# SECTION 01330

# SUBMITTALS PROCEDURES

## PART 1 - GENERAL

### 1.1 RELATED DOCUMENTS

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

### 1.2 SECTION INCLUDES

A. Administrative requirements for shop drawings, product data and samples submittals.

B. Administrative requirements for submittals reporting results of tests and inspections, during field Work.

C. Contractor's review of submittals.

D. Architect's review of submittals.

E. Product data submittals.

F. Shop drawing submittals.

G. Sample submittals.

H. Reports of results of tests and inspections.

### 1.3 RELATED SECTIONS

A. Section 01450 - Quality Control: Test and inspection reports.

B. Section 01770 - Contract Closeout Procedures: Submittals for occupancy, Acceptance and Final Payment.

C. Section 01783 - Operation and Maintenance Data: Requirements for preparation and submission of operation and maintenance data.

### 1.4 DEFINITIONS

A. Shop Drawings, Product Data and Samples: Instruments prepared and submitted by Contractor, for Contractor's benefit, to communicate to Architect the Contractor's understanding of the design intent, for review and comment by Architect on the conformance of the submitted information to the general intent of the design. Shop drawings, product data and samples are not Contract Documents.

B. Shop Drawings: Drawings, diagrams, schedules and illustrations, with related notes, specially prepared for the Work of the Contract, to illustrate a portion of the Work.

C. Product Data: Standard published information ("catalog cuts") and specially prepared data for the Work of the Contract, including standard illustrations, schedules, brochures, diagrams, performance charts, instructions and other information to illustrate a portion of the Work.

D. Samples: Physical examples that demonstrate the materials, finishes, features, workmanship and other characteristics of a portion of the Work. Accepted samples shall serve as quality basis for evaluating the Work.

E. Other Submittals: Technical data, test reports, calculations, surveys, certifications, special warranties and guarantees, operation and maintenance data, extra stock and other submitted information and products shall also be not be considered to Contract Documents but shall be information from Contractor to Architect to illustrate a portion of the Work for confirmation of understanding of design intent.

## 1.5 ADMINISTRATIVE REQUIREMENTS

A. Administrative Requirements for Submittals: Submittals shall be made in accordance with requirements specified herein and in Division 02 through 33 Sections of the Specifications. See also Article 5 of the Contract General Conditions for additional requirements especially those regarding requests for alternatives or equals and for substitutions.

B. Contractor Coordination of Submittals: Coordinate preparation and processing of submittals with performance of construction activities. Transmit each submittal sufficiently in advance of performance of related construction activities to avoid delay.

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 elements of the Work so processing will not be delayed by the need to review submittals concurrently for coordination.
   a. The Architect will return without action submittals requiring coordination with other submittals until related submittals are coordinated.

C. Submittals List: Contractor shall prepare and submit a Submittals List for review and approval by University's Representative and Architect. Submittals List shall identify all specified submittals to be made and shall serve as checklist for submittals.

1. Format shall be suitable for Project and shall be subject to acceptance by University's Representative and the Architect. Comply with directions by University's Representative and the Architect for scope and format of Submittals List.

2. Submittals list shall include the following submittal types and headings:
   SD = Shop Drawings are required
   PD = Product Data required
   SA = Samples required
   CO = Color samples required
   SS = Site Sample installations are required
   LM = List of Materials
   RD = Record Drawings required
   CE = Certificates are required
   PR = Manufacturer's instructions or specifications required
   OM = Operation and Maintenance manuals are required
   EQ = Maintenance materials/equipment are required
   WA = Warranties and/or guarantees are required
   LR = Laboratory Reports are required
   FT = Factory Test reports are required
   ST = Site Test reports required
   RP = Submittal to the Architect for record purposes only and not for review or approval
   O = Other submittal requirements as specified in Section

3. Sample Table:

| Section | SD | PD | SA | CO | SS | LM | RD | CE | PR | OM | EQ | WA | LR | FT | ST | RP | O |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 05120 | x | | | | | x | | | | | | | | | | | |
| 09250 | | x | | | x | x | | x | | | | | x | | x | | |
| 10810 | | x | x | | | | | | | | | | | | | | |

D. Transmission of Submittals: Package each submittal appropriately for shipping and handling. Transmit all submittals from Contractor to Architect, unless otherwise directed, using a transmittal form. Submittals received from sources other than the Contractor will be returned without action. Include all information specified below for identification of submittal and for monitoring of review process.

1. Architect will provide example Letter of Transmittal, if requested.

2. Architect will forward one copy of submittal to University's Representative for review.

E. Timing of Submittals: Make submittals sufficiently in advance of construction activities to allow shipping, handling and review by the Architect and Architect's consultants. Allow sufficient review time so that installation will not be delayed as a result of the time required to process submittals, including time for resubmittals.

1. See Contract General Conditions and Supplementary General Conditions for additional requirements.

2. If an intermediate submittal is necessary, process the same as the initial submittal.

3. No extension of Contract Time will be authorized because of failure to transmit submittals to the Architect sufficiently in advance of the Work to permit processing.

F. Submittals Identification:

1. Provide a space approximately four-inches by five-inches on the label or beside the title block on Shop Drawings to record the Contractor's review and approval markings and the action taken. Include the following information on the label for processing and recording action taken:
   a. Project name and Trustees project number
   b. Submission 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. Number and title of appropriate Specification Section
   i. Drawing number and detail references, as appropriate.

2. Identify each element on submittal by reference to Drawing sheet number, detail, schedule, room number, assembly or equipment number, Specifications article and paragraph, and other pertinent information to clearly correlate submittal with Contract Drawings. On the submittal transmittal form or separate sheet record deviations from Contract Document requirements, including minor variations and limitations. Include Contractor's certification that information submitted complies with requirements of the Contract Document.

3. Identify each submittal by Specification Section number followed by a number indicating sequential submittal for that Section. Resubmittals shall use same number as original submittal, followed by a letter indicating sequential resubmittal. For example:

   09250-1 First submittal for Section 09250 - Gypsum Board.
   09250-2 Second submittal for Section 09250 - Gypsum Board.
   09250-2A Resubmittal of second submittal for Section 09250 - Gypsum Board.

09250-2B Second resubmittal of second submittal for Section 09250 - Gypsum Board.

4. Place a permanent label or title block on each submittal for identification. Indicate the name of the entity that prepared each submittal on the label or title block.

G. Grouping of Submittals: Unless otherwise specifically permitted by the Architect, make all submittals in groups containing all associated items. The Architect may reject partial submittals as incomplete or hold them until related submittals are made.

H. Unsolicited Submittals: Unsolicited submittals may be returned unreviewed.

I. Record Submittals: When record submittals are specified, submit three copies or sets only. Record submittals will not be reviewed but will be retained for historical and maintenance purposes.

## 1.6 SUBMITTALS SCHEDULE

A. Submittals Schedule: As specified.

## 1.7 CONTRACTOR'S REVIEW OF SUBMITTALS

A. Contractor's Review of Submittals: Prior to submission to Architect for review, Contractor shall review each submittal for completeness and conformance to specified requirements. Contractor shall stamp each submittal with a review action stamp and sign each copy of submittal. Submittals without stamp and signature will not be reviewed and will be returned. Contractor's submittal action stamp shall certify the following actions by Contractor:

1. Field measurements have been determined and verified.

2. Conformance with requirements of Contract Drawings and Specifications is confirmed.

3. Catalog numbers and similar data are correct.

4. Work being performed by various subcontractors and trades is coordinated.

5. Field construction criteria have been verified, including confirmation that information submitted has been coordinated with the work being performed by others for University and actual site conditions.

6. All deviations from requirements of Drawings and Specifications have been identified and noted.

B. Changes in Work: Changes in the Work shall not be authorized by submittals review actions. No review action, implicit or explicit, shall be interpreted to authorized changes in the Work. Changes shall only be authorized by separate written direction from the University Representative, in accordance with the Contract General Conditions.

## 1.8 REVIEW OF SUBMITTALS BY UNIVERSITY'S REPRESENTATIVE AND ARCHITECT

A. Review of Submittals by University's Representative and Architect: Submittals shall be a communication aid between Contractor and Architect by which interpretation of Contract Documents requirements may be confirmed in advance of construction.

1. Reviews by University's Representative, Architect and Architect's consultants shall be only for general conformance with the design concept of the Project and general compliance with the information given in the Drawings and Specifications.

2. Except for submittals for record, information or similar purposes, where action and return is required or

requested, the Architect will review each submittal, mark to indicate action taken, and return promptly.

B. Review Action: Architect will stamp each submittal with a uniform, self-explanatory action stamp. Stamp will be appropriately marked, as follows, to indicate the action taken:

1. Final Unrestricted Release: Where submittals are marked "Approved," that part of the Work covered by the submittal may proceed provided it complies with requirements of the Contract Documents; final acceptance will depend upon that compliance.

2. Final-But-Restricted Release: When submittals are marked "Approved as Noted," that part of the Work covered by the submittal may proceed provided it complies with notations or corrections on the submittal and requirements of the Contract Documents; final acceptance will depend on that compliance.

3. Returned for Re-submittal: When submittal is marked "Not Approved, Revise and Resubmit," do not proceed with that part of the Work covered by the submittal, including purchasing, fabrication, delivery, or other activity. Revise or prepare a new submittal in accordance with the notations; resubmit without delay. Repeat if necessary to obtain a different action mark.

   a. Do not permit submittals marked "Not Approved, Revise and Resubmit" to be used at the Project site, or elsewhere where Work is in progress.
   b. Note: Any work performed prior to receiving a fully approved submittal shall be done at the Contractor's risk and shall be subject to being replaced if Contract requirements are not met.

C. Contract Requirements:

1. Review actions by Architect and Architect's consultants shall not relieve the Contractor from compliance with requirements of the Contract Drawings and Specifications.

2. No review action, implicit or explicit, shall be interpreted to authorize changes in the Work. Changes shall only be authorized by separate written Change Order or Field Instruction, in accordance with the Contract General Conditions.

## 1.9 PRODUCT DATA SUBMITTALS

A. Product Data: Catalog cuts, photographs, illustrations, standard details, standard schedules, performance charts, material characteristics, color and pattern charts, test data, roughing-in diagrams and templates, standard wiring diagrams and performance curves and listings by Code authorities and nationally-recognized testing and inspection services. Where product data must be specially prepared because standard printed data is not suitable for use, submit according to requirements for shop drawings, specified below.

B. Modifications to Standard Product Data: Modify manufacturer's standard catalog data to indicate precise conditions of the Project.

1. Provide space for review action stamps and, if required by authorities having jurisdiction, license seal of Architect and Architect's design consultant, if applicable.

2. Mark each copy to show applicable choices and options. Where printed product data includes information on several products, some of which are not required, mark copies to highlight applicable information.

3. Include the following information:

   Manufacturer's printed recommendations,
   Compliance with recognized trade association standards,
   Compliance with recognized testing agency standards,
   Application of testing agency labels and seals,

Notation of dimensions verified by field measurement,
Notation of coordination requirements.

4. Do not submit product data until compliance with requirements of the Contract Documents has been confirmed.

5. Proceed with installation only using reviewed copy of product data. Do not permit use of unmarked copies of product data in connection with construction.

C. Copies: Submit 8 copies, minimum, of original catalog pages or xerographic copies only, with applicable data highlighted and cross-referenced to Drawings and Specifications requirements. Wet-process and thermal paper copies will not be acceptable. Distribution of product data submittals shall be:

1. Architect: One copy

2. Architect's consultant: One copy

3. University's Representative (pre-review): One copy

4. University's Representative (post-review): One copy

5. Project Inspector: One copy

6. Contractor: Three copies.

**1.10 SHOP DRAWINGS SUBMITTALS**

A. Shop Drawings: Drawings, diagrams, schedules and other graphic depictions to illustrate fabrication and installation of a portion of the Work. Shop Drawings shall include fabrication and installation drawings, setting diagrams, schedules, patterns, templates and similar drawings. Include the following information:

1. Identification of products and materials included

2. Compliance with referenced standards

3. Notation of coordination requirements

4. Dimensions

5. Notation of dimensions established by field measurement.

B. Coordination: Show all field dimensions and relationships to adjacent or critical features of Work.

C. Preparation of Shop Drawings: Prepare and submit newly prepared information, drawn to accurate scale. Highlight, encircle, or otherwise indicate deviations from the Contract Documents. Do not reproduce Contract Documents or copy standard information as the basis of Shop Drawings. Standard information prepared without specific reference to the Project is not considered Shop Drawings.

1. Provide space for review action stamps and, if required by governing authorities having jurisdiction, license seal of Architect and Architect's design consultant, if applicable.

2. Prepare shop drawings on minimum sheet size of 17-inches by 22-inches, or smaller if a multiple of 8-1/2 inches by 11-inches. Maximum size shall be 30-inches by 42-inches.

3. Except as noted in product Specifications Sections, submit one correctable translucent reproducible print

and six blue- or black-line prints of shop drawings. The reproducible and one print will be returned after review.

4. Do not use Shop Drawings without an appropriate final review stamp indicating action taken in connection with construction.

D. Distribution of Reviewed Shop Drawings: Distribution of reviewed shop drawings will be by Architect.

1. Architect: One copy (from reviewed reproducible)

2. Architect's consultant: One copy (from reviewed reproducible)

3. University's Representative: One copy (pre-review print) and one copy (from reviewed reproducible)

4. Project Inspector: One copy (from reviewed reproducible)

5. Contractor: One copy (reviewed reproducible) and one copy (opaque print).

## 1.11 SAMPLES SUBMITTALS

A. Samples: Full-size, fully-fabricated samples, cured and finished as specified and physically identical with the material or product proposed. Samples shall include partial sections of manufactured or fabricated components, cuts or containers of materials, color range sets, and swatches showing color, texture and pattern.

1. Mount, display, or package Samples in the manner specified to facilitate review of qualities indicated. Prepare Samples to include the following:

   Generic description of the Sample
   Sample source
   Product name or name of manufacturer
   Compliance with recognized standards
   Availability and delivery time.

2. 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 the final submittal and the actual component as delivered and installed.

3. Submit actual samples. Photographic or printed reproductions will not be accepted.

4. Field samples specified in individual Sections are special types of samples. Field samples shall be full-size examples erected on site to illustrate finishes, coatings, or finish materials and to establish the standard by which the Work will be evaluated.

B. Preliminary or Selection Submittals: Where samples are for selection of color, pattern, texture or similar characteristics from a range of standard choices, submit full set of choices for the specified material or product.

1. Preliminary submittals will be reviewed and returned with the Architect's mark indicating selection and other action.

C. Quantity: Except for samples illustrating assembly details, workmanship, fabrication techniques, connections, operation and similar characteristics, submit three sets. One sample will be returned marked with the action taken.

1. Maintain sets of samples, as returned, at the Project site, for quality comparisons throughout the course of construction.

2. Unless otherwise noted, full-size and complete samples will be returned and may be incorporated into field mock-ups. Samples may be incorporated into the Work (completed construction) only with written approval of the Architect.

3. Other samples shall be produced and mounted on cardstock in 8-1/2" by 11" format, three-hole punched and suitable for inclusion in product sample binders. Contractor shall provide binders as directed.

4. Contractor shall prepare and distribute additional samples to subcontractors, manufacturers, fabricators, suppliers, installers, and others as necessary for performance of the Work.

D. Color Samples: Architect will review and select colors for Project only after all colors are received, so that colors may be properly coordinated.

E. Review of Field Samples: Review by Architect of field samples will be made for the following products if not otherwise required and if requested by Contractor.
1. Casework.

2. Portland cement concrete paving: Trowel finish, imprinted texture, colors, abrasive blasting, exposed aggregate and acid washing.

3. Exterior plaster finish color and texture.

4. Gypsum board textures and finishes.

5. Gypsum plaster textures and finishes.

6. Field-applied paint colors and finishes: Draw-downs and brush-outs.

7. Refer to individual specification sections for additional field sample requiements.

## 1.12 MANUFACTURER'S INSTRUCTIONS

A. Manufacturer's Instructions: Submit manufacturer's instructions for preparation, mixing, assembly, handling, application and installation of products, as applicable and as specified in product Sections of the Specifications.

1. Include applicable ICBO ES Evaluation Reports. Evaluation Reports shall be current and shall be annotated for applicable products.

2. Include applicable Material Safety Data Sheets, for Project record only.

3. Include written recommendations, as applicable, from manufacturer for Project conditions.

B. Copies: Submit five copies minimum. Distribution will be:

1. University's Representative: One copy

2. Architect: One copy

3. Architect's consultant: One copy

4. Project Inspector: One copy

5. Contractor: As necessary, retained by Contractor.

6. Reviews by Architect and University's Representative: Manufacturer's instructions shall be for information and will not be reviewed by Architect or University's Representative.

**1.13 REPORTS OF RESULTS OF INSPECTIONS AND TESTS**

A. Reports of Results of Inspections and Tests: Submit technical data, test reports, calculations, surveys, and certifications based on field tests and inspections by independent inspection and testing agency and by authorities having jurisdiction.

1. Reports of results of inspections and tests shall not be considered Contract Documents.

2. Refer to Section 01450 - Quality Control for additional requirements.

**1.14 OPERATION AND MAINTENANCE DATA SUBMITTALS**

A. Operation and Maintenance Data Submittals: Refer to requirements specified in Section 01783 - Operation and Maintenance Data. Include operation and maintenance data submittals in Submittals Schedule.

**PART 2 - PRODUCTS**

Not applicable to this Section.

**PART 3 - EXECUTION**

Not applicable to this Section.

**END OF SECTION**