

SECTION 01 33 00 - SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.1 SUMMARY

- A. This Section includes administrative and procedural requirements for submitting all project submittals, including product data, product certificates, manufacturer certificates, test reports, shop drawings, color and finish selection information, samples, and other submittals.
- B. See also all other Divisions and Sections for additional submittal information as required by the Design Professional.

1.2 SUBMITTAL TYPES / DEFINITIONS

- A. Each submittal must be identified according to the following submittal types:
 - 1. Informational Submittal: Submittal item that is made for the purpose of supplying required information or information which demonstrate compliance with project requirements. While an Informational Submittal does not require the Design Professional's or Consultant's responsive action, it may be rejected for not complying with requirements, in which case the item would be required to be re-submitted. Also, in certain instances, corrective work may be required as the result of a rejected Informational Submittal.
 - 2. Action Submittal: Submittal item that is made for the purpose of supplying required information or information which demonstrate compliance with project requirements, and which does require the Design Professional's or Consultant's responsive action. Except as directed or indicated otherwise, an Action Submittal shall be submitted and approved prior to the commencement of the work to which it pertains.
 - 3. Administrative Submittal: Submittal item that is required as a part of general project management and administration. Most or all Administrative Submittals will be Informational Submittals.
 - 4. Technical Submittal: Submittal item that pertains to a particular aspect of the actual work.
Most Technical Submittals will be Action Submittals, although some will instead be informational submittals.
 - 5. Periodic Submittal: Submittal item that is required during the course of construction (such as manufacturing or installation reports). Most or all Periodic Submittals will be Informational Submittals.
 - 6. Job-End Submittal: Submittal item that is required as a part of project close-out, operation and maintenance information, warranties, record documents, demonstration and training, or special requirements associated with Material and Final Completion. Do not submit Job-End Submittals with Technical Submittals. Most or all Job-End Submittals will be Informational Submittals.
 - 7. Component Submittal: Submittal (more accurately, transmittal) of actual components, such as extra materials, tools, parts that are specified to be required. While a Component Submittal does not require the Design Professional's or Consultant's responsive action, it may be rejected for not complying with requirements, in which case the item would be required to be re-submitted. Also, corrective work may be required as the result of a rejected Informational Submittal.

- B. Do not transmit or bind different type submittals together when such would encumber proper handling or action by the Design Professional; for instance, do not bind Informational Submittals together with Action Submittals.

1.3 SUBMITTAL PROCEDURES

- A. 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 will not be delayed because of need to review submittals concurrently for coordination.
 - a. Design Professional may withhold action on a submittal requiring coordination with other submittals until related submittals are received. Failure on the part of the Design Professional to notify the Contractor that action on a submittal is pending related submittals shall not be cause for an extension in the Contract Time.
- B. Submittals Schedule/Log: Maintain and periodically submit a Schedule/Log of Submittals.

Coordinate submittal and action dates with the Project Schedule, allowing adequate time {14 calendar days minimum} for review and action by the Design Professional, re-submittal, re- review and action, field measuring, ordering, manufacturing, fabrication, and delivery.

 - 1. Include for each line entry in the Submittal Schedule/Log columns to indicate no less than the following information:
 - a. Number
 - b. Section Article Number
 - c. Subject or Description
 - d. Content
 - e. Type Product
 - f. Type
 - g. Date, scheduled
 - h. Date, actual
 - i. Review Action Date, scheduled (for Action Submittals)
 - j. Review Action Date, actual (for Action Submittals)
 - k. Review Action
 - 2. Coordinate Submittals Schedule with list of subcontracts, the Schedule of Values, and Contractor's Construction Schedule.
 - 3. Submit current updated Submittal Schedule / Logs no less frequently than monthly and more frequently when required by the Design Professional.
- C. Identification / Transmittal of Submittals: Use the Project "Submittal Cover / Transmittal Sheet" form, which follows this Section, to transmit ALL submittal items, without exception. Complete all information on the form, entering "NA" in blanks that are not applicable. For Action Submittals, attach a fully completed copy of the "Project Submittal Cover / Transmittal Sheet" to the front of each and every copy of each and every submittal. A partially editable electronic copy of the "Project Submittal Cover / Transmittal Sheet" will be made available to the Contractor upon request. Submittals that are not properly and correctly identified will be returned with no action, a re-submittal will be required, and attributable

delays will not be considered as cause for an extension in Contract Time.

- D. Processing Time: Allow enough time {14 calendar days minimum} for submittal review, including time for re-submittals, as follows. Time for review shall commence on Design Professional's receipt of submittal. No extension of the Contract Time will be authorized because of failure to transmit submittals enough in advance of the Work to permit processing, including re-submittals.
1. Initial Review: Allow 14 days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required. Design Professional will advise Contractor when a submittal being processed must be delayed for coordination.
 2. Intermediate Review: If intermediate submittal is necessary, process it in same manner as initial submittal.
 3. Re-submittal Review: Allow 14 days for review of each re-submittal.
- E. Deviations: Highlight, encircle, or otherwise specifically identify deviations from the Contract Documents on submittals.
- F. Additional Copies: Unless additional copies are required for final submittal, and unless Design Professional observes noncompliance with provisions in the Contract Documents, initial submittal may serve as final submittal.
1. All copies including additional copies submitted for maintenance manuals less three will not be marked with action taken and will be returned.
- G. 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. Resubmit submittals until they are returned with a review stamp and note by either the Design Professional or his Consultant that does not indicate the requirement that they be resubmitted.
 4. The Design Professional shall be responsible for an initial and one subsequent review of the submittal. The Contractor shall be liable for additional cost of subsequent reviews due to non-compliance.
- H. Distribution: Furnish copies of final submittals to manufacturers, subcontractors, suppliers, fabricators, and installers, authorities having jurisdiction, and others as necessary for performance of construction activities. Show distribution on transmittal forms.
- I. Use for Construction: Use only final submittals with mark indicating a review stamp and note by either the Design Professional or his Consultant that does not indicate the requirement that they be resubmitted.
- J. All submittals shall be made in a manner that will accommodate the progress of construction. No extension of Contract Time will be issued for construction delays caused by untimely submittals. All Action Submittals and all other submittals that are deemed relevant to the progress of the Work shall be provided according to the approved Submittals Schedule, and all such submittals shall be provided no later than within 60 days of commencement of work or other notice to provide submittals, or within 15% of the project schedule, whichever time

period is shortest.

- K. If at the time of an Application for Payment, the provision of submittals is behind schedule, based on the current approved Submittal Schedule, the Contractor may not be allowed to request funds for General Conditions, which, if requested, will cause the Application to be returned without action.
- L. If the Agreement allows for the reduction of retainage, this reduction shall not be approved or allowed until all Action Submittals and all other submittals that are deemed relevant to the progress of the Work have been approved.

1.4 CONTRACTOR'S USE OF DESIGN PROFESSIONAL'S CAD FILES

- A. General: At Contractor's written request, copies of Design Professional's electronic drawing files may be provided on a limited basis to Contractor for Contractor's use in connection with Project, subject to the following conditions:
 - 1. The Design Professional assumes no liability for reliance upon these documents instead of actual physical measurements or examination of actual field conditions. The Design Professional's drawings are copyrighted and may not be used for any purposes other than for the construction of this building at this time and place.
 - 2. Each request must include specific information about the intended use of the electronic drawings, and the type electronic drawing file sought, and a list of the specific drawing sheets sought. These will be provided in response to each request at the sole discretion of the Design Professional.

PART 2 - PRODUCTS

2.1 ACTION SUBMITTALS

- A. General: Prepare and submit Action Submittals required by individual Specification Sections.
 - 1. Except as approved by the Design Professional, submit all Action Submittals required by each Section at one time. Bind and consolidate these to the greatest extent possible, taking care however that each individual submittal requirement is included.
- 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. Mark each copy of each submittal to show which products and options are applicable.
 - 3. Include the following information, as applicable:
 - a. Manufacturer's written recommendations.
 - b. Manufacturer's product specifications.
 - c. Manufacturer's installation instructions.
 - d. Manufacturer's catalog cuts.
 - e. Wiring diagrams showing factory-installed wiring.
 - f. Printed performance curves.
 - g. Operational range diagrams.
 - h. Compliance with specified referenced standards.
 - i. Testing by recognized testing agency.

4. Number of Copies: Submit copies of Product Data in a quantity to meet Contractor's requirements, considering that the Design Professional will retain three copies. Mark up and retain one returned copy as a Project Record Document.
- 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, unless submittal of Design Professional's electronic Drawings is otherwise permitted.
1. Preparation: Fully illustrate requirements in the Contract Documents. 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. Notation of coordination requirements.
 - j. Notation of dimensions established by field measurement.
 - k. Relationship to adjoining construction clearly indicated.
 - l. Seal and signature of professional engineer if specified.
 - m. Wiring Diagrams: Differentiate between manufacturer-installed and field-installed wiring.
 2. 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.
 3. Number of Copies: Submit copies in a quantity to meet Contractor's requirements, considering that the Design Professional will retain three copies.
- 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.
1. Transmit Samples that contain multiple, related components such as accessories together in one submittal package.
 2. Identification: Attach label on unexposed side of Samples that includes the following:
 - a. Generic description of Sample.
 - b. Product name and 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.
 - a. Number of Samples: Submit no fewer than five full set(s) of available choices where color, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line. Design Professional will retain three and will return the remaining submittal(s) with options selected.
 5. Samples for Verification: Submit full-size units or Samples of size indicated, prepared

from same material to be used for the Work, cured and finished in manner specified, and physically identical with material or 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: Submit no fewer than four sets of Samples. Design Professional will retain three Sample sets; remainder will be returned. Mark up and retain one returned Sample set as a Project Record Sample.
- E. Product Schedule or List: As required in individual Specification Sections, prepare a written summary indicating types of products required for the Work and their intended location.
1. Number of Copies: Submit copies of product schedule or list in a quantity to meet Contractor's requirements, considering that the Design Professional will retain three copies.
- F. Applications for Payment: Comply with requirements specified in Division 01 Section "Payment Procedures."
- G. Schedule of Values: Comply with requirements specified in Division 01 Section "Payment Procedures."
- I. List of Subcontractors and Suppliers, including Local and/or MWBE participants: 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. Include company names, addresses, contacts, phone numbers, fax numbers, and email addresses.
1. Number of Copies: Submit no fewer than four copies of list, unless otherwise indicated.
 2. Local and/or MWBE Monthly Report: Submit with Monthly Payment Application on Forms specified in the original solicitation documents.

2.2 INFORMATIONAL SUBMITTALS

- A. General: Prepare and submit Informational Submittals required by other Specification Sections.
1. Number of Copies: Submit three copies of each submittal, unless otherwise indicated.
Design Professional will not return copies.
 2. 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.
 3. Test and Inspection Reports: Comply with requirements specified in Division 01 Section "Quality Requirements." Instruct all testing and reporting agents to forward copies of all documents directly to the Design Professional.
- B. Coordination Drawings: Comply with requirements specified in Division 01 Section "Project Management and Coordination."

- C. Contractor's Construction Schedule: Comply with requirements specified in Division 01 Section "Construction Progress Documentation."
- D. 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 Design Professionals and owners, and other information specified.
- E. Welding Certificates: Prepare written certification that welding procedures and personnel comply with requirements in the Contract Documents. Submit record of Welding Procedure Specification (WPS) and Procedure Qualification Record (PQR) on AWS forms. Include names of firms and personnel certified.
- F. Installer Certificates: Prepare written statements on manufacturer's letterhead certifying that Installer complies with requirements in the Contract Documents and, where required, is authorized by manufacturer for this specific Project.
- G. Manufacturer Certificates: Prepare written statements on manufacturer's letterhead certifying that manufacturer complies with requirements in the Contract Documents. Include evidence of manufacturing experience where required.
- H. Product Certificates: Prepare written statements on manufacturer's letterhead certifying that
product complies with requirements in the Contract Documents.
- I. Material Certificates: Prepare written statements on manufacturer's letterhead certifying that material complies with requirements in the Contract Documents.
- J. 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 in the Contract Documents.
- K. Product Test Reports: Prepare written reports indicating current product produced by manufacturer complies with requirements in the Contract Documents. 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.
- L. Research/Evaluation Reports: Prepare written evidence, from a model code organization acceptable to authorities having jurisdiction, that product complies with building code in effect for Project.
- M. 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 in the Contract Documents.
- N. 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.
- O. 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 in the Contract Documents.

- P. Maintenance Data: Prepare written and graphic instructions and procedures for operation and normal maintenance of products and equipment. Comply with requirements specified in Division 01 Section "Operation and Maintenance Data."
- Q. Design Data: Prepare written and graphic information, including, but not limited to, performance and design criteria, list of applicable codes and regulations, and calculations. Include list of assumptions and other performance and design criteria and a summary of loads. Include load diagrams if applicable. Provide name and version of software, if any, used for calculations. Include page numbers.
- R. 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.
- S. Manufacturer's Field Reports: Prepare written information documenting factory-authorized service representative's tests and inspections. Include the following, as applicable:
 - 1. Statement on condition of substrates and their acceptability for installation of product.
 - 2. Summary of installation procedures being followed, whether they comply with requirements and, if not, what corrective action was taken.
 - 3. Results of operational and other tests and a statement of whether observed performance complies with requirements.
- T. 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.
- U. Construction Photographs: Comply with requirements specified in Division 01 Section "Photographic Documentation."
- V. Material Safety Data Sheets (MSDSs): Submit information directly to Owner; do not submit to Design Professional.
 - 1. Design Professional will not review submittals that include MSDSs and will return them for re-submittal.

2.3 DELEGATED DESIGN

- A. Performance and Design Criteria: Where professional design services or certifications by a design professional are specifically required of Contractor by the Contract Documents, provide products and systems complying with specific performance and design criteria indicated.
 - 1. If criteria indicated are not sufficient to perform services or certification required, submit a written request for additional information to Design Professional.
- B. Delegated-Design Submittal: In addition to Shop Drawings, Product Data, and other required submittals, submit copies of a statement, in a count no fewer than that of the shop drawing or other type submittal to which it is in relation, signed and sealed by the responsible

design professional, for each product and system specifically assigned to Contractor to be designed or certified by a design professional.

1. Indicate that products and systems comply with performance and design criteria in the Contract Documents. Include list of codes, loads, and other factors used in performing these services.

PART 3 - EXECUTION

3.1 CONTRACTOR'S REVIEW

All submittals shall be reviewed and approved by the Contractor prior to submittal to the Design professional. Submittals that are not fully and properly reviewed by the Contractor will be returned with no action, and a re-submittal will be required, and attributable delays will not be considered as cause for an extension in Contract Time. Review each submittal and check for coordination with other Work of the Contract and for compliance with the Contract Documents. Note corrections and field dimensions.

3.2 DESIGN PROFESSIONAL'S ACTION

- A. General: Design Professional will not review submittals that do not bear Contractor's approval stamp and will return them without action.
- B. Action Submittals: Design Professional will review each submittal, make marks to indicate corrections or modifications required, and return it. Design Professional will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action taken.
- C. Informational Submittals: Design Professional will review each submittal and will not return it, or will return it if it does not comply with requirements.
- D. Partial submittals are not acceptable, will be considered non-compliant, and will be returned without review.
 1. Should the Contractor proceed with the Work without the required full review of complete submittals, he does so at his sole risk. In any event and at any time it is determined that a missing portion of a submittal is needed in order to ensure compliance with the Contract Documents; the Contractor shall immediately submit the missing portion. No increase in the Contract Amount or the Contract Time will be allowed, nor will any variations from the requirements of the Contract Documents be allowed as a result of the failure on the part of the Contractor to provide complete submittals, or as a result of the failure of the Design Professional to garner complete submittals from the Contractor.
- E. Submittals not required by the Contract Documents may not be reviewed and may be discarded.
- F. In no case shall any review action or comments on the part of the Design Professional or his Consultants be construed to authorize compensable extra Work or an increase in Contract Amount or Contract Time.

END OF SECTION