

**CONSTRUCTION STANDARD SPECIFICATION**  
**SECTION 01330**  
**SUBMITTAL PROCEDURES**

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**CONSTRUCTION STANDARD SPECIFICATION**

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**SUBMITTAL PROCEDURES**

**PART 1 - GENERAL**

**1.01 SUMMARY**

- A. Section includes procedures for preparing and transmitting submittals required by specification sections for a product, material, or construction method:
  - 1. Shop drawings.
  - 2. Product data.
  - 3. Manufacturer's certificates.
  - 4. Design data and calculations.
  - 5. Manufacturer's instructions.
  - 6. Manufacturer's field service reports.
  - 7. Samples.
  - 8. Operation and maintenance manuals (timing, quantity, content and form).
- B. It is the responsibility of the General Contractor to convey the requirements of this Section to their sub-contractors and their suppliers and vendors.

**1.02 SUBMITTALS**

- A. Schedule submittals to expedite Work. Unless otherwise indicated in this Section, submittals shall be submitted within 30 days of date of Notice to Proceed.
- B. Preparation:

1. Provide separate submittal for each specification section requiring submittals. Where multiple sections relate to the same system or element and are being provided from the same source, a single combined submittal is acceptable.
  2. Coordinate submission of related items. Group submittals of related products in a single transmission.
  3. Include all submittal material requested for that Section.
  4. Identify variations from requirements of Contract Documents. State product and system limitations which may adversely affect Work.
  5. Mark or show dimensions and values in same units as specified.
- C. Contractor responsibilities:
1. Review submittals prior to transmittal. Verify compatibility with field conditions and dimensions, product selections and designations, quantities, and conformance of submittal with requirements of Contract Documents. Return non-conforming submittals to preparer for revision rather than submitting for review.
  2. Coordinate submittals to avoid conflicts between various items of work.
  3. Submittal transmittal form:
    - a. Include with each submittal a transmittal form. Sample copy of an acceptable form is at Attachment A. Contractor's standard submittal form may be used provided it contains essentially the same information as sample.
    - b. Identify Project, Contractor, subcontractor, supplier, manufacturer, pertinent drawing sheet and detail numbers, and associated Specification Section numbers.
    - c. Sequentially number transmittal forms. Re-submittals shall have original number with a suffix. Acceptable form of number is SSSSS-NN-T where:
      - (1) SSSSS indicates 5 digit specification section number.
      - (2) NN indicates different submittals for that specification section.
      - (3) T indicates the number of times that submittal has been made.
  4. Failure of Contractor to review submittals prior to transmittal for review shall be cause for rejection.
  5. Incomplete, improperly packaged, and submittals from sources other than Contractor will not be accepted.

- D. Transmittal: Where possible, transmit all submittals electronically. Where electronic submittal is not possible, submit five (5) paper copies for Sandia's retention plus as many copies as Contractor desires returned after review. Exception: Retained quantities for samples, color charts, and manufacturer's equipment manuals shall be as specified elsewhere herein.
- E. Review: A/E or Sandia Systems Engineer will review and return submittals with comments.
- F. Do not fabricate products or begin work which requires submittals until return of reviewed submittal with A/E or SNL SE acceptance.
- G. On return, promptly distribute reviewed submittals to concerned parties. Instruct parties to promptly report any inability to comply with provisions.
- H. Resubmission:
  - 1. Revise and resubmit submittals as required within 15 days of return from initial review.
  - 2. Make re-submittals under procedures specified for initial submittals.
  - 3. Identify all changes made since previous submittal.

### 1.03 QUALITY ASSURANCE

- A. Where required by Specification Sections, provide quality assurance submittals:
  - 1. Qualification data: Written information demonstrating capabilities and experience of firm or person. Include lists of complete projects with names contact information for references.
  - 2. Manufacturer's certificates: Submit reference data, affidavits, and certifications on manufacturer's letterhead certifying that products conform to or exceed specified requirements. Certificates may be based on recent or previous test results supplied by manufacturer and accepted by A/E or SNL SE.
  - 3. Installer approval: Certification on manufacturer's letterhead that installer complies with requirements and is approved for installing manufacturer's products.
  - 4. Welding certificates: Written certification that welding procedures and personnel comply with requirements. submit record of Welding Procedure Specifications (WPS) and Procedure Qualification Record (PQR) on American Welding Society (AWS) forms. Include names of firms and personnel certified.

5. Field test reports: Written reports from qualified testing agency indicating and interpreting results of field tests performed either during or after installation for compliance with specified requirements.

#### 1.04 SUBMITTAL REVIEW

- A. A/E or SNL System Engineer will review submittals for sole purpose of verifying general conformance with design intent and general compliance with Contract Documents. Approval of submittal by A/E or SNL SE does not relieve Contractor of responsibility for correcting errors which may exist in submittal or from meeting requirements of Contract Documents.
- B. Review time: Initial review will be performed within 14 days of receipt. Reviewer reserves right to withhold action on a submittal requiring review of related submittals until related submittal is received. Additional time will be required if processing must be delayed to permit review of related subsequent submittals. A/E or SNL SE will review re-submittals within 14 days.
- C. Review actions: After review, A/E or SNL SE will return submittals marked as follows to indicate action taken:
  1. Approved: Part of work covered by submittal may proceed provided it complies with requirements of Contract Documents. Final acceptance will depend upon that compliance. The term "Approved" shall only indicate that there is no exception taken to the submittal.
  2. Approved except as noted: Part of work covered by submittal may proceed provided it complies with notations and corrections on submittal and requirements of Contract documents. Final acceptance will depend upon that compliance.
  3. Not approved, revise and resubmit: Do not proceed with part of work covered by submittal including purchasing, fabricating, and delivering. Revise or prepare new submittal in accordance with notations and resubmit.

#### 1.05 DRAWINGS

- A. Where required by specifications or otherwise needed, prepare drawings illustrating portion of Work for use in fabricating, interfacing with other work, and installing products. Contract Drawings shall not be reproduced and submitted as shop drawings.
- B. When construction is complete, prepare and submit red-lined copies of the Contract Drawings showing clearly how construction deviated from the design, along with the authority for the deviation or change.

C. Electronic Format:

1. Size printable to: 8-1/2 by 11 inches minimum and 24 by 36 inches maximum.
2. Present in a clear and thorough manner. Title each drawing with Project name. Identify each element of drawing with reference number.
3. Plans, elevations, sections, and detail shop drawings shall be to scale with scale indicated.
4. Indicate field verified dimensions. Show relationship of products to adjacent work. Note coordination requirements.
5. Schematics and diagrams shall be logically arranged and presented in a clear understandable manner with all items labeled.
6. Internal wiring diagrams: Provide internal wiring and elementary ladder diagrams for factory pre-wired equipment.
7. Control diagrams: Show relative positions of each component as a system diagram.

1.06 PRODUCT DATA

- A. Provide product data such as manufacturer's brochures, catalog pages, illustrations, diagrams, tables, performance charts, and other material which describe appearance, size, attributes, code and standard compliance, ratings, and other product characteristics.
- B. Form:
1. Provide all critical information such as reference standards, performance characteristics, capacities, power requirements, wiring and piping diagrams, controls, component parts, finishes, dimensions, and required clearances.
  2. Submit only data which are pertinent. Mark each copy of manufacturer's standard printed data to identify products, models, options, and other data pertinent to project.
  3. Modify manufacturer's standard schematic drawings and diagrams and supplement standard data to provide specific information applicable to project. Delete information not applicable.
  4. Colors and patterns: Unless color and pattern is specified for product, submit accurate color and pattern charts or samples illustrating manufacturer's full range for selection by SDR. Submit two (2) hard copies only.

#### 1.07 DESIGN DATA AND CALCULATIONS

- A. Where required by specification sections provide basic calculations, analyses, and data to support design decisions and demonstrate compliance with specified requirements. State assumptions and define parameters. Give general formulas and references. Provide sketches as required to illustrate design method and application.
- B. Arrange calculations and data in a logical manner with suitable text to explain procedures and order.
- C. Indicate name, title, and telephone number of individual performing design and include professional seal of designer where applicable or required.

#### 1.08 MANUFACTURER'S INSTRUCTIONS

- A. Where required by specification sections provide manufacturer's instructions for activities such as delivery, storage, assembly, installation, wiring, start-up, adjusting, and finishing.
- B. Indicate pertinent portions and identify conflicts between manufacturer's instructions and Contract Documents.
- C. Where appropriate include preparation procedures, service connection requirements, critical ambient conditions, foundation requirements, special precautions, adjustment requirements, alignment procedures, leveling, purging, charging, lubrication and cleaning prior to operation and/or owner's acceptance.
- D. Installation (e.g., assembly, mounting, or wiring) and start-up instructions shall be submitted and available for review in the field prior to scheduled material or equipment installation.

#### 1.09 SAMPLES

- A. Submit samples to illustrate functional and aesthetic characteristics of products with all integral parts and attachment devices. Include full range of manufacturer's standard finishes, indicating colors, textures, and patterns for A/E selection.
- B. Submission: Submit the number of samples specified in individual specification sections. One sample will be retained by A/E and/or Sandia.
- C. Label with identification related to submittal transmittal form.

#### 1.10 MANUFACTURER'S FIELD SERVICE REPORTS

- A. When an individual specification section requires services of manufacturer's field representative, submit report of observations, site decisions, and instructions given to installers.
- B. Form:
  - 1. Present complete information in clear concise manner.
  - 2. Bind with titled cover in folder or binder.
- C. Report shall include:
  - 1. Time, location, conditions, and duration of activity.
  - 2. Names of persons performing and witnessing activity.
  - 3. Equipment used.
  - 4. Description of activity, data recorded, and results.
  - 5. Deficiencies found, corrective measures, and results of retesting.
  - 6. Other pertinent data.
- D. Submit report within 30 days of construction site service visit.

#### 1.11 OPERATION AND MAINTENANCE DATA

- A. Where required by specification sections, provide operation and maintenance manuals.
- B. Submission:
  - 1. O&M manuals should be submitted electronically when possible. The size of the file shall determine delivery method.
  - 2. Submit for review one draft copy 30 days prior to need date or as otherwise specified. This copy will be returned after review with A/E's comments. Revise content as required.
  - 3. Once approved, submit two (2) copies of complete, final operation and maintenance manuals. All manuals shall be submitted prior to or in conjunction with Notice of Substantial Completion.
- C. Contents:
  - 1. Equipment list (name and schedule #) as provided in drawings..



2. Operating instructions (normal and emergency), including diagnostic checks.
3. Preventive Maintenance Schedule..
4. Installation instructions and pre-operational checks for equipment and other products.
5. Equipment start-up sheets (by vendor in field).
6. Recommended spare parts list.
7. Wiring diagrams, as applicable.
8. Shop drawings, as applicable.
9. Test and balance (T&B) reports, and other field quality reports. Provide tab for T&B report, which will be supplied by separate SNL contract.
10. Statement of General Contractor's one-year warranty (See Specification 1700)
11. Copies of extended warranties.
12. Calibration procedures.
13. Installation, maintenance and care instructions for hardware, coverings and finishes.
14. Other material and information as indicated in individual specification sections and as necessary for operation and maintenance by SNL's personnel.

D. Form:

1. Manuals shall be 8-1/2 x 11 inch text pages bound in three ring expansion binders with a hard durable cover with clear plastic pocket on front for title page.
2. Prepare binder covers with printed subject title of manual, title of project, date, and volume number when multiple binders are required. Printed project information shall be on face and spine.
3. Internally subdivide the binder contents with divider sheets with typed tab titles under reinforced plastic tabs. Place dividers at beginning of each chapter, part, section, and appendix.
  - a. All items in previous sub-section C shall be placed in specification section (2-16) order and shall be placed in tabs for associated equipment or products.

4. Provide pocket folders for folded sheets and/or shop drawings.
5. Provide a table of contents for each volume, with directory listing on subsequent pages.
  - a. Directory listing shall have names addresses, and telephone numbers of Contractor, subcontractors, equipment suppliers, and nearest service representatives, and design consultant as appropriate, e.g., Design-Build.

## PART 2 - PRODUCTS

### 2.01 PAPER AND BINDER MATERIALS (When Used)

- A. Paper: To the extent possible, copies of necessary hard copy documents, shall be reproduced on paper with 30 percent minimum post-consumer recycled content and shall be double-sided copies.
- B. Binders: To the extent possible, submittal binders shall have significant recycled content.

## PART 3 - EXECUTION

Not Used.

- END OF SECTION -

## ATTACHMENT A

### SAMPLE SUBMITTAL TRANSMITTAL FORM

Attachment A

SAMPLE SUBMITTAL TRANSMITTAL FORM

PROJECT: \_\_\_\_\_

CONTRACT NUMBER: \_\_\_\_\_

SUBMITTAL NUMBER: \_\_\_\_\_ RESUBMITTAL: YES NO

DATE: \_\_\_\_\_ NUMBER OF COPIES SUBMITTED: \_\_\_\_\_

SUBMITTAL DESCRIPTION: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

RELATED DESIGN DISCIPLINE (circle):

Civil Landscape Architectural Structural Mechanical Electrical

Telecommunications Security Fire Protection Controls

Other: \_\_\_\_\_

ASSOCIATED SPECIFICATION SECTION NO: \_\_\_\_\_

REFERENCED DRAWING SHEET NO: \_\_\_\_\_

SUBCONTRACTOR/SUPPLIER/MANUFACTURER PROVIDING SUBMITTAL DATA:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

CONTRACTOR:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_

**Attachment A**

**CONTRACTOR’S CERTIFICATION:**

The undersigned, as representative of Contractor for the above Project, submits the following and certifies that:

- 1. Submittal has been reviewed and it is complete and conforms with requirements of Contract Documents except as noted.
- 2. Required dimensions have been field verified and are acceptable for installation of proposed products and construction of proposed work.
- 3. Required quantities for products and materials covered by this submittal have been verified as correct.
- 4. Fabrication processes and construction methods proposed in this submittal are acceptable for this Project and will result in a complete, functional installation.
- 5. Submittal has been coordinated with other submittals and work and proposed products and construction will properly interface with other construction.

NAME OF CONTRACTOR REVIEWER: \_\_\_\_\_

SIGNATURE OF CONTRACTOR REVIEWER: \_\_\_\_\_

DATE: \_\_\_\_\_