

SECTION 01330 - SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.1 RELATED DOCUMENTS

- A. Drawings and general provisions of the Contract, including General and Supplementary Conditions and other Division 1 Specification Sections, apply to this Section.

1.2 SUMMARY

- A. This Section includes administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other miscellaneous submittals.
- B. All equipment used shall be year 2000 compliant.
- C. Related Sections include the following:
 - 1. Standard General Conditions: Definitions and basic responsibilities of entities.
 - 2. Division 1 Sections

1.3 SUBMITTAL PROCEDURES

- A. General: Electronic copies of CAD Drawings of the Contract Drawings will be provided by Engineer for Contractor's use in preparing submittals.
 - 1. Electronic copies of CAD Drawings will be transferred to the Contractor only upon receipt of a fully executed agreement prepared by the Engineer setting forth specific limitations, indemnifications, requirements, and/or responsibilities resulting from the use of any and all transferred "Electronic CAD Drawings".
- B. Submittal Requirements: Submittals shall have a separate cover sheet for each Division. Submittals for more than one Division shall not be combined.
 - 1. Apply Contractor's stamp, signed or initialed certifying to review, verification of products, field dimensions and field construction criteria, and coordination of information with requirements of work and Contract Documents.
 - 2. Submittals that do not have an approval stamp and signature in compliance with this Section shall be returned without review by the Engineer. The Contractor shall be fully responsible for any delays due to returned shop drawings, product data sheets.
 - 3. Coordinate submittals into logical groupings to facilitate interrelation of the several items:
 - a. Finishes which involve Engineer selection of colors, textures or patterns.
 - b. Associated items which require correlation for efficient function or for installation.

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4. Do not fabricate products or begin work or which requires submittals until return of submittals with Engineer's review. All work shall be in conformity with reviewed shop drawings
5. When shop drawings and/or submitted data sheets do not meet the product/materials shown or specified, the Engineer will review submissions no more than two (2) times. After the second review the Contractor shall have the cost to review all subsequent submissions reimbursed to the Owner at the Engineer's published standard billing rate for personnel involved. Cost shall be deducted from the Contract via a Change Order.

C. Standards:

1. Materials: Any material specified by reference to the number, symbol, or title of a specified standard such as Commercial Standard, a Federal Specification, a trade association standard, or other similar standard, shall comply with the requirements in the latest revision thereof, and any amendment or supplement thereto, in effect on the date of invitation for proposals, except as limited to type, class of grade, or modified in such reference, and except as otherwise indicated.
2. Standards: The Standard referred to, except as modified in the specifications, shall have full force and effect as though printed in these specifications. These standards are not furnished to bidders for the reason that the manufacturer's and trades involved are assumed to be familiar with their requirements. The Engineer will furnish, upon request, information as to how copies of the standards referred to may be obtained.
3. Federal Specifications: Where Federal Specifications are referred to as a measure of quality and standard, they refer to Federal Specifications of the United States Government and are available from the Superintendent of Documents, U.S. Government Printing Office. Where Federal Specification numbers are used, they refer to the latest edition including amendments thereto.
4. Commercial Standards: Where Commercial Standards are referred to as a measure of quality, standard and method of fabrication, they refer to Commercial Standards issued by the U.S. Department of Commerce.
5. Serial Numbers: Where A.S.T.M. Serial Numbers are used, they refer to the latest tentative specifications; standard specifications; standard method or standard method of testing, issued by the American Society for Testing and Materials.

D. Certificate of Conformance: Except where tests and/or inspections in connection with structural materials are specified or required by applicable laws, rules and regulations, manufacturer's certificates covering conformance with the requirements of the above mentioned Federal Specifications and Commercial Standards may be accepted in lieu of such tests. Such certificates shall be furnished to the Engineer for all items so specified.

1. Submit to the Engineer manufacturer's certificates covering conformance with the requirements of asbestos-free materials on all materials.

E. Coordination: Coordinate preparation and processing of submittals with performance of construction activities.

1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.

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2. Contractor shall be fully responsible for observing the need for and making any changes in the arrangement of piping, connections, wiring, manner of installing and the like which may be required by the equipment he proposes to supply. If the drawings show variations from contract drawings or specifications whether because of standard shop practice or other reasons, the Contractor will not be relieved of the responsibility for completing the work in full accordance with the Contract Documents even though such shop drawings are approved by the Engineer.
 - a. Shop drawings, product data sheets that do not have an approval stamp and signature in compliance with this Section shall be returned without review by the Engineer. The Contractor shall be fully responsible for any delays due to returned shop drawings, product data sheets.
 3. Within 30 days after the date of the Letter of Intent and before any material or equipment is purchased, the Contractor shall submit to the Engineer manufacturer's data, catalog cuts, samples, or other information as required by individual Specification Sections.
 - a. Deviations from the contract, deemed necessary, will only be considered when accompanied by a letter (identifying the item specified, the item proposed, and any cost variation) outlining specific reasons for requesting such deviation. If these conditions are not met, the submittal shall be returned to the Contractor for corrective action. The adequacy and accuracy of submittals and their compliance with contract documents are the responsibility of the Contractor. All approval actions taken by the Engineer will in no way relieve the Contractor of his quality control requirements.
 4. Coordinate transmittal of different types of submittals for related parts of the Work so processing will not be delayed because of need to review submittals concurrently for coordination.
 - a. Engineer reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
- F. Processing Time: Allow enough time for submittal review, including time for resubmittals, as follows. Time for review shall commence on Engineer's receipt of submittal.
1. Initial Review: Allow 10 days for initial review of each submittal. Allow additional time if processing must be delayed to permit coordination with subsequent submittals. Engineer will advise Contractor when a submittal being processed must be delayed for coordination.
 2. If intermediate submittal is necessary, process it in same manner as initial submittal.
 3. Allow 10 days for processing each re-submittal.
 4. No extension of the Contract Time will be authorized because of failure to transmit submittals enough in advance of the Work to permit processing.
- G. Identification: Place a permanent label or title block on each submittal for identification.
1. Indicate name of firm or entity that prepared each submittal on label or title block.

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2. Provide a space approximately 4 by 5 inches on label or beside title block to record Contractor's review and approval markings and action taken by Engineer and Construction Manager.
 3. Include the following information on label for processing and recording action taken:
 - a. Project name.
 - b. Date.
 - c. Name and address of Engineer and Construction Manager.
 - d. Name and address of Contractor.
 - e. Name and address of subcontractor.
 - f. Name and address of supplier.
 - g. Name of manufacturer.
 - h. Unique identifier, including revision number.
 - i. Number and title of appropriate Specification Section.
 - j. Drawing number and detail references, as appropriate.
 - k. Other necessary identification.
- H. Deviations: Highlight, encircle, or otherwise identify deviations from the Contract Documents on submittals.
- I. Additional Copies: Unless additional copies are required for final submittal, and unless Engineer or Construction Manager observes noncompliance with provisions of the Contract Documents, initial submittal may serve as final submittal.
1. Submit six (6) copies of Shop Drawings, Product Data and Manufacturer's Instructions to the Engineer.
 2. Submit one copy of submittal to concurrent reviewer in addition to specified number of copies to Engineer and Construction Manager.
 3. Additional copies submitted for maintenance manuals will not be marked with action taken and will be returned.
- J. Transmittal: Package each submittal individually and appropriately for transmittal and handling. Transmit each submittal using a transmittal form. Engineer will return submittals, without review, received from sources other than Contractor.
1. On an attached separate sheet, prepared on Contractor's letterhead, record relevant information, requests for data, revisions other than those requested by Engineer on previous submittals, and deviations from requirements of the Contract Documents, including minor variations and limitations. Include the same label information as the related submittal.
 2. Include Contractor's certification stating that information submitted complies with requirements of the Contract Documents.
 3. Transmittal Form: Use AIA Document G810, or similar.
 4. Transmittal Form: Provide locations on form for the following information:
 - a. Project name.
 - b. Date.
 - c. Destination (To:).
 - d. Source (From:).

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- e. Names of subcontractor, manufacturer, and supplier.
 - f. Category and type of submittal.
 - g. Submittal purpose and description.
 - h. Submittal and transmittal distribution record.
 - i. Remarks.
 - j. Signature of transmitter.
- K. Distribution: Furnish copies of final submittals to manufacturers, subcontractors, suppliers, fabricators, installers, authorities having jurisdiction, and others as necessary for performance of construction activities. Show distribution on transmittal forms.
- L. Use for Construction: Use only final submittals with mark indicating action taken by Engineer and Construction Manager in connection with construction.

PART 2 - PRODUCTS

2.1 ACTION SUBMITTALS

- A. General: Prepare and submit Action Submittals required by individual Specification Sections.
- 1. Number of Copies: Submit three copies of each submittal, unless otherwise indicated. Engineer, through Construction Manager, will return two copies. Mark up and retain one returned copy as a Project Record Document.
 - 2. Number of Copies: Submit copies of each submittal, as follows, unless otherwise indicated:
 - a. Initial Submittal: Submit a preliminary single copy of each submittal where selection of options, color, pattern, texture, or similar characteristics is required. Engineer, through Construction Manager, will return submittal with options selected.
 - b. Final Submittal: Submit three copies, unless copies are required for operation and maintenance manuals. Submit copies where copies are required for operation and maintenance manuals. Engineer will retain copies; remainder will be returned. Mark up and retain one returned copy as a Project Record Document.
- B. Product Data: Collect information into a single submittal for each element of construction and type of product or equipment.
- 1. Within 30 days after the date of the Letter of Intent and before any material or equipment is purchased, the Contractor shall submit to the Engineer manufacturer's data, catalog cuts, samples, or other information as required for the items listed below.
 - a. Deviations from the contract, deemed necessary, will only be considered when accompanied by a letter (identifying the item specified, the item proposed, and any cost variation) outlining specific reasons for requesting such deviation. If these conditions are not met, the submittal shall be returned to the Contractor for corrective action. The adequacy and accuracy of submittals and their compliance with contract documents are the responsibility of the Contractor. All approval

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actions taken by the Engineer will in no way relieve the Contractor of his quality control requirements.

2. If information must be specially prepared for submittal because standard printed data are not suitable for use, submit as Shop Drawings, not as Product Data.
3. Mark each copy of each submittal to show which products and options are applicable.
4. Include the following information, as applicable:
 - a. Manufacturer's written recommendations.
 - b. Manufacturer's product specifications.
 - c. Manufacturer's installation instructions.
 - d. Standard color charts.
 - e. Manufacturer's catalog cuts.
 - f. Wiring diagrams showing factory-installed wiring.
 - g. Printed performance curves.
 - h. Operational range diagrams.
 - i. Mill reports.
 - j. Standard product operating and maintenance manuals.
 - k. Compliance with recognized trade association standards.
 - l. Compliance with recognized testing agency standards.
 - m. Application of testing agency labels and seals.
 - n. Notation of coordination requirements.

C. Shop Drawings: Prepare Project-specific information, drawn accurately to scale. Do not base Shop Drawings on reproductions of the Contract Documents or standard printed data.

1. Preparation: Include the following information, as applicable:
 - a. Shop drawings shall be drawn to scale, shall show all necessary working and erection dimensions and such details, sections, plans and elevations (all properly cross-referenced to the contract drawings) and as are necessary to clearly delineate arrangements, construction and connection with other work and shall illustrate all work continuous with and having a bearing on work indicated. They shall be numbered consecutively and dated and shall indicate the project name, the names of the Contractor and the Subcontractor, the name and description of the equipment or articles shown, the manufacturer's name, the kinds, types, grades, thicknesses and finishes of materials, including all fittings, fastenings and the like and the locations at which materials or equipment are to be installed in the work. Marked-up copies of standard drawings showing typical conditions and details and indicating their specific application to the work will not be acceptable. Shop drawings shall be accompanied by a letter of transmittal identifying the items of work submitted. Shop drawings shall be submitted in such time as to cause no delay in the orderly progress of work, under the contract, due allowance being made for checking and such correcting, resubmission, and rechecking as may be necessary. The approval of the shop drawings will be general and shall not relieve the Contractor from sole responsibility for errors or omissions of any sort, nor for proper fitting and construction on work or the finishing of materials or work required by the contract documents but not shown or indicated on the shop drawings. Approval will not imply verification of required quantity of material,

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nor correctness of dimensions. Requests by the Engineer for changes and corrections on shop drawings shall not be construed as an order for extra work under the contract.

- b. Present shop drawings in a clear and thorough manner. Title each drawing with project name and number. Identify each element of drawings by reference to sheet number and detail, schedule or room number of contract documents.
 - c. Dimensions.
 - d. Identification of field dimensions, show relation to adjacent or critical features or work or products.
 - e. Identification of products.
 - f. Fabrication and installation drawings.
 - g. Roughing-in and setting diagrams.
 - h. Wiring diagrams showing field-installed wiring, including power, signal, and control wiring.
 - i. Shopwork manufacturing instructions.
 - j. Templates and patterns.
 - k. Schedules.
 - l. Design calculations.
 - m. Compliance with specified standards.
 - n. Notation of coordination requirements.
 - o. Notation of dimensions established by field measurement.
2. Wiring Diagrams: Differentiate between manufacturer-installed and field-installed wiring.
 3. Sheet Size: Except for templates, patterns, and similar full-size drawings, submit Shop Drawings on sheets at least 8-1/2 by 11 inches but no larger than 30 by 40 inches.
 4. Number of Copies: Submit one correctable, translucent, reproducible print and one blue- or black-line print of each submittal. Architect, through Construction Manager, will return the reproducible print.
 5. Number of Copies: Submit three blue- or black-line prints of each submittal, unless prints are required for operation and maintenance manuals. Submit five prints where prints are required for operation and maintenance manuals. Engineer and Construction Manager will retain two prints; remainder will be returned. Mark up and retain one returned print as a Project Record Drawing.
 6. Number of Copies: Submit copies of each submittal, as follows:
 - a. Initial Submittal: Submit one correctable, translucent, reproducible print and one blue- or black-line print. Engineer, through Construction Manager, will return the reproducible print.
 - b. Initial Submittal: Submit two blue- or black-line prints. Engineer, through Construction Manager, will return one print.
 - c. Final Submittal: Submit three blue- or black-line prints, unless prints are required for operation and maintenance manuals. Submit five prints where prints are required for operation and maintenance manuals. Engineer and Construction Manager will retain two prints; remainder will be returned. Mark up and retain one returned print as a Project Record Drawing.
- D. Coordination Drawings: Comply with requirements in Division 1 Section "Project Management and Coordination."

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- E. Samples: Prepare physical units of materials or products, including the following:
1. Samples properly identified and described, shall be submitted in the number specifically called for in the body of the specification or as may be required by the Engineer. They shall be submitted and resubmitted until approved. No approval of a sample shall be taken in itself to change or modify any contract requirement. Finishes, materials or workmanship in the completed buildings shall match the approved samples.
 2. Comply with requirements in Division 1 Section "Quality Requirements" for mockups.
 3. 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.
 4. Samples for Verification: Submit full-size units or Samples of size indicated, prepared from the same material to be used for the Work, cured and finished in manner specified, and physically identical with the 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.
 5. Preparation: Mount, display, or package Samples in manner specified to facilitate review of qualities indicated. Prepare Samples to match Engineer's sample where so indicated. Attach label on unexposed side that includes the following:
 - a. Generic description of Sample.
 - b. Product name or name of manufacturer.
 - c. Sample source.
 6. Additional Information: On an attached separate sheet, prepared on Contractor's letterhead, provide the following:
 - a. Size limitations.
 - b. Compliance with recognized standards.
 - c. Availability.
 - d. Delivery time.
 7. Submit Samples for review of kind, color, pattern, and texture for a final check of these characteristics with other elements and for a comparison of these characteristics between final submittal and actual component as delivered and installed.
 - a. If variation in color, pattern, texture, or other characteristic is inherent in the product represented by a Sample, submit at least three sets of paired units that show approximate limits of the variations.
 - b. Refer to individual Specification Sections for requirements for Samples that illustrate workmanship, fabrication techniques, details of assembly, connections, operation, and similar construction characteristics.
 8. Number of Samples for Initial Selection: 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. Engineer, through Construction Manager, will return submittal with options selected.

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9. Number of Samples for Verification: Submit three sets of Samples. Engineer and Construction Manager will retain two Sample sets; remainder will be returned. Mark up and retain one returned Sample set as a Project Record Sample.
 - a. Submit a single Sample where assembly details, workmanship, fabrication techniques, connections, operation, and other similar characteristics are to be demonstrated.
 10. 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.
 - a. 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.
 - b. Samples not incorporated into the Work, or otherwise designated as Owner's property, are the property of Contractor.
- F. Product Schedule or List: 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.
 2. Number and name of room or space.
 3. Location within room or space.
- G. Delegated-Design Submittal: Comply with requirements in Division 1 Section "Quality Requirements."
- H. Subcontract List: Prepare a written summary identifying individuals or firms proposed for each portion of the Work, including those who are to furnish products or equipment fabricated to a special design. Use CSI Form 1.5A, or similar. Include the following information in tabular form:
1. Name, address, and telephone number of entity performing subcontract or supplying products.
 2. Number and title of related Specification Section(s) covered by subcontract.
 3. Drawing number and detail references, as appropriate, covered by subcontract.

PART 3 - EXECUTION

3.1 CONTRACTOR'S REVIEW

- A. Review each submittal and check for compliance with the Contract Documents. Note corrections and field dimensions. Mark with approval stamp before submitting to Engineer and Construction Manager.
- B. Approval Stamp: Stamp each submittal with a uniform, approval stamp. Include Project name and location, submittal number, Specification Section title and number, name of reviewer, date

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of Contractor's approval, and statement certifying that submittal has been reviewed, checked, and approved for compliance with the Contract Documents.

3.2 ENGINEER'S ACTION

- A. General: Engineer will not review submittals that do not bear Contractor's approval stamp and will return them without action.
- B. Action Submittals: Engineer will review each submittal, make marks to indicate corrections or modifications required, and return it. Engineer will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action taken, as follows:
- C. Submittals not required by the Contract Documents will not be reviewed and may be discarded.

END OF SECTION 01330

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