

DIVISION 1 GENERAL REQUIREMENTS

SECTION 01 33 00 SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.1 DESCRIPTION

- A. Section Includes:
1. Submittal schedule.
 2. Products list.
 3. Project directory.
 4. Shop drawings.
 5. Product data.
 6. Samples.
 7. Colors.
 8. Operating and maintenance manuals.
 9. Field samples and mock-ups.
 10. Submittal procedures.
 11. Requests for Information (RFI's).
 12. Final distribution of submittals.

1.2 RELATED WORK

- A. Comply with the requirements specified in addition to submittal review procedures and requirements of the Agreement.
- B. Do not commence any portion of the Work requiring submission of a shop drawing, product datum, or sample until the submittal has been reviewed and accepted by Architect and Owner
- C. Shop drawings, product data, and samples are in no case to be considered Contract Documents but are to be treated only as instruments of convenience and facility to further the progress of the Work.
- D. Shop drawings, product data, samples and supporting data shall be prepared by Contractor or its suppliers but shall be submitted to Architect by Contractor as instruments of the Contractor.
1. Contractor shall check the drawings of its suppliers as well as its own drawings before submitting them to Architect.
 2. Contractor shall ascertain that shop drawings, product data, and samples meet all requirements of the Contract Documents and also conform to the structural and space conditions. If shop drawings, product data, and samples show variations from Contract Documents, whether because of standard shop practice or other reasons, Contractor shall make special mention thereof in its letter of transmittal.
 3. Contractor shall be fully responsible for observing the need for and making changes in arrangement and manner of installation of piping, connections, wiring,

and similar items that may be required by equipment it proposes to supply, both as pertains to its own work and work affected under other parts, headings, or Divisions of the Contract Documents.

4. Prior to submittal to Owner's Representative, each shop drawing, product datum, and sample submitted for review shall be stamped, dated, and signed by Contractor, verifying that it has been checked by Contractor to be in accordance with the Contract Documents. Submittals not signed by Contractor will be returned without review by the Architect.

- E. Miscellaneous systems not specifically specified but installed to meet code requirements or for other reasons are subject to Architect review prior to installation.

1.3 COORDINATION

- A. Coordinate submittals with performance of construction activities.
- B. Coordinate each submittal with other submittals and related activities that require sequential activities.
- C. Coordinate transmittal of different types of submittals for related parts of the Work to avoid delays in processing when concurrent coordination is required.
 1. The Architect and the Owner's Representative reserve the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.

1.4 SUBMITTAL SCHEDULE

- A. Contractor shall prepare and submit to Owner's Representative a "Submittal Schedule" showing schedule dates of submittals and date required for return of submittals to Contractor.
- B. Dates on "Submittal Schedule" shall be agreed upon by both Architect and Contractor.
- C. Contractor shall provide in schedule a minimum of 10 working days Architect to review and check submittals as may be necessary.
 1. No extension of time will be granted because of Contractor's failure to make submittals to allow for minimum 10 working days for review and processing by Architect.
 2. Based on the number and complexity of submittals at any one time Architect review period may be longer than 10 days.
 3. Submittals delivered to the Architect after 2 PM will be noted as received on the next business day.
- D. Schedule shall be updated on a monthly basis.

1.5 PRODUCTS LIST

- A. **Within 14 calendar days** after execution of the Contract, submit to Architect a complete list of products as required in each Specification Section.

- B. Tabulate list of products by each Specification Section. Allow space on the tabulated list sheet for Architect's stamp and Architect's notation adjacent to each product/item.
- C. For products specified under reference standards, include with listing of each product:
 - 1. Name and address of manufacturer.
 - 2. Trade name.
 - 3. Model or catalog designation.
 - 4. Manufacturer's data.
 - a. Performance and test data.
 - b. Reference Standards.

1.6 PROJECT DIRECTORY

- A. After execution of the Contract but prior to commencement of Work, Contractor shall submit to Architect a Project Directory listing subcontractors and vendors on the Project and giving a brief description of their scope of work, firm name, contact person, address, phone number, and fax number.

1.7 SHOP DRAWINGS

- A. Shop drawings shall be drawn to scale and shall be completely dimensioned. Show plan and sections as necessary clearly to show construction detail and methods.
- B. Sheet size shall not exceed the size of the Construction Drawing Set.
- C. Entitle shop drawings with name of the Project and list applicable divisions, sections, article, or reference on each sheet.
- D. Submit separate items on separate sheets.

1.8 PRODUCT DATA

- A. Manufacturer's standard drawings shall be modified to delete information which is not applicable and shall be supplemented to provide additional information where so required.
- B. Manufacturer's catalog sheets, brochures, diagrams, schedules, performance charts, illustrations, and other standard descriptive data shall:
 - 1. Have each copy clearly marked to identify pertinent materials, products, models, finishes, etc.
 - 2. Show clearly standard options included.
 - 3. Show dimensions and clearances required.
 - 4. Show performance characteristics and capacities.
 - 5. Show wiring diagrams and controls, and show necessary rough-in requirements for utility services and connections, where applicable.
 - 6. Include manufacturer's installation instructions on 8.5-inch-x-11-inch format.
- C. Identify each item of product data by reference to sheet and detail numbers of Contract Drawings and/or specific reference to Sections and Paragraphs of the Specifications.

- D. Where product data, as submitted, contains extraneous information, unmarked options, or is incomplete, it will be returned to Contractor without review.

1.9 SAMPLES

- A. Contractor shall forward to Owner's Representative, at its own expense, samples designated for use on the Project. Include material, equipment, textures, colors, and fabrics in sizes and quantities as required by the Drawings and Specifications or as requested by Architect. Where there is an expected range of color or texture variations for the specified item, submit sufficient number of samples to illustrate range.
- B. Review of samples is only for general conformance with the design concept of the project and general compliance with information included in the contract documents. Contractor is responsible for correlating and confirming dimensions at the job site, choice of fabrication processes and techniques of construction, coordination of his work with that of other trades and performing the work in a safe and satisfactory manner. The Landscape Architect has not reviewed and is not responsible for substitutions and/or deviations from the contract documents not clearly noted as a substitution by the Contractor and specifically accepted by the Landscape Architect in writing.
- C. Submit and resubmit samples until accepted by Architect.
- D. No review of a sample shall be taken in itself to change or modify the Contract requirement.
- E. Finishes, materials, and workmanship in the completed Project shall match accepted samples.
- F. Samples of value will be returned to Contractor, when requested in writing at time of submittal, for its use in the Project after review, analysis, comparison, or testing as may be required by Architect.
- G. No samples shall be incorporated into the Work, unless otherwise specified or specific approval is given by Architect and Owner.

1.10 COLORS

- A. Unless the color and pattern are shown or specified, whenever a choice of color or pattern is available in a specified product, submit accurate color charts and pattern charts to Architect for review and selection.
- B. Completely describe the relative costs and capabilities of each color and pattern, unless available colors and patterns have identical costs and wearing capabilities.

1.11 OPERATING AND MAINTENANCE MANUALS

- A. Prepare and submit in accordance with Section 01 77 00, "Closeout Procedures."

1.12 FIELD SAMPLES AND MOCK-UPS

- A. Erect at Project site at a location specified and/or as directed by Architect.
- B. Provide field samples or mock-ups as required by individual Sections.
- C. Size of Area: As specified in individual Section.
- D. Each sample and mock-up shall be complete and finished.
 - 1. Materials, colors, and textures shall be installed and/or applied to certain on-site trial areas.
 - 2. Contractor shall adjust materials, colors, and textures in these trial areas until acceptable to the Owner's Representative and approved for final finish.
 - 3. When these representative areas are finished as directed, final review by the Architect will be given.
 - 4. Construct or prepare as many additional samples or mock-ups required, as directed by Architect, until desired qualities are obtained.
 - 5. Do not start work represented by field samples or mock-ups until Architect has accepted the field samples or mock-ups.
 - 6. Accepted samples and mock-ups shall serve as the standard of quality for similar work throughout the Project.
 - 7. Finished work shall match accepted field samples and mock-ups.
- E. Accepted field samples and mock-ups may remain as part of installed Work, unless otherwise specified.

1.13 SUBMITTAL PROCEDURES - SHOP DRAWINGS, PRODUCT DATA, AND SAMPLES

- A. Submit shop drawings, technical literature, mill reports, certificates, material lists, and samples as specified in the Agreement and Specification Sections.
 - 1. Subcontractors shall make submittals to Contractor.
 - 2. Contractor shall make submittals to the Owner's Representative unless otherwise directed. The Owner's Representative will distribute submittals to the Architect and relevant Consultants. Where submittals are sent to Consultants, a copy will also be sent to the Architect.
 - 3. Consultants will return submittals to the Owner's Representative.
 - 4. The Architect will return reviewed submittals to the Contractor.
- B. Identification:
 - 1. Properly identify each submittal with name of Project, Contractor, subcontractor, and date.
 - 2. Accompany each submittal by an acceptable transmittal form referring to Project name and Specifications Section number, and paragraph number, when applicable, for identification of each item.
 - 3. Consecutively number shop drawings for each Section of work; retain numbering system throughout all revisions.
 - 4. Allow clear space on each drawing, product datum, and sample for stamp of Contractor and Architect. Where clear space is not available on samples, submit with tags or stickers attached.

- C. Stamp each shop drawing, product datum, and sample to certify that it has been coordinated and checked for completeness and compliance with requirements of the Work, Project, and Contract Documents.
- D. Architect Review:
 - 1. General:
 - a. Except for finish, color, and other aesthetic matters left to Architect's decision by Contract Documents, Architect review of shop drawings, product data, and samples is only for Contractor's convenience in following work and does not relieve Contractor from responsibility for deviations from requirements of Contract Documents.
 - b. Do not construe Architect review as a complete check or relief from responsibility for errors of any sort in shop drawings or schedules or from necessity of furnishing work required by Contract Documents that may not have been shown on shop drawings.
 - c. Architect's and Consultant's review of a separate item does not indicate review of complete assembly in which it functions.
 - 2. Submittals not stamped by Contractor and submittals which, in Architect's opinion, are incomplete, contain numerous errors, or have not been checked or have only been checked superficially will be returned to Contractor for re-submittal.
 - 3. Processing:
 - a. Architect will review shop drawings, product data, and samples in accordance with agreed upon "Submittal Schedule" and will return them to Owner with Architect's stamp.
 - b. Notations by Architect which increase Contract cost or time of completion shall be brought to Architect's attention in writing before proceeding with work.
 - c. Each submittal will be stamped indicating appropriate action as specified below.
- E. Copies required in each submittal shall be as follows:
 - 1. Shop Drawings: One electronic copy and three sets of prints, except as otherwise specified.
 - 2. Product Data: One electronic copy and three hard copies.
 - 3. Samples: Four each, unless otherwise specified under applicable Specification Sections or requested.
- F. Action and Distribution:
 - 1. Typically, Architect will stamp submittals "No Exceptions Taken, Proceed," "Make Corrections Noted, Proceed," "Revise and Resubmit," or "Rejected, See Remarks."
 - a. When stamped "No Exceptions Taken, Proceed," Contractor is advised that fabrication, manufacture, or construction may proceed, provided that it complies with the Contract Documents.
 - b. When stamped "Make Corrections Noted, Proceed," Contractor is advised that fabrication, manufacture, or construction may proceed, provided that it complies with Architect notations and the Contract Documents. Submittal shall not be revised and resubmitted.
 - c. When stamped "Revise and Resubmit," Contractor is advised that no work shall be fabricated, manufactured, or constructed; Contractor shall make a new submission.

- d. When stamped "Rejected," Contractor is advised that no work shall be fabricated, manufactured, or constructed; the submittal is unacceptable, do not proceed with selection.
 2. Architect's reviewed submittal will be returned to Owner's Representative for distribution. Returned items will consist of the following:
 - a. For Owner's Representative:
 - b. One copy of all submittals.
 - c. For Contractor:
 - d. One reproducible.
 - e. Two copies of product data.
 - f. Two samples.
- G. Use of Submittals:
1. Work shall be fabricated, manufactured, or constructed only from submissions stamped by the Architect with "No Exceptions Taken, Proceed" and "Make Corrections Noted, Proceed" or submissions stamped with similar instructions by Owner's Consultants.
 2. If for any reason Contractor cannot comply with the notations, Contractor shall resubmit submittal.

1.14 REQUESTS FOR INFORMATION (RFI'S)

- A. RFI's shall be submitted by subcontractors to the Contractor who shall then assign the request an RFI number and forward the request on to the Architect with a copy to the Owner's Representative.
- B. Subcontractors shall submit RFI's to the Architect only through the General Contractor.
- C. The Contractor shall be responsible for assuring there aren't excessive RFI's by subcontractors.
 1. Subcontractors and/or Contractor shall state their interpretation of the Contract documents or propose their solution for conflict resolution in the RFI.
 2. The Architect's response to RFI's will confirm a stated interpretation or otherwise interpret the design intent and may include furnishing an alternative conflict resolution.
- D. Form for submittal of an RFI shall be acceptable to the Architect.
- E. Contractor shall periodically submit to the Architect a list of RFI's, the date submitted and received, and notation of status.

1.15 FINAL DISTRIBUTION AFTER REVIEW

- A. In addition to required copies of submittals from Contractor, subcontractors, suppliers, and fabricators, Contractor shall make distribution to:
 1. Job site file.
 2. Project Record Documents file.

END OF SECTION

