

SECTION 013300
SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.01 RESPONSIBILITIES

- A. The University will designate a representative, either an individual or a third party, who will be responsible for reviewing and approving submittals. Normally the University's representative will be the University's Professional. Identification of the representative, and the specific submittal transmittal procedures, will be provided by the University at the Pre-Construction Conference.
- B. Each Contractor shall designate, not later than the Pre-Construction Conference, an individual within their firm who will be responsible for approving submittals prior to transmittal to the University's representative.

1.02 SUBMITTAL REGISTER

- A. The Submittal Register shall be an organized, comprehensive list for planning and tracking submittals.
- B. Within the Project Manual, or prior to the Pre-Construction Conference, the University or its representative will provide to each Separate Prime Contractor a list of submittals required for the Contract. While this list will be the basis of the Submittal Register, it should not be construed to necessarily be an accurate or complete list. The Contractor shall be responsible to ensure that all submittals required by the Contract Documents are included in the Submittal Register.
- C. Within fourteen (14) days after the Pre-Construction Conference, each Separate Prime Contractor shall submit to the University's representative a list, with dates, of their submittals required during the first sixty (60) days of construction.
- D. Within fourteen (14) days after the Construction Schedule is approved, each Separate Prime Contractor shall submit to the University's representative a complete Submittal Register for the duration of the construction.
- E. The University's representative may provide a specific form and format for the Submittal Register. In the absence of a form or format being provided, the Register shall contain at least the following information:
 - 1. related technical specification section number
 - 2. name of submittal
 - 3. submittal category (shop drawing, product data, sample, etc.)
 - 4. scheduled date for the submittal
 - 5. scheduled date required for approval
- F. The Submittal Register shall be prepared in order of Technical Specification section. The University's representative may, at its option, request the Register be prepared in chronological order.
- G. The University's representative may request or require an electronic or automated Submittal Register, either as a primary or supplemental Register.
- H. The Submittal Register shall be coordinated with the Project Schedule, as well as with the list of subcontractors and the Schedule Of Values.

- I. Each Contractor shall provide copies of his Submittal Register to the University, its representative, the other Separate Prime Contractors, the Professional (if the Professional is not the University's representative), and any other parties required to comply with submittal dates indicated. Additionally, a copy shall be made available in the Contractor's field office.
- J. Failure by the Contractor to include on the Submittal Register a submittal required by a Technical Specification section does not relieve the Contractor from having to make that submittal. Any omission shall be integrated into the Register when the omission is noted.
- K. The Contractor and the University's representative shall jointly work together to ensure that the Submittal Register is updated not less than monthly. Updates and revisions will be distributed to the same parties and posted in the same locations as identified in paragraph III.B.9. above.

1.03 SUBMITTAL PROCEDURES

- A. The Contractor shall coordinate preparation and processing of submittals with procurement and construction activities.
 - 1. Each submittal should be transmitted sufficiently in advance of related procurement and construction activities to avoid delay.
 - 2. Each submittal should be coordinated with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
 - 3. The Contractor should plan for the possibility of some of the more complex submittals not being approved the first time they are submitted, and he should plan on additional lead time for at least one re-submittal of such submittals. Typical submittals requiring more than one submittal before approval include structural steel, food service equipment, and HVAC controls.
 - 4. Additional time should be scheduled for different types of submittals for related elements of the Work that require coordination during review. The University and its representative reserve the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
 - 5. Additional time should be scheduled if a submittal contains a deviation from the Contract requirements.
- B. Submittal processing and review times.
 - 1. Unless otherwise indicated in the Contract or in any Technical Specification, a total of fourteen (14) days shall be allowed for review and disposition (approval or disapproval) of a submittal. The fourteen days will start when the University's representative receives the submittal, and will end when the University's representative sends the dispositioned submittal back to the Contractor.
 - 2. A re-submittal of a submittal previously not approved shall be considered a new submittal for processing time.
 - 3. No extension of Contract Time will be authorized because of the Contractor's failure to transmit a submittal to the University's representative sufficiently in advance of the Work to permit processing.
- C. Each submittal shall be identified and transmitted by use of a transmittal sheet. Unless the University or its representative provides a form for the transmittal sheet, the Contractor may

use any format acceptable to the University and/or its representative. In any case, the transmittal sheet shall contain at least the following:

1. Contract number and name
 2. name and address of Contractor
 3. related technical specification section number and title
 4. name of submittal
 5. type of submittal (shop drawing, product data, etc.)
 6. date
 7. scheduled date for the submittal
 8. scheduled date required for release or approval
 9. name and address of subcontractor, supplier, or vendor (as appropriate)
 10. Contractor's certification that information complies with the Contract requirements, and if there are any deviations (as appropriate)
 11. a space for approval/disapproval/comments by the University's representative and date
- D. Each submittal shall be reviewed and approved by the Contractor prior to transmittal to the University's representative. Submittals received directly from sources other than the Contractor, and those that do not have an approval and/or certification by the Contractor, will be returned without action.
- E. Each submittal should be packaged individually for transmittal and processing.
- F. Any deviations from the Contract requirements shall be clearly marked.
- G. After submittals have been processed, no re-submittal for the purpose of substituting materials or equipment will be considered unless processed in accordance with Specification Section 016200, Product Options.

1.04 REVIEW AND DISPOSITION OF SUBMITTALS

- A. Submittals will be reviewed, marked as to indicate disposition, and returned promptly. Disposition may include the following:
1. Approved. The submittal is approved; no further action relative to the submittal is required. The Contractor may proceed with the Work.
 2. Approved with Comments. The submittal is approved, except for minor corrections or variations. The Contractor may proceed with the Work but shall include the corrections or variations. No resubmittal is required. Any corrections or variations should be noted on record drawings and files.
 3. Partial Approval. A portion of the submittal is approved, but another portion is not approved. A resubmittal is required only for that portion not approved. The Contractor may proceed with Work represented by that portion of the submittal that is approved, if it is separate and distinct Work, but the Contractor may not proceed with any Work represented by that portion of the submittal that is not approved.
 4. Not Approved. The submittal is not approved. A total resubmittal is required. The Contractor may not proceed with the Work.
- B. The review and approval of a submittal by the University or its representative is for conformance with the information given in the Contract Documents and with the design concept of the project. Approval does not relieve the Contractor of the responsibility for compliance with Contract requirements or with statutory or regulatory requirements. Moreover, the Contractor is responsible for dimensions, quantities, details and connections, fabrication, construction methods, and coordination of trades required for satisfactory construction of all Work.

1.05 SHOP DRAWINGS

- A. Shop Drawings are a specific type of submittal. Shop Drawings include fabrication and installation drawings, setting diagrams, schedules, patterns, templates, and similar drawings, and Coordination Drawings. Shop Drawings may include extensions of design.
- B. Format.
 - 1. Shop Drawings shall consist of newly prepared information, drawn to accurate scale, and shall not simply be reproduced Contract Documents or copies of standard information. Standard information prepared without specific reference to the Project is not considered Shop Drawings.
 - 2. Except for templates, patterns, and similar full-size drawings, Shop Drawings shall be submitted on sheets at least 8-1/2" x 11", but no larger than 30" x 42".
 - 3. Shop Drawings shall contain a space approximately 4" x 5" on the label or beside the title block to record the Contractor's review and approval markings and to record the review and disposition by the University's representative.
 - 4. Shop Drawings should include at least the following:
 - a. dimensions
 - b. identification of products and materials included
 - c. compliance with specified standards
 - d. notation of coordination requirements
 - e. notation of dimensions established by field measurement
 - f. identification or highlighting of deviations from the Contract requirements
- C. Unless otherwise specified, a Shop Drawing Submittal shall consist of four (4) blue or black line prints. For Shop Drawings that are required for Operations and Maintenance Manuals, one (1) additional blue or black line print shall be submitted. If agreed upon, electronic drawings on CD may be acceptable in lieu of hard copy drawings. After review and disposition by the University's representative, two (2) regular prints will be returned, and the remainder will be retained by the University's representative and/or the University. One (1) print returned shall be marked and maintained as a "Record Document."
- D. Shop Drawings that do not contain an appropriate final stamp by the University and/or its representative indicating review and disposition shall not be used in connection with the construction.

1.06 COORDINATION DRAWINGS

- A. Coordination Drawings are a special type of Shop Drawing, and shall be prepared, formatted, and processed in accordance with the requirements for Shop Drawings.
- B. Coordination Drawings serve to coordinate the Work in an area where two or more Separate Prime Contractors have Work, or in an area that has limited space for the installation of various components and systems. Coordination Drawings show the relationship and integration of different construction elements that require careful coordination during fabrication or installation to fit in the space provided or function as intended, or that show sequences and relationships of separate components to avoid conflicts in use of space.
- C. Coordination Drawings may include components previously Submitted as Shop Drawings or Product Data.

- D. Refer to Technical Specification sections for specific Coordination Drawing requirements for HVAC, other mechanical, plumbing, electrical, and related installations. Other Technical Specifications sections may also identify requirements for Coordination Drawings.

1.07 PRODUCT DATA

- A. Product Data are a specific type of submittal. Product Data includes printed information such as manufacturer's installation instructions, catalog cuts, standard color charts, roughing-in diagrams, templates, standard wiring diagrams, and performance curves.
- B. Where Product Data must be specially prepared because standard printed data is not suitable for use, Product Data shall be submitted as Shop Drawings.
- C. Format.
 - 1. Each copy of printed materials submittal as Product Data shall be marked to indicate applicable choices and options. Where Product Data includes information on several products, some of which are not required, copies shall be marked to indicate the applicable information.
 - 2. Product Data should include at least the following:
 - 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
- D. Unless otherwise specified, a Product Data Submittal shall consist of four (4) copies of the Product Data. After review and disposition by the University's representative, two (2) copies will be returned, and the other copy will be retained by the University's representative and/or the University.
- E. Product Data that do not contain an appropriate final stamp by the University and/or its representative indicating review and disposition shall not be used in connection with the construction. Installation shall not be initiated until an applicable copy of Product Data is in the installer's possession.

1.08 SAMPLES

- A. Samples are a specific type of submittal. Samples include partial sections of manufactured or fabricated components, cuts or containers of materials, color range sets, and swatches showing color, texture, and pattern. Field Samples are a special type of Samples.
- B. Samples are submitted for review of kind, color, pattern, and texture, and for a final check of these characteristics with other elements. Samples are also utilized for a comparison of these characteristics between the Submittal and the actual material or product as delivered and installed.
- C. Format.
 - 1. Samples shall be submitted as full-size, fully-fabricated samples, cured and finished as specified, and physically identical with the material or product proposed.
 - 2. Samples shall be mounted, displayed, or packaged in the manner specified to facilitate review of qualities indicated.

3. Samples shall be prepared to match the Professional's Sample, if indicated.
 4. Where variation in color, pattern, texture, or other characteristics are inherent in the material or product represented, multiple units (not less than three (3)) that show approximate limits of the variations shall be submitted.
 5. Where Samples are for selection of color, pattern, texture, or similar characteristics from a range of standard choices, a full set of choices for the material or product shall be submitted.
 6. All interior finish Samples requiring coordinated color, texture, and other characteristics shall be submitted as a group.
 7. Samples shall include at least 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
- D. Unless otherwise specified, a Sample Submittal shall consist of three (3) sets. After review and disposition by the University's representative, two (2) sets will be returned, and the other set will be retained by the University's representative and/or the University.
- E. Sets of Samples shall be maintained at the Project site for quality comparisons throughout the course of construction. Sample sets may be used to obtain final acceptance of the construction associated with each set.
- F. Field Samples specified in individual Technical Specification sections are a special type of Samples. Field Samples are full-size examples erected on site to illustrate finishes, coatings, or finish materials, and to establish the standard against which the Work will be compared. Transmittal sheets shall be used to provide a record of review and disposition for Field Samples.

PART 2 – PRODUCTS

(Not Used)

PART 3 – EXECUTION

(Not Used)

END OF SECTION 013300