

**SECTION 01 33 00 – SUBMITTAL PROCEDURES****PART 1 – GENERAL****1.01 SECTION INCLUDES**

- A. Submittal procedures.
- B. Shop Drawings.
- C. Product data.
- D. Informational data.
- E. Manufacturer's instructions.
- F. Manufacturer's field reports.
- G. Subcontractor and Products List.
- H. Samples.
- I. Steel Products Certification form.
- J. Submittal Work.

**1.02 SUBMITTAL PROCEDURES**

- A. Refer to paragraph 7.16 of the General Conditions (Section 00 72 00).
- B. Submit all submittals via email with the Contract Name, Contract Number, "Shop Drawing", Submittal Identification Number in the subject line. All submittals shall be in portable document format (.pdf). Where documents are scanned, all text shall be clearly readable and no information blurred/pixelated. Any non-readable text, blurred/pixelated information on a submittal will cause it to be rejected.
  - 1. Engineer will review Submittal as received. Pdf Submittal will be returned to Contractor with comment(s) and Action via e-mail.
  - 2. APPROVED or APPROVED AS CORRECTED Submittals – Contractor shall submit one paper copies & mail to the Engineer within five (5) days: Herbert, Rowland & Grubic, Inc. – 200 West Kensing Drive, Suite 400, Cranberry Township, PA 16066.
- B. Transmit each submittal with CSI Form 12.1A – Submittal Transmittal.
- C.
- D. Sequentially number the transmittals.
- E. Submittal Identification Numbering (indicated on each submittal adjacent to the Contractor's certification):

1. Specification: Specification Number, Article Number (include the Paragraph Letter if more than one item is included in the Article section) dash submittal number. Example: 03 30 00, 2.02-01 (1st submittal)
  2. Plan Sheet: Plan and Sheet Number dash submittal number.
- F. Resubmittals to have original number with an alphabetic suffix.
- G. Identify Project, Contract Number, Subcontractor or supplier, and Specification Section number, as appropriate.
- H. Each submittal shall bear a stamp or specific written certification that Contractor has satisfied Contractor's obligations under the Contract Documents with respect to Contractor's review of that submittal, and that Contractor approves the submittal. Submittals not containing an executed certification stamp shall be returned.
- I. Identify variations from Contract Documents and Product or system limitations, which may be detrimental to successful performance of the completed Work.
- J. Provide 4" by 4" space for Engineer review stamps on the submittal, not the transmittal.
- K. Revise and resubmit submittals as required, clearly identify all changes made since previous submittal.
- L. Engineer shall review submittal and first revision without charge to Contractor. For all subsequent resubmissions, Contractor may be charged, by Owner, for the time and expenses of Engineer at Engineer's normal charges. Such charge shall be deducted from Contractor's subsequent payment application.
- M. Distribute copies of reviewed submittals to concerned parties. Instruct parties to promptly report any inability to comply with provisions.

### 1.03 ACTION ON SUBMITTALS

- A. Engineer's Action: Where action and return is required or requested, Engineer will provide timely review of each submittal in accordance with the accepted Schedule of Submittals.
- B. Submittals returned with "APPROVED" action indicates that the information submitted was found to be in conformance with the design concept and in compliance with the requirements of the Contract Documents. Contractor may proceed with performance of the Work covered by the submittal.
- C. Submittals returned with "APPROVED AS CORRECTED" action indicates that the information submitted was found to be in conformance with the design concept and in compliance with the requirements of the Contract Documents, provided the noted clarifications or corrections are completed. Submission of a corrected submittal indicating the changes noted by Engineer is required as part of the Project Record Documents. Contractor may proceed with performance of the Work covered by the

submittal.

- D. Submittals returned with "REVISE AND RESUBMIT" action indicates that: (1) information submitted is at least partially not in conformance with the design concept, (2) information submitted is at least partially not in compliance with the requirements of the Contract Documents, (3) submittal is incomplete and does not include all items required by the individual Specification Sections, or (4) certifications or computations required by the individual Specification Sections have not been included in the submittal. Submittal will be returned to Contractor noting the reasons for noncompliance. Contractor shall not proceed with the performance of the Work covered by submittal until corrected information is submitted and approved.
- E. Submittals returned with "NOT APPROVED" action indicates that the Engineer interprets the information submitted to be not in conformance with the design concept or not in compliance with the Contract Documents. Performance of the Work shall not proceed until submittal is revised, resubmitted and approved.

#### 1.04 SHOP DRAWINGS

- A. Prepare Project-specific information, drawn accurately to scale. Do not base Shop Drawings on reproductions of the Contract Documents or standard printed data.
- B. Distribute in accordance with Submittal Procedures, above.
- C. Preparation: Fully illustrate requirements in the Contract Documents. Include the following information:
  - 1. Dimensions.
  - 2. Identification of products.
  - 3. Fabrication and installation Drawings.
  - 4. Roughing-in and setting diagrams.
  - 5. Wiring diagrams showing field-installed wiring, including power, signal, and control wiring.
  - 6. Shopwork manufacturing instructions.
  - 7. Templates and patterns.
  - 8. Schedules.
  - 9. Design calculations.
  - 10. Compliance with specified standards.
  - 11. Notation of coordination requirements.
  - 12. Notation of dimensions established by field measurement.
  - 13. Relationship to adjoining construction clearly indicated.
  - 14. Wiring Diagrams: Differentiate between manufacturer-installed and field-installed wiring.
- D. Sheet Size: Except for templates, patterns, and similar full-size Drawings, submit Shop Drawings on sheets at least 8 ½ x 11 inches but no larger than 30 x 40 inches.
- E. When required by individual Specification Sections, provide Shop Drawings signed and sealed by a professional Engineer responsible for designing components shown on Shop

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Drawings.

1. Include signed and sealed calculations to support design.
2. Submit Shop Drawings and calculations in form suitable for submission to and approval by Authorities having Jurisdiction.
3. Make revisions and provide additional information when required by Authorities having Jurisdiction.

1.05 PRODUCT DATA

- A. General: Prepare and submit Product Data as required by other Specification Sections.
- B. Distribute in accordance with Submittal Procedures, above.
- C. Collect information into a single submittal for each element of construction and type of product or equipment.
- D. 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.
- E. Mark each copy of each submittal to show which products and options are applicable.
- F. Include the following information, as applicable:
  1. Manufacturer's written recommendations.
  2. Manufacturer's product specifications.
  3. Manufacturer's installation instructions.
  4. Standard color charts.
  5. Manufacturer's catalog cuts.
  6. Wiring diagrams showing factory-installed wiring.
  7. Printed performance curves.
  8. Operational range diagrams.
  9. Mill reports.
  10. Standard product operation and maintenance manuals.
  11. Compliance with specified referenced standards.
  12. Testing by recognized testing agency.
  13. Application of testing agency labels and seals.
  14. Notation of coordination requirements.
- G. Submit Product Data before or concurrent with Shop Drawings.

1.06 INFORMATIONAL DATA

- A. General: Prepare and submit Informational Data as required by other Specification Sections.
  1. Distribute in accordance with Submittal Procedures above.
  2. Certificates and Certifications: Provide a notarized statement that includes signature of entity responsible for preparing certification. Certificates and

certifications shall be signed by an officer or other individual authorized to sign documents on behalf of that entity.

3. Test and Inspection Reports: Comply with requirements of Technical Specification sections.
  - B. Qualification Data: Prepare written information that demonstrates capabilities and experience of firm or person. Include lists of completed projects with project names and addresses, names and addresses of architects and Owners, and other information specified.
  - C. Welding Certificates: Prepare written certification that welding procedures and personnel comply with requirements in the Contract Documents. Submit record of Welding Procedure Specification (WPS) and Procedure Qualification Record (PQR) on AWS forms. Include names of firms and personnel certified.
  - D. Installer Certificates: Prepare written statements on manufacturer's letterhead certifying that Installer complies with requirements in the Contract Documents and, where required, is authorized by manufacturer for this specific Project.
  - E. Manufacturer Certificates: Prepare written statements on manufacturer's letterhead certifying that manufacturer complies with requirements in the Contract Documents. Include evidence of manufacturing experience where required.
  - F. Product Certificates: Prepare written statements on manufacturer's letterhead certifying that product complies with requirements in the Contract Documents.
  - G. Material Certificates: Prepare written statements on manufacturer's letterhead certifying that material complies with requirements in the Contract Documents.
  - H. Material Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting test results of material for compliance with requirements in the Contract Documents.
  - I. Product Test Reports: Prepare written reports indicating current product produced by manufacturer complies with requirements in the Contract Documents. Base reports on evaluation of tests performed by manufacturer and witnessed by a qualified testing agency, or on comprehensive tests performed by a qualified testing agency.
  - J. Schedule of Tests and Inspections: Comply with requirements of the Contract Documents.
  - K. Preconstruction Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of tests performed before installation of product, for compliance with performance requirements in the Contract Documents.
  - L. Compatibility Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of compatibility tests

performed before installation of product. Include written recommendations for primers and substrate preparation needed for adhesion.

- M. Field Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of field tests performed either during installation of product or after product is installed in its final location, for compliance with requirements in the Contract Documents.
- N. Maintenance Data: Prepare written and graphic instructions and procedures for operation and normal maintenance of products and equipment.
- O. Design Data: Prepare written and graphic information, including, but not limited to, performance and design criteria, list of applicable codes and regulations, and calculations. Include list of assumptions and other performance and design criteria and a summary of loads. Include load diagrams if applicable. Provide name and version of software, if any, used for calculations. Include page numbers.

#### 1.07 MANUFACTURER'S INSTRUCTIONS

- A. Prepare written or published information that documents manufacturer's recommendations, guidelines, and procedures for installing or operating a product or equipment. Include name of product and name, address, and telephone number of manufacturer. Include the following:
  - 1. Sequence of installation or erection.
  - 2. Required installation tolerances.
  - 3. Required adjustments.
  - 4. Recommendations for cleaning and protection.
  - 5. Identify conflicts between manufacturers' instructions and Contract Documents.

#### 1.08 MANUFACTURER'S FIELD REPORTS

- A. Prepare written information documenting factory-authorized service representative's tests and inspections. Include the following, as applicable:
  - 1. Name, address, and telephone number of factory-authorized service representative making report.
  - 2. Statement on condition of substrates and their acceptability for installation of product.
  - 3. Statement that products at Project Site comply with requirements.
  - 4. Summary of installation procedures being followed, whether they comply with requirements and, if not, what corrective action was taken.
  - 5. Results of operational and other tests and a statement of whether observed performance complies with requirements.
  - 6. Statement whether conditions, products, and installation will affect warranty.
  - 7. Other required items indicated in individual Specification Sections.

#### 1.09 SUBCONTRACTORS AND PRODUCTS LIST

- A. Within 15 days after date of Notice to Proceed, submit complete list of major products proposed for use, with name of manufacturer, trade name, and model number of each product. Submit number of copies Contractor requires plus three copies to be retained by Engineer.
- B. For products specified only by reference standards, give manufacturer, trade name, model or catalog designation, and reference standards.
- C. Subcontract List: Within 15 days after date of Notice to Proceed, prepare and submit a written summary identifying individuals or firms proposed for each portion of the Work, including those who are to furnish products or equipment fabricated to a special design. Include the following information in tabular form:
  - 1. Name, address, and telephone number of entity performing subcontract or supplying products.
  - 2. Number and title of related Specification Section(s) covered by subcontract.
  - 3. Drawing number and detail references, as appropriate, covered by subcontract.
- D. Number of Copies: Submit three copies of Subcontractor and product lists, unless otherwise indicated. Engineer will return one copy. Mark up and retain one returned copy as a Project Record Document.

#### 1.10 SAMPLES

- A. Submit Samples as specified in individual Specification Sections; submit a minimum of one which will be retained by Engineer.
- B. Submit Samples to illustrate functional and aesthetic characteristics of the Product, with integral parts and attachment devices. Coordinate Sample submittals for interfacing Work.
- C. Submit Samples of finishes from the full range of manufacturer's standard colors, textures, and patterns for Engineer's selection.
- D. Include identification on each Sample, with full Project information.
- E. Reviewed Samples which may be used in the Work are indicated in individual Specification Sections.

#### 1.11 PENNSYLVANIA STEEL PRODUCTS ACT CERTIFICATION

- A. Use and submit form attached to this Section with submission of Product Data.

#### 1.12 SUBMITTAL WORK

- B. All Work which is related to submittal approval shall not be initiated until approved submittals have been received from Engineer.
- C. All Work initiated by Contractor prior to receipt of approved submittals shall be at the

sole risk of Contractor. Any and all rework, modifications, reinstallations, etc. necessitated by changes in the Work due to changes required by subsequently approved submittals will be done by Contractor at no increase in Contract Price.

**PART 2 – PRODUCTS** – Not Used

**PART 3 – EXECUTION** – Not Used

**END OF SECTION**



This form must be executed by the Contractor and delivered to the Engineer before any item containing steel may be incorporated into any public works project in the Commonwealth of Pennsylvania. Execute and present this form for each type of steel product to be incorporated as provided above.

**STEEL PRODUCTS PROCUREMENT CERTIFICATION: Contractors**

**A. TO BE COMPLETED BY ALL CONTRACTORS:**

1. Name of Contractor's firm: \_\_\_\_\_ 2. Date Submitted: \_\_\_\_\_  
3. Firm's address: \_\_\_\_\_ 4. Phone Number: ( ) \_\_\_\_\_  
5. Contract No. \_\_\_\_\_ 6. Contract title: \_\_\_\_\_  
7. Steel Product: \_\_\_\_\_  
8. Name and address of supplier: \_\_\_\_\_

**B. TYPE OF STEEL PRODUCT (check and complete applicable category)**

1.  Identifiable steel product: 100% of the steel in a product is identifiably marked as manufactured in the United States.  
a. Other documentation required: NONE  
b. Manner in which steel product is identifiable: \_\_\_\_\_
2.  Non-identifiable structural steel: Less than 100% of the steel contained in the product is identifiable as provided above. Structural steel is defined as steel products used as a basic structural element of a project (i.e. steel beams, columns, decking, stairways, reinforcing bars, structural lintels, pipes, etc.)  
a. Other documentation required: Bills of lading, invoices and mill certificates that certify that the steel contained in the product was melted or manufactured in the United States.
3.  Non-identifiable non-structural steel: all other steel products including door and window frames, machines, equipment, etc.  
a. Other documentation required: i.e. certification from supplier/fabricator.

**C. CERTIFICATION:** I, the undersigned officer of the above named firm, do certify that, to the best of my knowledge, the steel product listed above complies with the provisions of the Steel Products Procurement Act (73 P.S. §1881 et seq, as amended). I understand that by signing this document I certify that the facts contained herein are true. I further understand that this document is subject to the provisions of the Unsworn Falsification to Authorities Act (18 P.S. §4904) and the Steel Products Procurement Act, which provide penalties including, but not limited to, debarment from bidding on any Commonwealth of Pennsylvania public works project for a period of five years.

Witness:

\_\_\_\_\_  
Secretary or Treasurer

(Corporate Seal)

\_\_\_\_\_(SEAL)  
President or Vice President