

SECTION 01 33 00  
SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.1 SUMMARY

- A. Section Includes: This section specifies the general procedures and requirements for submission of shop drawings, product data and samples by Contractor to the City for review. See Technical Specifications for specific submittals.

1.2 DEFINITIONS

- A. "Shop drawings" are drawings, diagrams, schedules and other data specially prepared for the Work by Contractor or a subcontractor, sub-subcontractor, manufacturer, supplier or distributor to illustrate some portion of the Work. Shop drawings shall not be reformatted Contract Documents.
- B. "Product data" are illustrations, specifications, standard schedules, performance charts, instructions, brochures, diagrams and other information furnished by Contractor to illustrate materials or equipment for some portion of the Work.
- C. "Samples" are physical examples which illustrate materials, equipment or workmanship and establish standards by which the Work will be judged.
- D. Shop drawings, product data, samples and similar submittals are not Contract Documents. The purpose of their submittal is to demonstrate for those portions of the Work for which submittals are required the way Contractor proposes to conform to the requirements of the Contract Documents.
- E. The term "manufactured" applies to standard units usually mass-produced. The term "fabricated" means items specifically assembled or made out of selected materials to meet individual design requirements.
1. Shop drawings shall establish the actual detail of manufactured or fabricated items, indicate proper relation to adjoining Work, and amplify design details of mechanical and electrical equipment in proper relation to physical spaces in the structure.
- F. "Manufacturer's instructions" shall mean the manufacturer's written instructions on the use or application of the product under conditions similar to those at the job site.
- G. "Work description" is a detailed description of the means, methods, tools, equipment, materials, sequence, and any other pertinent information about performance of work.
- H. "Subcontractor qualifications" is a detailed statement of the subcontracting entity or personnel scheduled to perform work including general description of qualifications, representative list of applicable projects, number of years experience, and references complete with telephone numbers and contact persons. Refer to Section 00 72 00 – General Conditions for requirements regarding Subcontractor qualifications prior to award of the contract.
- I. "Field sample" is a sample at the project site to demonstrate the final technique, finish, and construction quality by which the Work will be judged.

- J. A Submittal is defined as any drawing, calculation, specification, product data, samples, manuals, requests for substitutes, spare parts, photographs, survey data, demolition plans, record drawings, bonds, or similar items required to be submitted to the City Representative under the terms of the Contract.
- K. "Certificate of Compliance" is defined as a certificate signed by the manufacturer of materials stating that the materials involved comply in all respects with the requirements of the specifications.

### 1.3 REQUIREMENTS

- A. The Contractor shall be responsible for distributing approved submittals as required for constructions and for fabricating, furnishing, and constructing work in accordance with approved submittals. The Contractor shall keep one copy of reviewed submittals at the site at all times.
- B. The Contractor shall not use unacceptable submittals nor submitted materials without the City Representative's review stamp for reference in doing work. Submittals returned DISAPPROVED shall be revised by the Contractor and resubmitted to the City Representative for approval; the Contractor shall revise submittals returned APPROVED EXCEPT AS NOTED before proceeding with the subject work.
- C. Approval of submittals shall not relieve the Contractor of the responsibility for errors or omissions in the submittals or from deviations in the Contract Documents unless such deviations were specifically called to the attention of the City Representative in the Submittal Control Form for the submittal.
- D. The Contractor shall be responsible for the correctness of the submittals, for shop fits and field connections, and for the results obtained by use of such submittals. The City Representative will review submittals for conformance with the design concept of the project and for conformance with the requirements of the Contract Documents.
- E. Wherever submittals are required herein, all submittals shall be submitted by Contractor to the City through the City Representative for recording and reviewing by the City.
  - 1. Submittals received from sources other than Contractor will be returned to Contractor without the City's review.
- F. The Contractor shall schedule submittals, enough in advance of scheduled installation dates, to allow time for review or revision.
  - 1. Review and coordinate submittal with other submittals, the construction schedule, testing, procurement, fabrication, delivery and similar sequential activities.
  - 2. Contractor shall be responsible for changes made necessary by Contractor's failure to coordinate submittals in a complete and timely manner.
- G. Make submittals in groups containing all associated items as complete packages of information for review. The City will reject partial submittals.
  - 1. Provide submittal package in a three-ring binder, with table of contents and tab sheet for each system. Tab sheet shall include a list of material and equipment furnished and shall provide ample space for City's review stamp and comments.
  - 2. The City reserves the right to withhold action on submittals requiring coordination with other submittals until related submittals are furnished.
- H. Submittals shall be reviewed, stamped, and approved by Contractor prior to forwarding them for City's review.

1. By approving and submitting shop drawings, product data, and samples, Contractor represents that it has determined and verified dimensions, materials, field measurements, and related field construction criteria, and that it has checked and coordinated the information contained within such submittals with the requirements of the work and of the Contract Documents.
  2. When professional certification of performance criteria of materials, systems or equipment is submitted, submittal shall be stamped and signed by the responsible design professional with license number and expiration date representing that the City could rely upon the accuracy and completeness of such calculations and certifications.
- I. No portion of the Work requiring submission of a shop drawing, product data, or sample shall commence until the submittal has been reviewed and accepted by the City. All such portions of the Work shall be executed in accordance with accepted submittals.
1. No portion of the Work requiring submission of work description, subcontractor qualification or field sample shall commence until the submittal has been reviewed and accepted by the City. All such portions of the Work shall be executed in accordance with accepted submittals.
- J. No change shall be made by Contractor in any submittal after it has been accepted by the City.
- K. If the submittal shows any variation from the Contract requirements because of standard shop practice or other reasons, Contractor shall make specific mention of each variation in its submittal.
- L. The City will review Contractor's submittals only for general conformance with the design concept of the Project and general compliance with the requirements of the Contract Documents. Review of such submittals is not conducted for the purpose of determining the accuracy and completeness of other details such as dimensions and quantities, or for substantiating instructions for installation or performance of equipment or systems, all of which remain the responsibility of Contractor as required by the Contract Documents.
- M. The City's review of Contractor's submittals shall not relieve Contractor of the obligations to comply with the requirements of the Contract Documents. The City's review shall not constitute approval of safety precautions or of any construction means, methods, techniques, sequences or procedures. The City's acceptance of a specific item shall not indicate acceptance of an assembly of which the item is a component.
- N. If Contractor makes a submittal which is not required to be submitted, the City will not review such submittal. Contractor shall execute the Work in accordance with the Contract Documents.
- O. Adequate quantities submitted are required for review. No submittal will be processed unless the specified quantities are furnished.
- P. Contractor's submittal packages shall include a digital copy of each Submittal on CD-ROM.
- 1.4 SUBMITTAL SCHEDULE
- A. The time of submission of a shop drawings, product data, samples, work description, subcontractor qualifications and field samples by Contractor and their processing and returning by the City is a matter which shall be jointly agreed upon by both parties in order that the submittals will be available when needed by the construction process and so that each party can plan its workload in an orderly manner. Allow sufficient review time

so that installation will not be delayed as a result of the time required to process submittals, including time for resubmits.

1. Allow two weeks for initial review. Allow additional time if processing must be delayed to permit coordination with subsequent submittals. The City Representative 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 City Representative sufficiently in advance of the Work to permit processing.
- B. Prepare the Submittal Schedule in the format acceptable to the City, integrating it with or as a by-product of the Construction Schedule, and shall submit it to City 15 calendar days prior to the submission of the first such submittals or simultaneously with the CPM Schedule, whichever is earlier. No submittals will be processed before the Submittal Schedule has been reviewed and accepted by the City.
- C. In preparing the Submittal Schedule, the Contractor shall first determine from the Construction Schedule the date the particular item related to a particular system is needed for the Work. Working backwards, the Contractor shall add the required number of days for processing the submittal, shipment, fabrication, delivery of operation and maintenance manuals, and similar activities to determine the date of the submittal.
1. Contractor shall allow minimum 21 calendar days for the City's review of the submittal and shall anticipate that incomplete, inadequate, or incorrect submittal will require resubmission.
  2. Contractor shall allow a minimum of 21 calendar days for Caltrans' review of the following submittals after City review:
    - a. Traffic Control Plans
    - b. SWPPP
  3. Contractor shall include a minimum 21 calendar days of float in the construction schedule for each submittal activity to allow for resubmissions.
  4. If more than one resubmittal is required, the costs of reviewing the extra resubmittals will be deducted from progress payments due Contractor. Such costs shall include the City's costs and the City's consultant fees.
- D. Adjust the Submittal Schedule monthly with the Construction Schedule to produce an orderly, even workload, without peak loads if possible, and yet able to meet the needs of the review and construction processes. Submit two copies of the Submittal Schedule after it is completed and each time it is updated by Contractor.
- E. Contractor shall be solely responsible for scheduling of submittals. No extension of Contract Time will be granted for untimely submittals or required resubmittals.
- F. Delays caused by the need for resubmittal shall not constitute a basis for an extension of Contract Time.
- G. Delays in the work caused by an incorrect submission or insufficient data will not constitute reason for an extension of Contract Time.

## 1.5 PROCEDURES

- A. Submittal cover sheet will be provided by the City. The following information will be provided by the Contractor:
1. Identification of the project, Contractor, subcontractor, major supplier.

2. Identify pertinent Drawing sheet and detail number, and Specification section number as appropriate.
  3. Identify deviations from Contract Documents.
  4. Submittals shall be sequentially numbered by the Contractor.
  5. Provide space for the Contractor's approval and City Representative's review stamps on submittals.
- B. Transmit each submittal to the City with a Submittal Control Form to be supplied by the City Representative. Deliver submittals to the City Representative at the address to be provided at the preconstruction meeting.
- C. Transmittal Form: Use Submittal Record forms available from the City at no cost to Contractor. Consecutively number the transmittal forms. Resubmittals shall have original number with a numbered suffix. Fill in information as applicable.
- D. Identification: Identify submittals with the following information:
1. Project name and location.
  2. Contractor's, Subcontractor's, supplier's, or manufacturer's name, address, and telephone number.
  3. Submittal number.
  4. Product identification or shop drawing title, number, revision, and date as applicable. Where product data contain more than one product, model, selection, etc., clearly mark and identify the information intended to be reviewed by City.
  5. Reference to (Contract) Drawing or Specification Section as applicable.
  6. Apply Contractor's stamp, signed or initialed, certifying that review, verification of products required, field dimensions, adjacent construction work, and coordination of information are in accordance with the requirements of the Work and Contract Documents.
  7. Provide space for City's review stamp. Space shall be minimum 4" x 6".
  8. Where multiple Specification Sections govern any portion of the work or where multiple trades are involved in any portion of the work (e.g., steel, mechanical and electrical items embedded in concrete), indicate all pertinent Specification Sections in its submittal identification.
  9. Revise any resubmittals as required and identify all changes made since previous submittal.
- E. Packaging of Submittals:
1. Submittals shall be wrapped or packaged to prevent damage during delivery.
  2. Reproducible drawings shall be rolled and not folded.

## 1.6 SHOP DRAWINGS

- A. Submit in the form of one reproducible and 6 copies. The reproducible of drawings greater than 11" x 17" shall be unbound white paper.
- B. Shop drawings shall be submitted only by Contractor. Submittal of incomplete or unchecked shop drawings will not be acceptable.
- C. When the shop drawings have been reviewed by the City, two copies and one marked-up reproducible will be returned to Contractor appropriately stamped.
- D. If the shop drawings are not accepted, five copies will be returned to Contractor with the City's review comments indicated.

- E. Resubmit shop drawings in the same manner and quantity as specified for the original submittal.
- F. Clearly identify and provide explanation of changes made by Contractor on the resubmitted shop drawings.
- G. Each shop drawing submitted shall be sized as follows:
  - 1. Maximum sheet size: 34"x 22" ("D"-size) with a 1" border and a 2" binding edge to the left of the border on the short side of the sheet.
  - 2. Minimum sheet size: 8-1/2" x 11" with 1/4" border on three sides and 1/2" binding edge on the long side.
- H. Catalog sheets meeting the specific requirements may be substituted for the required drawings.

#### 1.7 PRODUCT DATA

- A. The submittal requirements shall be as follows:
  - 1. Submit six (6) copies of product data. After review, two will be returned to Contractor.
  - 2. Mark each copy to identify applicable products, models, options and other data. Supplement manufacturer's standard data to provide information unique to this project.
- B. Product data and manufacturers' standard drawings submitted for review shall show only the pertinent information.
  - 1. Identify the pertinent information by circling it with black ink pen or by crossing out the inapplicable information with black ink pen.
  - 2. Any submittal which contains information not clearly identified for review will be rejected and returned to Contractor for resubmission.

#### 1.8 SAMPLES

- A. Submit samples to illustrate functional and aesthetic characteristics of the product, with integral parts and attachment devices. Coordinate sample submittals for interfacing work.
- B. Submit samples of finishes in custom colors selected, textures, and patterns for the City's selection.
- C. Include identification on each sample, with full Project information.
- D. Furnish three (3) samples in the following sizes, unless otherwise specified; after review one (1) sample will be returned to Contractor.
  - 1. Flat or Sheet Products: Minimum 6 inches square, maximum 12 inches square.
  - 2. Linear Products: Minimum 6 inches long, maximum 12 inches long.
  - 3. Bulk Products: Minimum one pint, maximum one gallon for liquids; minimum one pound, maximum three pounds or minimum one cubic foot, maximum one cubic yard, as applicable for solids.

#### 1.9 MANUFACTURER'S INSTRUCTIONS

- A. When required by individual Specification Sections or by the City during submittal reviews, submit six (6) copies of manufacturers' printed instructions for delivery, storage, assembly, installation, start-up adjusting, field testing and finishing.

- B. Identify conflicts between manufacturers' instructions and Contract Documents.
- C. Maintain copies of manufacturers' installation instructions and recommendations in Contractor's field office for review, regardless of whether such submittals are requested.

#### 1.10 MANUFACTURER'S CERTIFICATES

- A. Submit certificates, in duplicate.
- B. Submit on 8-1/2" by 11" white paper.
- C. The City will retain certificates; no approval reply is intended.
- D. The certificate shall state that:
  - 1. The equipment or system has been:
    - a. installed in accordance with the manufacturer's recommendations,
    - b. inspected by a manufacturer's authorized representative, and
    - c. serviced with the proper initial lubricants.
  - 2. Applicable safety equipment has been properly installed.
  - 3. The proper electrical and mechanical connections have been made.
  - 4. The equipment is ready for startup.

#### 1.11 CERTIFICATE OF COMPLIANCE

- A. The Contractor shall submit, to the City, Certificates of Compliance for all applicable materials as specified in the table of Materials Accepted by Certificate of Compliance of the current edition of the Construction Manual published by the California Department of Transportation (Caltrans) and available for download at [http://www.dot.ca.gov/hq/construc/constmanual/construction\\_manual.pdf](http://www.dot.ca.gov/hq/construc/constmanual/construction_manual.pdf) (Table 6-2.3 in September 2014 Edition).
- B. Certificates of Compliance shall contain the following information:
  - 1. Name of company.
  - 2. Lot number traceable to a specific lot.
  - 3. A statement naming the applicable type and brand, and that the materials meet the requirements of the Contract specifications.
  - 4. Contract number.
  - 5. Signature of responsible officer of the company.
  - 6. Any other information required by the table of Materials Accepted by Certificate of Compliance in the Construction Manual referenced in Part A.
- C. The City will retain certificates; no approval reply is intended.

#### 1.12 ACTION AND DISTRIBUTION

- A. The City will return the submittals stamped "NO EXCEPTIONS TAKEN," "MAKE CORRECTIONS NOTED," "SUBMIT SPECIFIED ITEM(S)," "REVISE AND RESUBMIT" or "REJECTED."
  - 1. When "NO EXCEPTIONS TAKEN" is indicated, Contractor is advised that fabrication, manufacturer, or construction may proceed, providing it complies with the Contract Documents.
  - 2. When "MAKE CORRECTIONS NOTED" is indicated, Contractor is advised that fabrication, manufacture, or construction may proceed, providing it complies with the City's notations and the Contract Documents.
  - 3. Submittals returned with stamps as per Item 1 or 2 above shall be considered as acceptable submittals.

4. When other notation is indicated, Contractor is advised that no work shall be fabricated, manufactured, or constructed. Contractor shall make a new submission in accordance with the procedures specified.
- B. Contractor shall make additional copies of the accepted submittals and shall within 3 calendar days from date of receipt distribute one copy to its subcontractors, vendors, or manufacturers as applicable. Copies shall be made from the accepted copy bearing the City's stamp of acceptance.
- C. Contractor shall be responsible for recording work completed in accordance with approved submittals on the Record Drawings in accordance with the requirements of Section 01 78 39, Project Record Drawings.

#### 1.13 USE OF SUBMITTALS

- A. Work shall be fabricated, constructed, and furnished in accordance with the acceptable submittals. One copy of such acceptable submittals shall be kept at the job site.
- B. Contractor shall not use unacceptable submittals or submittal materials in the work.

PART 2 - PRODUCTS (Not Used)

PART 3 - EXECUTION (Not Used)

END OF SECTION