

SECTION 01 3300 SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.1 RELATED DOCUMENTS

Drawings and general provisions of the Contract, including General and Supplementary Conditions and other Division 01 Specification Sections, apply to this section.

Related Requirements: Requirements for construction schedules, coordination drawings, schedule of values, testing and other reports, and close out documents are specified elsewhere.

1.2 SUMMARY

Section includes the requirements for the submittal schedule and administrative and procedural requirements for submitting shop drawings, product data, samples and other submittals.

1.3 DEFINITIONS

- A. Action Submittals: Written and graphic information and physical samples that require action and response by the Design Professional and Contractor. Requirements for Action Submittals are described in individual Specification Sections.
- B. Informational Submittals: Written and graphic information and physical samples that do not require action and response by the Design Professional and Contractor. Submittals may be rejected for not complying with requirements. Requirements for Informational Submittals are described in individual Specification Sections.
- C. File Transfer Protocol (FTP): Communications protocol that enables transfer of files over a network. An FTP site is a portion of a network within which internal and external users are able to access files.
- D. Portable Document Format (PDF): An open standard file format licensed by Adobe Systems used for representing documents in a device-independent and display resolution-independent fixed-layout document format.

1.4 ACTION SUBMITTALS

- A. Submittal Schedule: Submit a schedule of submittals, arranged in chronological order, coordinated with activities on the construction schedule. Include time required for review, ordering, manufacturing, fabrication and delivery when establishing submittal dates. Include sufficient time for Contractor's review of subcontractor submittals, time required for making corrections to submittals as noted by the Contractor and Design Professional, and time to process submittals required by those corrections.
- B. Coordinate the submittal schedule with the list of subcontracts, the schedule of values, and the Contractor's Construction Schedule.
- C. Initial Submittal: submit concurrently with the initial Contractor's Construction Schedule. Include submittals required during the first 30 days of construction. List those submittals required to maintain orderly progress of the Work and those required early because of long lead time for manufacture or fabrication.
- D. Update Submittals: submit an updated submittal schedule with each Construction Schedule update, to reflect changes in status and timing of submittals.

- E. Format: Arrange the following information in a tabular format:
1. Scheduled date for first submittal
 2. Specification Section number and title
 3. Submittal category: Action or Informational
 4. Name of Subcontractor
 5. Description of the Work covered
 6. Scheduled date for Design Professional's final release or approval
 7. Scheduled date of fabrication
 8. Scheduled dates for procurement
 9. Scheduled dates for installation
 10. Activity name or number as indicated on Construction Schedule

1.5 ADMINISTRATIVE REQUIREMENTS

- A. Design Professional's Digital Data Files: The Design Professional will allow the use of Adobe .PDF drawing files of the Contract Drawings for use in preparing Shop Drawings and other submittals.
1. Overall Plan view drawings for each discipline may be used by the Contractor in the preparation of Shop Drawings and other submittals.
 2. Use of large scale drawings, details, sections and schedules prepared by the Design Professional are expressly disallowed for preparing Shop Drawings and other submittals.
- B. Coordination: Coordinate preparation and processing of submittals with construction activities.
1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals and related activities that require sequential activity.
 2. Submit all items required for each Specification Section concurrently unless partial submittals for portions of the Work are indicated on the approved submittal schedule.
 3. Submit action submittals and informational submittals required by the same Specification Section as separate packages under separate transmittals.
 4. Coordinate transmittal of different of submittals for related parts of the work so that processing will not be delayed because of the need to review submittals concurrently for coordination. The Design Professional has the right to withhold action on a submittal which requires coordination with other submittals until all related submittals are received.
- C. Processing Time: Allow time for submittal review, including time for resubmittals, as follows. Time for review shall commence upon receipt of submittal by the Design Professional. No extension of the Contract Time will be authorized because of failure to transmit submittals sufficiently in advance of the Work to allow for processing, including resubmittals.
1. Initial Review: Allow 7 days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required. Design Professional will advise Contractor within 48 hours of receipt when review of a submittal must be delayed pending receipt of related submittals.
 2. Intermediate or Supplemental Review: if intermediate or supplemental submittal is necessary, process it in the same manner as initial submittal.
 3. Resubmittal Review: Allow 7 days for review of each resubmittal.

4. Sequential Review: where sequential review of submittals by the Design Professional and Owner is indicated, allow 14 days for total review time unless otherwise indicated herein.
- D. Paper Submittals: place a permanent label or title block on each submittal item for identification.
- E. Electronic Submittals: Identify and incorporate information in each electronic submittal file as follows:
1. Assemble each submittal package into a single bookmarked .pdf file incorporating the transmittal form as page 1. Submittals from different spec sections are to be submitted as separate packages with separate transmittal forms.
 2. Name file as follows; no exceptions: Project identifier; Specification Section number; submittal name, revision identifier. Example: SHS-092000-Carpet-Rev2
 3. Include Contractor's review stamp and annotations on each submittal.
- F. Transmittal Form: provide the following information on each transmittal form:
1. Project Name (Example: SHS Renovations)
 2. Date
 3. Name of Design Professional
 4. Name of Contractor
 5. Name of entity that prepared the submittal
 6. Names of Subcontractor, supplier, and manufacturer
 7. Type of Submittal (Action or Informational)
 8. Specification Section
 9. Description of Material or System being submitted
 10. Related submittals
 11. Submittal number, to coordinate with the Submittal Schedule
 12. Distribution list
 13. Remarks
- G. Options: identify options requiring selection by the Architect
- H. Deviations and Additional Information: Submit on an attached separate page, prepared on Contractor's letterhead, additional information, requests for information, proposed corrections other than those requested by the Design Professional on previous submittals, and proposed deviations from the requirements in the Contract Documents, including minor variations and limitations. Include the same information on related submittals.
- I. Resubmittals: Make resubmittals in the same form as original submittal. Unless otherwise approved, resubmit the entire document. In addition:
1. Note date and content of previous submittal
 2. Note date and content of revision in label or title block and clearly indicate the extent of the revision
 3. Resubmit submittals until they're marked with the approval notation from the Design Professional's Action Stamp.
- J. Use for Construction: Retain complete printed copies of submittals on Project site. Use only final submittals that are marked with the approval notation from the Design Professional's Action Stamp.

K. General Submittal Procedural Requirements:

Prepare and submit submittals as required in individual Specification Sections.

1. Shop Drawings:

- a. Transmit shop drawings and other printed submittals as PDF files EITHER by means of an FTP Site specifically established for the project OR by e-mail. Design Professional will return annotated .pdf file.
- b. Prepare project-specific information, drawn accurately to scale. Do not submit reproductions of the Contract Documents or standard printed data as shop drawings.
- c. Include the following information, as applicable:
 - 1) Identification of products
 - 2) Schedules
 - 3) Evidence of compliance with specified standards
 - 4) Notation of coordination requirements
 - 5) Notation of dimensions established by field measurement
 - 6) Relationship and attachment to adjoining construction clearly indicated
 - 7) Seal and signature of professional engineer if specified

2. Product Data:

- a. Collect information into a single submittal for each element of construction and type of product or equipment.

Note: if information is specially prepared for the project because standard manufacturers published data is not suitable for use, submit as Shop Drawings, not as Product Data Submit
- b. Submit Product Data before or concurrent with samples, where samples are required.
- c. Submit Product Data in PDF electronic format.
- d. Mark product data to show which products and options are applicable.
- e. Include the following information as applicable:
 - 1) Manufacturers catalog cuts
 - 2) Manufacturers product specifications
 - 3) Color charts (full line of available colors unless otherwise specified)
 - 4) Statement of compliance with specified referenced standards
 - 5) Testing by recognized testing agency
 - 6) Application of testing agency labels and seals
 - 7) Notation of coordination requirements
 - 8) Availability and delivery time information
- f. For equipment, include the following in addition to the above, as applicable:
 - 1) Wiring diagrams showing factory-installed wiring
 - 2) Printed performance curves
 - 3) Operational diagrams
 - 4) Clearances required to other construction, if not indicated on accompanying Shop Drawings
 - 5) Access and service panel locations

3. Samples:
 - a. Submit three (3) samples of each material for review of kind, color, pattern and texture, for review of these characteristics with other new and existing materials, and for final comparison between the submitted sample and the actual material as delivered and installed.
 - b. Submit manufacturer's full range of available colors, patterns and textures unless otherwise specified. The Contractor is responsible for delays and extra costs resulting from submittal of incomplete samples.
 - c. Samples for selection of color, pattern and texture will be held pending receipt of all such samples. Complete array of samples must be provided to the architect no later than 3 weeks from issuance of the Notice to Proceed, or earlier if needed to allow time for color selection by the Owner and to avoid delaying a critical path activity.
 - d. Allow 3 weeks for the Owner's color selection process, commencing when all samples have been submitted to the Design Professional.
 - e. Submit full-size units or samples of size indicated, prepared from the same material to be used for the Work, cured and finished in the manner specified, and physically identical with the material or product proposed for use
 - f. Submit the sample quantity and size necessary to exhibit the full range of color and texture variations expected.
 - g. Maintain a set of approved samples at the Project Site, available for quality-control comparisons throughout the course of the construction. Sample sets may be used to determine final acceptance of construction.
4. Where specified, provide the following:
 - a. Certificates and Certifications Submittals:
 - 1) Provide a statement that includes the signature of the 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) Provide a digital signature with digital certificate on electronically submitted certificates and certifications where indicated.
 - 3) Provide a notarized statement on original paper copy certificates and certifications where indicated.
 - b. Qualification Data: Prepare written information that demonstrates capabilities and experience of the firm or person. Include lists of completed projects with project names and addresses, contact information of architects and owners, and other information specified.
 - c. Welding Certificates: Prepare written certification that welding procedures and personnel comply with the requirements of the Contract Documents.
 - d. Installer Certificates: Submit written statements on manufacturer's letterhead certifying that Installer complies with the requirements in the Contract Documents.
 - e. Manufacturer Certificates: Submit written statements on manufacturer's letterhead certifying that the manufacturer complies with the requirements in the Contract Documents.

- f. Product Certificates: Submit written statements on manufacturer's letterhead certifying that the product complies with the requirements in the Contract Documents.
- g. Material Certificates: Submit written statements on manufacturer's letterhead certifying that the material meets the requirements of the Contract Documents.
- h. Product Test Reports: Submit written reports indicating that current product produced by the manufacturer complies with the requirements of the Contract Documents. Statement is to be based on evaluation of tests performed by the manufacturer and witnessed by a qualified testing agency or on comprehensive tests performed by a qualified testing agency.
- i. Design Data: Prepare and submit written and graphic information, including but not limited to, performance and design criteria, calculations, and list of applicable codes, standards and regulations.
- j. Delegated Design Services
 - 1) Performance and Design Criteria: Where professional design services or certifications by a design professional are specifically required of the Contractor in the Contract Documents, provide products and systems complying with specific performance and design criteria as indicated.
 - 2) If criteria indicated are not sufficient to perform services or to provide the certification required, submit a request for additional information to the Design Professional.

PART 2 – PRODUCTS

Not Applicable

PART 3 – EXECUTION

3.1 CONTRACTOR'S REVIEW

- A. Action and Informational Submittals: Review each submittal and check for coordination with other Work and for compliance with the Contract Documents. Note corrections and mark field dimensions as verified.
- B. Mark with approval stamp before submitting to the Architect. Approval stamp is to include a statement certifying that the submittal has been reviewed, checked and approved for compliance with the Contract Documents, the Project Name indicator, specification section number, title of submittal, name of reviewer, and date of Contractor's approval.

3.2 DESIGN PROFESSIONAL'S ACTION

- A. Action Submittals: Design Professional will review each submittal, make marks to indicate corrections or revisions required to bring the submittal into compliance, and return it. Design Professional will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action.
- B. Informational Submittals: Design Professional will review each submittal and will not return it, or will return it in the case that it does not comply with the specified requirements.

C. Incomplete submittals will be considered non-responsive and will be returned for resubmittal without review.

D. Submittals which are not required by the Contract Documents may be returned without action.

END OF SECTION 01 3300