

SECTION 01300 - SUBMITTALS

PART 1 GENERAL

1.1 SUMMARY

- A. This Section specifies administrative and procedural requirements for submittals required for performance of the Work, including:
  - 1. Contractor's construction schedule.
  - 2. Submittal schedule.
  - 3. Daily construction reports.
  - 4. Shop drawings.
  - 5. Product data.
  - 6. Samples.
- B. Administrative Submittals: Refer to other Division-1 Sections and other Contract Documents for requirements for administrative submittals. Such submittals include, but are not limited to:
  - 1. Permits.
  - 2. Applications for payment.
  - 3. Performance and payment bonds.
  - 4. Insurance certificates.
  - 5. List of Subcontractors.
- C. The Schedule of Values submittal is included in Section "Applications for Payment."

1.2 REFERENCES

- A. Drawings and general provisions of Contract, including General and Supplementary Conditions and other Division-1 Specification Sections, apply to this Section.

1.3 COORDINATION

- A. 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.
- B. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals and related activities that require sequential activity.
- C. 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. The Contracting Officer 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 submit-

tals, including time for resubmittals.

1. Allow two weeks for initial review. Allow additional time if processing must be delayed to permit coordination with subsequent submittals. The Contracting Officer will promptly advise the Contractor when a submittal being processed must be delayed for coordination.
2. If an intermediate submittal is necessary, process the same as the initial submittal.
3. Allow two weeks for reprocessing each submittal.
4. No extension of Contract Time will be authorized because of failure to transmit submittals to the Contracting Officer sufficiently in advance of the Work to permit processing.

#### 1.4 PREPARATION

- A. 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.
- B. 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.
- C. Include the following information on the label for processing and recording action taken.
  1. Project name.
  2. Date.
  3. Name and address of Contractor.
  4. Name and address of subcontractor.
  5. Name and address of supplier.
  6. Name of manufacturer.
  7. Number and title of appropriate Specification Section.
  8. Drawing number and detail references, as appropriate.

#### 1.5 TRANSMITTAL

- A. Package each submittal appropriately for transmittal and handling. Transmit each submittal from Contractor to Contracting Officer using a transmittal form. Submittals received from sources other than the Contractor will be returned without action. On the form, or separate sheet, record deviations from Contract Document requirements, including minor variations and limitations. Include Contractor's certification that information complies with Contract Document requirements.

#### 1.6 CONTRACTOR'S CONSTRUCTION SCHEDULE

- A. Bar-Chart Schedule: Prepare a fully developed, horizontal bar-chart type Contractor's construction schedule. Submit within two weeks of the date established for "Commencement of the Work".
  1. Provide a separate time bar for each significant construction activity. Provide a continuous vertical line to identify the first working day of each week. Use the same breakdown of units of the Work as indicated in the "Schedule of Values".

2. Within each time bar indicate estimated completion percentage in 10 percent increments. As Work progresses, place a contrasting mark in each bar to indicate Actual Completion.
3. Prepare the schedule on a sheet, or series of sheets, of stable transparency, or other reproducible media, of sufficient width to show data for the entire construction period.
4. Secure time commitments for performing critical elements of the Work from parties involved. Coordinate each element on the schedule with other construction activities; include minor elements involved in the sequence of the Work. Show each activity in proper sequence. Indicate graphically sequences necessary for completion of related portions of the Work.
5. Coordinate the Contractor's construction schedule with the schedule of values, list of subcontracts, submittal schedule, progress reports, payment requests and other schedules.
6. Indicate completion in advance of the date established for Substantial Completion. Indicate Substantial Completion on the schedule to allow time for the Contracting Officer's procedures necessary for certification of Substantial Completion.

B. Distribution:

1. Following response to the initial submittal, print and distribute copies to the Contracting Officer, subcontractors, and other parties required to comply with scheduled dates.
2. When revisions are made, distribute to the same parties and post in the same locations. Delete parties from distribution when they have completed their assigned portion of the Work and are no longer involved in construction activities.

- C. 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.

1.7 SUBMITTAL SCHEDULE

- A. After development and acceptance of the Contractor's construction schedule, prepare a complete schedule of submittals. Submit the schedule within 10 days of the date required for establishment of the Contractor's construction schedule.
- B. Coordinate submittal schedule with the list of subcontracts, schedule of values, and the Contractor's construction schedule.
- C. Prepare the schedule in chronological order; include submittals required during the first 30 days of construction. Provide the following information:
  1. Scheduled date for the first submittal.
  2. Related Section number.
  3. Name of subcontractor.
  4. Description of the part of the Work covered.
  5. Scheduled date for re-submittal
  6. Scheduled date for the Contracting Officer's final release or approval.

- D. Distribution: Following response to initial submittal, print and distribute copies to the Contracting Officer, subcontractors, and other parties required to comply with submittal dates indicated. When revisions are made, distribute to the same parties and post in the same locations. Delete parties from distribution when they have completed their assigned portion of the Work and are no longer involved in construction activities.
- E. 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.

#### 1.8 DAILY CONSTRUCTION REPORTS

- A. Prepare daily construction reports, recording the following information concerning events at the site; and submit duplicate copies to the Contracting Officer at weekly intervals:
  - 1. List of subcontractors at the site.
  - 2. Approximate count of personnel at the site.
  - 3. High and low temperatures, general weather conditions.
  - 4. Accidents and unusual events.
  - 5. Meetings and significant decisions.
  - 6. Stoppages, delays, shortages, losses.
  - 7. Meter readings and similar recordings.
  - 8. Emergency procedures.
  - 9. Orders and requests of governing authorities.
  - 10. Change Orders received, implemented.
  - 11. Services connected, disconnected.
  - 12. Equipment or system tests and start-ups.
  - 13. Partial Completions, occupancies.
  - 14. Substantial Completions authorized.

#### 1.7 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.
- C. 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".
- D. Submittal: Submit four (4) blue- or black-line prints and 2 addi-

tional prints where required for maintenance manuals. Three (3) prints will be retained; one (1) returned to the Contractor.

- E. Do not use Shop drawings without an appropriate final stamp indicating action taken in connection with construction.

#### 1.10 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, roughing-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."
- B. 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:
  - 1. Manufacturer's printed recommendations.
  - 2. Compliance with recognized trade association standards.
  - 3. Compliance with recognized testing agency standards.
  - 4. Application of testing agency labels and seals.
  - 5. Notation of dimensions verified by field measurement.
  - 6. Notation of coordination requirements.
- C. Do not submit Product Data until compliance with requirements of the Contract Documents has been confirmed.
- D. Submittals: Submit four (4) copies of each required submittal; submit two (2) additional copies where required for maintenance manuals. The Contracting Officer will retain one, and will return the other marked with action taken and corrections or modifications required. Unless noncompliance with Contract Document provisions is observed, the submittal may serve as the final submittal.
- E. Distribution: Furnish copies of final submittal to installers, subcontractors, suppliers, manufacturers, fabricators, and others required for performance of construction activities. Show distribution on transmittal forms.
  - 1. Do not proceed with installation until an applicable copy of Product Data applicable is in the installer's possession.
  - 2. Do not permit use of unmarked copies of Product Data in connection with construction.

#### 1.9 SAMPLES

- A. Submit 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.
- B. Mount, display, or package Samples in the manner specified to

facilitate review of qualities indicated. Prepare Samples to match the Contracting Officer's Sample. Include the following:

1. Generic description of the Sample.
  2. Sample source.
  3. Product name or name of manufacturer.
  4. Compliance with recognized standards.
  5. Availability and delivery time.
- C. 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.
- D. 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.
- E. 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. Preliminary submittals will be reviewed and returned with Contracting Officer's mark indicating selection and other action.
- F. Submittals: Except for Samples illustrating assembly details, workmanship, fabrication techniques, connections, operation and similar characteristics, submit 3 sets. Unless noncompliance with Contract Document provisions is observed, the submittal may serve as the final submittal.
- G. 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.

#### 1.12 CONTRACTING OFFICER'S ACTION

- A. Except for submittals for record, information or similar purposes, where action and return is required or requested, the Contracting Officer will review each submittal, mark to indicate action taken, and return promptly.
- B. Action Stamp: The Contracting Officer will stamp each submittal with a uniform, self-explanatory action stamp. The stamp will be appropriately marked, as follows, to indicate the action taken:
1. Reviewed and Approved: Where submittals are marked "REVIEWED AND 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 "FURNISH AS CORRECTED", 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 "Rejected, or 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 with out delay. Repeat if necessary to obtain a different action mark.

C. Do not permit submittals marked "Rejected, or Revise and Resubmit" to be used at the Project site, or elsewhere where Work is in progress.

PART 2 PRODUCTS (Not Applicable)

PART 3 EXECUTION (Not Applicable)

END OF SECTION 01300