

SECTION 01 33 00

SUBMITTAL PROCEDURES

PART 1 GENERAL

1.01 SUMMARY

A. Section Includes:

1. Wherever possible throughout the Contract Documents, the minimum acceptable quality of workmanship and materials has been defined either by manufacturer's name and catalog number or reference to recognized industry standards.
2. To ensure that the specified products are furnished and installed in accordance with the design intent, procedures have been established for advance submittal of design data for its review and approval or rejection by the A/E.
3. This Section specifies administrative and procedural requirements for submittals required for performance of the work, including:
 - a. Shop Drawings, Product Data, and Samples
 - b. Certificates
 - c. Manufacturer Installation Instructions
4. Manuals
5. Miscellaneous Submittals

B. Related Sections:

1. Document 00 72 53 - General Conditions (Design-Build)
2. Section 01 45 00 - Quality Control
3. Section 01 78 39 - Project Record Documents
4. Individual Submittals Required: Pertinent Sections of these Specifications.

1.02 DEFINITIONS

- A. Action Submittals: Written and graphic information that requires the Design-Builder's responsive action.
- B. Informational Submittals: Written information that does not require Design-Builder's responsive action. Submittals may be rejected for not complying with requirements.
- C. Portable Document Format (PDF): An open standard file format licensed by Adobe Systems used for representing documents in a device-independent and display resolution-independent fixed-layout document format.

1.03 SUBMITTAL PROCEDURES

A. General

1. In addition to the items specified in this Section, refer to the General Conditions for additional Submittal requirements.
- ###### **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.

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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 Design-Builder reserves the right to return any incomplete submittal without reviewing.
 - b. The Design-Builder reserves the right to withhold action on a Submittal requiring coordination with other Submittals until related Submittals are received in accordance with the General Conditions.
 - c. No extension of Contract Time will be authorized because of failure to transmit Submittals to the Design-Builder sufficiently in advance of the work to permit processing.
 - d. The Design-Builder reserves the right to reject a submittal that has clearly not been reviewed first by the Contractor in accordance with the General Conditions.
- C. Deliver Submittals to the Design-Builder.
 1. The Subcontractor shall submit electronic files or its submittals to the Design-Builder for review in PDF file format. The Design-Builder will transmit electronic files or submittals to the AOR for its review.
 2. Electronic Submittals: Identify and incorporate information in each electronic submittal file as follows:
 - a. Assemble complete submittal package into a single indexed file incorporating submittal requirements of a single Specification Section and transmittal form with links enabling navigation to each item.
 - b. All Electronic Submittals shall be in Portable Document Format (PDF).
 - c. Name file with submittal number or other unique identifier, including revision identifier.
 - 1) File name shall use the Ohio University Project Number and Specification Section number followed by a decimal point and then a sequential number (e.g., OHU-XXXXXX-061000.01). Resubmittals shall include an alphabetic suffix after another decimal point (e.g., OHU-XXXXXX-061000.01.A).
- D. Schedule of Submittals: Comply with requirements in Section 01 32 00 "Construction Progress Documentation".
- E. 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 10" x 10" on the label or beside the title block on Shop Drawings to record the Contractor's, University's, and A/E's review and approval markings and the action taken.
 2. Include the following information on the label for processing and recording action taken:
 - a. Ohio University Project Name
 - b. Ohio University Project Number
 - c. Date
 - d. Name and Address of Design-Builder
 - e. Name and Address of Subcontractor or Vendor
 - f. Name and Address of Sub-Subcontractor or Vendor

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- g. Specification Section Number
 - h. Location Where Item is to be Used
 - i. Name of Manufacturer
 - j. Drawing Number and Detail References, as Appropriate
 - k. Certification by the Contractor
- F. Submittal Transmittal: Package each Submittal appropriately for transmittal and handling. Transmit each Submittal from Subcontractor to Design-Builder. Submittals received from sources other than the Subcontractor will be returned without action.
1. Each Submittal item must have a separate transmittal form. Multiple submittals on one transmittal will not be accepted.
 2. Sequentially number the transmittal form. Revise submittals with original number and a sequential alphabetic suffix.
 3. Identify Project, Subcontractor, Sub-Subcontractor or supplier; pertinent drawing and detail number, and specification section number.
 4. 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.
 - a. Deviations: Circle or cloud or otherwise specifically identify deviations from the Contract Documents on submittals.
 - b. Options and Selections: All specified options or selections for a given product must be circled, clouded, or highlighted. Failure to do so will result in the submittal being returned without being reviewed.
 5. After Design-Builder's review of Submittal, revise and resubmit and/or as required, identifying changes made since previous Submittal.
 6. When resubmittal is required for any reason, transmit under new letter of transmittal, indicating by reference to a previous Submittal that this is a Resubmittal.
 - a. Identify on submittal all changes made since previous submission.
 - b. Refer to the General Conditions for requirements pertaining to excessive resubmittals.
 7. Distribute copies of reviewed Submittals to concerned persons. Instruct recipients to promptly report any inability to comply with provisions.
 8. All Submittals shall bear the stamp of approval of the **Subcontractor** submitting same as evidence that they have been checked by them, or they will be rejected.
 - a. Must be 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.

1.04 SHOP DRAWINGS

- A. Where Shop Drawings are required, 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.

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1. Autocad Drawings: Electronic digital data files copies of base plan information only may be available from the AOR. The Subcontractors requiring this service must contact the AOR to verify availability. Cost to obtain AutoCAD Drawings should be addressed to the AOR.
 - a. The AOR makes no representations as to the accuracy or completeness of digital data drawing CADD files as they relate to the Contract Drawings.
- B. Shop Drawings shall be drawn at a scale to clearly indicate all of the above conditions and allow for corrections or modifications which the AOR may wish to make. The AOR shall be the sole judge as to the acceptability of manufacturer's literature and catalog sheets as Shop Drawings.
- C. Shop Drawings shall clearly indicate all dimensional data for all parts of the item; types and materials for all connections; finishes; the exact relation of the item to adjacent materials and equipment in the completed structure including clearance, any necessary isolation, and fastening methods and devices; and mechanical and electrical connections.
- D. 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
- E. 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".
- F. Submit Shop Drawings in PDF Electronic file format.
 1. Do not submit using paper copies.
- G. Do not permit Shop Drawing copies, without an appropriate final "Action" marking by the A/E, to be used in connection with the work.
- H. The Subcontractors shall be responsible for distribution of additional copies of Shop Drawings to vendors, etc.

1.05 PRODUCT DATA

- A. Where Product Data is required, 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

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- e. Notation of Dimensions Verified by Field Measurement
- f. Notation of Coordination Requirements
- g. Type and Model Numbers
- 2. Do not submit Product Data until compliance with requirements of the Contract Documents has been confirmed.
- B. Submit Product Data in PDF Electronic file format.
 - 1. Do not submit using paper copies.
 - 2. The Subcontractor shall submit electronic files of its submittals to the Design-Builder, for review, using the OAKS CI "Submittals" business process.
- C. Distribution: Furnish copies of final Submittal to installers, Sub-Subcontractors, suppliers, manufacturers, fabricators, and others required for performance of construction activities. Show distribution on transmittal forms.
 - 1. Do not proceed with installation until a copy of Product Data applicable is in the installer's possession.
 - 2. Do not permit use of unmarked copies of Product Data in connection with construction.

1.06 SAMPLES

- A. Where Samples are required, 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, full 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. 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. Colors:
 - a. General: Unless the precise color and pattern is specifically described in the Contract Documents, whenever a choice of color or pattern is available in a specified product, submit accurate color charts and pattern charts to the AOR for their review and selection.
 - 3. 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.

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- c. Refer to other Sections for Samples to be returned to the Contractor for incorporation in the work. Such Samples must be undamaged at time of use. On the transmittal, indicate special requests regarding disposition of Sample Submittals.
 - 4. 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.
 - a. Preliminary Submittals will be reviewed and returned with the AOR's mark indicating selection and other action.
 - 5. Maintain sets of Samples, as returned, at the Project site for quality comparisons throughout the course of construction.
 - a. Unless noncompliance with Contract Document provisions is observed, the Submittal may serve as the final Submittal.
 - b. Sample sets may be used to obtain final acceptance of the construction associated with each set.
- B. Distribution of Samples: Prepare and distribute additional sets to Subcontractors, manufacturers, fabricators, suppliers, installers, and others as required for performance of the Work.
 - 1. 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.
 - a. Comply with submittal requirements to the fullest extent possible. Process transmittal forms to provide a record of activity.

1.07 INFORMATIONAL SUBMITTALS

A. Certificates

- 1. When specified in individual specification sections, submit certification by manufacturer to AOR, in quantities specified for Product Data.
- 2. Indicate material or Product conforms to or exceeds specified requirements. Submit supporting reference data, affidavits, and certifications as appropriate.
- 3. Certificates may be recent or previous test results on material or Product, but must be acceptable to AOR.

B. Manufacturer Installation Instructions

- 1. When specified in individual specification sections, submit printed instructions for delivery, storage, assembly, installation, start-up, adjusting, and finishing to AOR.
- 2. Indicate special procedures, perimeter conditions requiring special attention, and special environmental criteria required for application or installation.

C. Material Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting test results of material for compliance with requirements in the Contract Documents.

D. Inspection and Test Reports Not Performed by Owner: Classify each inspection and test report as being either "Shop Drawings" or "product data" depending on whether the report is specially prepared for the project or a standard publication of workmanship control testing at the point of production. Process inspection and test reports accordingly.

- 1. Comply with requirements specified in Section 01 45 00 "Quality Requirements"

E. Warranties (Guarantees):

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1. Categories of Specific Warranties: Warranties on the work are in several categories, including those of the General Conditions, and including (but not necessarily limited to) the following specific categories related to individual units of work specified in sections of Divisions 2 through 16 of these Specifications.
 - a. Special Project Warranty (Guarantee): A warranty specifically written and signed by Subcontractor for a defined portion of the work and, where required, countersigned by Sub-Subcontractor, installer, manufacturer, or other entity engaged by Subcontractor.

1.08 MANUALS

- A. General: Where Manuals are required to be submitted covering items included in this work, prepare all such Manuals in durable plastic binders approximately 8-1/2 x 11 inches in size with at least the following:
 1. Identification on or readable through the front cover stating the general nature of the Manual.
 2. Neatly typewritten index near the front of the Manual furnishing immediate information as to location of all emergency data regarding the installation.
 3. Complete instructions regarding operating and maintenance of all equipment involved.
 4. Complete nomenclature of all replaceable parts, their part numbers, current cost, and name and address of nearest vendor of parts.
 5. Copy of all guarantees and warranties issued.
 6. Copy of approved Shop Drawing(s) with all data concerning all changes made during construction

1.09 SUBCONTRACTOR'S CONSTRUCTION PROGRESS SCHEDULE

- A. Comply with requirements in the General Conditions.

1.10 DELEGATED DESIGN

- A. Performance and Design Criteria: Where professional design services or certifications by a design professional are specifically required of Subcontractor by the Contract Documents, provide products and systems complying with specific performance and design criteria indicated.
 1. If criteria indicated are not sufficient to perform services or certification required, submit a written request for additional information to the Design-Builder.
- B. Delegated-Design Submittal: In addition to Shop Drawings, Product Data, and other required submittals, submit the submittal, signed and sealed by the responsible design professional, for each product and system specifically assigned to the Subcontractor to be designed or certified by a design professional.
 1. Indicate that products and systems comply with performance and design criteria in the Contract Documents. Include list of codes, loads, and other factors used in performing these services.

PART 2 PRODUCTS

NOT USED

PART 3 EXECUTION

3.01 COORDINATION OF SUBMITTALS

- A. General: Prior to submittal for Design-Builder's review, use all means necessary to fully coordinate all materials, including the following:

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1. Secure all necessary approvals from public agencies and others. Signify by stamp or other means that all required approvals have been obtained.
2. Clearly indicate all deviations from the Contract Documents.

3.02 TIMING OF SUBMITTALS

A. General:

1. Make all Submittals enough in advance of scheduled dates for installation to provide all required time for reviews for securing necessary approvals, for possible revision and resubmittals, and for placing orders and securing delivery.

3.03 ARCHITECT OF RECORD'S (AOR) ACTION

A. Except for Submittals for record, information or similar purposes, where action and return is required or requested, the AOR will review each Submittal, mark to indicate action taken, and return promptly.

1. Compliance with specified characteristics is the Subcontractor's responsibility.

B. Action Stamp: The A/E will stamp each Submittal with a uniform, self-explanatory action stamp. The stamp will be appropriately marked, as follows, to indicate the action taken:

1. Final Unrestricted Release: Where Submittals are marked "CONFORMS AS SUBMITTED", that part of the work covered by the Submittal may proceed, provided it complies with requirements of the Contract Documents.
2. Final-But-Restricted Release: When Submittals are marked "CONFORMS AS NOTED", that part of the work covered by the Submittal may proceed, provided it complies with notations or corrections on the Submittal and requirements of the Contract Documents.
3. Returned for Resubmittal: When Submittal is marked "REVISE AND RESUBMIT", do not proceed with that part of the work covered by the Submittal, including purchasing, fabrication, delivery, or other activity. Revise or prepare a new Submittal in accordance with the notations. Resubmit without delay. Repeat, if necessary, to obtain a different action mark.
 - a. Do not permit submittals marked "REVISE AND RESUBMIT" to be used at the Project site or elsewhere where work is in progress.
4. Returned for Corrections and Resubmittal: When Submittal is marked "MAKE CORRECTIONS NOTED, RESUBMIT FOR RECORD", revise or prepare a new resubmittal in accordance with the notations for record copy only.
5. Other Action: Where a Submittal is primarily for information or record purposes, special processing or other activity, the Submittal will be returned marked "ACTION NOT REQUIRED".
6. Submittals not required by the Contract Documents may not be reviewed and may be discarded.

END OF SECTION 01 33 00

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