PART 1 - GENERAL

1.01 DESCRIPTION:

A. This Section includes administrative and procedural requirements for submittal of Shop Drawings, Product Data, Samples, the Submittal Schedule, and other miscellaneous administrative and quality control submittals.

1.02 RELATED SECTIONS:

A. The following Sections contain requirements that relate to this Section:

Section 01 32 13 - Progress Schedules
Section 01 77 19 - Contract Closeout
Section 01 78 39 - Record Documents

1.03 SUMMARY:

A. Submittal Schedule: The Submittal Schedule shall document the Contractor's planning for the timely execution of the Work, in accordance with the Construction Contract and submittal requirements set forth in this Section.

B. Shop Drawings include, but are not limited to, the following: (Note: standard information prepared without specific reference to the Project is not Shop Drawings).

1. Fabrication drawings
2. Installation drawings
3. Setting diagrams
4. Shopwork manufacturing instructions
5. Templates and patterns
6. Schedules

C. Product Data include, but are not limited to, the following:

1. Manufacturer's product data
2. Manufacturer's installation instructions
3. Standard color charts
4. Catalogue cuts
5. Roughing-in diagrams and templates
6. Standard wiring diagrams
7. Printed performance curves
8. Operational range diagrams
9. Mill reports
10. Standard product operating and maintenance manuals

D. Samples include, but are not limited to, the following:

1. Partial sections of manufactured or fabricated components

2. Small cuts or containers of materials
3. Complete units of repetitively used materials
4. Swatches showing color, texture, and pattern
5. Color range sets
6. Components used for independent inspection and testing

E. Quality control submittals include, but are not limited to, the following:

1. Design data
2. Certifications
3. Manufacturer's instructions
4. Manufacturer's field reports

F. 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, the following:

1. Permits
2. Applications for Payment
3. Performance and payment bonds
4. Insurance certificates
5. Listing of subcontractors

1.04 DEFINITIONS:

A. Field samples are full-size physical examples erected on-site to illustrate finishes, coatings, or finish materials. Field samples are used to establish the standard by which the Work will be judged.

B. Mock-ups are full-size assemblies for review of construction, coordination, testing, or operation; they are not Samples.

1.05 SUBMITTAL SCHEDULE:

A. Prepare a complete schedule of submittals. Submit the schedule at the Pre-Construction meeting for Engineer's and Consultant's review.

1. Coordinate the Schedule of Values, the list of subcontractors and the list of material suppliers into the Submittal Schedule, then incorporate them into the Contractor's Construction Schedule.

B. Prepare the schedule in chronological order. Provide the following information:

1. Schedule date for the first submittal
2. Related Section number
3. Submittal category (Shop Drawings, Product Data, etc.)
4. Name of the subcontractor
5. Description of the part of the Work covered

6. Scheduled date for resubmittal
7. Scheduled date for the Consultant's final release or approval

C. Distribution: Following the Consultant's response to the initial submittal schedule, print and distribute copies to the Consultant, Engineer, subcontractors, and other parties required to comply with submittal dates indicated. When revisions are made, distribute to the same parties. Delete parties from distribution when they have completed their assigned part of the Work and are no longer involved in construction activities.

D. Schedule Updating: Revise the schedule after each meeting or other activity where revisions have been recognized or made. Issue the updated schedule prior to the next regular project meeting.

1.06 SUBMITTAL PROCEDURES:

A. Coordination: Coordinate preparation and processing of submittals with performance of construction activities. Transmit each submittal to the Consultant sufficiently in advance of schedule performance of related construction activities to avoid delay.

1. Coordinate each submittal with other submittals and related activities that require sequential activity including:
   a) Testing
   b) Purchasing
   c) Fabrication
   d) Delivery
   e) Other submittals and related activities that require sequential activity.
2. Coordinate transmittal of different types of submittals for the same element of the Work and different elements of related parts of the Work to avoid delay in processing because of the Consultant's need to review submittals concurrently for coordination.
   a) The Consultant reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
3. Processing: To avoid the need to delay installation as a result of the time required to process submittals, allow sufficient time for Contractor's review prior to submittal to the Consultant, and for Consultant's review of submittal, including time for re-submittals.
   a) Allow ten (10) working days for the Consultant's initial review of each submittal, plus five (5) working days if the Engineer's review is required. Allow additional time if the Consultant must delay processing to permit coordination with subsequent submittals. The Consultant will advise the Contractor when a submittal being processed must be delayed for coordination.
   b) Where necessary to provide an intermediate submittal, process the intermediate submittal in the same manner as the initial submittal.

c) Allow five (5) additional working days for reprocessing each submittal.
d) No extension of contract time will be authorized because of the Contractor's failure to transmit submittals to the Consultant sufficiently in advance of the Work to permit processing.

B. Submittal Preparation: Place a permanent label or title block on each submittal for identification:

1. Indicate name of the firm or entity that prepared each submittal on the label or title block.
2. Provide a space approximately 4 by 5 inches (100 x 125 mm) on the label or beside the title block to record the Contractor's review and approval markings and the action taken by the Consultant.
3. Include the following information on the label for processing and recording action taken:
   a) Project name
   b) Date
   c) Name and address of the Consultant
   d) Name and address of the Contractor
   e) Name and address of the subcontractor
   f) Name and address of the supplier
   g) Name of the manufacturer
   h) Number and title of appropriate Specification Section
   i) Drawing number and detail references, as appropriate
   j) Similar definitive information as necessary

C. Submittal Transmittal: Package each submittal appropriately for transmittal and handling. Transmit each submittal from the Contractor to the Consultant and to other destinations by use of a transmittal form. The Consultant will return submittals received from sources other than the Contractor.

1. Record relevant information and requests for data on the transmittal form. On the form, or an attached separate sheet, record deviations from the requirements of the Contract Documents, including minor variations and limitations.
2. Include the Contractor's certification stating that information submitted complies with requirements of the Contract Documents.

D. Placement of Orders for Materials & Components: Do not place orders for materials or components before receipt of reviewed and accepted submittal for same from Consultant.

1.07 SHOP DRAWINGS:

A. Submit newly prepared information, drawn accurately to scale. Do not reproduce Contract Documents or copy standard printed information as the basis of Shop Drawings.

1. Include the following information on Shop Drawings:
   a) Identification of products and materials included
   b) Compliance with specified standards
   c) Notation of coordination requirements
   d) Notation of dimensions established by field measurement taken by the Contractor
   e) Correlation of Shop Drawings to Contract Documents by reference to sheet number, details, schedule or room number.
2. Specifically note and bring to the Consultant's attention any deviations from the Contract Documents on the Shop Drawings.
3. Do not allow Shop Drawing copies that do not contain an appropriate final stamp or other marking indicating the action taken by the Consultant to be used in construction. The Contractor shall replace improvements installed by the Contractor prior to obtaining approval by the submittal process, if Engineer so requests, at no additional cost to the Engineer.
4. Sheet Size: Except for templates, patterns, and similar full-size Drawings, submit Shop Drawings on sheets at least 8-1/2 by 11 inches (215 by 280 mm) but no larger than 30 by 42 inches (750 by 1050 mm).
5. Initial Submittal: Submit up to 5 black-line prints or bond copies for the Consultant's review. The Consultant will return one marked up copy after review. If the Contractor desires more than one copy back, submit additional copies at initial submittal.
6. Final Submittal: Submit up to 5 black-line prints or bond copies for the Consultant's review. If approved, one copy will be returned to the contractor. If the Contractor desires more than one copy back, submit additional copies at final submittal.

1.08 PRODUCT DATA:

A. Collect Product Data into a single submittal for each element of construction or system. Mark each copy to show which choices and options are applicable to the project.

1. Where Product Data includes information on several similar products, some of which are not required for use on the Project, mark copies clearly to indicate which products are applicable.
2. Where Product Data must be specially prepared for required products, materials, or systems because standard printed data are not suitable for use, submit as Shop Drawings, not Product Data.
3. Include the following information in Product Data:
   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

4. Do not submit Product Data until compliance with requirements of the Contract Documents has been confirmed. Include a signed certificate of compliance with each Product Data submittal.

B. Submittals: Submit up to 5 copies of each required Product Data submittal. One copy will be returned to the Contractor. If the Contractor desires more than one copy back, submit additional copies. Unless the Consultant or Engineer observes noncompliance with provisions of the Contract Documents, the submittal may serve as the final submittal.

C. Distribution: Furnish copies of final Product Data submittal to the manufacturers, subcontractors, suppliers, fabricators, installers, governing authorities and others as required for performance of the construction activities. Show distribution on transmittal forms.

1. Do not proceed with installation of materials, products, and systems until a copy of reviewed and accepted Product Data applicable to the installation is in the Installer's possession.
2. Do not permit use of unmarked copies of Product Data in connection with construction.

1.09 SAMPLES:

A. Submit full-size, fully fabricated Samples, cured and finished in the manner specified, and physically identical with the material or product proposed for use.

1. Mount, display, or package Samples in the manner specified to facilitate review of qualities indicated. Prepare Samples to match the Consultant's sample where so indicated. Include the following information:
   a) Generic description of the Sample
   b) Size limitations
   c) Sample source
   d) Product name or name of manufacturer
   e) Compliance with recognized standards
   f) Compliance with governing regulations
   g) Availability
   h) Delivery time
2. 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.
   a) Where variation in color, pattern, texture, or other characteristic is inherent in the material or product represented by a Sample, submit at least 3 multiple units that show approximate limits of the variations.
   b) Refer to other Specification Sections for requirements for Samples that illustrate workmanship, fabrication techniques, and details of assembly, connections, operation, and similar construction characteristics.

c) Samples not incorporated into the Work, or otherwise designated as the Engineer's property, are the property of the Contractor and shall be removed from the site prior to Substantial Completion.

B. Preliminary Submittals: Where Samples are specified for selection of color, pattern, texture, or similar characteristics from a manufacturer's range of standard choices, submit a single, full set of available choices for the material or product.

1. Preliminary submittals will be reviewed and returned with the Consultant's marking indicating selection and other action taken.

C. Submittals: Except for Samples intended to illustrate assembly details, workmanship, fabrication techniques, connections, operation, and other characteristics, submit 3 sets of Samples. The Consultant will return one set to the Contractor marked with the action taken, retain one set, and transmit one set to the Engineer.

1. Maintain sets of Samples, as returned by the Consultant, at the project site, available for quality-control comparisons throughout the course of construction activity.
2. Unless the Consultant or Engineer observes noncompliance with the provisions of the Contract Documents, the submittal may serve as the final submittal.
3. Sample sets may be used to obtain final acceptance of the construction associated with each set.

D. Distribution of Samples: Distribute additional sets of Samples to the subcontractors, suppliers, fabricators, manufacturers, installers, governing authorities, and others as required for performance of the Work. Show distribution on transmittal forms.

E. Field Samples specified in individual Specification Sections are special types of Samples. Comply with Sample submittal requirements to the fullest extent possible. Process transmittal forms to provide a record of activity.

1.10 QUALITY ASSURANCE SUBMITTALS:

A. Submit quality-control submittals, including design data, certifications, manufacturer's instructions, manufacturer's field reports, and other quality-control submittals as required under other Sections of the Specifications.

B. Certifications: Where other Sections of the Specifications require certification that a product, material, or installation complies with specified requirements, submit a notarized certification from the manufacturer certifying compliance with the specified requirements.

1. Signature: Certification shall be signed by an officer of the manufacturer or other individual authorized to sign documents on behalf of the company.

C. Inspection and Test Reports: Requirements for submittal of inspection and test reports from independent testing agencies are specified in Section 01 45 00 - Quality Control.

1.11 CONSULTANT'S ACTION:

A. Except for submittals for the record or for information, where action and return of submittals is required, the Consultant or their respective sub-consultant will review each submittal, mark to indicate the action taken, and return to the Contractor within ten (10) working days of receipt of the submittal.

1. Compliance with specified characteristics is the Contractor's responsibility and not considered part of the Consultant's review and indication of action taken.
2. If the submittal involves either changes to the drawings and/or project manual or contains information not reviewed and approved as part of the project drawings and/or project manual by the Engineer, the Engineer shall also review and approve the submittal. An additional five (5) working days shall be required for the Engineer's review.

B. Action Stamp: The Consultant will stamp each submittal with a uniform action stamp. The Consultant will mark the stamp appropriately to indicate the action taken, as follows:

1. Final Unrestricted Release: Where submittals are marked "No Exceptions Taken," the Work covered by the submittal may proceed, provided it complies with the requirements of the Contract Documents. Final acceptance will depend on that compliance.
2. Final-but-Restricted Release: Where submittals are marked "Make Corrections Noted," the Work covered by the submittal may proceed provided it complies with both the Consultant's notations and corrections on the submittal and requirements of the Contract Documents. Final acceptance will depend on that compliance.
3. Returned for Resubmittal: When submittal is marked "Revise and Resubmit," do not proceed with the Work covered by the submittal, including purchasing, fabrication, delivery, or other activity. Revise or prepare a new submittal according to the Consultant's notations. Resubmit without delay. Repeat if necessary to obtain an action mark that will allow the Work to Proceed.
   a) Do not permit submittals marked "Revise and Resubmit" or "Rejected" to be used at the project site or elsewhere where construction is in progress.
4. Other Actions: Where a submittal is primarily for informational or record purposes or for special processing or other activity, the submittal will be returned, marked "Action Not Required," or "Not Reviewed."

PART 2 - PRODUCTS: (Not Used)

PART 3 - EXECUTION: (Not Used)

END OF SECTION