

## SECTION 01 33 00

### SUBMITTAL PROCEDURES

***ALL SPECIFIER NOTES (BOLD, ITALICIZED TEXT) ARE TO BE REMOVED PRIOR TO ISSUING THIS SPECIFICATION.***

#### PART 1 - GENERAL

##### 1.1 SUMMARY

- A. Section includes administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other miscellaneous submittals.

##### 1.2 DEFINITIONS

- A. Action Submittals: Written and graphic information that requires Architect's responsive action.
- B. Informational Submittals: Written information that does not require Architect's approval. Submittals may be rejected for not complying with requirements.

##### 1.3 SUBMITTAL PROCEDURES

- A. General: Electronic copies of CAD Drawings of the Contract Drawings may be provided by the Architect by request for Contractor's use in preparing submittals. Contractor bears all responsibility for information contained in submittals whether or not provided in electronic format to the Contractor.
- B. 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.
  - 2. Coordinate transmittal of different types of submittals for related parts of the Work so processing shall not be delayed because of need to review submittals concurrently for coordination.
    - a. Architect reserves the right to return without action submittals requiring coordination with other submittals.
- C. Submittals Schedule: Comply with requirements in Division 1 Section "Construction Progress Documentation" for list of submittals and time requirements for scheduled performance of related construction activities.
- D. Processing Time: Promptly submit Shop Drawings, Product Data, and Samples in accordance with the accepted schedule, as to cause no delay in the Work. Allow enough time for submittal review, including time for resubmittals, as follows. Time for review shall commence on Architect's receipt of submittal.

1. Initial Review: Allow ten (10) working days (excluding National Holidays) for initial review of each submittal. Allow additional time if processing must be delayed to permit coordination with subsequent submittals. Architect will advise Contractor when a submittal being processed must be delayed for coordination. Delaying submittals to facilitate coordination between submittals shall not constitute a delay of the Work nor shall it be the basis for an extension of time.
  2. If intermediate submittal is necessary, process it in same manner as initial submittal.
  3. Resubmittal Review: Allow ten (10) working days (excluding National Holidays) for review of each resubmittal.
  4. No extension of the Contract Time shall be authorized because of failure to transmit submittals enough in advance of the Work to permit processing.
- E. Identification: Place a 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.
  2. Provide a space approximately 5-inches by 8-inches on label or beside title block to record Contractor's review and approval markings and action taken by Architect.
  3. Include the following information on label for processing and recording action taken:
    - a. Project name.
    - b. Date.
    - c. Name and address of Architect.
    - 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.
- F. Deviations: Highlight, encircle, or otherwise identify deviations from the Contract Documents on submittals.
- G. Transmittal: Transmit each submittal individually. Package samples as appropriate for transmittal and handling. Each submittal shall include a transmittal form. Architect will, without review, return submittals received from sources other than Contractor.
1. Transmittal Form: Contractor's standard form which is to include the following:
    - a. Project name and project number.
    - b. Date.
    - c. Destination (To:).
    - d. Source (From:).
    - e. Names of subcontractor, manufacturer, and supplier.
    - f. Category and type of submittal.
    - g. Submittal number.
    - h. Submittal purpose and description.
    - i. Remarks.

2. On an attached separate sheet, record relevant information, requests for data, revisions other than those requested by Architect on previous submittals, and deviations from requirements in the Contract Documents, including minor variations and limitations. Include same label information as related submittal.
  3. Include Contractor's certification stating that information submitted complies with requirements of the Contract Documents.
- H. Resubmittals: Make resubmittals in same form and number of copies as initial submittal.
1. Note date and content of previous submittal.
  2. Note date and content of revision in label or title block and clearly indicate extent of revision.
  3. Note submission number (e.g. 2nd, 3rd) on transmittal.
  4. No new material, other than may be required as part of the correction(s), shall be included as part of a resubmittal. Architect's review of resubmitted items shall be generally limited to revisions.
  5. All revisions that are part of a resubmittal shall be clearly highlighted (encircled or otherwise designated).
  6. Resubmit submittals until they are marked either "No Exceptions Taken" or "Make Corrections Noted", or equivalent language as indicated on Architect's review stamp.
  7. No extension of the Contract Time or change of the Contract Sum shall be allowed in conjunction with Architect's reasonable rejection of submittal(s) or requirement for resubmission of submittal(s).
- I. 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.
- J. Use for Construction: Use only final submittals with Architect's review stamp that is marked either "No Exceptions Taken" or "Make Corrections Noted", or equivalent language as indicated on Architect's review stamp, in connection with construction.

## **PART 2 - PRODUCTS**

### **2.1 ACTION SUBMITTALS**

- A. General: Prepare and submit Action Submittals required by individual Specification Sections.
1. Submittal: Transmit submittals using Owner's contract management program (Primavera CM), with distribution and routing as agreed to during the Preconstruction Conference.
  2. Number of Copies: Submit one copy of each submittal. Mark up and retain one copy of each returned submittal as Project Record Document.
- B. Product Data: Collect information into a single submittal for each element of construction and type of product or equipment.
1. If information must be specially prepared for submittal because standard printed data are not suitable for use, submit as Shop Drawings, not as Product Data.

2. Where printed materials describe more than one product, material, or model, clearly mark the submittal to show which product(s), material(s), model(s), and options are applicable and submitted for review.
  3. 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 for initial color selection.
    - 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.
  4. Submit Product Data prior to or concurrent with Samples.
- C. Shop Drawings: Prepare Project-specific information, drawn accurately to scale. Do not base Shop Drawings on reproductions, digital or otherwise, of the Contract Documents or standard printed data.
1. Preparation: Include the following information, as applicable:
    - a. Dimensions.
    - b. Identification of products.
    - c. Fabrication and installation drawings.
    - d. Roughing-in and setting diagrams.
    - e. Wiring diagrams showing field-installed wiring, including power, signal, and control wiring.
    - f. Shopwork manufacturing instructions.
    - g. Templates and patterns.
    - h. Schedules.
    - i. Design calculations.
    - j. Compliance with specified standards.
    - k. Notation of coordination requirements.
    - l. 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.
- D. Samples: Submit Samples for review of kind, color, pattern, and texture for a check of these characteristics with other elements and for a comparison of these characteristics between submittal and actual component as delivered and installed. Mount, display, or package Samples in manner specified to facilitate review of qualities indicated.

1. Prepare Samples to match Architect's sample where so indicated. Transmit Samples that contain multiple, related components, such as accessories, together in one submittal package.
2. Identification: Attach label on unexposed side that includes the following:
  - a. Generic description of Sample.
  - b. Product name or name of manufacturer.
  - c. Sample source.
  - d. Number and title of appropriate Specification Section.
3. 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.
4. 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. Architect will return submittal with options selected.
5. 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.
  - a. Number of Samples for Verification: Submit a minimum of 3 sets of Samples. Architect will retain one, one is to be maintained in the field, and one is to be returned to the Subcontractor.
    - 1) If variation in color, pattern, texture, or other characteristic is inherent in the product represented by a Sample, submit at least 3 sets of paired units that show approximate range of the variations.
    - 2) Refer to individual Specification Sections for requirements for Samples that illustrate workmanship, fabrication techniques, details of assembly, connections, operation, and similar construction characteristics.

## 2.2 INFORMATIONAL SUBMITTALS

- A. General: Prepare and submit Informational Submittals required by other Specification Sections.
  1. Certificates and Certifications: Provide a notarized statement that includes signature of entity responsible for preparing certification. Certificates and certifications shall be signed by an officer or other individual authorized to sign documents on behalf of that entity.
  2. Test and Inspection Reports: Comply with requirements in Division 01 Section "Quality Requirements."
- B. Qualification Data: Prepare written information that demonstrates capabilities and experience of firm or person. Include lists of completed projects with project names and addresses, names and addresses of architects and owners, and other information specified.

- C. Product Certificates: Prepare written statements on manufacturer's letterhead certifying that product complies with requirements.
- D. Welding Certificates: Prepare written certification that welding procedures and personnel comply with requirements. Submit record of Welding Procedure Specification (WPS) and Procedure Qualification Record (PQR) on AWS forms. Include names of firms and personnel certified.
- E. Installer Certificates: Prepare written statements on manufacturer's letterhead certifying that Installer complies with requirements and, where required, is authorized for this specific Project.
- F. Manufacturer Certificates: Prepare written statements on manufacturer's letterhead certifying that manufacturer complies with requirements. Include evidence of manufacturing experience where required.
- G. Material Certificates: Prepare written statements on manufacturer's letterhead certifying that material complies with requirements.
- H. Material Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting test results of material for compliance with requirements.
- I. Preconstruction Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of tests performed before installation of product, for compliance with performance requirements.
- J. Compatibility Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of compatibility tests performed before installation of product. Include written recommendations for primers and substrate preparation needed for adhesion.
- K. Field Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of field tests performed either during installation of product or after product is installed in its final location, for compliance with requirements.
- L. Product Test Reports: Prepare written reports indicating current product produced by manufacturer complies with requirements. Base reports on evaluation of tests performed by manufacturer and witnessed by a qualified testing agency, or on comprehensive tests performed by a qualified testing agency.
- M. Maintenance Data: Prepare written and graphic instructions and procedures for operation and normal maintenance of products and equipment. Comply with requirements in Division 01 Section "Closeout Procedures."
- N. Manufacturer's Instructions: Prepare written or published information that documents manufacturer's recommendations, guidelines, and procedures for installing or operating a product or equipment. Include name of product and name, address, and telephone number of manufacturer. Include the following, as applicable:
  - 1. Preparation of substrates.

2. Required substrate tolerances.
  3. Sequence of installation or erection.
  4. Required installation tolerances.
  5. Required adjustments.
  6. Recommendations for cleaning and protection.
- O. Manufacturer's Field Reports: Prepare written information documenting factory-authorized service representative's tests and inspections. Include the following, as applicable:
1. Name, address, and telephone number of factory-authorized service representative making report.
  2. Statement on condition of substrates and their acceptability for installation of product.
  3. Statement that products at Project site comply with requirements.
  4. Summary of installation procedures being followed, whether they comply with requirements and, if not, what corrective action was taken.
  5. Results of operational and other tests and a statement of whether observed performance complies with requirements.
  6. Statement whether conditions, products, and installation will affect warranty.
  7. Other required items indicated in individual Specification Sections.
- P. Insurance Certificates and Bonds: Prepare written information indicating current status of insurance or bonding coverage. Include name of entity covered by insurance or bond, limits of coverage, amounts of deductibles, if any, and term of the coverage.

### **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 Architect.
- 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 of Contractor's approval, signature/initials of reviewer, and statement certifying that submittal has been reviewed, checked, and approved for compliance with the Contract Documents.

#### **3.2 ARCHITECT'S ACTION**

- A. General: Architect will not review submittals that do not bear Contractor's approval stamp or which, in the Architect's opinion, are incomplete, contain numerous errors, have not been checked or have only been checked superficially, and will return them without action.
- B. Action Submittals: Architect will review each submittal, make marks to indicate corrections or modifications required, and return it. Architect will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action taken:

***EDIT THE FOLLOWING AS REQUIRED TO COORDINATE WITH REVIEW STAMP LANGUAGE. BELOW ARE INCLUDED AS EXAMPLES.***

1. "Reviewed: No Exceptions Taken." No further review of Submittal required. The Work covered by the submittal may proceed, provided it complies with requirements of the Contract Documents.
  2. "Reviewed: Make Corrections Noted." Incorporate corrections in Work; resubmittal is not required. The Work covered by the submittal may proceed, provided it complies with the notations or corrections indicated on the submittal and with requirements of the Contract Documents. If Contractor cannot comply with corrections as noted, revise to respond to exceptions and resubmit.
  3. "Rejected: Revise and Resubmit." The submittal is deficient or has been found to deviate or be in conflict with the requirements of the Contract Documents. Revise as noted and resubmit for further review. The Work covered by the submittal may not proceed.
  4. "Rejected: Not Acceptable for Review." The submittal is deficient or has been found to deviate or be in conflict with the requirements of the Contract, and has not been reviewed. Immediately prepare a new submittal, complying with the requirements of the Contract, and resubmit. The Work covered by the submittal may not proceed.
  5. "Received for Record Only." Submittal not reviewed.
- C. Informational Submittals: Architect may review each Submittal and will not return it, or will reject and return each Submittal if it does not conform to the requirements of the Contract Documents.
- D. Submittals not required by the Contract Documents will not be reviewed and may be discarded.
- E. Do not permit Submittals marked "rejected" (or similar markings) to be used at the Site, or elsewhere where Work is in progress.

**END OF SECTION**