

**DIVISION 1 – GENERAL REQUIREMENTS  
SECTION 01 33 00 – SUBMITTAL PROCEDURES**

**PART 1 – GENERAL**

1.01 SECTION INCLUDES

- A. Submittal procedures.
- B. Shop drawings.
- C. Product data.
- D. Informational data.
- E. Manufacturers' instructions.
- F. Manufacturers' field reports.
- G. Subcontractor and Products List.
- H. Samples.
- I. Steel Products Certification form.
- J. Submittal Work.

1.02 SUBMITTAL PROCEDURES

- A. Sequentially number the transmittals. Resubmittals to have original number with an alphabetic suffix.
- B. Identify Project, Contractor, subcontractor or supplier; pertinent drawing sheet and detail number(s), and specification section number, as appropriate.
- C. Apply certification stamp, signed or initialed by Contractor, certifying that review, verification of products required, field dimensions, and coordination of information, is in accordance with the requirements of the Contract Documents. Submittals not containing a certification stamp shall be returned.
- D. Schedule submittals to expedite the Project, and deliver to Engineer at business address. Coordinate submission of related items.
- E. Identify variations from Contract Documents and Product or system limitations, which may be detrimental to successful performance of the completed Goods.
- F. Provide 4" by 4" space for Engineer review stamps.

- G. Revise and resubmit submittals as required, clearly identify all changes made since previous submittal.
- H. Distribute copies of reviewed submittals to concerned parties. Instruct parties to promptly report any inability to comply with provisions.

#### 1.03 ACTION ON SUBMITTALS

- A. Engineer's Action: Where action and return is required or requested, Engineer will review each submittal, mark with the action taken, and return within a reasonable time period. Where submittal must be held for coordination, Contractor will be so advised by Engineer.
- B. Submittals returned with "APPROVED" action indicates that the information submitted was found to be in conformance with the design concept and in compliance with the requirements of the Contract Documents. Contractor may proceed with performance of the work covered by the submittal.
- C. Submittals returned with "APPROVED AS CORRECTED" action indicates 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 completed. Submission of a corrected submittal indicating the changes noted by Engineer is required as part of the Project Record Documents. Contractor may proceed with performance of the work covered by the submittal.
- D. Submittals returned with "REVISE AND RESUBMIT" 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 in the submittal. Submittal will be returned to Contractor noting the reasons for noncompliance. Contractor shall not proceed with the performance of the work covered by submittal until corrected information is submitted and approved.
- E. Submittals returned with "NOT APPROVED" action indicates that the Engineer interprets the information submitted to be not in conformance with the design concept or not in compliance with the Contract Documents. Performance of the work shall not proceed until submittal is revised, resubmitted and approved.

#### 1.04 SHOP DRAWINGS

- A. Prepare Project-specific information, drawn accurately to scale. Do not base shop drawings on reproductions of the Contract Documents or standard printed data.
- B. Distribute in accordance with Submittal Procedures, above.
- C. Preparation: Fully illustrate requirements in the Contract Documents. Include the following information:
  - 1. Dimensions.

2. Identification of products.
  3. Fabrication and installation drawings.
  4. Roughing-in and setting diagrams.
  5. Wiring diagrams showing field-installed wiring, including power, signal, and control wiring.
  6. Shopwork manufacturing instructions.
  7. Templates and patterns.
  8. Schedules.
  9. Design calculations.
  10. Compliance with specified standards.
  11. Notation of coordination requirements.
  12. Notation of dimensions established by field measurement.
  13. Relationship to adjoining construction clearly indicated.
  14. Seal and signature of professional engineer if specified.
  15. Wiring Diagrams: Differentiate between manufacturer-installed and field-installed wiring.
- D. Sheet Size: Except for templates, patterns, and similar full-size drawings, submit Shop Drawings on sheets at least 8-1/2 by 11 inches but no larger than 30 by 40 inches.
- E. Each submission of shop drawings must be accompanied by a letter of transmittal listing the items in the submission. Each shop drawing must be marked with the name of the project, the name of the Contractor, and numbered consecutively.

1.05 PRODUCT DATA

- A. General: Prepare and submit Product Data as required by other Specification Sections.
- B. Distribute in accordance with Submittal Procedures, above.
- C. Collect information into a single submittal for each element of construction and type of product or equipment.
- D. If information must be specially prepared for submittal because standard printed data are not suitable for use, submit as Shop Drawings, not as Product Data.

- E. Mark each copy of each submittal to show which products and options are applicable.
- F. Include the following information, as applicable:
  - 1. Manufacturer's written recommendations.
  - 2. Manufacturer's product specifications.
  - 3. Manufacturer's installation instructions.
  - 4. Standard color charts.
  - 5. Manufacturer's catalog cuts.
  - 6. Wiring diagrams showing factory-installed wiring.
  - 7. Printed performance curves.
  - 8. Operational range diagrams.
  - 9. Mill reports.
  - 10. Standard product operation and maintenance manuals.
  - 11. Compliance with specified referenced standards.
  - 12. Testing by recognized testing agency.
  - 13. Application of testing agency labels and seals.
  - 14. Notation of coordination requirements.
- G. Submit Product Data before or concurrent with Shop Drawings.

1.06 INFORMATIONAL DATA

- A. General: Prepare and submit Informational Data as required by other Specification Sections.
  - 1. Distribute in accordance with Submittal Procedures above.
  - 2. Certificates and Certifications: Provide a notarized statement that includes signature of entity responsible for preparing certification. Certificates and certifications shall be signed by an officer or other individual authorized to sign documents on behalf of that entity.
  - 3. Test and Inspection Reports: Comply with requirements of Technical Specification sections.

- B. Qualification Data: Prepare written information that demonstrates capabilities and experience of firm or person. Include lists of completed projects with project names and addresses, names and addresses of architects and owners, and other information specified.
- C. Welding Certificates: Prepare written certification that welding procedures and personnel comply with requirements in the Contract Documents. Submit record of Welding Procedure Specification (WPS) and Procedure Qualification Record (PQR) on AWS forms. Include names of firms and personnel certified.
- D. Installer Certificates: Prepare written statements on manufacturer's letterhead certifying that Installer complies with requirements in the Contract Documents and, where required, is authorized by manufacturer for this specific Project.
- E. Manufacturer Certificates: Prepare written statements on manufacturer's letterhead certifying that manufacturer complies with requirements in the Contract Documents. Include evidence of manufacturing experience where required.
- F. Product Certificates: Prepare written statements on manufacturer's letterhead certifying that product complies with requirements in the Contract Documents.
- G. Material Certificates: Prepare written statements on manufacturer's letterhead certifying that material complies with requirements in the Contract Documents.
- H. 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.
- I. Product Test Reports: Prepare written reports indicating current product produced by manufacturer complies with requirements in the Contract Documents. Base reports on evaluation of tests performed by manufacturer and witnessed by a qualified testing agency, or on comprehensive tests performed by a qualified testing agency.
- J. Schedule of Tests and Inspections: Comply with requirements of the Contract Documents.
- K. Preconstruction Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of tests performed before installation of product, for compliance with performance requirements in the Contract Documents.
- L. Compatibility Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of compatibility tests performed before installation of product. Include written recommendations for primers and substrate preparation needed for adhesion.
- M. Field Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of field tests performed either during installation of product or after product is installed in its final location, for compliance with requirements in the Contract Documents.

- N. Maintenance Data: Prepare written and graphic instructions and procedures for operation and normal maintenance of products and equipment.
- O. Design Data: Prepare written and graphic information, including, but not limited to, performance and design criteria, list of applicable codes and regulations, and calculations. Include list of assumptions and other performance and design criteria and a summary of loads. Include load diagrams if applicable. Provide name and version of software, if any, used for calculations. Include page numbers.

#### 1.07 MANUFACTURER'S INSTRUCTIONS

- A. Prepare written or published information that documents manufacturer's recommendations, guidelines, and procedures for installing or operating a product or equipment. Include name of product and name, address, and telephone number of manufacturer. Include the following:
  - 1. Sequence of installation or erection.
  - 2. Required installation tolerances.
  - 3. Required adjustments.
  - 4. Recommendations for cleaning and protection.
  - 5. Identify conflicts between manufacturers' instructions and Contract Documents.

#### 1.08 MANUFACTURER'S FIELD REPORTS

- A. Prepare written information documenting factory-authorized service representative's tests and inspections. Include the following, as applicable:
  - 1. Name, address, and telephone number of factory-authorized service representative making report.
  - 2. Statement on condition of substrates and their acceptability for installation of product.
  - 3. Statement that products at Project site comply with requirements.
  - 4. Summary of installation procedures being followed, whether they comply with requirements and, if not, what corrective action was taken.
  - 5. Results of operational and other tests and a statement of whether observed performance complies with requirements.
  - 6. Statement whether conditions, products, and installation will affect warranty.
  - 7. Other required items indicated in individual Specification Sections.

1.09 SUBCONTRACTORS AND PRODUCTS LIST

- A. Prior to beginning construction, submit complete list of major products proposed for use, with name of manufacturer, trade name, and model number of each product. Submit number of copies Contractor requires plus three copies to be retained by Engineer.
- B. For products specified only by reference standards, give manufacturer, trade name, model or catalog designation, and reference standards.
- C. Subcontract List: Prior to beginning construction, prepare and submit a written summary identifying individuals or firms proposed for each portion of the Work, including those who are to furnish products or equipment fabricated to a special design. Include the following information in tabular form:
  - a. Name, address, and telephone number of entity performing subcontract or supplying products.
  - b. Number and title of related Specification Section(s) covered by subcontract.
  - c. Drawing number and detail references, as appropriate, covered by subcontract.
- D. Number of Copies: Submit three copies of subcontractor and product lists, unless otherwise indicated. Engineer will return one copy. Mark up and retain one returned copy as a Project Record Document.

1.10 SAMPLES

- A. Submit samples as specified in individual specification Sections; Submit a minimum of one which will be retained by Engineer.
- 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 Engineer's selection.
- D. Include identification on each sample, with full Project information.
- E. Reviewed samples which may be used in the Work are indicated in individual specification Sections.

1.11 SUBMITTAL WORK

- A. All work which is related to submittal approval shall not be initiated until approved submittals have been received from Engineer.
- B. All work initiated by Contractor prior to receipt of approved submittals shall be at the sole risk of Contractor. Any and all rework, modifications, reinstallations, etc. necessitated by changes in the Work due to changes required by subsequently approved submittals will be done by Contractor at no increase in Contract Price.

**PART 2 – PRODUCTS** – Not Used.

**PART 3 – EXECUTION** – Not used.

**END OF SECTION**