transmittal, indicate special requests regarding disposition of Sample submittals.
 - d. Samples not incorporated into the Work, or otherwise designated as the Owner's property, are the property of the Contractor and shall be removed from the site prior to Substantial Completion.
 3. Submittals: Submit two full set of choices where Samples are submitted for selection of color, pattern, texture, or similar characteristics from a range of standard and optional choices as specified. Correspondence indicating section of samples will be returned for reproduction and distribution.
- B. Distribution of Correspondence: Prepare and distribute correspondence to subcontractors, manufacturers, fabricators, suppliers, installers, and others as required for performance of the Work. Show distribution on transmittal forms.
 1. Field samples are full-size examples erected on-site to illustrate finishes, coatings, or finish materials and to establish the Project standard.
 - a. Comply with submittal requirements to the fullest extent possible. Process transmittal forms to provide a record of activity.

1.10 QUALITY ASSURANCE SUBMITTALS

- A. Submit quality-control submittals, including design data, certifications, manufacturer's instructions, manufacturer's field reports, and other quality-control submittals as required under other Sections of the Specifications.
- B. Certifications: Where other Sections of the Specifications require certification that a product, material, or installation complies with specified requirements, submit a notarized certification from the manufacturer certifying compliance with specified requirements.
 - 1. Signature: Certification shall be signed by an officer of the manufacturer or other individual authorized to sign documents on behalf of the company.
- C. Inspection and Test Reports: Requirements for submittal of inspection and test reports from independent testing agencies are specified in Division 1 Section "Quality Control."

1.11 MAINTENANCE MANUALS

- A. Submit Maintenance Manuals as required in Section 01700 - Contract Closeout.

1.12 TEST REPORTS.

- A. Classify each inspection and test report as being either "Shop Drawings" or "product data" depending on whether the report is specially prepared for the project, or a standard publication of workmanship control testing at the point of production. Process inspection and test reports accordingly.

1.13 WARRANTIES

- A. Submit warranties as required in Section 01700 - Contract Closeout.

1.14 ARCHITECT'S ACTION

- A. Except for submittals for the record or information, where action and return is required, the Architect will review each submittal, mark to indicate action taken, and return promptly.
 - 1. The Architect's marking of "Approved" means submittal has been reviewed for general conformance to the contract documents only and does not mean unqualified acceptance. The Contractor is fully responsible for compliance with the contract documents.
- B. Action Stamp: The Architect will stamp each submittal with a uniform, action stamp. The Architect will mark the stamp appropriately to indicate the action taken, as follows:
 - 1. Final Unrestricted Release: When the Architect marks a submittal "Approved," the Work covered by the submittal may proceed provided it complies with requirements of the Contract Documents. Final payment depends on that compliance.
 - 2. Final-But-Restricted Release: When the Architect marks a submittal "Approved as Noted," the Work covered by the submittal may proceed provided it complies with notations or corrections on the submittal and requirements of the Contract Documents. Final payment depends on that compliance.
 - 3. Returned for Resubmittal: When the Architect marks a submittal "Not Approved" or "Revise and Resubmit", do not proceed with Work covered by the submittal, including purchasing, fabrication, delivery, or other activity. Revise or prepare a new submittal according to the notations; resubmit without delay. Repeat if necessary to obtain different action mark.
 - a. Do not use, or allow others to use, submittals marked "Not Approved" or "Revise and Resubmit" at the Project Site or elsewhere where Work is in progress.
 - 4. Other Action: Where a submittal is for information or record purposes or special processing or other activity, the Architect will return the submittal marked "Action Not Required."

- C. Unsolicited Submittals: The Architect will return unsolicited submittals to the sender without action.

1.15 CAD DRAWING FILES

- A. Copies of drawings in digital format will be made available by the Architect to those requesting same in accordance with the “Agreement Between Architect of Record and Owner or Contractor for Transfer of Computer Aided Drafting (Cad) Files On Electronic Media” form attached to the end of this section. Agreement form shall be filled out and signed by each party requesting computer aided drafting (cad) files before electronic media is released to them.

PART 2 - PRODUCTS (Not Applicable)

PART 3 - EXECUTION (Not Applicable)

END OF SECTION