

## SECTION 01 3300 - SUBMITTAL PROCEDURES

### PART 1 - GENERAL

#### 1.1 RELATED DOCUMENTS

- A. Drawings and general provisions of the Contract, including General and Supplementary Conditions and Division 01 Specification Sections, apply to this Section.

#### 1.2 SUMMARY

- A. Section includes requirements for the submittal by each Prime Contractors schedule and administrative and procedural requirements for performance of the work, including the following:
  - 1. Prime Contractor's construction schedule.
  - 2. Submittal schedule.
  - 3. Daily construction reports.
  - 4. Shop Drawings.
  - 5. Product Data.
  - 6. Samples.
  - 7. Quality assurance submittals.
- B. Administrative Submittals: Refer to other Division 01 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. List of subcontractors.
- C. Related Sections:
  - 1. Division 00 Section "Supplementary General Conditions" for electronic file order form" for architectural drawings.
  - 2. Division 01 Section "Applications for Payment" specifies requirements for submittal of the Schedule of Values.
  - 2. Division 01 Section "Construction Progress Documentation" for submitting schedules and reports, including Prime Contractor's construction schedule.
  - 3. Division 01 Section "Project Management and Coordination" specifies requirements governing preparation and submittal of required Coordination Drawings.
  - 4. Division 01 Section "Operation and Maintenance Data" for submitting operation and maintenance manuals.

5. Division 01 Section "Project Record Documents" for submitting record Drawings, record Specifications, and record Product Data.

### 1.3 DEFINITIONS

- A. 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 to function as intended.
  1. Preparation of Coordination Drawings is specified in Division 01 Section "Coordination" and may include components previously shown in detail on Shop Drawings or Product Data.
- B. 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.
- C. Mockups are full-size assemblies for review of construction, coordination, testing, or operation; they are not Samples.
- D. Action Submittals: Written and graphic information and physical samples that require Architect's responsive action.
- E. Informational Submittals: Written and graphic information and physical samples that do not require Architect's responsive action. Submittals may be rejected for not complying with requirements.

### 1.4 SUBMITTAL PROCEDURES

- A. Submittal Schedule: Submit a schedule of submittals, arranged in chronological order by dates required by construction schedule. Include time required for review, ordering, manufacturing, fabrication, and delivery when establishing dates. Include additional time required for making corrections or modifications to submittals noted by the Architect and additional time for handling and reviewing submittals required by those corrections.
- B. Coordination: 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.
  1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
  2. 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.
    - a. The Architect reserves the right to withhold action on a submittal requiring coordination with other submittals until all 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 submittal review, including time for resubmittals.
  - a. Allow 10 business days for initial review. Allow additional time if the Architect must delay processing to permit coordination with subsequent submittals.
  - b. If an intermediate submittal is necessary, process the same as the initial submittal.
  - c. Allow 5 business days for reprocessing each submittal.
  - d. No extension of Contract Time will be authorized because of failure to transmit submittals to the Architect sufficiently in advance of the Work to permit processing.
4. HVAC Contractor shall provide ductwork layout drawings to all trades for coordination and approval prior to proceeding with final submission and installation.
5. All Prime Contractors shall furnish a list of "long lead" items to the Architect within ten (10) days of signed agreement. Shop drawings for said items shall follow within thirty (30) days of signed agreement.

#### 1.5 SUBMITTAL ADMINISTRATIVE REQUIREMENTS

- A. Architect's Digital Data Files: Electronic copies of CAD Drawings of the Contract Drawings will be provided by Architect if requested for Prime Contractor's use in preparing submittals.
  1. Architect makes no representations as to the accuracy or completeness of digital data drawing files as they relate to the Contract Drawings.
  2. Prime Contractor shall execute a data licensing agreement in the form.
  3. Processing costs may apply.
- B. Submittal Preparation: 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.
  1. Provide a space approximately 4 by 5 inches on the label or beside the title block on Shop Drawings to record the Prime Contractor's review and approval markings and the action taken.
  2. Include the following information on the label for processing and recording action taken:
    - a. Project name.
    - b. Date.
    - c. Name and address of the Architect.
    - d. Name and address of the Prime 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.
- C. Submittal Transmittal: Package each submittal appropriately for transmittal and handling. Transmit each submittal from the Prime Contractor to the Architect using a transmittal form and submitting via email. The Architect will not accept submittals received from sources other than the Prime Contractor.
  - 1. On the transmittal, record relevant information and requests for data. On the form, or separate sheet, record deviations from Contract Document requirements, including variations and limitations. Include Prime Contractor's certification that information complies with Contract Document requirements
  - 2. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
  - 3. Coordinate transmittal of different types of submittals for related parts of the Work so processing will not be delayed because of need to review submittals concurrently for coordination.
    - a. Architect reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.

#### 1.6 PRIME CONTRACTORS CONSTRUCTION SCHEDULE

- A. Refer to Section 01 3200 "Construction Progress Documentation" for specific scheduling requirements.

#### 1.7 SUBMITTAL SCHEDULE

- A. After development and acceptance of the Prime Contractor's Construction Schedule, prepare a complete schedule of submittals. Submit the schedule within 5 days of the date required for submittal of the Prime Contractor's Construction Schedule.
  - 1. Coordinate Submittal Schedule with the list of subcontracts, Schedule of Values, and the list of products as well as the Prime Contractor's Construction Schedule.
  - 2. Prepare the schedule in chronological order. Provide the following information:
    - a. Scheduled date for the first submittal.
    - b. Related Section number.
    - c. Submittal category (Shop Drawings, Product Data, or Samples).
    - d. Name of the subcontractor.
    - e. Description of the part of the Work covered.
    - f. Scheduled date for resubmittal.
    - g. Scheduled date for the Architect's final release or approval.
- B. Distribution: Following response to the initial submittal, print and distribute copies to the Architect, Owner's representative, subcontractors, and other parties required to comply with submittal dates indicated. Post copies in the Project meeting room and field office.
  - 1. 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 the report of each meeting.

## 1.8 DAILY CONSTRUCTION REPORTS

- A. Each Prime Contractor shall prepare a daily construction report recording the following information concerning events at the site, and submit duplicate copies to the Architect 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, and 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 startups.
  - 13. Partial Completions, occupancies.
  - 14. Substantial Completions authorized

## 1.9 SHOP DRAWINGS

- A. Submit newly prepared information drawn accurately to 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 a Shop Drawing.
- B. Shop Drawings include fabrication and installation Drawings, setting diagrams, schedules, patterns, templates and similar Drawings. Include the following information:

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- 1. Dimensions.
- 2. Identification of products and materials included by sheet and detail number.
- 3. Compliance with specified standards.
- 4. Notation of coordination requirements.
- 5. Notation of dimensions established by field measurement.
- 6. Sheet Size: Except for templates, patterns and similar full-size Drawings, submit Shop Drawings on “PDF” sheets at least 8-1/2 by 11 inches (215 by 280 mm) but no larger than 36 by 48 inches (890 by 1220 mm).
- 7. Initial Submittal: Submit one correctable, PDF (or other approved digital format) file for the Architect's review. The Architect will return the one (1) file.

8. Initial Submittal: Submit one (1) file for Architect's review. The Architect will return one(1) file.
9. Final Submittal: Submit one (1) PDF (or other approved digital format) file; submit 5 prints where specifically required for maintenance manuals. The Architect will retain 2 prints and return the remainder.
10. Final Submittal: Submit 3 blue- or black-line prints and 2 additional prints where specifically required for maintenance manuals, plus the number of prints needed by the Architect for distribution. The Architect will retain 2 prints and return the remainder.
  - a. One of the prints returned shall be marked up and maintained as a "Record Document."
11. Do not use Shop Drawings without an appropriate final stamp indicating action taken.

#### 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.
  1. Mark each copy to show applicable choices and options. Where printed Product Data includes information on several products that are not required, mark copies to indicate the applicable information. Include the following information:
    - a. Manufacturer's printed recommendations.
    - b. Compliance with 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.
  2. Do not submit Product Data until compliance with requirements of the Contract Documents has been confirmed.
  3. Preliminary Submittal: Submit a preliminary single copy of Product Data where selection of options is required.
  4. Submittals: Submit one (1) PDF (or other approved digital format) file of each required submittal; submit 6 copies where specifically required for maintenance manuals. The Owner and Architect will retain three and will return the other marked with action taken and corrections or modifications required.
    - a. Unless noncompliance with Contract Document provisions is observed, the submittal may serve as the final submittal.
  5. 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.
    - a. Do not proceed with installation until a copy of Product Data is in the Installer's possession.
    - b. Do not permit use of unmarked copies of Product Data in connection with construction.
- B. 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. Field samples are full-size examples erected on-site to illustrate finishes, coatings, or finish materials and to establish the Project standard.
  - a. Comply with submittal requirements to the fullest extent possible. Process transmittal forms to provide a record of activity.

#### 1.11 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 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 Division 1 Section "Quality Control."

#### 1.12 ARCHITECT'S ACTION

- A. Except for submittals for the record or information, where action and return is required, the Architect will review each submittal, mark to indicate action taken, and return promptly.
  1. Compliance with specified characteristics is the Prime Contractor's responsibility.
- B. Action Stamp: The Architect will stamp each submittal with a uniform, action stamp. The Architect will mark the stamp appropriately to indicate the action taken, as follows:
  1. Final Unrestricted Release: When the Architect marks a submittal "No Exception Taken," the Work covered by the submittal may proceed provided it complies with requirements of the Contract Documents. Final payment depends on that compliance.
  2. Final-But-Restricted Release: When the Architect marks a submittal "Make Corrections Noted" – "Do Not Re-Submit", 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 payment depends on that compliance.
  3. Returned for Resubmittal: When the Architect marks a submittal "Rejected" – "Resubmit," do not proceed with Work covered by the submittal, including purchasing, fabrication, delivery, or other activity. Revise or prepare a new submittal according to the notations; resubmit without delay. Repeat if necessary to obtain different action mark.

- a. Do not use, or allow others to use, submittals marked "Rejected", Revise and Resubmit" at the Project Site or elsewhere where Work is in progress.
- C. Unsolicited Submittals: The Architect will return unsolicited submittals to the sender without action.

PART 2 - PRODUCTS (Not Applicable)

PART 3 - EXECUTION (Not Applicable)

END OF SECTION 01 3300