

## **SECTION 01 33 00 – SUBMITTAL PROCEDURES**

### **PART 1 - GENERAL**

#### **1.1 SUMMARY**

- A. This Section specifies administrative and procedural requirements for submittals required for performance of the Work, including:
  - 1. Submittal Procedures.
  - 2. Submittal schedule.
  - 3. Shop Drawings.
  - 4. Product Data.
  - 5. Samples.
  - 6. Mockups.
  - 7. Material Safety Data Sheets.

#### **1.2 SUBMITTAL PROCEDURES**

- A. Shop drawings, product data and samples will not be processed by Architect until the submittal schedule and a list of subcontractors, material suppliers and fabricators are submitted as required.
- B. If the submittal deviates from the requirements of the Project or the Contract Documents, then the Contractor shall include a cover page on such submittal that clearly identifies how such submittal deviates from the requirements of the Project or the Contract Documents and briefly identifies why such deviation is appropriate.
- C. Coordination: 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 reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
- D. Processing: Allow sufficient review time so that installation will not be delayed as a result of the time required to process submittals, including time for re-submittals.

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- a. Allow three (3) weeks for initial review. Allow additional time if processing must be delayed to permit coordination with subsequent submittals. The Architect will promptly advise the Contractor when a submittal being processed must be delayed for coordination.
  - b. If an intermediate submittal is necessary, process the same as the initial submittal.
  - c. Allow two weeks for reprocessing each submittal.
  - d. 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.
- E. Submittal Preparation: 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.
  1. Provide a space approximately 4" x 5" on the label or beside the title block on Shop Drawings to record the Contractor's review and approval markings and the action taken.
  2. Include the following information on the 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. Number and title of appropriate Specification Section.
    - i. Drawing number and detail references, as appropriate.
- F. Submittal Transmittal: Package each submittal by specification section. Submittals are to be packaged individually, not grouped. Each submittal shall be transmitted with a cover letter. The cover letter shall identify the following information:
  1. Submittal identification number. Numbering system shall be as follows:
    - a. Specification identifier-submittal # within specification-revision  
(Example: 077100-001-01)
  2. Specification Section and article number
  3. Type of submittal, e.g. shop drawing, product data, sample, material certification, etc.
  4. Manufacturer and/or fabricator
  5. Product lead time
  6. Include Contractor's certification that information complies with Contract Document requirements.
- G. Submittal Distribution: The Contractor shall send all submittals electronically to the attention of the Architect with a hard copy submitted to the Construction Manager. All submittals for the fire protection, plumbing, mechanical, and electrical systems shall be sent electronically to the Engineer with copies sent to the Architect and Construction Manager. The Architect will return all submittals electronically directly to the Contractor. The Contractor shall provide a colored hard copy of the returned submittal to the Construction Manager within two (2) days of receipt. Should the Contractor

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wish to transmit hard copies of the submittal to the Architect, the Contractor shall be responsible for all postage costs to and from the Architect. Contractor is responsible for all printing and distribution to all interested subcontractors and suppliers.

### 1.3 SUBMITTAL SCHEDULE

- A. Submittal Schedules shall be prepared and incorporated into the Contractor's Construction Schedule. The Contractor shall include the following considerations when preparing the submittal schedule so that approved products are at the project site ready for installation in accordance with the time established in the Contractor's Construction Schedule to avoid delays.
  - 1. Time frame when the item is needed at the Project.
  - 2. Time necessary to produce the product.
  - 3. Lead time required to prepare the submittal.
  - 4. Time required for the Contractor to review, approve, sign and date the submittal.
  - 5. Time for the Construction Manager, the Architect and his Engineer to review the submittal.
  - 6. The number of Subcontractor's affected by the information contained in the submittal.
  - 7. Time necessary to correct and resubmit if original submittal is not approved.
  - 8. Submittal of all color samples within adequate time for review, selection and coordination with other products requiring earlier installation and/or longer lead times for ordering.
  - 9. Grouping of related submittals for coordination.
- B. Prepare the schedule in chronological order to include all submittals required for the Project and submit to the Construction Manager no later than (20) calendar days after the Notice to Proceed is issued. Provide the following information:
  - a. Scheduled date for the first submittal.
  - b. Related Section number.
  - c. Submittal category.
  - d. Name of subcontractor.
  - e. Description of the part of the Work covered.
- C. Distribution: Following response to initial submittal, print and distribute copies to the Architect and Construction Manager, subcontractors, and other parties required to comply with submittal dates indicated. Post copies in the Project meeting room and field office.
- D. Schedule Updating: Revise the schedule after each meeting or activity, where revisions have been recognized or made. Issue the updated schedule concurrently with report of each meeting.

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### **1.4 SHOP DRAWINGS**

- A. 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.
- B. Shop Drawings include fabrication and installation drawings, setting diagrams, schedules, patterns, templates and similar drawings. Include the following information:
  - 1. Dimensions.
  - 2. Identification of products and materials included.
  - 3. Compliance with specified standards.
  - 4. Notation of coordination requirements.
  - 5. Notation of dimensions established by field measurement.
  - 6. Sheet Size: Except for templates, patterns and similar full- size Drawings, submit Shop Drawings on sheets at least 8-1/2" x 11" but no larger than 36" x 48".
  - 7. Do not use Shop Drawings without an appropriate final stamp indicating action taken in connection with construction.

### **1.5 PRODUCT DATA**

- A. Collect Product Data into a single submittal for each element of construction or system. Product Data includes printed information such as manufacturer's installation instructions, catalog cuts, standard color charts, rough-in diagrams and templates, standard wiring diagrams and performance curves. Where Product Data must be specially prepared because standard printed data is not suitable for use, submit as "Shop Drawings."
- 1. 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 indicate the applicable information. Include the following information:
  - a. Manufacturer's printed recommendations.
  - b. Compliance with recognized trade association standards.
  - c. Compliance with recognized testing agency standards.
  - d. Application of testing agency labels and seals.
  - e. Notation of dimensions verified by field measurement.
  - f. Notation of coordination requirements.

### **1.6 SAMPLES**

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- A. Submit three (3) full-size, fully fabricated Samples cured and finished as specified and physically identical with the material or product proposed. Samples 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. Include the following:
    - a. Generic description of the Sample.
    - b. Sample source.
    - c. Product name or name of manufacturer.
    - d. Compliance with recognized standards.
    - e. 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.
    - a. Where variation in color, pattern, texture or other characteristics are inherent in the material or product represented, submit multiple units (not less than 3), that show approximate limits of the variations.
    - b. Refer to other Specification Sections for requirements for Samples that illustrate workmanship, fabrication techniques, details of assembly, connections, operation and similar construction characteristics.
  3. Preliminary submittals: Where Samples are for selection of color, pattern, texture or similar characteristics from a range of standard choices, submit a full set of choices for the material or product.
    - a. Preliminary submittals will be reviewed and returned with the Architect's mark indicating selection and other action.
  4. Submittals: Except for Samples illustrating assembly details, workmanship, fabrication techniques, connections, operation and similar characteristics, submit 3 sets; one will be returned marked with the action taken.
  5. Maintain sets of Samples, as returned, at the Project site, for quality comparisons throughout the course of construction.
    - a. Unless noncompliance with Contract Document provisions is observed, the submittal may serve as the final submittal.
    - b. Sample sets may be used to obtain final acceptance of the construction associated with each set.
- B. Distribution of Samples: Prepare and distribute additional sets to subcontractors, manufacturers, fabricators, suppliers, installers, and others as required for performance of the Work. Show distribution on transmittal forms.
1. Field Samples specified in individual Sections are special types of Samples. Field Samples are full-size examples erected on site to illustrate finishes, coatings, or finish materials and to establish the standard by which the Work will be judged.
    - a. Comply with submittal requirements to the fullest extent possible. Process transmittal forms to provide a record of activity.

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### **1.7 MOCKUPS**

- A. Installation progress of mock ups specified or identified on the drawings shall be addressed by the Contractor at periodic meetings. Provide a separate schedule sheet for each mock up with dates for installation to begin, installation complete, Owner/Architect review period (21 calendar days), punch list corrections, and mock up acceptance. Mock-ups shall be scheduled sufficiently in advance of fabrication of building components to allow review comments by the Construction Manager and Architect to be incorporated into the final product. Mock ups shall be clearly marked and remain undisturbed and accessible as the criteria against which the remaining work shall be judged. Unless otherwise indicated, mockups of exterior wall conditions are to be constructed on grade (not on the building) with foundation and structural support systems engineered by the Contractor. The mockup of the laboratory casework and fittings is to be built off site in a location to be determined by the Contractor in consultation with the Construction Manager.
- B. Provide shop drawings indicating mockup size, proposed materials, and colors. Locations and orientation of all mockups shall be reviewed and approved by the Construction Manager and Architect prior to erection of the mockup. Mockups of interior conditions shall have the scheduled lighting fixtures installed, or the equivalent temporary lighting, during the review and approval period. Installation methods, environmental conditions and other contractor employed means and methods for installing the mock up may be observed by the Architect and shall be employed and maintained in all remaining work.

### **1.8 MATERIAL SAFETY DATA SHEET**

- A. Submit material safety data sheets for every product to be utilized for the Project. The MSDS shall be submitted with the product submittal. The Contractor will not be permitted to use or install any products until the proper MSDS is submitted to the Construction Manager.

**- END OF SECTION 01 33 00 -**