

DIVISION 1 - GENERAL REQUIREMENTS

SECTION 01300 - SUBMITTALS

I. GENERAL

A. STIPULATIONS

The "Special Requirements" and "General Conditions" to the contract form a part of this section by this reference thereto and shall have the same force and effect as if printed herewith in full.

B. RELATED DOCUMENTS

The Contract Drawings and the Standard Form of Agreement apply to this Section.

C. SUMMARY

1. This Section specifies administrative and procedural requirements for submittals required for performance of the Work, including:
 - a. Contractor's construction schedule
 - b. Submittal schedule
 - c. Daily construction reports
 - d. Shop Drawings
 - e. Product Data
 - f. Samples
2. 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:
 - a. Permits
 - b. Applications for payment
 - c. Performance and payment bonds
 - d. Insurance certificates
 - e. List of Subcontractors
3. The Schedule of Values submittal is included in Section 01027 - Applications for Payment.
4. Inspection and test reports are included in Section 01400 - Quality Control Services.

D. SUBMITTAL PROCEDURES

1. 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.

- a. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals and related activities that require sequential activity.
- b. 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.

The Professional reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.

- c. 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.
 - (1) Allow two weeks 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.
 - (2) If an intermediate submittal is necessary, process the same as the initial submittal.
 - (3) Allow two weeks for reprocessing each submittal.
 - (4) 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.

2. 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.

- a. 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.
- b. Include the following information on the label for processing and recording action taken.
 - (1) Project name
 - (2) Date

- (3) Name and address of Professional
 - (4) Name and address of Contractor
 - (5) Name and address of subcontractor
 - (6) Name and address of supplier
 - (7) Name of manufacturer
 - (8) Number and title of appropriate Specification Section
 - (9) Drawing number and detail references, as appropriate
3. 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.

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.

E. CONTRACTOR'S CONSTRUCTION SCHEDULE

1. General Contractor to submit a fully developed construction schedule. The schedule to indicate the coordinated work of all prime contractors. Use the breakdown of units of Work as indicated in the Schedule of Values.
2. Bar Chart Schedule: Immediately upon receipt of notice of the award of a contract, the Contractor for general construction on the project shall furnish to each separate prime contractor, within fourteen (14) days, a horizontal bar-chart type contractor's construction schedule indicating critical activity of the proposed prosecution of the work under this contract. Each separate prime contractor shall submit to the Contractor for general construction within twenty-one (21) days after issuance of the notice of award of the contract, a schedule of the proposed prosecution of the work under this respective contract. The Contractor for general construction shall then submit to the professional, CM, and the System, within twenty-eight (28) days after issuance of the notice of award of his contract, a complete set of progress charts signed by all prime contractors indicating their approval, and showing in detail to the satisfaction of the professional, CM and the System, the proposed coordinated dates for the performance of each phase of the work under each contract on the entire project. The date of issuance of notice of award of a contract will be the actual start date of the contract.
 - a. Provide a separate time bar for each significant construction activity. Provide a continuous vertical line to identify the first working day of each week. Use the same breakdown of units of the Work as indicated in the "Schedule of Values."
 - b. Within each time bar indicate estimated completion percentage in 10

percent increments. As Work progresses, place a contrasting mark in each bar to indicate Actual Completion.

- c. Prepare the schedule on a sheet, or series of sheets, of stable transparency, or other reproducible media, of sufficient width to show data for the entire construction period.
 - d. Secure time commitments for performing critical elements of the Work from parties involved. Coordinate each element on the schedule with other construction activities; include minor elements involved in the sequence of the Work. Show each activity in proper sequence. Indicate graphically sequences necessary for completion of related portions of the Work.
 - e. Coordinate the Contractor's construction schedule with the schedule of values, list of subcontracts, submittal schedule, progress reports, payment requests and other schedules.
 - f. Indicate completion in advance of the date established for Substantial Completion. Indicate Substantial Completion on the schedule to allow time for the Professional's procedures necessary for certification of Substantial Completion.
3. Phasing: Provide notations on the schedule to show how the sequence of the Work is affected by requirements for phased completion to permit Work by separate Contractors and partial occupancy by the System prior to Substantial Completion.
 4. Work Stages: Indicate important stages of construction for each major portion of the Work, including testing and installation.
 5. Cost Correlation: At the head of the schedule, provide a two item cost correlation line, indicating "precalculated" and "actual" costs. On the line show dollar-volume of Work performed as of the dates used for preparation of payment requests. Refer to Section "Applications for Payment" for cost reporting and payment procedures.
 6. Distribution: Following response to the initial submittal, print and distribute copies to the Professional, System, subcontractors, and other parties required to comply with scheduled dates. Post copies in the Project meeting room and temporary field office.

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.

7. Schedule Updating: Revise the schedule after each meeting or activity, where revisions have been recognized or made. Issue the updated schedule concurrently with report of each meeting.

F. SUBMITTAL SCHEDULE

1. After development and acceptance of the Contractor's construction schedule, prepare a complete schedule of submittals. Submit the schedule within 10 days of the date required for establishment of the Contractor's construction schedule.
 - a. Coordinate submittal schedule with the list of subcontracts, schedule of values and the list of products as well as the Contractor's construction schedule.
 - b. Prepare the schedule in chronological order; include submittals required during the first 90 days of construction. Provide the following information:
 - (1) Scheduled date for the first submittal
 - (2) Related Section number
 - (3) Submittal category
 - (4) Name of subcontractor
 - (5) Description of the part of the Work covered
 - (6) Scheduled date for resubmittal
 - (7) Scheduled date the Professional's final release or approval
2. Distribution: Following response to initial submittal, print and distribute copies to the Professional, System, subcontractors, and other parties required to comply with submittal dates indicated. Post copies in the Project meeting room and field office.

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.
3. Schedule Updating: Revise the schedule after each meeting or activity, where revisions have been recognized or made. Issue the updated schedule concurrently with report of each meeting.

G. DAILY CONSTRUCTION REPORTS

1. Prepare a daily construction report, recording the following information concerning events at the site; and submit duplicate copies to the Professional at weekly intervals:

- a. List of subcontractors at the site
- b. Approximate count of personnel at the site
- c. High and low temperatures, general weather conditions
- d. Accidents and unusual events
- e. Meetings and significant decisions
- f. Stoppages, delays, shortages, losses
- g. Meter readings and similar recordings
- h. Emergency procedures
- i. Orders and requests of governing authorities
- j. Change Orders received, implemented
- k. Services connected, disconnected
- l. Equipment or system tests and start-ups
- m. Partial Completions, occupancies
- n. Substantial Completions authorized

H. SHOP DRAWINGS

1. 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.
2. Shop Drawings include fabrication and installation drawings, setting diagrams, schedules, patterns, templates and similar drawings. Include the following information:
 - 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
3. 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".
4. Initial Submittal: Submit one correctable translucent reproducible print and four blue- or black-line prints for the Professional's review; the reproducible print will be returned.
5. Final Submittal: Submit 4 blue- or black-line prints; submit 5 prints where required for maintenance manuals. 2 prints will be retained; the remainder will be returned.
 - a. One of the prints returned shall be marked-up and maintained as

- a "Record Document".
 - b. Do not use Shop Drawings without an appropriate final stamp indicating action taken in connection with construction.
6. Coordination drawings are a special type of Shop Drawing that 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.
- a. Preparation of coordination Drawings is specified in section "Project Coordination" and may include components previously shown in detail on Shop Drawings or Product Data.
 - b. Submit coordination Drawings for integration of different construction elements. Show sequences and relationships of separate components to avoid conflicts in use of space.

I. PRODUCT DATA

- 1. 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."
- a. 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:
 - (1) Manufacturer's printed recommendations
 - (2) Compliance with recognized trade association standards
 - (3) Compliance with recognized testing agency standards
 - (4) Application of testing agency labels and seals
 - (5) Notation of dimensions verified by field measurement
 - (6) Notation of coordination requirements
- b. Do not submit Product Data until compliance with requirements of the Contract Documents has been confirmed.
- c. Preliminary Submittal: Submit a preliminary single-copy of Product Data where selection of options is required.
- d. Submittals: Submit 4 copies of each required submittal. The

Professional will retain one, and will return the other marked with action taken and corrections or modifications required. Unless noncompliance with Contract Document provisions is observed, the submittal may serve as the final submittal.

- e. 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.
 - (1) Do not proceed with installation until an applicable copy of Product Data is in the installer's possession.
 - (2) Do not permit use of unmarked copies of Product Data in connection with construction.

J. SAMPLES

- 1. 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.
 - a. 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:
 - (1) Generic description of the Sample
 - (2) Sample source
 - (3) Product name or name of manufacturer
 - (4) Compliance with recognized standards
 - (5) Availability and delivery time
 - b. 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.
 - (1) 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.
 - (2) Refer to other Specification Sections for requirements for Samples that illustrate workmanship, fabrication techniques, details of assembly, connections, operation and similar construction characteristics.

- c. 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.
 - d. Submittals: Except for Samples illustrating assembly details, workmanship, fabrication techniques, connections, operation and similar characteristics, submit 4 sets; one will be returned marked with the action taken.
 - e. 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.
2. 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.

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.

Comply with submittal requirements to the fullest extent possible. Process transmittal forms to provide a record of activity.

K. PROFESSIONAL'S ACTION

1. 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
2. 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.

II. PRODUCTS (Not Applicable).

III. EXECUTION (Not Applicable).

