

SECTION 013300 – SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.1 RELATED DOCUMENTS

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

1.2 SUMMARY

- A. This section specifies administrative and procedural requirements for submittals required for performance of the work, including;
 - 1. Submittal Register – due on or before **January 4, 2024**
 - 2. Submittal Schedule
 - 3. Daily Construction Reports
 - 4. Shop drawings, Product Data, and Samples – Mechanical units submittals must be submitted by **January 10, 2024** all others **February 1, 2024**.
- B. 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:
 - 1. Applications for payment
 - 2. Performance and payment bonds
 - 3. Insurance Certificates
 - 4. List of subcontractors
- C. The Schedule of Values submittal is included in Section 012900 - Applications for Payment.
- D. Inspection and test reports are included in Section 014000 - Quality Requirements.
- E. Construction Schedule – refer to Section 013200 – CPM Schedules & Reports.

1.3 SUBMITTAL PROCEDURES

- A. Coordination: Coordinate preparation and processing of submittals with performance of construction activities. Transmit each submittal sufficiently in advance of the performance of work 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.
 - 3. The University reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
 - 4. Processing: Allow sufficient review time so that installation will not be delayed as a result of the time required to process submittals, including time for resubmittals.
 - a. Allow (10) ten days for initial review. Allow additional time if processing must be delayed to permit coordination with subsequent submittals. The Professional will

promptly advise the Contractor when a submittal being processed must be delayed for coordination.

- b. If an intermediate submittal is necessary, process the same as the initial submittal.
- c. Allow (10) ten days for reprocessing each submittal.
- d. No extension of contract time will be authorized because of failure to transmit submittals to the Professional sufficiently in advance of the work to permit processing.

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" x 5" on the label or beside the title block on shop drawings to record the 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 Professional
 - d. Name and address of Contractor
 - e. Name and address of subcontractor
 - f. Name and address of supplier
 - g. Name of 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 Contractor to Professional using a transmittal form. Submittals received from sources other than the Contractor will be returned without action.

- 1. On the transmittal record relevant information and requests for data. On the form, or separate sheet, record deviations from contract document requirements, including minor variations and limitations. Include Contractor's certification that information complies with contract document requirements.

1.4 SUBMITTAL REGISTER

A. Each Contractor in accordance with a Binding Letter of Intent, prepare and submit a Submittal Register to the Professional, organized by related division and specification section number showing all items requiring submission.

1.5 SUBMITTAL SCHEDULE

A. Each Contractor in accordance with a Binding Letter of Intent, prepare and submit a Submittal Schedule to the System and Design Professional, organized by related specification section number sequences showing all items requiring submission.

B. Coordinate submittal schedule with the list of subcontracts, schedule of values and the list of products.

- 1. Prepare the register in chronological order and provide the following information:

- a. Related section number and division
 - b. Name of subcontractor
 - c. Scheduled date for the first submittal
 - d. Days required after return of an approved submittal to order, fabricate and deliver the specific item to the site.
- C. 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.

1.6 DAILY CONSTRUCTION REPORTS

- A. Prepare a daily construction report, recording the following information concerning events at the site and submit duplicate copies to the University at weekly intervals:
 - 1. List of subcontractors at the site
 - 2. 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, 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 start-ups
 - 13. Partial completions, occupancies
 - 14. Substantial completions authorized

1.7 SHOP DRAWINGS

- A. Submit newly prepared information, drawn to accurate 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 considered shop drawings.
- B. Shop drawings include fabrication and installation drawings, setting diagrams, schedules, patterns, templates and similar drawings. Include the following information:
 - 1. Dimensions
 - 2. Identification of products and materials included
 - 3. Compliance with specified standards
 - 4. Notation of coordination requirements
 - 5. Notation of dimensions established by field measurement
- C. Sheet Size: Except for templates, patterns and similar full-size drawings, submit shop drawings on sheets at least 8 1/2" x 11" but no larger than 30" x 42".

1.8 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. Where product data must be specially prepared because standard printed data is not suitable for use, submit as shop drawings.
 - 1. Mark each copy to show applicable choices and options. Where printed product data includes information on several products, some of which are not required, mark copies to indicate the applicable information. Include the following information:
 - 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
 - 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: Electronic transmissions will be utilized direct to the appropriate design professional.
 - 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 an applicable copy of product data applicable is in the installer's possession.
 - b. Do not permit use of unmarked copies of product data in connection with construction.

1.9 SAMPLES

- A. Submit full-size, fully-fabricated samples cured and finished as specified and physically identical with the material or product proposed. Samples include partial sections of manufactured or fabricated components, cuts or containers of materials, color range sets and swatches showing color, texture and pattern.
 - 1. Mount, display or package samples in the manner specified to facilitate review of qualities indicated. Prepare samples to match the Professional's sample if indicated. Include 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
 - 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 characteristics are inherent in the material or product represented, submit multiple units (not less than 3), that show approximate limits of the variations.
 - b. Refer to other specification sections for requirements for samples that illustrate workmanship, fabrication techniques, details of assembly, connections, operation and similar construction characteristics.
 - 3. Preliminary submittals: Where samples are for selection of color, pattern, texture or similar characteristics from a range of standard choices, submit a full set of choices for the material or product. Preliminary submittals will be reviewed and returned with the Professional's mark indicating selection and other action.
 - 4. Submittals: Except for samples illustrating assembly details, workmanship, fabrication techniques, connections, operation and similar characteristics, submit two (2) will be returned marked with the action taken.
 - 5. Maintain sets of samples, as returned, at the project site, for quality comparisons throughout the course of construction. Unless noncompliance with contract document provisions is observed, the submittal may serve as the final submittal. Sample sets may be used to obtain final acceptance of the construction associated with each set.
- B. Distribution of Samples:
- 1. 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.
 - 2. Field samples specified in individual sections are special types of samples. Field samples are full-size examples erected on site to illustrate finishes, coatings or finish materials and to establish the standard by which the work will be judged.
 - 3. Comply with submittal requirements to the fullest extent possible. Process transmittal forms to provide a record of activity.

PART 2 - PRODUCTS - Not Applicable

PART 3 - EXECUTION

3.1 CONTRACTOR'S REVIEW

- A. Review each submittal and check for coordination with other Work of the Contract and for compliance with the Contract Documents. Note corrections and field dimensions. Mark with approval stamp before submitting to the Professional.

- B. Approval Stamp: Stamp each submittal with a uniform, approval stamp. Include Project name and location, submittal number, Specification Section title and number, name of reviewer, date of Contractor's approval, and statement certifying that submittal has been reviewed, checked, and approved for compliance with the Contract Documents.

3.2 PROFESSIONAL'S ACTION

- A. General: The Professional will not review submittals that do not bear Contractor's approval stamp and will return them without action.
- B. Except for submittals for record, information or similar purposes, where action and return is required or requested, the Professional will review each submittal, mark to indicate action taken and return promptly. Compliance with specified characteristics is the Contractor's responsibility.
- C. Action Stamp: The Professional will stamp each submittal with a uniform, self-explanatory action stamp. The stamp will be appropriately marked to indicate the action taken.
- D. Review of submittals by the Professional is only for conformation with the design concept of the project. Non-conformities and errors detected will be noted. Contractor is solely responsible for correctness of dimensions and quantities and fitting to other work; verification of physical interrelation of elements of the work from Drawings and Specifications and in the field, fabrication procedures; construction methods; techniques and sequences. The review by the Professional of submittals does not relieve the Contractor from their responsibilities. The review by the Professional of submittals does not constitute approval or acceptance of deviations from the Contract Documents. Such deviations, if any, must be requested in writing or clearly identified to the professional as deviations in accordance with the Contract Documents

END OF SECTION 013300