



SECTION 01 33 00
SUBMITTAL PROCEDURES

PART 1 GENERAL

1.01 SECTION INCLUDES

- A. Where required by the SPECIFICATIONS, CONTRACTOR shall submit descriptive information that will enable ENGINEER to determine whether CONTRACTOR's proposed materials, equipment, and WORK methods are in general conformance to the design concept and in accordance with the DRAWINGS and SPECIFICATIONS. The information submitted may consist of drawings, specifications, descriptive data, certificates, samples, test results, product data, and such other information, all as specifically required in the DRAWINGS and SPECIFICATIONS. In some instances, specified submittal information describes some, but not all features of the material, equipment, or WORK method.

1.02 PROCEDURES

- A. Direct all submittals to ENGINEER unless specified otherwise.
- B. Transmittal of Submittal:
 - 1. CONTRACTOR shall be responsible for the accuracy and completeness of the information contained in each submittal and shall ensure that the material, equipment, or WORK method shall be as described in the submittal.
 - a. CONTRACTOR shall verify that all features of all products conform to the requirements of the DRAWINGS and SPECIFICATIONS.
 - b. CONTRACTOR shall ensure that there is no conflict with other submittals and notify ENGINEER in each case where its submittal may affect the work of OWNER or others.
 - c. CONTRACTOR shall ensure coordination of submittals among the SUBCONTRACTOR(s).
 - 2. Unless a different number is called for in the individual SPECIFICATION sections, six (6) copies of each submittal are required.
 - a. Four (4) will be retained by ENGINEER.
 - b. CONTRACTOR will receive two (2) copies in return.
 - c. Faxed submittals will not be accepted.
 - 3. CONTRACTOR shall complete, sign, and transmit with each submittal package, one Transmittal of CONTRACTOR's Submittal form in format approved by ENGINEER.



4. Submittal Identification shall include the following:
 - a. A unique number, sequentially assigned, shall be noted on the transmittal form accompanying each item submitted.
 - b. Original submittal numbers shall have the following format: “XXX-Y;” where “XXX” is the originally assigned submittal number and “Y” is a sequential letter assigned for resubmittals (for example, A, B, or C being the first, second, and third resubmittals, respectively). Submittal 25B, for example, is the second resubmittal of Submittal 25.
 - c. SPECIFICATION section and paragraph to which submittal applies.
 - d. PROJECT name and PROJECT number, and references to applicable DRAWINGS and SPECIFICATIONS.
 - e. Date of transmittal.
 - f. Names of CONTRACTOR, SUBCONTRACTOR, or supplier, and manufacturer as appropriate.
 5. If CONTRACTOR proposes to provide materials, equipments, or WORK methods that deviate from the DRAWINGS and SPECIFICATIONS, it shall be indicated under “deviations” on the transmittal form accompanying the submittal copies.
- C. Format:
1. Submittals regarding material and equipment shall be presented directly to ENGINEER and be accompanied by a transmittal form.
 - a. A separate form shall be used for each specific item, class of material, equipment, and items specified in separate SPECIFICATIONS for which the submittal is required.
 - b. Submittals for various items shall be made with a single form when the items taken together constitute a manufacturer’s package or are so functionally related that expediency indicates checking or review of the group or package as a whole.
 2. Submittals that are related to or affect each other shall be forwarded simultaneously as a package to facilitate coordinated review. Uncoordinated submittals will be rejected.
 3. Any comments by CONTRACTOR shall be duplicated on all copies submitted.
 4. When catalog pages are submitted, applicable items must be clearly identified.
 5. Submittals that do not have all the information required, including deviations, are not acceptable and will be returned without review.
- D. Timelines: Schedule and submit in accordance with the Construction Schedule, and requirements of individual SPECIFICATION sections.



- E. Resubmittals: Clearly identify each correction or change made.
- F. Review Procedure:
 - 1. Submittals are required for those materials, equipment, and WORK methods that can be selected based on CONTRACTOR's judgment of their conformance to the DRAWINGS and SPECIFICATIONS.
 - a. Other materials, equipment, and WORK methods are specified in a manner that enables CONTRACTOR to determine acceptable options without submittals.
 - 2. The review procedure is based on CONTRACTOR's guarantee that all materials, equipment, and WORK methods not requiring submittals conform to the DRAWINGS and SPECIFICATIONS.
 - 3. Review will not extend to means, methods, techniques, sequences, or procedures of construction or to verifying quantities, dimensions, weights or gages, or fabrication processes (except where specifically indicated or required by the DRAWINGS and SPECIFICATIONS) of separate items, and as such, will not indicate approval of the assembly in which the item functions.
 - 4. ENGINEER will review submittals for overall design intent and returned to CONTRACTOR with suggested or necessary revisions.
 - 5. Deviations from CONTRACT requirements:
 - a. Deviations from CONTRACT requirements will be reviewed by ENGINEER.
 - b. CONTRACTOR shall describe such variations in writing, separate from the appropriate submittal at time of submission.
 - c. If ENGINEER approves any such variations, an appropriate CONTRACT MODIFICATION may be issued unless the variation is minor and does not involve a change in price or in time of performance.
 - 6. If the items or system proposed are acceptable, but the major part of the individual drawings or documents are incomplete or require revision, the submittal will be returned with requirements for completion.
 - 7. The right is reserved for ENGINEER to require submittals in addition to those called for in individual SPECIFICATION sections.
 - 8. The returned submittal will indicate one of the following:
 - a. If the review determines that the material, equipment, or WORK method complies with the DRAWINGS and SPECIFICATIONS, submittal copies will be marked "NO EXCEPTIONS TAKEN." In this event, CONTRACTOR may begin to implement the WORK method or incorporate the material or equipment covered by the submittal.



- b. If the review determines limited corrections are required, copies will be marked “FURNISH AS NOTED.” CONTRACTOR may begin implementing the WORK method or incorporating the material and equipment covered by the submittal in accordance with the noted corrections. Where submittal information will be incorporated in Operation and Maintenance data, a corrected copy shall be provided.
 - c. If the review indicates that the submittal is insufficient or contains incorrect data, copies will be marked “REVISE AND RESUBMIT.” Except at its own risk, CONTRACTOR shall not undertake WORK covered by this submittal until it has been revised, resubmitted, and returned marked either “NO EXCEPTIONS TAKEN” or “FURNISH AS NOTED.”
 - d. If the review indicates that the material, equipment, or WORK method does not comply with the SPECIFICATIONS, copies of the submittal will be marked “REJECTED.” Submittals with deviations that have not been identified clearly may be rejected. Except at its own risk, CONTRACTOR shall not undertake the WORK covered by such submittals until a new submittal is made and returned marked either “NO EXCEPTIONS TAKEN” or “FURNISH AS NOTED.”
9. It shall be CONTRACTOR’s responsibility to ensure that required items are corrected and resubmitted. Any WORK done before approval shall be at CONTRACTOR’s own risk.
 10. Processing Time: Unless otherwise specified, ENGINEER will review the submittal and return copies with comments/required actions within fourteen (14) calendar days after receipt of the submittal.
- G. Certificates: For those items called for in individual SPECIFICATION sections, CONTRACTOR shall furnish six (6) certificates of compliance from manufacturers or suppliers certifying that materials or equipment being furnished comply with the requirements of these DRAWINGS and SPECIFICATIONS.
- H. Samples: Unless a different number is called for in the individual SPECIFICATION sections, six (6) copies of each are required; four (4) of which will be retained by ENGINEER. CONTRACTOR will receive two (2) copies in return. Samples shall be sufficient in size to clearly illustrate functional characteristics and full range of color, texture, and pattern.
- I. Effect of Review of CONTRACTOR’s Submittals:
1. Review of SHOP DRAWINGS, data, WORK methods, or information regarding materials or equipment CONTRACTOR proposes to provide shall not relieve CONTRACTOR of the responsibility for errors therein and will not be regarded as an assumption of risks or liability by ENGINEER or OWNER, or by any officer or employee thereof; and CONTRACTOR shall have no claim under the CONTRACT on account of the failure or partial failure of the WORK methods, materials, or equipment so reviewed.
 2. A mark of “NO EXCEPTIONS TAKEN” or “FURNISH AS NOTED” will mean that OWNER has no objection to CONTRACTOR, upon its own



responsibility, using the WORK method proposed, or providing the materials or equipment proposed.

1.03 SHOP DRAWINGS

- A. CONTRACTOR shall coordinate all SHOP DRAWINGS as defined in Section 00 72 00, General Conditions, Subsection 03 and review them for legibility, accuracy, completeness, and compliance with CONTRACT requirements and shall indicate this approval thereon as evidence of such coordination and review.
 - 1. SHOP DRAWINGS submitted to ENGINEER without evidence of CONTRACTOR's approval will be returned for resubmission.
- B. CONTRACTOR shall stamp approval on SHOP DRAWINGS prior to submission to ENGINEER as an indication that dimensions and coordination with interrelated items have been checked and verified. Stamp shall read:
 - 1. "(CONTRACTOR's Name) represents that we have determined and verified all field dimensions and measurements, field construction criteria, materials, catalog numbers and similar data, and that we have checked with the requirements of the DRAWINGS and SPECIFICATIONS, the CONTRACT DOCUMENTS, and GENERAL CONDITIONS."
- C. CONTRACTOR's comments on SHOP DRAWINGS shall not be in red ink.
- D. Should CONTRACTOR propose any item on the SHOP DRAWINGS or incorporate an item into the WORK which subsequently proves to be defective or otherwise unsatisfactory, (regardless of ENGINEER's preliminary review) CONTRACTOR shall, at CONTRACTOR's own expense, replace the item with another item that will perform satisfactorily.

1.04 PROJECT SITE LAYOUT

- A. In accordance with Section 01 71 13, Mobilization, CONTRACTOR shall submit within seven (7) days after the effective date of the NOTICE TO PROCEED, a layout of the PROJECT site including fences, roads, parking, buildings, storage areas, drainage plans, temporary building layouts, and temporary utility locations.

PART 2 PRODUCTS (NOT APPLICABLE)

PART 3 EXECUTION (NOT APPLICABLE)

END OF SECTION



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