

**NEW PASSENGER TERMINAL  
DULUTH INTERNATIONAL AIRPORT  
DULUTH, MINNESOTA**

**SECTION 01300 - SUBMITTALS**

**PART 1 - GENERAL**

**1.1 RELATED DOCUMENTS**

- A. Drawings and general provisions of the Contract, including General and Supplementary Conditions and other Division 1 Specification Sections, apply to this section.

**1.2 SUMMARY**

- A. This section includes administrative and procedural requirements for submittals required for performance of the work, including the following:
1. Contractor's construction schedule.
  2. Submittal schedule.
  3. Daily construction reports.
  4. Construction photographs.
  5. Shop Drawings.
  6. Product Data.
  7. Samples.
  8. Quality assurance submittals.
- B. Administrative Submittals: Refer to other Division 1 Sections and other Contract Documents for requirements for administrative submittals. Such submittals include, but are not limited to, the following:
1. Permits.
  2. Applications for Payment.
  3. Performance and payment bonds.
  4. Insurance certificates.
  5. List of subcontractors.
- C. Related Sections: The following sections contain requirements that relate to this section:
1. Division 1, Section 01027 - APPLICATIONS FOR PAYMENT specifies requirements for submittal of the Schedule of Values.
  2. Division 1, Section 01040 - COORDINATION specifies requirements governing preparation and submittal of required Coordination Drawings.
  3. Division 1, Section 01200 - PROJECT MEETINGS specifies requirements for submittal and distribution of meeting and conference minutes.
  4. Division 1, Section 01400 - QUALITY CONTROL specifies requirements for submittal of inspection and test reports.
  5. Division 1, Section 01700 - CONTRACT CLOSEOUT specifies requirements for submittal of Project Record Documents at project closeout.

**1.3 QUALITY ASSURANCE**

- A. Compatibility of Options: When the Contractor is given the option of selecting between 2 or more products for use on the Project, the product selected shall be compatible with products previously selected, even if previously selected products were also options.

## 1.4 SUBMITTAL PROCEDURES

- A. Coordination: Coordinate preparation and processing of submittals with performance of construction activities. Transmit each submittal sufficiently in advance of performance of related construction activities to avoid delay.
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 elements of the work so processing will not be delayed by the need to review submittals concurrently for coordination.
    - a. The Architect reserves the right to withhold action on a submittal requiring coordination with other submittals until all related submittals are received.
  3. Processing: Allow sufficient review time so that installation will not be delayed as a result of the time required to process submittals, including time for resubmittals.
    - a. Allow 2 weeks plus time in transit for initial review. Allow additional time if processing must be delayed to permit coordination with subsequent submittals. The Architect will advise the Contractor when a submittal being processed must be delayed for coordination.
    - b. If an intermediate submittal is necessary, process the same as the initial submittal.
    - c. Allow 2 weeks plus time in transit for reprocessing each submittal.
    - d. No extension of Contract Time will be authorized because of failure to transmit submittals to the Architect sufficiently in advance of the work to permit processing.
  4. The Architect will review up to 2 submissions (original and one resubmission) of shop drawings and other data submitted by the Contractor. Thereafter, additional reviews will be at the expense of the Contractor. These two referenced submissions shall be the only two whose associated review costs shall be borne by the Owner, regardless of whether a different product is submitted in subsequent submittals and regardless of whether a product is submitted as an equal product or substitution. The Architect will record the time required by him or his consultants in reviewing and approving submission in excess of the original and one 1 resubmission and notify the Contractor of the charges therefore. The Owner shall deduct any such expenses of the Architect from the Contractor's monthly periodic pay requests.
- B. Submittal Preparation: Place a permanent label or title block on each submittal for identification. Indicate the name of the entity that prepared each submittal on the label or title block.
1. Provide a space approximately 4 by 5 inches on the label or beside the title block on Shop Drawings to record the Contractor's review and approval markings and the action taken.
  2. Include the following information on the label for processing and recording action taken.
    - a. Project name.
    - b. Date.
    - c. Name and address of the Architect.
    - d. Name and address of the Contractor.
    - e. Name and address of the Subcontractor.
    - f. Name and address of the supplier.

- g. Name of the manufacturer.
  - h. Number and title of appropriate Specification section.
  - i. Drawing number and detail references, as appropriate.
- C. **Submittal Transmittal:** Package each submittal appropriately for transmittal and handling. Transmit each submittal from Contractor to Architect using the standard transmittal form. Submittals received from sources other than the Contractor will be returned without action. A separate transmittal shall be used for each required submittal and the contents shall be itemized separately thereon to allow indication of disposition for each element of the submittal.
- D. **Contractor's Action:** Each shop drawing sheet and the cover sheet of bound packets of product data shall bear a stamp indicating the Contractor's disposition following his review and checking. The disposition shall be indicated as "approved," "approved as noted," or similar as applicable. The stamp shall include the Contractor's name, the signature of the reviewer and the date checked. The notated sample shall be construed as evidence the Contractor has performed the review, check, verification and coordination as required by the GENERAL CONDITIONS. Shop drawing submittals received without this stamp (executed) will be returned to the Contractor with no action taken.

## 1.5 CONTRACTOR'S CONSTRUCTION SCHEDULE

- A. **Bar-Chart Schedule:** Prepare a fully developed, horizontal bar-chart-type, Contractor's construction schedule. Submit within thirty (30) days after the date established for "Commencement of the Work."
1. Provide a separate time bar for each significant construction activity. Provide a continuous vertical line to identify the first working day of each week. At the minimum, use the same breakdown of units of the work as indicated in the "Schedule of Values."
  2. Within each time bar, indicate estimated completion percentage in 10 percent increments. As work progresses, place a contrasting mark in each bar to indicate actual completion.
  3. Prepare the schedule on a sheet, or series of sheets, of stable transparency, or other reproducible media, of sufficient width to show data for the entire construction period.
  4. Secure time commitments for performing critical elements of the work from parties involved. Coordinate each element on the schedule with other construction activities; include minor elements involved in the sequence of the work. Show each activity in proper sequence. Indicate graphically the sequences necessary for completion of related portions of the work.
  5. Coordinate the Contractor's construction schedule with the schedule of values, list of subcontracts, submittal schedule, progress reports, payment requests, and other schedules.
  6. Indicate completion in advance of the date established for Substantial Completion. Indicate Substantial Completion on the schedule to allow time for the Architect's procedures necessary for certification of Substantial Completion.
- B. **Phasing:** On the schedule, show how requirements for phased completion to permit work by separate Contractors and partial occupancy by the Owner affect the sequence of work.

- C. **Work Stages:** Indicate important stages of construction for each major portion of the work, including submittal review, testing, and installation.
- D. **Area Separations:** Provide a separate time bar to identify each major construction area for each major portion of the work. Indicate where each element in an area must be sequenced or integrated with other activities.
- E. **Cost Correlation:** At the head of the schedule, provide a cost correlation line, indicating planned and actual costs. On the line, show dollar volume of work performed as of the dates used for preparation of payment requests.
  - 1. Refer to Division 1, Section 01027 - APPLICATIONS FOR PAYMENT for cost reporting and payment procedures.
- F. **Distribution:** Following response to the initial submittal, print and distribute copies to the Architect, Owner, subcontractors, and other parties required to comply with scheduled dates. Post copies in the Project meeting room and temporary field office.
  - 1. When revisions are made, distribute to the same parties and post in the same locations. Delete parties from distribution when they have completed their assigned portion of the work and are no longer involved in construction activities.
- G. **Schedule Updating:** Revise the schedule after each meeting, event, or activity where revisions have been recognized or made. Issue the updated schedule concurrently with the report of each meeting.

## 1.6 SUBMITTAL SCHEDULE

- A. After development and acceptance of the Contractor's Construction Schedule, prepare a complete schedule of submittals. Submit the schedule within 10 days of the date required for establishment of the Contractor's Construction Schedule.
  - 1. The submittal schedule shall include all product data, shop drawings, samples, inspection reports, test reports and similar items as called out in the individual specification sections, to be submitted by the Contractor during the course of the project.
  - 2. Coordinate Submittal Schedule with the list of subcontracts, Schedule of Values, and the list of products as well as the Contractor's Construction Schedule.
  - 3. Prepare the schedule in chronological order; include submittals required during the first 90 days of construction. Provide the following information:
    - a. Scheduled date for the first submittal.
    - b. Related section number.
    - c. Submittal category.
    - d. Name of the subcontractor.
    - e. Description of the part of the work covered.
    - f. Scheduled date for resubmittal.
    - g. Scheduled date for the Architect's final release or approval.
- B. **Distribution:** Following response to the initial submittal, print and distribute copies to the Architect, Owner, subcontractors, and other parties required to comply with submittal dates indicated. Post copies in the project meeting room and field office.
  - 1. When revisions are made, distribute to the same parties and post in the same locations. Delete parties from distribution when they have completed

their assigned portion of the work and are no longer involved in construction activities.

- C. Schedule Updating: Revise the schedule after each meeting or activity where revisions have been recognized or made. Issue the updated schedule concurrently with the report of each meeting.

## 1.7 DAILY CONSTRUCTION REPORTS

- A. Prepare a daily construction report recording the following information concerning events at the site, and submit duplicate copies to the Architect at weekly intervals:
  1. List of subcontractors at the site.
  2. Approximate count of personnel at the site.
  3. High and low temperatures, general weather conditions.
  4. Accidents and unusual events.
  5. Meetings and significant decisions.
  6. Stoppages, delays, shortages, and losses.
  7. Meter readings and similar recordings.
  8. Emergency procedures.
  9. Orders and requests of governing authorities.
  10. Change Orders received, implemented.
  11. Services connected, disconnected.
  12. Equipment or system tests and startups.
  13. Partial Completions, occupancies.
  14. Substantial Completions authorized.

## 1.8 SHOP DRAWINGS

- A. Submit newly prepared information drawn accurately to scale. Highlight, encircle, or otherwise indicate deviations from the Contract Documents. Do not reproduce Contract Documents or copy standard information as the basis of Shop Drawings. Standard information submitted without being specifically tailored to this Project is not a Shop Drawing.
- B. Shop Drawings include fabrication and installation Drawings, setting diagrams, schedules, patterns, templates and similar drawings. Include the following information:
  1. Dimensions.
  2. Identification of products and materials included.
  3. Compliance with specified standards.
  4. Notation of coordination requirements.
  5. Notation of dimensions established by field measurement.
  6. Sheet Size: Except for templates, patterns and similar full-size drawings, submit Shop Drawings on sheets at least 8-1/2 by 11 inches but no larger than 36 by 48 inches.
  7. Submittal Quantity and Type: Submit one correctable, translucent, reproducible print and two blue-line or blackline prints for the Architect's review. The Architect will return the reproducible print.
  8. Do not use Shop Drawings without an appropriate final stamp indicating action taken in connection with construction.

## 1.9 PRODUCT DATA

- A. Collect product data into a single submittal for each element of construction or system. Product data includes printed information, such as manufacturer's installation instructions, catalog cuts, standard color charts, roughing-in diagrams and templates, standard wiring diagrams, and performance curves. Where product data must be specially prepared because standard printed data is not suitable for use, submit as "shop drawings."
1. Mark each copy to show applicable choices and options. Where printed product data includes information on several products, some of which are not required, mark copies to indicate the applicable information. Include the following information:
    - a. Manufacturer's printed recommendations.
    - b. Compliance with recognized trade association standards.
    - c. Compliance with recognized testing agency standards.
    - d. Application of testing agency labels and seals.
    - e. Notation of dimensions verified by field measurement.
    - f. Notation of coordination requirements.
  2. Do not submit product data until compliance with requirements of the Contract Documents has been confirmed.
  3. Submittals: Submit 6 copies of each required submittal. The Architect will retain 3 and will return the others marked with action taken and corrections or modifications required.
  4. Distribution: Furnish copies of final submittal to installers, subcontractors, suppliers, manufacturers, fabricators, and others required for performance of construction activities. Show distribution on transmittal forms.
    - a. Do not proceed with installation until an applicable copy of product data is in the Installer's possession.
    - b. Do not permit use of unmarked copies of product data in connection with construction.

#### 1.10 SAMPLES

- A. Submit full-size, fully fabricated samples cured and finished as specified and physically identical with the material or product proposed. Samples include partial sections of manufactured or fabricated components, cuts or containers of materials, color range sets, and swatches showing color, texture, and pattern.
1. Mount, display or package samples in the manner to facilitate review of qualities indicated. Prepare samples to match the Architect's sample. Include the following:
    - a. Specification section number and reference.
    - b. Generic description of the sample.
    - c. Sample source.
    - d. Product name or name of the manufacturer.
    - e. Compliance with recognized standards.
    - f. Availability and delivery time.
  2. Submit samples for review of size, kind, color, pattern, and texture. Submit samples for a final check of these characteristics with other elements and a comparison of these characteristics between the final submittal and the actual component as delivered and installed.
    - a. Where variation in color, pattern, texture, or other characteristic is inherent in the material or product represented, submit at least 3 multiple units that show approximate limits of the variations.
    - b. Refer to other Specification sections for requirements for samples that illustrate workmanship, fabrication techniques, details of

- assembly, connections, operation, and similar construction characteristics.
3. Preliminary Submittals: Where samples are for selection of color, pattern, texture or similar characteristics from a range of standard choices, submit a full set of choices for the material or product.
    - a. Preliminary submittals will be reviewed and returned with the Architect's notation indicating selection and other action.
  4. Submittals: Except for samples illustrating assembly details, workmanship, fabrication techniques, connections, operation, and similar characteristics, submit 3 sets. The Architect will return one set marked with the action taken.
  5. Maintain sets of samples, as returned, at the Project Site, for quality comparisons throughout the course of construction.
    - a. Unless noncompliance with Contract Document provisions is observed, the submittal may serve as the final submittal.
    - b. Sample sets may be used to obtain final acceptance of the construction associated with each set.
- B. Distribution of Samples: Prepare and distribute additional sets to subcontractors, manufacturers, fabricators, suppliers, installers, and others as required for performance of the work. Show distribution on transmittal forms.
1. Field samples specified in individual sections are special types of samples. Field samples are full-size examples erected on-site to illustrate finishes, coatings, or finish materials and to establish the standard by which the work will be judged.
    - a. Comply with submittal requirements to the fullest extent possible. Process transmittal forms to provide a record of activity.

#### 1.11 QUALITY ASSURANCE SUBMITTALS

- A. Submit quality-control submittals, including design data, certifications, manufacturer's instructions, manufacturer's field reports, and other quality-control submittals as required under other sections of the Specifications.
- B. Certifications: Where other sections of the Specifications require certification that a product, material, or installation complies with specified requirements, submit a notarized certification from the manufacturer certifying compliance with specified requirements.
  1. Signature: Certification shall be signed by an officer of the manufacturer or other individual authorized to sign documents on behalf of the company.
- C. Inspection and Test Reports: Requirements for submittal of inspection and test reports from independent testing agencies are specified in Division 1, Section 01400 - QUALITY CONTROL.

#### 1.12 CONSTRUCTION PHOTOGRAPHS

- A. General: Provide construction progress photographs taken one day each month to coincide with monthly pay request, until Substantial Completion. Take photographs at Substantial Completion as specified.
- B. Photographer Qualifications: A professional commercial photographer acceptable to the Owner.

- C. Format: Color photographic prints in 8-inch by 10-inch size, smooth surface, glossy finish and in a plastic jacket with a left hand binding margin.
1. Provide 3 copies of each monthly set, with negatives, to the Architect, within 5 working days of taking photograph.
  2. Label each photograph, in lower right-hand corner, with the name of the project, date and time of the exposure, description of the view, Contractor's name and other pertinent data.
  3. Consecutively number each exposure from beginning of project through Substantial Completion.
- D. Quantity:
1. Monthly: Until Substantial Completion, take photographs of 4 representative views of the project showing, as much as possible, the work installed during the previous month. Architect reserves the right to determine location of photographs.
  2. At Substantial Completion: Take photographs of the project from 10 locations as selected by the Owner and Architect.

### 1.13 ARCHITECT'S ACTION

- A. Except for submittals for the record, information or similar purposes, where action and return is required or requested, the Architect will review each submittal, mark to indicate action taken, and return in accordance with the Article "Submittal Procedures".
1. Compliance with specified characteristics is the Contractor's responsibility.
- B. Action Stamp: The Architect will stamp each submittal with a uniform, self-explanatory action stamp. The stamp will be appropriately marked, as follows, to indicate the action taken:
1. Final Unrestricted Release: When submittals are marked "Approved," the work covered by the submittal may proceed provided it complies with requirements of the Contract Documents. Final acceptance and payment depends on that compliance.
  2. Final-But-Restricted Release: When submittals are marked "Approved as Noted," the work covered by the submittal may proceed provided it complies with notations or corrections on the submittal and requirements of the Contract Documents. Final acceptance and payment depends on that compliance.
  3. Returned for Resubmittal: When submittals are marked "Not Approved" or "Returned for Correction", do not proceed with work covered by the submittal, including purchasing, fabrication, delivery, or other activity. Revise or prepare a new submittal according to the notations; resubmit without delay. Repeat if necessary to obtain different action mark. Do not permit submittals so marked to be used at the project site or elsewhere where work is in progress.
  4. Other Action: Where a submittal is for information or record purposes, special processing or other activity, the submittal will be returned marked "Returned Without Action".
- C. Unsolicited Submittals: The Architect will return unsolicited submittals to the sender without action.

- D. Except for verification of finishes, colors and other aesthetic matters left to the Architect's discretion by the Contract Documents, Architect's review of shop drawings is only for the convenience of the Owner in following the work and shall not relieve the Contractor from responsibility for any deviations from the requirements of the Contract Documents. The Architect's review shall not be construed as a complete check nor shall it relieve the Contractor from responsibility for errors of any sort in shop drawings or schedules or from the necessity of furnishing any work required by the Contract Documents which may have been omitted on the shop drawings. The Architect's review of a separate item shall not indicate review of the complete assembly in which it functions.

PART 2 - PRODUCTS (Not Applicable)

PART 3 - EXECUTION (Not Applicable)

END OF SECTION 01300