

## SECTION 01330

### SUBMITTAL PROCEDURES

06/02

#### PART 1 GENERAL

##### 1.1 SUMMARY

This section covers construction phase submittals, presented by the Contractor to the Contracting Officer for oversight and acceptance, to demonstrate conformance with the design concept and the contract documents.

##### 1.2 DEFINITIONS

###### 1.2.1 Types of Submittals

Submittals are classified as indicated in paragraph "Submittal Descriptions". Submittals also are grouped as follows:

- a. Shop drawings: As used in this section, drawings, schedules, diagrams, and other data prepared specifically for this contract, by contractor or through contractor by way of subcontractor, manufacturer, supplier, distributor, or other lower tier contractor, to illustrate a portion of work.
- b. Product data: Preprinted material such as illustrations, standard schedules, performance charts, instructions, brochures, diagrams, manufacturer's descriptive literature, catalog data, and other data to illustrate a portion of work, but not prepared exclusively for the Contract.
- c. Samples: Physical examples of products, materials, equipment, assemblies, or workmanship that are physically identical to a portion of work, illustrating a portion of work or establishing standards for evaluating appearance of the finished work or both.
- d. Administrative submittals: Data presented for reviews and approval to ensure that administrative requirements of the project are adequately met but not to ensure directly that work is in accordance with design concept and/or in compliance with Contract.

###### 1.2.2 Submittal Descriptions

Preconstruction Submittals

Certificates of insurance

Surety bonds

List of proposed subcontractors

List of proposed products

Construction Progress Schedule

Submittal schedule

Schedule of values

Health and safety plan

Work plan

Quality control plan

Environmental protection plan

#### Shop Drawings

Drawings, diagrams and schedules specifically prepared to illustrate some portion of the work.

Diagrams and instructions from a manufacturer or fabricator for use in producing the product and as aids to the contractor for integrating the product or system into the project.

Drawings prepared by or for the contractor to show how multiple systems and interdisciplinary work will be coordinated.

#### Product Data

Catalog cuts, illustrations, schedules, diagrams, performance charts, instructions and brochures illustrating size, physical appearance and other characteristics of materials or equipment for some portion of the work.

Samples of warranty language when the contract requires extended product warranties.

#### Samples

Physical examples of materials, equipment or workmanship, illustrating functional and/or aesthetic characteristics of a material or product, and establishing standards by which the work may be judged and accepted.

Color samples from the manufacturer's standard line ( or custom color samples if specified ) to be used in selecting or approving colors for the project.

Field samples and mock-ups constructed on the project site establishing standards by which the ensuing work may be judged. Includes assemblies, or portions of assemblies, which are to be incorporated into the project and which

will be removed by the Design-Build Contractor at conclusion of the work.

#### Design Data

Basis of Design, calculations, mix designs, analyses or other data pertaining to a part of work.

#### Test Reports

Report signed by authorized official of testing laboratory that a material, product or system identical to the material, product or system to be provided has been tested in accordance with specified requirements. ( Testing must have been within three years of date of contract award for the project. )

Report which includes findings of a test required to be performed by the contractor on an actual portion of the work or prototype prepared for the project before shipment to the job site.

Report, which includes findings of a test made at the job site or on a sample taken from the job site, or on a portion of work during or after installation.

Investigation reports.

Daily checklists.

Final acceptance tests and operational test procedures.

#### Certificates

Statements signed by responsible officials of the manufacturer's of product, system or material, attesting that product, system or material meets specification requirements. Such statements must be dated after award of project contract and must clearly name the project.

Document required of Contractor, or of a supplier, installer or subcontractor through the Contractor, the purpose of which is to further quality of orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel qualifications.

Confined space entry permits.

#### Manufacturer's Instructions

Preprinted material describing installation of a product, system or material, including special notices and Material Safety Data sheets concerning impedances, hazards and safety precautions.

#### Manufacturer's Field Reports

Documentation of the testing and verification actions taken by manufacturer's representative to confirm compliance with manufacturer's standards or instructions.

Factory test reports.

#### Operation and Maintenance Data

Data intended to be incorporated in operations and maintenance manuals.

#### Closeout Submittals

Documentation to record compliance with technical or administrative requirements or to establish an administrative mechanism.

As-built drawings.

Special warranties.

Posted operating instructions.

Training plans.

### **1.3 PROCEDURES FOR SUBMITTALS**

The Contractor Quality Control ( QC ) Organization with the active assistance of the Designer of Record shall be responsible for reviewing and certifying that submittals are in compliance with Contract requirements. Approving authority on submittals is the Contractor QC Manager and the Architect/Engineer Designer of Record ( AEDOR ), unless otherwise specified for a specific submittal. If a particular portion of the Contract requires specific review and approval by the Government of a particular submittal, allow a review time of not more than 14 calendar days for submittals that require Contracting Officer approval.

### **1.4 IDENTIFYING SUBMITTALS**

Identify submittals with the following information noted on transmittal form. Mark each copy of each submittal identically, with the following:

- a. Project title and location.
- b. Construction Contract Number.
- c. Number of the specification section by which a submittal is required.
- d. Submittal description ( number ) of each component of a submittal.

- e. When a resubmission is required, affix an alphabetic suffix on submittal description, for example, Submittal 1-A, to indicate resubmission.
- f. Name, address, and telephone number of subcontractor, supplier, or manufacturer associated with submittal.
- g. Product identification and location in project.

## **1.5 QUANTITY OF SUBMITTALS**

### **1.5.1 Samples**

Submit two samples, or two sets of samples, showing range of variation, of each required item. One approved sample or set of samples will be retained by the accepting authority and one will be returned to Contractor.

### **1.5.2 Administrative, Product Data, and Shop Drawings**

Unless otherwise specified, submit four copies of administrative submittals, product data, or shop drawings for submittals that require Contracting Officer approval. One copy will be returned to Contractor; one copy will be retained by the QC Manager; and two copies will be retained by the Contracting Officer. Additionally, for information and record purposes, provide to the Contracting Officer two copies of non-government approved submittals after their approval by the Contractor QC Manager and the Designer of Record.

## **PART 2 PRODUCTS**

Not used.

## **PART 3 EXECUTION**

Not used.

## **END OF SECTION**