

SECTION 01340

SUBMITTALS

PART I - GENERAL

1.01 DESCRIPTION OF WORK

- A. Make submittals required by the Contract Documents; revise and resubmit as necessary to establish compliance with the specified requirements.
- B. All submittals shall be provided in a timely manner and in accordance with the procedures noted herein. Unless noted otherwise in the individual sections, all submittals are due before the submittal date established in the Schedule of Submittals.
- C. Non-required submittals will not be reviewed by the Architect.
- D. Definitions:
 - 1. Shop Drawings: Drawings, diagrams, schedules and other data specially prepared by the Contractor or any Subcontractor, manufacturer, supplier or distributor to illustrate some portion of the work.
 - 2. Product (Catalog) Data: Standard illustrations, schedules, performance charts, instructions, brochures, diagrams and other information furnished by the Contractor to illustrate a material, product or system for some portion of the work.
 - 3. Samples: Physical examples furnished by the Contractor to illustrate materials, equipment or workmanship and establish standards by which the work will be judged.

1.02 RELATED REQUIREMENTS

- A. Drawings and general provisions of the Contract, including General and Supplementary Conditions and other Division 1 Specification Sections, apply to this Section.
- B. Section 01630 - Substitutions.
- C. Various Specification Sections contain individual submittal requirements

1.03 QUALITY ASSURANCE

- A. The Contractor may require his subcontractors to provide additional drawings, setting diagrams and similar information to help coordinate the Work, but such data shall remain between the Contractor and his subcontractors and will not be reviewed by the Architect.
- B. The Contractor is responsible for confirming and correlating all guarantees, dimensions, selecting fabricating process and techniques of construction, furnishing specified finishes and performing his work in a safe manner.
 - 1. In addition to shop drawings, product data and samples, the procedures stated in this Section also apply to submittal of other items required in the various technical sections including certifications, warranties, guarantees, test data and reports, operating and maintenance manuals and parts lists.

1.04 CONTRACTOR'S REVIEW

- A. Review submittals prior to transmittal; determine and verify field measurements, field construction criteria, manufacturer's catalog numbers and conformance of submittal with requirements of Contract Documents.
 - 1. Contractor's Responsibility for Coordination: Where the dimension, size, shape, location, capacity or other characteristic affect another item, and where the Contractor has selection or fabrication of the actual product to be used, the Contractor shall be responsible for coordination of the related items. The Contractor shall insure that a proper exchange of information takes place prior to or during preparation of each submittal and that submittal shall reflect such coordination. The notation "verify" on the Drawings indicates the necessity for Contractor coordination in the particular instances used.
 - 2. Contractor's Checking: When checking submittals of subcontractors and suppliers, the Contractor shall mark all sets, indicating his corrections and comments in blue or green. Copies marked in red may be returned for revision.
- B. Apply Contractor's stamp to each sheet of Shop Drawings, product data and sample labels signed by General Contractor, certifying his approval, review and verification of products, field dimensions, construction criteria and coordination of information that submittals comply with Contract Documents.

1. Notify Architect, in writing, at time of submittal of any deviations from requirements of Contract Documents. If such deviations are not noted, they remain the responsibility of the contractor. In either case, deviations shall not alter the design intent and/or contract documents.
 2. The substitution process, as noted elsewhere in these documents, shall always be followed for any significant change to these documents. The submittal process does not alter the contract documents.
- C. Do not fabricate any products or begin any Work requiring submittals until the receipt of the approved submittals. Commencement of such work is solely at the risk of the contractor if such submittals have not been received and approved.
- D. Submittals without Contractor's signature, indicating his conformance to the above requirements, will be returned without any action by the Architect and will be considered as not submitted for review. Submittals without the contractor's review comments (in those cases where the contractor should have commented or answered questions) indicate a non-review by the contractor. These may be returned before the architect review. Review time does not begin until the submittal is returned and accepted by the architect in the above instances.
- E. The contractor is responsible to deliver and pick-up all submittals in a timely manner at the Architect's designated office. The contractor is responsible for all related costs and expenses for the transmittal of such submittals.

1.05 ARCHITECT'S REVIEW

- A. Corrections or comments made on shop drawings during review do not relieve the Contractor from compliance with the requirements of Drawings and Specifications. This check is only for review of general conformance with the design concept of the project and general compliance with information given in Contract Documents. Any substitutions or changes shall be properly noted.
- B. The decision of the Architect in regard to the completeness or compliance shall be final.
- C. No action will be taken on "rough-in" shop drawings for plumbing and electrical connections when the items of equipment are not included in the same submittal.
- D. Review Time:

1. On a normal basis, each submittal will be returned to the Contractor within fifteen (15) working days of the date it is received.
2. If, for any reason, the above schedule cannot be met, the Contractor will be so informed and the Schedule of Submittals revised to allow for immediate processing of priority items. In the event of separate submittals of individual components of a system, these submittals may be held until all components of the system are submitted, and the Contractor will be so notified.

1.06 SUBMITTAL REQUIREMENTS FOR COMMISSIONING

Submittals:

Commissioning Agent shall receive a copy of all approved submittals (product data, shop drawings, etc.) for equipment and materials to be commissioned.

Data for Commissioning:

Contractors may receive written requests from Commissioning Agent requesting specific information about equipment systems. Typically this will include detailed manufacturer installation, start-up, operating, troubleshooting and maintenance procedures, full details of any Owner-contracted tests, fan and pump curves, full factory testing reports, if any, and full warranty information, including all responsibilities of Owner to keep warranty in force clearly identified. In addition, installation and checkout materials that are actually shipped inside equipment and actual field checkout sheets used by factory or field technicians shall be submitted upon request to Commissioning Agent.

Commissioning Agent may request further documentation necessary for commissioning process. This data request may be made prior to normal submittals. Much of this information is contained in regular O&M manuals normally submitted in the project. Typically, this information is required prior to regular formal O&M manual submittals.

Contractor's responsibilities for deviation in submittals requirements of Contract Documents is not relieved by Commissioning Agent's review.

Field Quality Control:

Contractor shall develop forms to document required Field Quality Control tests. Forms shall be submitted to Commissioning Agent for review prior to any field-testing. Form to include as minimum:

1. System to be Tested.
2. Section being Tested.
3. Date of Test.
4. Description of Test.

5. Test Number.
6. Pass/Fail Criteria of Test.
7. Name of Person Performing Test.
8. Name of Person Witnessing Test.
9. Test Data.
10. Test Results.

Commissioning agent reserves the right to witness any or all tests. Failure to submit forms prior to field-testing may result in re-testing at Contractor's expense.

1.07 RETURN OF SUBMITTALS

- A. After review, each submittal will be returned to the Contractor accompanied by a standard transmittal form. Comments will be marked red and each item (or sheet) will be stamped and marked to indicate one of the following:
1. Approved, or, Approved as Noted: The Architect has found no discrepancies or minor discrepancies. The contractor may proceed with the Work but shall comply with notations marked on submittal.
 2. Revise and Resubmit: The submittal does not meet the requirements of the Contract Documents. The Contractor shall restudy the requirements and revise/prepare a new submittal that meets these requirements.
 3. Rejected: The Contractor may not proceed with the Work and should contact the Architect to determine what further steps are needed.
 4. Noted: The submittal is not required to be approved, and the submittal has been so noted.

1.08 SUBMITTALS

- A. Make submittals of shop drawings, samples, substitution requests and other items in accordance with the provisions of this Section.
- B. Channel of Submission: All submittals from subcontractors shall be processed through the Contractor and/or the Construction Manager
- C. All submittals shall be transmitted with the Architects Submittal/Transmittal form. Additional forms generated by a specific

computer program by the contractor may accompany the Architect's form. Submittals provided without a properly filled-in form will be rejected. If the contractor is on-line with a construction management program utilized by all parties, this requirement can be waived.

- D. **Completeness of Submittal:** Submittals must be complete. Prior to submission for approval, each submittal shall be carefully checked by the Contractor for the complete and proper inclusion of all items stated in the technical provisions. Submittals which are grossly incomplete or which indicate no attempt at conformance with the Contract Documents shall not be submitted for review. Incomplete submittals will be returned to the Contractor without review unless the incompleteness is fully explained in the Contractor's letter of transmittal. The submittal must include sufficient detail to be readily understood, and shall be appropriately referenced to Drawing details and Specification paragraphs in the Contract Documents.
- E. **Contract Changes:** It is not the function of the submittals to modify or change the contract documents. This procedure is handled in other sections. Any submittals that significantly change the contract requirements in terms of size, quality, relationship, standards or similar characteristics shall be brought to the attention of the architect by so noting on the submittals. If such changes are not brought to the attention of the architect at that time, the submittal approval does not apply to those items changed or modified.

1.09 SCHEDULE OF SUBMITTALS

- A. **Submit Schedule of Submittals (along with Progress Schedule and Schedule of Values) at time of Preconstruction Meeting**
 - 1. Submit schedule in two (2) copies. Schedule shall include a list of all required submittal items with the date the Contractor expects to make the submittal. Submittal dates shall be consistent with the Progress Schedule with appropriate time allowed for review and return.
 - 2. List items required for submittal, in the event the Division 0 sections include items not covered in the list, the requirements of these sections shall govern. Submittal data may be required on any item even though specific submittal requirements may not be noted in the Specifications.
 - 3. **Identification of Submittal:** Submittals, including resubmittals, shall be uniquely and consecutively numbered and include the Specification Section and paragraph. In addition, resubmittals

shall be noted "Resubmittal of Submittal No."

- B. Reference to Specifications: Each submittal shall, where possible, include only one part of one Section of the Specifications. The submittal shall refer to the applicable Section and title (e.g., "Section 00000 – Door Widgets.") and note the applicable sub-section (e.g.: Paragraph 1.03 (A)). Certain submittals such as landscaping, mechanical and electrical may have multiple paragraph requirements submitted together if approved by the Architect.
- C. Number of Copies: Each submittal shall be transmitted in the following number of copies unless otherwise indicated in the Technical Provisions. Any additional copies submitted will be discarded.
 - 1. Submit shop drawings in the quantities and type indicated herein, except as may be modified by individual Specification Sections.

<u>Item</u>	<u>Submit</u>	<u>Returned to Contractor</u>
Shop Drawings	three(3) prints & one (1) reproducible, or 6 sets of prints	one(1) reprod. or 3 sets
Product Data	6	3
Samples	5	3
Certifications	4	1
Warranties/Guarantees	4	1
Test Reports	4	1
O & M Manuals	(See Specification Section)	

- 2. Review comments of the Architect will be shown on the reproducible when it is returned to the Contractor. The Contractor may make and distribute such copies as are required for his purposes.
- 3. In the event submittal is returned marked "Revise and Resubmit", and there is a substantial number of discrepancies, one marked "print" and the reproducible copy will be returned to the Contractor.
- D. Scale and Measurements: Prepare Shop Drawings accurately to a scale

sufficiently large to show all pertinent aspects of the item and its method of connection to the Work.

1.10 RESUBMITTALS

- A. Make revisions required by the Architect.
 - 1. If noted by the Architect, only resubmit the rejected sections.

1.11 TRANSMITTAL LETTER

- A. Each submittal shall be accompanied by a transmittal letter which has been approved by the Architect. Sample form is available on request.
 - 1. The transmittal letter shall clearly indicate the following:
 - Project Name and Architect's Commission Number
 - Contractor's Name
 - Name of Organization originating submittal
 - Submittal Identification (name and number)
 - 2. Each submittal shall bear the following information:
 - a. Name of originating organization.
 - b. Submittal identification (name and number).
 - c. Date prepared.
 - d. The Contractor's stamp indicating review and approval.
 - 3. In addition, items resubmitted shall have the following information listed in the letter of transmittal:
 - a. Dates of previous submission.
 - b. Revisions shall be specifically noted.

1.12 GROUPING OF SUBMITTALS

- A. Unless otherwise specified, make submittals in groups containing all associated items to assure that information is available for checking each item when it is received.
- B. Coordinate submittals into logical groupings to facilitate interrelation of the several items. Submit the following at the same time:
 - 1. Finishes which involve Owner or Architect's selection of color, textures or patterns.

2. Associated items that require correlation for efficient function or installation.
- C. Partial submittals may be rejected as not complying with the provisions of the Contract.
1. The Contractor will be held liable for delays so occasioned.
- D. Provide 8" x 4" blank space on each drawing and submittal, or group of submittals, for location of Architect and/or Engineer's stamp.

1.13 MANUFACTURER'S LITERATURE – PRODUCT DATA

- A. Where contents of submitted literature from manufacturer's includes data not pertinent to the submittal, clearly mark in high-liter to show which portions of the contents are being submitted for review.
- B. Submit only pages which are pertinent; mark each copy of standard printed data to identify pertinent products, referenced to Specification Section and article number. Show reference standards, performance characteristics and capacities; wiring and piping diagrams and controls; component parts; finishes; dimensions; and required clearances.
- C. Modify manufacturer's standard schematic drawings and diagrams to supplement standard information and to provide information specifically applicable to the Work. Delete information not applicable. Block out unrelated items.

1.14 SAMPLES

- A. Provide sample or samples identical to the precise article proposed to be provided.
- B. Provide full range of manufacturer's standard finishes, except when more restrictive requirements are specified, indicating color, textures and patterns for Owner and Architect selection.
- C. Submit samples to illustrate functional characteristics of products, including parts and attachments.
- D. Number of samples required:
1. Unless otherwise specified, submit samples in the quantity that is required to be returned, plus two (2) which will be retained by the Architect or Owner.

2. By pre-arrangement in specific cases, a single sample may be submitted for review and, when approved, will be retained by the Architect.
 - E. Label each sample with identification required for transmittal letter.
 - F. Provide field samples of finishes at Project, at location acceptable to Owner and Architect, as required by individual Specification Section. Install each sample complete and finished. Acceptable finishes in place may be retained in completed Work.
- 1.15 OPERATING MANUALS
- A. Submit all manuals in accordance with requirements of Technical Sections involved.
- 1.16 WARRANTIES, GUARANTEES AND BONDS
- A. Provide as required by Technical Section of the Specifications. They are to be submitted on a timely basis as Work progresses.
 1. Their receipt and approval by the Architect shall be considered a part of the requirements for the Architect to certify to Substantial Completion.

PART II - PRODUCTS - Not Used.

PART III - EXECUTION - Not Used.

END OF SECTION