

SECTION 01 30 00
ADMINISTRATIVE REQUIREMENTS

PART 1 GENERAL

1.01 SECTION INCLUDES

- A. Administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other submittals review.
- B. Submittal procedures.

1.02 RELATED REQUIREMENTS

- A. Section 01 60 00 - Product Requirements: Product Options and Substitution Requirements.
- B. Section 01 70 00 - Execution and Closeout Requirements: Additional coordination requirements.
- C. Section 01 78 00 - Closeout Submittals - Closeout Submittals Project record documents, operation and maintenance data, warranties .
- D. Other Sections for specific requirements for submittals in those Sections.

1.03 REFERENCE STANDARDS

- A. AIA G716 - Request For Information; 2004, or approved equivalent.
- B. AIA G810 - Transmittal Letter; 2001.

PART 2 PRODUCTS - NOT USED

PART 3 EXECUTION

3.01 SUBMITTALS

- A. Submit to the Architect such shop drawings, data, and schedules as are required by the specifications or that are reasonably requested by the Architect. Submittals shall be coordinated by the Contractor and prepared by a person thoroughly competent and qualified to prepare submittals and shop drawings. Incomplete or poorly prepared submittals and shop drawings are subject to being returned to the Contractor to be redrawn and resubmitted.

3.02 ELECTRONIC DOCUMENT SUBMITTAL SERVICE

- A. All documents transmitted for purposes of administration of the contract are to be in electronic (PDF) format and transmitted via an Internet-based submittal service that receives, logs and stores documents, provides electronic stamping and signatures, and notifies addressees via email.
 - 1. Besides submittals for review, information, and closeout, this procedure applies to requests for information (RFIs), progress documentation, contract modification documents (e.g. supplementary instructions, change proposals, change orders), applications for payment, field reports and meeting minutes, Contractor's correction punchlist, and any other document any participant wishes to make part of the project record.
 - 2. Contractor and Architect are required to use this service.
 - 3. It is Contractor's responsibility to submit documents in PDF format.
 - 4. Subcontractors, suppliers, and Architect's consultants will be permitted to use the service at no extra charge.
 - 5. Users of the service need an email address and Internet access.
 - 6. Paper document transmittals will not be reviewed; emailed PDF submittals and RFI documents will be reviewed.
 - 7. All other specified submittal and document transmission procedures apply, except that electronic document requirements do not apply to samples or color selection charts.
 - 8. Actual samples and color charts are to be delivered to the AE.
- B. Service: The use of the Cromwell Architect Engineer's Newforma Information Exchange service will be provided without charge. A valid email address is required for access. Contact printshop@cromwell.com; (501) 400-1006.

- C. Training: One, one-hour, web-based training session will be arranged for all participants, with representatives of Cromwell Architect Engineer and Contractor participating; further training is the responsibility of the user of the service.
- D. Project Closeout: Cromwell Architect Engineer will determine when to terminate the service for the project and is responsible for obtaining archive copies of files for Owner.

3.03 SUBMITTAL PROCEDURES

- A. Review and coordinate submittals prior to submission to Architect.
- B. General: Electronic PDF or live copies of 2D CAD Drawings of the Contract Drawings may be obtained from Architect upon payment of a fee (at standard rates) for Contractor's use in preparing submittals, unless otherwise indicated. Contact printshop@cromwell.com; (501) 400-1006.
- C. Coordination: Coordinate preparation and processing of submittals with performance of construction activities.
 - 1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
 - 2. Coordinate transmittal of different types of submittals for related parts of the Work so processing will not be delayed because of need to review submittals concurrently for coordination.
 - a. Architect reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
 - 3. Submittals for finishes and colors, including product data and color samples, shall be coordinated and submitted at the same time.
- D. Basis of Design:
 - 1. Products indicated in the color and finish schedules or drawing notes; including color, shade, hue, translucence, opacity, pattern, or texture; establish the Basis of Design. Use the Basis of Design. Submit a request for substitution for any product not indicated.
 - 2. Substitutions will not be considered for finishes and colors unless all finishes and colors are coordinated and submitted together.
- E. Processing Time: Allow enough time for submittal review, including time for resubmittals, as follows. Time for review shall commence on Architect's receipt of submittal. No extension of the Contract Time will be authorized because of failure to transmit submittals enough in advance of the Work to permit processing, including resubmittals.
 - 1. Initial Review: Allow 15 days for initial review of each submittal. Allow additional time if coordination with other Contractors and/or subsequent submittals is required. Architect will advise Contractor when a submittal being processed must be delayed for coordination.
 - 2. Intermediate Review: If intermediate submittal is necessary, process it in same manner as initial submittal.
 - 3. Resubmittal Review: Allow 15 days for review of each resubmittal.
 - 4. Sequential Review: Where sequential review of submittals by Architect's consultants, Owner, or other parties is indicated, allow 21 days for initial review of each submittal.
- F. Identification: Place a permanent label or title block on each submittal for identification.
 - 1. Indicate name of firm or entity that prepared each submittal on label or title block.
 - 2. Provide a space approximately 6 by 8 inches on label or beside title block to record Contractor's review and approval markings and action taken by Architect.
 - 3. Include the following information on label for processing and recording action taken:
 - a. Project name.
 - b. Architect's project number.
 - c. Owner's project number.
 - d. Date.
 - e. Name and address of architect.
 - f. Name and address of contractor.

- g. Name and address of subcontractor.
 - h. Name and address of supplier.
 - i. Name of manufacturer.
 - j. Submittal number or other unique identifier, including revision identifier.
 - 1) Submittal number shall use Specification Section number followed by a decimal point and then a sequential number (e.g., 061000.01). Resubmittals shall include an alphabetic suffix after another decimal point (e.g., 061000.01.A).
 - k. Number and title of appropriate Specification Section.
 - l. Drawing number and detail references, as appropriate.
 - m. Location(s) where product is to be installed, as appropriate.
 - n. Other necessary identification.
- G. Deviations: Highlight, encircle, or otherwise specifically identify deviations from the Contract Documents on submittals.
- H. Copies: Submit all copies by electronic file, except samples.
- I. Transmittal: Package each submittal individually and appropriately for transmittal and handling. Transmit each submittal using a transmittal form. Architect will return submittals, without review, received from sources other than Contractor.
- 1. Transmittal Form: Use form acceptable to Architect.
 - 2. On an attached separate sheet, prepared on Contractor's letterhead, record relevant information, requests for data, revisions other than those requested by Architect on previous submittals, and deviations from requirements in the Contract Documents, including minor variations and limitations. Include same label information as related submittal.
- J. Resubmittals: Make resubmittals in same form as initial submittal.
- 1. Resubmittals shall include an alphabetic suffix after another decimal point (e.g., 061000.01.A).
 - 2. Note date and content of previous submittal.
 - 3. Note date and content of revision in label or title block and clearly indicate extent of revision.
 - 4. Resubmit submittals until they are approved.
- K. Distribution: Furnish copies of final submittals to manufacturers, subcontractors, suppliers, fabricators, installers, authorities having jurisdiction, and others as necessary for performance of construction activities. Show distribution on transmittal forms.
- L. Use for Construction: Use only final submittals with mark indicating "No Exceptions Taken" by Architect.

3.04 ACTION SUBMITTALS

- A. General: Prepare and submit Action Submittals required by individual Specification Sections or subsequently requested by Architect.
- B. Product Data: Collect information into a single submittal for each element of construction and type of product or equipment.
- 1. 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.
 - 2. Mark each copy of each submittal to show which products and options are applicable.
 - 3. Include the following information, as applicable:
 - a. Manufacturer's written recommendations.
 - b. Manufacturer's product specifications.
 - c. Manufacturer's installation instructions.
 - d. Standard color charts.
 - e. Manufacturer's catalog cuts.
 - f. Wiring diagrams showing factory-installed wiring.
 - g. Printed performance curves.

- h. Operational range diagrams.
 - i. Mill reports.
 - j. Standard product operation and maintenance manuals.
 - k. Compliance with specified referenced standards.
 - l. Testing by recognized testing agency.
 - m. Application of testing agency labels and seals.
 - n. Notation of coordination requirements.
 - 4. Submit Product Data concurrent with Samples.
 - 5. Number of Copies: Submit electronic file of Product Data, unless otherwise indicated. No copies will be returned. Mark up and retain one copy as a Project Record Document.
- C. Shop Drawings: Prepare Project specific information, drawn accurately to scale. Do not base Shop Drawings on reproductions of the Contract Documents or standard printed data.
 - 1. Preparation: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:
 - a. Dimensions.
 - b. Identification of products.
 - c. Fabrication and installation drawings.
 - d. Roughing-in and setting diagrams.
 - e. Wiring diagrams showing field-installed wiring, including power, signal, and control wiring.
 - f. Shopwork manufacturing instructions.
 - g. Templates and patterns.
 - h. Schedules.
 - i. Design calculations.
 - j. Compliance with specified standards.
 - k. Notation of coordination requirements.
 - l. Notation of dimensions established by field measurement.
 - m. Relationship to adjoining construction clearly indicated.
 - n. Seal and signature of professional engineer if specified.
 - o. Wiring Diagrams: Differentiate between manufacturer-installed and field-installed wiring.
 - 2. Sheet Size: Same size as contract drawings, 30 inch x 42 inch maximum.
 - 3. Number of Copies: Submit electronic copy.
- D. Samples: Submit Verification Samples for review of kind, color, pattern, and texture for a check of these characteristics with other elements and for a comparison of these characteristics between submittal and actual component as delivered and installed.
 - 1. Transmit Samples that contain multiple, related components such as accessories together in one submittal package.
 - 2. Identification: Attach label on unexposed side of Samples that includes the following:
 - a. Generic description of Sample.
 - b. Product name and name of manufacturer.
 - c. Sample source.
 - d. Number and title of appropriate Specification Section.
 - 3. Disposition: Maintain sets of approved Samples at Project site, available for quality-control comparisons throughout the course of construction activity. Sample sets may be used to determine final acceptance of construction associated with each set.
 - a. Samples that may be incorporated into the Work are indicated in individual Specification Sections. Such Samples must be in an undamaged condition at time of use.
 - b. Samples not incorporated into the Work, or otherwise designated as Owner's property, are the property of Contractor.
 - 4. Samples for Verification: Submit full-size units or Samples of size indicated, prepared from same material to be used for the Work, cured and finished in manner specified, and

physically identical with material or product proposed for use, and that show full range of color and texture variations expected. Samples include, but are not limited to, the following: partial sections of manufactured or fabricated components; small cuts or containers of materials; complete units of repetitively used materials; swatches showing color, texture, and pattern; color range sets; and components used for independent testing and inspection.

- a. Number of Samples: Submit three sets of Samples. Architect will retain one Sample set; remainder will be returned. Mark up and retain one returned Sample set as a Project Record Sample.
 - 1) Submit a single Sample where assembly details, workmanship, fabrication techniques, connections, operation, and other similar characteristics are to be demonstrated.
 - 2) If variation in color, pattern, texture, or other characteristic is inherent in material or product represented by a Sample, submit at least three sets of paired units that show approximate limits of variations.
- E. Product Schedule or List: As required in individual Specification Sections, prepare and maintain a written summary indicating types of products required for the Work and their intended location. Include the following information in tabular form:
 1. Type of product. Include unique identifier for each product.
 2. Number and name of room or space.
 3. Location within room or space.
 4. Number of Copies: Submit one pdf copy via email, of product schedule or list, unless otherwise indicated. Architect will return one copy.
 - a. Mark up and retain one returned copy as a Project Record Document.

3.05 CONTRACTOR'S REVIEW

- A. Review each submittal and check for coordination with other Work of the Project and for compliance with the Contract Documents. Note corrections and field dimensions. Mark with approval stamp before submitting to Architect.
- B. Do not indicate "By Others," or words to that effect. Coordinate to indicate the Work of the appropriate trade(s).
- C. Approval Stamp: Stamp each submittal with the approval stamp. Include Project name and location, submittal number, Specification Section title and number, name of reviewer, date of Contractor's approval, and statement certifying that submittal has been reviewed, checked, and approved for compliance with the Contract Documents.
- D. Log each submittal and review for coordination with other Work of the Project and the Project Schedule. Mark with submittal received date stamp before transmitting to Architect.
- E. Deliver submittals promptly to Architect.
- F. Received submittals returned from Architect.

3.06 ARCHITECT'S ACTION

- A. General: Architect will not review submittals that are not coordinated or that do not bear Contractor's approval stamp and will return them without action.
- B. Action Submittals: Architect will review each submittal, make marks to indicate corrections or modifications required, and return it. Architect will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action taken, as follows:
 1. "No Exceptions Taken".
 2. "Make Corrections Noted".
 3. "Revise and Resubmit".
 4. "Not accepted, see Comments".
- C. Partial submittals are not acceptable, will be considered nonresponsive, and may be returned without review.

- D. Submittals not required by the Contract Documents may not be reviewed and may be discarded.

3.07 SUBMITTALS FOR PROJECT CLOSEOUT

- A. Submit Final Correction Punch List for Substantial Completion.
- B. See Section 01 78 00 - Closeout Submittals for additional project record documents requirements.
- C. When the following are specified in individual sections, submit them at project closeout:
 - 1. Project record documents.
 - 2. Operation and maintenance data.
 - 3. Warranties.
 - 4. Bonds.
 - 5. Other types as indicated.
- D. Submit for Owner's benefit during and after project completion.

END OF SECTION