# 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. Section includes requirements for the submittal schedule and administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other submittals.

B. Related Requirements:

1. Division 1 Section "Payment Procedures" for submitting Applications for Payment and the schedule of values.
2. Division 1 Section "Project Record Documents" for submitting record Drawings, record Specifications, and record Product Data.
3. Division 1 Section "Operation and Maintenance Data" for submitting operation and maintenance manuals.
4. Division 1 Section "Demonstration and Training" for submitting video recordings of demonstration of equipment and training of Owner's personnel.

### 1.3 WORK WITHOUT SUBMITTALS

A. Owner may withhold payment for the value of Work installed without first completing the required submittal process, when submittal is required by individual specification sections. Refer to section 01290 “Payment Procedures”.

### 1.4 DEFINITIONS

A. Action Submittals: Written and graphic information and physical samples that require Architect's responsive action. Action submittals are those submittals indicated in individual Specification Sections as "action submittals."

B. Informational Submittals: Written and graphic information and physical samples that do not require Architect's and Construction Manager's responsive action. Submittals may be rejected for not complying with requirements. Informational submittals are those submittals indicated in individual Specification Sections as "informational submittals."

## 1.5 ACTION SUBMITTALS

A. Submittal Schedule: Submit a schedule of submittals, arranged in chronological order by dates required by construction schedule. Include time required for review, ordering, manufacturing, fabrication, and delivery when establishing dates. Include additional time required for making corrections or revisions to submittals noted by Architect and additional time for handling and reviewing submittals required by those corrections.

1. Coordinate submittal schedule with list of subcontracts, the schedule of values, and Contractor's construction schedule.
2. Initial Submittal: Submit concurrently with startup construction schedule. Include submittals required during the first 60 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.
3. Final Submittal: Submit concurrently with the first complete submittal of Contractor's construction schedule.

    a. Submit revised submittal schedule to reflect changes in current status and timing for submittals.

4. Format: Arrange the following information in a tabular format:

    a. Scheduled date for first submittal.
    b. Specification Section number and title.
    c. Submittal category: Action; informational.
    d. Name of subcontractor.
    e. Description of the Work covered.
    f. Scheduled date for Architect's final release or approval.
    g. Scheduled date of fabrication.
    h. Scheduled dates for purchasing.
    i. Scheduled dates for installation.
    j. Activity or event number.

## 1.6 SUBMITTAL ADMINISTRATIVE REQUIREMENTS

A. Coordination: Coordinate preparation and processing of submittals with performance of construction activities. The Prime Contractor shall:

1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
2. Submit all submittal items required for each Specification Section concurrently unless partial submittals for portions of the Work are indicated on 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 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. Architect may withhold action on a submittal requiring coordination with other submittals until related submittals are received.

b. Architect may return submittals not according to submittal requirements, “Not Reviewed.”
c. Architect may return submittal deemed not required, “Not Reviewed.”
d. Architect will return submittals without the expressed approval from the Prime Contractor, “Not Reviewed.”

B. Processing Time: Allow time for submittal review, including time for resubmittals, as follows. Time for review shall commence on Architect'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 resubmittals.

1. Initial Review: Allow 10 working days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required. Architect will advise Contractor when a submittal being processed must be delayed for coordination.
2. Resubmittal Review: Allow 10 working days for review of each resubmittal as per Initial Review.
3. Sequential Review: Where sequential review of submittals by Architect's consultants, Owner, or other parties is required, allow 15 working days for initial review of each submittal.

C. Paper Submittals: Place a permanent label or title block on each submittal item for identification.

1. Indicate name of firm or entity that prepared each submittal on label or title block.
2. Provide a space approximately 6 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 for processing and recording action taken:

a. Project name.
b. Date.
c. Name of Architect.
d. Name of Contractor.
e. Name of subcontractor.
f. Name of supplier.
g. Name of manufacturer.
h. Submittal number or other unique identifier, including revision identifier.

1) Submittal number shall use Specification Section number followed by a decimal point and then a sequential number (e.g., 06100.01). Resubmittals shall include an alphabetic suffix after another decimal point (e.g., 06100.01.A).

i. Number and title of appropriate Specification Section.
j. Drawing number and detail references, as appropriate.
k. Location(s) where product is to be installed, as appropriate.
l. Other necessary identification.

4. Additional Paper Copies: Unless additional copies are required for final submittal, and unless Architect observes noncompliance with provisions in the Contract Documents, initial submittal may serve as final submittal.

5. Submittal Transmittal: Package each submittal appropriately for transmittal and handling. Transmit each submittal from the Contractor to the Architect using one copy only of the transmittal form attached at the end of this section for each submittal package. The Architect will not accept submittals received from sources other than the Prime Contractor or without the Prime Contractor's coordination and approval.

    a. Transmittal Form: Use the sample form at the end of this Section for transmittal of submittals. The Architect will furnish an electronic file copy of these transmittal forms.
    b. On the transmittal, record relevant information and requests for data. On the form, or on a separate attached sheet, record deviations from Contract Document requirements, including variations and limitations.
    c. Transmittal form shall be printed on colored paper. Color to be determined by Architect.

D. Options: Identify options requiring selection by Architect.

E. Deviations and Additional Information: On an attached separate sheet, prepared on Contractor's letterhead, record relevant information, requests for data, revisions other than those requested by Architect on previous submittals. Prominently note any deviations from requirements in the Contract Documents, including minor variations and limitations. Include same identification information as related submittal.

F. 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 marked with approval notation from Architect's action stamp.
    4. Note submittal number on the submittal transmittal where indicated.

G. 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.

H. Use for Construction: Retain complete copies of submittals on Project site. Use only final action submittals that are marked with approval notation from Architect's action stamp.

## PART 2 - PRODUCTS

### 2.1 SUBMITTAL PROCEDURES

A. General Submittal Procedure Requirements: Prepare and submit submittals required by individual Specification Sections. Types of submittals are indicated in individual Specification Sections.

    1. Action Submittals: Submit Five (5) paper copies of each submittal unless otherwise indicated. Architect will return two (2) copies.

2. Informational Submittals: Submit three (3) paper copies of each submittal unless otherwise indicated. Architect will not return copies.
3. Certificates and Certifications Submittals: Provide a 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.

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 published 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 catalog cuts (cross out those that are not applicable to the project.)
   b. Manufacturer's product specifications (submit only those applicable to the project.)
   c. Full offering color charts.
   d. Statement of compliance with specified referenced standards.
   e. Testing by recognized testing agency.
   f. Application of testing agency labels and seals.
   g. Notation of coordination requirements.
   h. Availability and delivery time information.

4. For equipment, include the following in addition to the above, as applicable:

   a. Wiring diagrams showing factory-installed wiring.
   b. Printed performance curves.
   c. Operational range diagrams.
   d. Clearances required to other construction, if not indicated on accompanying Shop Drawings.

5. Submit Product Data before or concurrent with Samples.
6. Submit Product Data in the following format:

   a. Five (5) paper copies of Product Data unless otherwise indicated. Architect will return two (2) copies.

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: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:

   a. Identification of products.
   b. Schedules.
   c. Compliance with specified standards.
   d. Notation of coordination requirements.
   e. Notation of dimensions established by field measurement.
   f. Relationship and attachment to adjoining construction clearly indicated.
   g. Seal and signature of professional engineer if specified.

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 22 by 34 inches.
3. Submit Shop Drawings in the following format:

    a. Four (5) opaque (bond) copies of each submittal. Architect will return two (2) 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 applicable Specification Section.
    e. Specification paragraph number and generic name of each item.
    f. Contractor’s stamp as defined in PART 3, paragraph 3.1, C.

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.

    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.

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 two (2) full set(s) of available choices where color, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line. Architect will return one copy of submittal 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 two (2) sets of Samples. Architect will retain one (1) Sample set; remainder will be returned. Mark up and retain one returned Sample set as a project record sample.

1) Submit a single Sample where assembly details, workmanship, fabrication techniques, connections, operation, and other similar characteristics are to be demonstrated.
2) If variation in color, pattern, texture, or other characteristic is inherent in material or product represented by a Sample, submit at least two (2) sets of paired units that show approximate limits of variations.

E. Product Schedule: As required in individual Specification Sections, 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 indicated in the Contract Documents or assigned by Contractor if none is indicated.
2. Manufacturer and product name, and model number if applicable.
3. Number and name of room or space.
4. Location within room or space.
5. Submit product schedule in the following format:

a. Three (3) paper copies of product schedule or list unless otherwise indicated. Architect will return two copies.

F. Coordination Drawing Submittals: Comply with requirements specified in Division 1 Section "Project Management and Coordination."

G. Contractor's Construction Schedule.

H. Application for Payment and Schedule of Values: Comply with requirements specified in Division 1 Section "Payment Procedures."

I. Test and Inspection Reports and Schedule of Tests and Inspections Submittals: Comply with requirements specified in Division 1 Section "Quality Requirements."

J. Closeout Submittals and Maintenance Material Submittals: Comply with requirements specified in Division 1 Section "Closeout Procedures."

K. Maintenance Data: Comply with requirements specified in Division 1 Section "Operation and Maintenance Data."

L. Qualification Data: Prepare written information that demonstrates capabilities and experience of firm or person. Include lists of completed projects with project names and addresses, contact information of architects and owners, and other information specified.

M. Welding Certificates: Prepare written certification that welding procedures and personnel comply with requirements in the Contract Documents. Submit record of Welding Procedure Specification and Procedure Qualification Record on AWS forms. Include names of firms and personnel certified. Welding on project site is strictly prohibited. All welding shall be performed off the project site and off the school property.

N. Installer Certificates: Submit 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.

O. Manufacturer Certificates: Submit written statements on manufacturer's letterhead certifying that manufacturer complies with requirements in the Contract Documents. Include evidence of manufacturing experience where required.

P. Product Certificates: Submit written statements on manufacturer's letterhead certifying that product complies with requirements in the Contract Documents.

Q. Material Certificates: Submit written statements on manufacturer's letterhead certifying that material complies with requirements in the Contract Documents.

R. Material Test Reports: Submit 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.

S. Product Test Reports: Submit written reports indicating that 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.

T. Research Reports: Submit written evidence, from a model code organization acceptable to authorities having jurisdiction, that product complies with building code in effect for Project. Include the following information:

1. Name of evaluation organization.
2. Date of evaluation.
3. Time period when report is in effect.
4. Product and manufacturers' names.
5. Description of product.
6. Test procedures and results.
7. Limitations of use.

U. Preconstruction Test Reports: Submit 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.

V. Compatibility Test Reports: Submit 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.

W. Field Test Reports: Submit written reports 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.

X. Design Data: Prepare and submit 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.

PART 3 - EXECUTION

3.1 CONTRACTOR'S REVIEW

A. Contractor shall review each submittal and indicate approval with a stamp, dated, and signed. Review shall include but not be limited to; verification of field measurements, coordination with all trades involved and compliance with Contract Documents. The Contractor shall not be relieved of responsibility for any deviation from the requirements of the Contract Documents by the Owner's or Architect's action on submittals unless the Contractor has given specific notice of deviation at the time of submission and written approval of the specific deviation is given. The Contractor shall not be relieved from responsibility for errors or omissions in submittals by the Owner's or Design Professional's approval thereof.

B. If Contractor does not review submittals and provide the signed approval stamp before sending them to the Architect, they will be returned not reviewed, for resubmission.

C. Contractor's Responsibility to Check:

1. Each submittal shall be checked by the originating contractor (or Subcontractor) and Prime Contractor prior to submission to the Architect and Construction Manager, and shall carry the following certification on each sheet by both the originating contractor (or Subcontractor) and Prime Contractor:

"WE HEREBY STATE THAT WE HAVE REVIEWED, INSPECTED AND CHECKED THE INFORMATION SUBMITTED AND VOUCH FOR ITS ACCURACY AND COMPLIANCE WITH THE CONTRACT DOCUMENTS AND SURROUNDING CONDITIONS."

_____
Subcontractor

By:_____
(Signature)

_____
Prime Contractor

By:_____
(Signature)

2. Submittals submitted without this certification will be returned, not reviewed, for resubmission.
3. If the submittals show variances from the requirements of the Contract because of standard shop practice or other reason, Contractor shall make specific mention of such variation on the Shop Drawings in order that, if acceptable, suitable action may be taken for proper adjustment; otherwise, Contractor will not be relieved of the responsibility for executing the work in accordance with the Contract even though such Shop Drawings have been reviewed.

## 3.2 SUBMISSION ROUTING

A. Advise priority requirements, if any, for review of submittals.

1. If submittals are made in large quantities from the Contractor at any given time, the normal time required by the Architect for review cannot be expected to suffice, Contractor shall, in such instances, indicate the priority and/or sequence of review required.
2. If no priority requirement is indicated, Architect will review submittals in order received.

B. Forward the required quantity of copies of the submittal to the Architect.

C. Architect will take appropriate action and return two (2) copies of submittals back to the Contractor.

## 3.3 ARCHITECT'S ACTION

A. Action Submittals: Architect will review each submittal, make marks to indicate corrections or revisions required, and return it. Architect will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action, as follows:
1. Final Unrestricted Release: When the Architect marks a submittal "NO EXCEPTION TAKEN" 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 "PROCEED AS NOTED; REVISE AND RESUBMIT FOR RECORD" the Work covered by the submittal may proceed provided it complies with notations or corrections on the submittal and requirements of the Contract Documents. Annotations do not authorize changes to Contract Sum or time. Final payment depends on that compliance.
3. Returned for Resubmittal: When the Architect marks a submittal "DO NOT PROCEED; 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 "Revise and Resubmit, Do Not Proceed" at the Project Site or elsewhere where Work is in progress.
4. Rejection of a Submittal: When the Architect marks a submittal “REJECTED,” the submittal, either in form or content, does not comply with the specified technical and administrative requirements of the Contract Documents. Prepare a new submittal, without delay, that is in conformance with the Contract Documents.
5. Not Reviewed: Where a submittal is not applicable to or required by the Contract Documents, the submittal will not be reviewed and the Architect will return the submittal marked "NOT REVIEWED."

B. Informational Submittals: Architect will review each submittal and will not return it, or will return it if it does not comply with requirements. Architect will forward each submittal to appropriate party.

C. Partial submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from Architect.

D. Incomplete submittals are unacceptable, will be considered nonresponsive, and will be returned for resubmittal without review.

END OF SECTION 01330