

SECTION 01300

SUBMITTALS

PART 1 - GENERAL

1.01 SECTION INCLUDES

- A. Submittal procedures.
- B. “Or Equal” and Substitute submittals.
- C. Action on submittals.
- D. Design and Calculations by Others.
- E. Shop Drawings.
- F. Product data.
- G. Samples.
- H. Manufacturers' instructions.
- I. Manufacturers' certificates and warranties.
- J. Construction progress schedules.
- K. Construction photographs.
- L. Submittals specified in other Documents/Sections.

1.02 SUBMITTAL PROCEDURES

- A. Transmit each submittal with Owner’s accepted form.
- B. Number each submittal. Number shall consist of the following parts, each separated by a dash:
 - 1. Contract number.
 - 2. Five-digit Specification Section number.
 - 3. Two-digit sequence number starting for each Specification Section with 01 and continuing with 02, 03, etc., for subsequent submittals with the same Specification Section number.
 - 4. Use the fourth part of the number only for resubmittals. For the first resubmittal of a previous submittal, add -R1 to the previous number. For the second resubmittal, change to -R2, and so on.

As an example of the numbering process for Contract Number 1, the

third submittal under Section 03300 would be numbered 1-03300-03, and the second resubmittal of this same submittal would be numbered 1-03300-03-R2.

- C. Identify Project, Contractor, Subcontractor, or Supplier. Identify pertinent Drawing sheet and detail number(s), and Specification Section number, as appropriate.
- D. Apply Contractor's stamp, signed or initialed certifying that review, verification of Products required, field dimensions, adjacent construction Work, and coordination of information, is in accordance with the requirements of the Work and Contract Documents. Stamp shall have the following format:

Approved for Contract Requirements

The Contractor's signature below indicates that this Submittal has been checked with the Drawings, Specifications, and site conditions and found to meet all requirements of same including dimensions, and that the Contractor's guarantee fully applies to the Product(s) covered.

RE: Project: _____

Submittal Number: _____

Drawing Sheet Number: _____ Detail Number: _____

Deviations from Contract Documents? No ☐ Yes ☐ (letter attached)

By: _____

Signature (Contractor)

Contractor's Name: _____

- E. Submittals without Contractor's stamp of approval will not be reviewed by Owner and will be returned to Contractor for resubmittal. Resubmittal will be considered as No. 1 and all others will be at Contractor's expense.
- F. Schedule submittals to expedite the Project, and deliver to Owner at business address. Coordinate submission of related items.
- G. Submit letter, which specifically identifies deviations from Contract Documents. Identify Product or system limitations, which may be detrimental to successful performance of the completed Work.
- H. When a Product is of various sizes, or there are similar Products (e.g. sump and grinder pumps) in the Project, provide a submittal, which includes all identical/similar Products.
- I. When a Specification Section includes several Products, submit shop drawings for all Products in a single submittal.
- J. Where deviations from Contract Documents will affect the Work of another Contractor, the Contractor making the submittal shall attach a letter from the other Contractor(s) stating that the deviation will either:
 - 1. Have no effect on the other Contractor's Work; or

- 2. Have an effect on the other Contractor's Work and that the Contractor making the submittal has agreed to pay all extra costs associated with the deviation.
- K. Provide space for Contractor and Owner review stamps.
- L. Revise and resubmit submittals **within ten calendar days from date of receipt**. Identify all changes made since previous submittal. Where submittal must be held for coordination Owner shall be so advised by Contractor.
- M. Distribute copies of reviewed submittals to concerned parties. Instruct parties to promptly report any inability to comply with provisions.
- N. **Incomplete submittals will be returned without review and their receipt will be counted as Submittal No.1.**

1.03 "OR EQUAL" AND SUBSTITUTE SUBMITTALS

- A. "Or Equal" and Substitute Products or methods submittals shall be in compliance with Supplementary Conditions Paragraphs SC-6.05.A through SC-6.05.L.
- B. The Owner will determine if a Product or method qualifies and is acceptable as an "Equal" or as a Substitute.
- C. Contractor shall be responsible for Owner's, and others, review time, and for all other costs associated with acceptance/rejection of an "Equal" or "Substitute" Product or method.
- D. **Request for "or Equal"/Substitute of Product, or method shall be made as a separate submittal, for Owner's or others, review and acceptance/rejection, not as a final shop drawing submittal.**

1.04 ACTION ON SUBMITTALS

- A. Owner's Action: Where action and return is required or requested, Owner will review each submittal, mark with the action taken, and where possible return **within fourteen calendar days from date of receipt**. Where submittal must be held for coordination, Contractor will be so advised by Owner.
- B. Submittals returned with "**APPROVED**" action indicate that the information submitted was found to be in conformance with the design concept and in compliance with the requirements of the Contract Documents. The Contractor remains responsible for work-related errors, deviations, and discrepancies in the submittal, but may proceed with performance of the work covered by the submittal.
- C. Submittals returned with "**APPROVED AS NOTED**" action indicate that the information submitted was found to be in conformance with the design concept and in

compliance with the requirements of the Contract Documents, provided the noted clarifications or corrections are incorporated in the Work and in the Record Documents. The Contractor remains responsible for work-related errors, deviations, and discrepancies in the submittal, but may proceed with performance of the work covered by the submittal. Resubmission of information is not required.

- D. Submittals returned with "**RETURNED FOR CORRECTION**" action indicate that: (1) information submitted is at least partially not in conformance with the design concept, (2) information submitted is at least partially not in compliance with the requirements of the Contract Documents, (3) submittal is incomplete and does not include all items required by the individual Specification Sections, or (4) certifications or computations required by the individual Specification Sections have not been included with the Shop Drawings and Product data. Owner will note the deficiencies or corrections required, and return the submittal to the Contractor. Performance of the work covered by the submittal shall not proceed until corrected information is submitted and approved.
- E. Submittals returned with "**NOT AS SPECIFIED**" action indicate that the Owner interprets the information submitted to be not in conformance with the design concept or not in compliance with the Contract Documents. This action may also indicate non-compliance with the Contractor's responsibility to review information and submit notification of deviations and discrepancies for the Owner's review. Performance of the work shall not proceed until new information is submitted and approved.
- F. Submittals returned with "**FOR INFORMATION ONLY**" action indicate that the Owner will review the information submitted only as specified in Article 1.05 below.
- G. Review Action does not establish submitted information as a Contract Document, a Change Order, or authorization to deviate from the Contract Documents.
- H. For all re-submittals except the first, Owner and Owner's consultants will record man-hours required for review of the re-submittal. Contractor shall be charged for review of such repeat re-submittals at Owner's (and Owner's consultant's) current hourly rates. Charges for repeat re-submittals shall be subtracted from Contractor's next progress payment.

1.05 DESIGN AND CALCULATIONS BY OTHERS

- A. Design and Calculations: When required by individual Specification Section, Contractor shall submit with the shop drawing submittal a "Letter of Assurance" from the Product manufacturer/supplier, bearing the seal and signature of a professional registered in the Commonwealth of Pennsylvania, which shall read as follows:

As the professional responsible for the design of

(Insert actual item name)

I hereby certify that the design calculations include all parameters indicated in the Construction Documents. In addition, I hereby certify that the Product shop drawings have incorporated all elements of my calculations.

- B. Owner will review submittal only for the following:
 - 1. They have been sealed by a professional registered in the Commonwealth of Pennsylvania.
 - 2. Basic geometry and materials used in design conform to Contract Documents.
 - 3. All loads specified in the Contract Documents have been addressed.
- C. Owner's review is **FOR INFORMATION ONLY** and will not include any check of numbers, design methods or conclusions.
- D. Owner's review of the calculations does not imply acceptance of numerical accuracy or of professional judgment of the design Professional.
- E. The Professional who sealed these calculations shall retain full responsibility for the design.

1.06 SHOP DRAWINGS

- A. Electronic Submittals: All submittals may be made electronically.
- B. After review, distribute in accordance with Article on "Submittal Procedures" above and provide copies for Record Documents described in Section 01700 - Contract Closeout.

1.07 PRODUCT DATA

- A. Submit electronic copies, which will be retained by Owner, plus the number of copies which the Contractor requires.
- B. Mark each copy to identify applicable products, models, options, and other data. Supplement manufacturers' standard data to provide information unique to this Project.
- C. **AFTER REVIEW, DISTRIBUTE IN ACCORDANCE WITH ARTICLE ON "SUBMITTAL PROCEDURES" ABOVE AND PROVIDE COPIES FOR RECORD DOCUMENTS DESCRIBED IN SECTION 01700 - CONTRACT CLOSEOUT.**

1.08 SAMPLES

- A. Submit the same number of samples as required for shop drawing submittals. Submit actual product samples.
- B. Submit samples to illustrate functional and aesthetic characteristics of the Product, with integral parts and attachment devices. Coordinate sample submittals for interfacing work.
- C. Submit samples of finishes from the full range of manufacturers' standard colors, textures, and patterns for Owner's selection.
- D. Include identification on each sample, with full Project information.
- E. Large, bulky samples may be submitted to the Owner at the Project site. Whenever a sample is submitted at the Project site, immediately notify the Owner of this submittal in writing.

1.09 MANUFACTURERS' INSTRUCTIONS

- A. When specified in individual Specification Sections, submit manufacturers' printed instructions for delivery, storage, assembly, installation, start-up, adjusting, and finishing, in quantities specified for Product data.
- B. Identify conflicts between manufacturers' instructions and Contract Documents.

1.10 MANUFACTURERS' CERTIFICATES AND WARRANTIES

- A. When specified in individual Specification Sections, submit manufacturers' certificates and sample warranties to Owner for review, in quantities specified for Product data.
- B. Indicate Product conforms to or exceeds specified requirements. Submit supporting computations, reference data, affidavits, and certifications as appropriate.
- C. Certificates may be recent or previous test results on material or Product, but must be acceptable to Owner.
- D. When required by individual Specification Sections, include a "Letter of Assurance" specified previously in Article 1.05.
- E. When Supplementary Conditions specify certain regulatory restrictions concerning origin of Products (for example, that any steel used on the Project must be a Product of the United States), submit a certificate from Products manufacturer that Products supplied to the Contractor are in conformity with the regulatory requirements.
- F. Submit sample(s) of manufacturer's warranties to Owner, for review, in quantities specified for Product Data accompanied by EQUIPMENT/SYSTEM WARRANTY AND CERTIFICATION FORM attached to this section. Actual Warranty Certificate shall be submitted when specified in Section 01700.

1.11 CONSTRUCTION PROGRESS SCHEDULES

- A. Submit electronic copies of progress schedule for Owner review. Revise and resubmit as required.
- B. Submit revised schedules with each Application for Payment, identifying changes since previous version.
- C. Indicate submittal dates required for Shop Drawings, Product data, samples, and Product delivery dates, including those furnished by Owner and under Allowances.
- D. Do not include extensions to the Contract Times in revised progress schedules until such extensions have been approved by Owner in accordance with Article 12 of the General Conditions.
- E. Failure to submit an initial or revised progress schedule acceptable to the Owner, before or with each Application for Payment may be reason for the Owner to recommend the Owner withhold payment of all or part of the amount shown in an Application for Payment until an acceptable progress schedule is submitted.
- F. Time unit used on progress schedule: Calendar Day.
- G. Submit a computer-generated network analysis diagram using the critical path method (CPM) as outlined in Associated General Contractors of America (AGC) publication "The Use of CPM in Construction - A Manual for General Contractors and the Construction Industry".
- H. Show the following items for each activity on each CPM submittal:
 - 1. Preceding and following event number. Select numbers so as to permit identification of activities with Bid items.
 - 2. Activity description.
 - 3. Responsibility for activity (Contractor, Owner, Subcontractor)
 - 4. Estimated duration.
 - 5. Early start calendar date.
 - 6. Early finish calendar date.
 - 7. Late start calendar date.
 - 8. Late finish calendar date.
 - 9. Free float and total float.
 - 10. Percentage of activity completed.
 - 11. Manpower requirements.

1.12 CONSTRUCTION PHOTOGRAPHS

- A. Each month submit photographs to Owner with Application for Payment.
- B. Photographs: Electronic (JPEG), provide one Flash drive

- C. Take photographs no earlier than ten calendar days prior to submitting. Take photographs at following locations:
 - 1. From four different locations at the site perimeter showing overall work completed and in progress.
 - 2. Four photographs of exterior of each building or structure, from different sides of the structure or building, showing work performed since the last photographs were taken.
 - 3. Four photographs of interior of each building or structure, in different directions, showing work performed since the last photographs were taken.
- D. Costs associated with photo taking shall be included in the Contract Price.

1.13 SUBMITTALS SPECIFIED IN OTHER DOCUMENTS/SECTIONS

- A. Applications for Payment: Section 01025.
- B. Request for Approval of Cutting and Patching Methods: Section 01040.
- C. Schedule of Shop Drawing Submittals: General Conditions 2.05.
- D. Requests for Substitutions: General Conditions 6.05, as amended by the Supplementary Conditions Paragraphs SC-6.05.A through SC-6.05.L.
- E. Claim Documentation: General Conditions 10.05 and 12.02.A.
- F. Documentation Required with Applications for Progress Payments and Final Application for Payment: General Conditions 14.02.A and 14.07.A.
- G. Emergency Crew Names, Addresses, and Telephone Numbers: Supplementary Conditions 6.16.
- H. Work Sequence: Section 01010.
- I. Schedule of Values: Section 01025.
- J. Supervisory Personnel Names and Phone Numbers: Section 01200.
- K. Reports on Tests and Inspections: Section 01400.
- L. Manufacturers' Field Service Reports: Section 01400.
- M. Request for Closeout Inspection: Section 01700.
- N. Record Documents: Section 01700.
- O. Operation and Maintenance Manuals: Section 01700.
- P. Warranties: Section 01700.

Q. Spare Parts and Maintenance Materials: Section 01700.

PART 2 - PRODUCTS

NOT APPLICABLE TO THIS SECTION

PART 3 - EXECUTION

NOT APPLICABLE TO THIS SECTION

END OF SECTION