

SECTION 01 33 00

SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.01 SUBMITTAL PROCEDURES

- A. Accompany each submittal with a Submittal form, which contains the following information:
 - 1. Contractor's name and the name of Subcontractor or supplier who prepared the submittal.
 - 2. The project name and identifying number.
 - 3. Description of the submittal and reference to the Contract requirement or technical specification section and paragraph number being addressed.
- B. Submit the number and type of copies for each submittal and follow the procedures described below or in other paragraphs in this Section. Submit four copies of submittals not covered in this Section.
 - 1. Designation of Superintendent: Submit three copies for information. Include name, address, home telephone number and a brief resume.
 - 2. List of Subcontractors and Major Suppliers: Submit three copies for information. Include address, telephone number and name of responsible party.
 - 3. Subcontractors'/Suppliers'/Manufacturers' Affidavits. Submit three copies for items specified in the Technical Specifications.
 - 4. Environmental Protection Plan. Submit three copies for information.

1.02 SCHEDULE OF SUBMITTALS

- A. Submit three (3) copies for information. No copy will be returned.
- B. At the pre-construction meeting, submit a Schedule of Submittals showing the date by which each submittal required for Product Review or Product Information will be made. Identify the items that will be included in each submittal (see paragraph 1.05 of this Section) by listing the item or group of items and the Specification Section and paragraph number under which they are specified. Indicate whether the submittal is required for Product Review of Proposed Equivalents, Shop Drawings, Product Data or Samples or required for Product Information only.

1.03 PLAN OF OPERATIONS

- A. Submit three (3) copies.
- B. Before beginning on site work, submit a plan showing Contractor's intended use of the Work site, including on site storage of materials, on site handling of materials, and field offices.

1.04 CONSTRUCTION SCHEDULE

- A. Submit four (4) copies for information. No copy will be returned.
- B. The form of Construction Schedule may be selected by the Contractor, but shall require the following:
 - 1. Beginning and ending date for each major construction task.
 - 2. Sequential order of tasks.
 - 3. Input from the Contractor's subcontractors and suppliers.
 - 4. An allowance for normal unfavorable weather.
 - 5. Enough time to accomplish all clarifications or changes such that it shall not exceed time limits specified in the Contract Documents.
 - 6. 5 working days for review and response of submittal while not impacting Contractor's schedule.
 - 7. Tabulation and analysis of the work schedule shall be performed by computer.
- C. If the Construction Schedule does not reflect the format requirements, the specified work, or the Contract Time, it will be returned to the Contractor for modification.
- D. Revise the Construction Schedule and resubmit within two (2) days following any monthly meeting to review Contractor's Application for Payment when Contractor's work is five (5) days or more behind schedule.
- E. Accelerated Work if Required to Meet Schedule: Give Engineer three (3) days prior notice of construction that will take place outside of normal work hours or work days. Compensate Owner for extra inspection cost caused by Accelerated Work required to meet Schedule.
- F. Give Engineer three (3) days prior notice of normal work days on which construction will not take place or of scheduled construction that will not take place. Compensate Owner for extra inspection cost resulting from failure to give notice.

1.05 SHOP DRAWING, PRODUCT DATA AND SAMPLES SUBMITTED FOR PRODUCT REVIEW

- A. This paragraph covers submittal of Shop Drawings, Product Data and Samples required for the Engineer's review referred to as Product Review submittals for the Technical Specifications of the contract documents. Submittals required for information only are referred to as Product Information submittals in the Technical Specifications and are covered in paragraph 1.07 of this Section.
- B. Number and type of submittals:
 - 1. Shop Drawings: Submit four (4) clear, sharp high contrast copies one of which will be marked, stamped and returned to the Contractor.
The Contractor shall make and distribute the required number of additional copies to its superintendent, subcontractors and suppliers.

2. Product Data: Submit four (4) clear copies. One copy will be marked, stamped and returned. The Contractor shall make and distribute the required number of additional copies to its superintendent, subcontractors and suppliers.
- C. The Contractor shall make all Product Review submittals early enough to allow adequate time for the Engineer's review, for manufacture and for delivery at the construction site without causing delay to the Work. Submittals shall be made early enough to allow for unforeseen delays such as:
1. Failure to obtain Favorable Review because of inadequate or incomplete submittal or because the item submitted does not meet the requirements of the Contract Documents.
 2. Delays in manufacture.
 3. Delays in delivery.
- D. Content of Submittals:
1. Each submittal shall include all of the items and material required for a complete assembly, system or Specification Section.
 2. Submittals shall contain all of the physical, technical and performance data required by the specifications or necessary to demonstrate conclusively that the items comply with the requirements of the Contract Documents.
 4. Provide verification that the physical characteristics of items submitted, including size, configuration, clearances, mounting points, utility connection points and service access points, are suitable for the space provided and are compatible with other interrelated items that are existing or have or will be submitted.
 5. Label each Product Data Submittal, Shop Drawing and Sample with the information required in paragraph 1.01A of this Section. Highlight or mark every page of every copy of all Product Data submittals to show the specific items being submitted and all options included or choices offered.
 6. Additional requirements for Product Review submittals are contained in the Technical Specification sections.
 7. Designation of work as "by others," shown on Shop Drawings, shall mean that the work will be the responsibility of the Contractor rather than the subcontractor or supplier who has prepared the Shop Drawings.
- F. Requirements for Contractor Designed Items:
Verify that products delivered meet requirements of Contract Documents.
- G. Compatibility of Equipment and Material:
1. Similar items, equipment, devices or products furnished under a single specification section shall all be made by the same maker and have interchangeable parts.
 2. In addition, but only if so stated in each affected Specification Section, similar items furnished under two or more Specification Sections shall be made by the same maker and have interchangeable parts.
 3. All similar materials or products that are interrelated or used together in an assembly shall be compatible with each other.

- H. Requirements for the Contractor's review and stamping of submittals prepared by the Contractor or by Subcontractors or suppliers prior to submitting them to the Engineer. The Contractor warrants:
1. Work or items submitted are complete, accurate and meet the requirements of the Contract Documents, or else any deviations are identified and described in a separate letter accompanying the submittal form.
 2. Work or items submitted have been coordinated with and meet the requirements of other submittals, field conditions and the Work as a whole and quantities and dimensions are correct.
 3. Proposed Equivalent items are at least equal in quality, utility and appearance to the first specified item, or else any deviations are identified in a separate letter accompanying the submittal form.
 4. Adjustments to other work required to accommodate Proposed Equivalent items including second named items have been delineated on the submittal and will be made at the Contractor's expense.
 5. This submittal includes all items needed for a particular specification section or assembly for which submittals are required.
- I. Submittals that contain deviations from the requirements of the Contract Documents shall be accompanied by a separate letter explaining the deviations. The Contractor's letter shall:
1. Cite the specific Contract requirement including the Specification Section and paragraph number for which approval of a deviation is sought.
 2. Describe the proposed alternate material, item or construction and explain its advantages and/or disadvantages to the Owner.
 3. State the reduction in Contract Price if any that is offered to the Owner.
- J. Engineer's Review Procedure and Meaning:
1. The Engineer will stamp and mark each Product Review submittal prior to returning it to the Contractor. The stamp will indicate whether or not the review was favorable and what action is required of the Contractor. Review categories "No Exceptions Taken" and "Make Corrections Noted" both indicate Favorable Review.
 2. The Engineer's Favorable Review is contingent on the Contractor's warranties. Favorable Review is also contingent on:
 - a. The compatibility of items included in a submittal with other related or interdependent items included in previous or future submittals.
 - b. Future submittal of items related to or required to be part of this submittal that were not included with this submittal.
 3. Favorable Review of a submittal does not constitute approval or deletion of items required as part of the submittal but not included with the submittal. Favorable Review of items included in the submittal does not constitute deletion of specified features, options or accessories that were not included in the submittal.
 4. The action required by the Contractor for each category of review is as follows:
 - a. **NO EXCEPTIONS TAKEN.** NO RESUBMITTAL REQUIRED.
 - b. **MAKE CORRECTIONS NOTED:**

- (1) **NO RESUBMITTAL REQUIRED.** The Contractor shall make corrections noted prior to manufacture.
 - (2) **PARTIAL RESUBMITTALS REQUIRED.** The Contractor shall submit related accessory or optional items as noted which are required but were not included with the submittal and/or shall resubmit unsatisfactory portions or attributes of items as noted. The Contractor may proceed to manufacture those portions of the submittal that will be unaffected by required resubmittals.
 - c. **AMEND AND RESUBMIT.** The Contractor shall amend and resubmit the submittal as noted or required to comply with the Contract Documents.
 - d. **REJECTED - RESUBMIT.** The item submitted does not comply with the Contract Documents in a major way. Resubmit items that comply with the requirements of the Contract Documents.
5. The letter of transmittal accompanying the returned Product Review submittal may contain numbered notes. Marking a corresponding number on a Shop Drawing or Product Data submittal shall have the same affect as applying the entire note to the submittal.
- K. Re-submittals that contain changes that were not requested by the Engineer on the previous submittal shall be accompanied by a letter explaining the change.
- L. Favorable Review Required Prior to Proceeding.
1. Do not proceed with manufacture, fabrication, delivery or installation of items prior to obtaining the Engineers Favorable Review of Product Review submittals.
- M. Intent and Limitation on Engineer's Review
1. The Contractor has primary responsibility for submitting and providing work that complies with the requirements of the Contract Documents. That responsibility cannot be delegated in whole or in part to subcontractors or suppliers. Neither the Engineer's Favorable Review nor the Engineer's failure to notice or comment on deficiencies in the Contractor's submittals shall relieve the Contractor from the duty to provide work, which complies with the requirements of the Contract Documents.

1.06 PROPOSED EQUIVALENTS

- A. Submittal for Proposed Equivalent products or materials shall comply with the submittal requirements for Shop Drawings, Product Data, and Samples submitted for Product Review in this Section. Bidders wanting to use "or approved equal items" may submit Document 00 43 25 (Substitution Request Form) no later than seven (7) days after the issuance of the Notice of Award.
- B. Time of Submittal:
1. Submittal of Proposed Equivalents shall be received within five (5) days of the Notice to Proceed. The Engineer may agree to a later submittal date if requested in writing within five (5) days of the Notice to Proceed. The request shall identify the item, providing the Specification reference, and

- proposed manufacturer and model number of the item that will be submitted and the proposed submittal date.
2. The Engineer's agreement to a later submittal date shall be in writing and shall not be construed as Favorable Review or acceptance of the manufacturer or item proposed.
- C. Content of submittals shall be the same as that required for Product Data, Shop Drawings and Samples submitted for Product Review in another paragraph of this Section. In addition, the Contractor shall provide information on several recent similar installations of the item to verify its suitability. The information shall include the project name and location, the Owner's name, address, telephone number and name of a knowledgeable person to contact for information on performance of the product.
 - D. When the Contractor has listed specific maker's products submitted with its Bid no changes will be permitted without submittal of acceptable evidence justifying the change and the Engineer's written approval.
 - E. If a non-equivalent substitute is submitted for review, it shall be accompanied by a proposed reduction in Contract Price which shall include the increased cost of Engineering service required to evaluate the proposed substitute (which shall be paid to the Owner whether or not the substitute is accepted) plus the greater of 1) the difference in price between the first specified item and the item submitted and 2) the difference in value to the Owner between the two items.

1.07 PRODUCT INFORMATION SUBMITTALS

- A. Submit three (3) copies. No copies will be returned.
- B. Product Information submittals are required for the Owner's permanent records and will be used for future maintenance, repair, modification or replacement work. Product Information submittals will be examined only to verify that the required submittals have been made; they will NOT be reviewed for compliance with the Contract Documents.
- C. Make Product Information submittals prior to delivering material, products or items for which Product Information submittals are required.
- D. The Contractor has the sole and exclusive responsibility for furnishing products and work that meets the requirements of the Contract Documents.
- E. The Engineer reserves the right to comment on any submittal and to reject any product or work delivered, installed or otherwise at any time that the Engineer become aware that it is defective or does not meet the requirements of the Contract Document.

1.08 MANUFACTURER'S CERTIFICATES

- A. Submit three (3) copies.
- B. When specified in Technical Specification section, submit manufacturers' certificate to Engineer for review. Indicate material or product conforms to or exceeds specified requirements. Submit supporting reference data, affidavits, and certifications as appropriate. Certificates may be recent or previous test results on material or Product, but must be acceptable to the Engineer.

**PART 2 – PRODUCTS
NOT USED**

**PART 3 – EXECUTION
NOT USED**

- END OF SECTION -