

## **SECTION 01300 – SUBMITTALS**

### **PART 1 - GENERAL**

#### **1.01 SUMMARY**

- A. This section provides for the submittals required by the City prior to the start of work and, as required, for the duration of the Work.
- B. All submittals shall be clearly identified by reference to a specification section and/or detail drawing. Submittals shall be clear and legible and shall include sufficient presentation of the data.
- C. No portion of the work requiring a shop drawing, product data or sample shall be started nor shall any materials be fabricated or installed prior to the completion of the submittal process described herein. Fabrication performed, materials purchased or on-site construction accomplished prior to completing the submittal process as defined herein shall be at the Contractor's sole risk. The City shall not be liable for any expense or delay to complete the submittal process.

#### **1.02 RELATED SECTIONS**

- A. Section 00700 – General Requirements:
  - 1. Article 2, paragraph 2.07.B.1 – Preliminary Project Schedule.
  - 2. Article 2, paragraph 2.07.B.2 – Preliminary Schedule of Shop Drawings.
  - 3. Article 2, paragraph 2.07.B.3 – Preliminary Schedule of Values.
  - 4. Article 6, paragraph 6.04 – Progress Schedule.
  - 5. Article 6, paragraph 6.05 – Recovery Schedule.
  - 6. Article 6, paragraph 6.06 – Substitute and “Or-Equal” Items.
  - 7. Article 6, paragraph 6.15 – Safety Representative.
  - 8. Article 6, paragraph 6.18 – Shop Drawings and Samples.
- B. Section 01015 – Specific Project Requirements.
- C. Section 01335 – Document Management.

#### **1.03 GENERAL INFORMATION**

- A. Definitions:
  - 1. Shop Drawings, product data and Samples are technical Submittals prepared by the Contractor, Subcontractor, manufacturer or Supplier and submitted by Contractor to the City/Design Professional for review and comment as a basis of the use of Equipment and Materials proposed for incorporation in the Work or needed to describe installation, operation, maintenance or technical properties, as specified in each Division of the Specifications:
    - (a) Shop Drawings include custom-prepared data of all types including drawings, diagrams, performance curves, material schedules, templates, instructions and similar information.
    - (b) Product data includes standard printed information on materials, products and systems; not custom-prepared for this Project, other than the designation of selections from available choices.
    - (c) Samples include both fabricated and physical examples of materials, products and Work; both as complete units and as smaller portions of units of Work; either for limited visual inspection or (where indicated) for more detailed testing and analysis. Mock-ups are a special form of Samples which are too large to be handled in the specified manner for transmittal of Sample Submittals.

2. Informational Submittals are those technical reports, administrative Submittals, certificates and guarantees not defined as Shop Drawings, product data or Samples:
    - (a) Technical reports include laboratory reports, tests, technical procedures, technical records and Contractor's design analysis.
    - (b) Administrative Submittals are those nontechnical Submittals required by the Contract Documents or deemed necessary for administrative records. These Submittals include maintenance agreements, bonds, project photographs, physical work records, statements of applicability, copies of industry standards, project record data, schedules, security/protection/safety data and similar type Submittals.
    - (c) Certificates and guarantees are those Submittals on Equipment and Materials where a written certificate or guarantee from the manufacturer or Supplier is required in the Contract Documents.
- B. Quality Requirements:
1. The Contractor shall submit Shop Drawings and Samples in accordance with Section 00700, paragraph 6.18.C Submittal Procedures.
  2. Submittals such as Shop Drawings and product data shall be of suitable quality for legibility and reproduction purposes. Every line, character and letter shall be clearly legible. Drawings shall be useable for further reproduction to yield legible hard copies.
  3. Documents submitted to the City/Design Professional that do not meet "NO EXCEPTIONS NOTED" to the specified requirements shall be subject to rejection by the City/Design Professional and upon request by the City/Design Professional, the Contractor shall resubmit documents. Submittals shall be corrected, retraced, redrawn or replaced, as may be necessary, to meet the "NO EXCEPTIONS NOTED" requirements. Contractor's failure to initially satisfy Submittal requirements will not relieve the Contractor from meeting the required schedule for Submittals.
  4. All submittals by subcontractors shall be sent directly to the Contractor for checking. The Contractor shall be responsible for their submission at the proper time to prevent delays.
  5. The Contractor shall check all subcontractors' submittals regarding measurements, sizes, materials and details to determine and verify that they meet the requirements of the Contract Documents. Submittals found to be inaccurate or otherwise in error shall be returned to the subcontractors for correction before submission thereof.
  6. Certificates of Compliance – Where indicated in these specifications, each submittal shall include a certificate of compliance prepared by the manufacturer or Supplier of the submitted data, certifying that the item covered complies with Contract Documents. The certificate of compliance shall be a separate document and shall include identification of all deviations, if any, from the Contract Documents.
- C. Submittal Completeness:
1. The Contractor shall accept full responsibility for the completeness of each submission. When an item consists of components from several sources, the Contractor's initial submittal on the item shall include all components.
  2. Submittals shall be complete with respect to dimensions, design criteria, materials of construction and other information specified to enable the City/Design Professional to review the information effectively.
  3. Where standard drawings are furnished which cover several variations of the general class of Equipment, each drawing shall be annotated to indicate exactly which parts of the drawing apply to the Equipment being furnished. Use hatch marks to indicate variations that do not apply to the Submittal. The use of "highlighting markers" will not be an acceptable means of annotating Submittals. Annotation shall also include proper identification of the Submittal permanently attached to the drawing.

4. Reproductions or copies of Contract Drawings or portions thereof will not be accepted as complete fabrication or erection drawings. The Contractor may use a reproduction of Contract Drawings for erection drawings to indicate information on erection or to identify detail drawing references. Whenever the Drawings are revised to show this additional Contractor information, the Design Professional's title block shall be replaced with Contractor's title block and the Design Professional's professional seal shall be removed from the drawing. The Contractor shall revise these erection drawings, as needed, for subsequent Design Professional revisions to the Contract Drawings.
- D. Form of Submittals:
1. Submittals and other Project documents shall be transmitted in electronic format and non-electronic format as specified.
  2. Electronic Format:
    - (a) Transmit Submittals and Project documents utilizing:
      - (i) Adobe “.pdf” files created directly from native electronic format or City-approved equal file type and format.
      - (ii) Electronic submittal “.pdf” files are not to be combined files or collections of files/drawings. Each drawing document must stand alone.
      - (iii) Each file will be right reading and oriented the same for all consecutive resubmissions.
      - (iv) For any given Submittal, the filename and format shall be consistent for initial submission and subsequent revisions of the same. Use consistent naming convention throughout. Reference to revision or dates shall not be included in a filename.
      - (v) Submittals not meeting the above criteria are subject to rejection.
    - (b) Provide Project Record Documents, equipment instruction books and operating and maintenance manuals and any other documents, as required, in a file type and format approved by City.
  3. Non-electronic Format:
    - (a) Selected Submittals may be provided in paper (hard copy), as well, only with advance approval of the City and using procedures specified herein.
    - (b) Equipment instruction books and operating manuals shall be provided in hardcopies in addition to the specified electronic format.
    - (c) See also Section 01015 – Specific Project Requirements for a list of Submittals that are to be submitted in hard copy format.
- E. Transmittal of Submittals:
1. All submittals, regardless of origin, shall be stamped with the approval of the Contractor and identified with the name and number of this Contract, Contractor's name, references to applicable specification paragraphs and Contract Drawings and version of the submittal. Each submittal shall indicate the intended use of the item in the Work. When catalog pages are submitted, applicable items shall be clearly identified and inapplicable data crossed out. The current revision, issue number and date shall be indicated on all drawings and other descriptive data. The Contractor's stamp of approval is a representation to the City and Design Professional that the Contractor accepts full responsibility for determining and verifying all quantities, dimensions, field construction criteria, materials, catalog numbers and similar data, and the Contractor has reviewed and coordinated each submittal with the requirements of the Work and the Contract Documents.

2. Electronic Submittals – The Contractor shall utilize the City’s document management system as specified in Section 01335- Document Management for managing, tracking and storing documents associated with the Project. If an internet-based document management system is to be used, additional requirements are provided in Section 01335- Document Management and Section 01015 – Specific Project Requirements. The Contractor shall comply with the file protocols and procedures for the document management system.
  3. Non-electronic Submittals – Paper (hard copy) submittals shall be delivered in accordance with Section 01015 – Specific Project Requirements and as specified herein.
- F. Submittals Required for the Preconstruction Conference:
1. Following are the minimum required submittals to be provided by the Contractor at the pre-construction conference:
    - (a) General Requirements:
      - (i) Preliminary Project Schedule.
      - (ii) Preliminary Schedule of Shop Drawings.
      - (iii) Preliminary Schedule of Values.
      - (iv) Listing of Subcontractors.
      - (v) Project Sign Request.
      - (vi) Project letters to be used during the Work.
      - (vii) Safety Representative.
    - (b) Project Specific Requirements can be found in Section 01015 – Specific Project Requirements.
    - (c) Document Management can be found in Section 01335 – Document Management.

#### 1.04 SHOP DRAWINGS AND SAMPLES

- A. Shop Drawings:
1. Shop Drawings and engineering data covering all equipment and fabricated and building materials which will become a permanent part of the Work under this Contract shall be submitted to the City/Design Professional for review as specified herein. The data shall include drawings, descriptive information, sufficient detail to show the kind, size, arrangement and operation of component materials and devices; the external connections, anchorages and supports required; performance characteristics; and dimensions needed for installation and correlation with other materials and equipment.
  2. All deviations from the Contract Documents shall be identified on each submittal and shall be tabulated in the Contractor’s letter of transmittal. Such submittals shall, as pertinent to the deviation, indicate essential details of all changes proposed by the Contractor (including modifications to other facilities that may be a result of the deviation) and all required piping and wiring diagrams.
- B. Product Data:
1. Product data as specified in individual Sections, include, but are not necessarily limited to, standard prepared data for manufactured products (sometimes referred to as catalog data), such as the manufacturer's product specification and installation instructions, availability of colors and patterns, manufacturer's printed statements of compliances and applicability, roughing-in diagrams and templates, catalog cuts, product photographs, standard wiring diagrams, printed performance curves and operational-range diagrams, production or quality control inspection and test reports and certifications, mill reports, product operating and maintenance instructions and recommended spare-parts listing and printed product warranties, as applicable to the Work.

2. If applicable, submittals for equipment shall include a listing of all installations where identical or similar equipment has been installed and been in operations for a period of at least one year.
  3. Certificates are statements printed on the manufacturer's or supplier's letterhead and signed by responsible officials of manufacturer of product, system or material. Certifications shall provide a clear statement that the product, system or material meets the specified requirements of Contract Documents. All certificates shall be dated after the Effective Date of the contract and shall clearly indicate the project name and project number.
- C. Samples:
1. Samples specified in individual Sections, include, but are not necessarily limited to, physical examples of the work such as sections of manufactured or fabricated work, small cuts or containers of materials, complete units of repetitively-used products, color/texture/pattern swatches and range sets, specimens for coordination of visual effect, graphic symbols and units of work to be used by the City/Design Professional for independent inspection and testing, as applicable to the Work.
- D. Instruction Books and Operating and Manuals:
1. Contractor shall submit all Operation and Maintenance Data and Manuals as required by the Operation and Maintenance Data Specification in electronic and non-electronic form.
  2. The Requirements of this specification also applies to the submittal and review of the Operation and Maintenance Data and Manuals.
  3. In addition to electronic Submittals specified, non-electronic (hard copy) Equipment instruction books and operating manuals prepared by the manufacturer shall include the following:
    - (a) Index and tabs.
    - (b) Instructions for installation, start-up, operation, inspection, maintenance, parts lists and recommended spare parts and data sheets showing model numbers.
    - (c) Applicable drawings.
    - (d) Warranties and guarantees.
    - (e) Address of nearest manufacturer-authorized service facility.
    - (f) All additional data specified.
  4. Information listed above shall be bound into hard-back binders of three-ring type. Sheet size shall be 8-1/2 x 11. Binder color shall be black. Capacity shall be a minimum of 1-1/2 inches, but sufficient to contain and use sheets with ease. Provide the following accessories:
    - (a) Label holder.
    - (b) Business card holder.
    - (c) Sheet lifters.
    - (d) Horizontal pockets.
  5. The following information shall be imprinted, inserted or affixed by label on the binder front cover:
    - (a) City's Name and Department name.
    - (b) City's facility or plant name.
    - (c) Equipment item name.
    - (d) Volume number (if applicable).
    - (e) Contract number.
    - (f) Manufacturer's name and address.
  6. The following information shall be imprinted, inserted or affixed by label on the binder spine:
    - (a) Equipment item name.

- (b) City's Name and Department.
  - (c) City's facility or plant name.
  - (d) Manufacturer's name.
  - (e) Contract number.
  - (f) Volume number (if applicable).
7. Submit mockup of cover and spine for the City/Design Professional's review.
- E. Survey Data:
- 1. All field books, notes, videotapes and other data developed by Contractor in performing surveys required as part of the Work shall be available to City/Design Professional for examination throughout the construction period.
  - 2. All such data shall be submitted to the City/Design Professional with the other documentation required for final acceptance of the Work.

#### 1.05 CITY/DESIGN PROFESSIONAL'S REVIEW OF DRAWINGS AND DATA

- A. The City/Design Professional's review of drawings and data submitted by Contractor will cover only general compliance with the Construction Contract Documents. The City/Design Professional's review does not indicate a thorough review of all dimensions, quantities and details of the material, equipment, device or item shown. The City/Design Professional's review shall not relieve Contractor of Contractor's responsibility for errors, omissions or deviations in the drawings and data, nor of sole responsibility for compliance with the Construction Contract Documents.
- B. The City/Design Professional's submittal review period shall be 21 consecutive calendar days in length and shall commence on the first calendar day immediately following the date of arrival of the submittal or resubmittal in the City/Design Professional's office. The time required to mail the submittal or resubmittal back to Contractor shall not be considered a part of the submittal review period. Submittals shall be returned to the Contractor under one of the following assignments:
  - 1. "NO EXCEPTIONS NOTED" is assigned when there are no notations or comments on the submittal. When returned, the Contractor may release the equipment and/or material for manufacture.
  - 2. "EXCEPTIONS NOTED" is assigned when a confirmation of the notations and comments is not required by the Contractor. The Contractor may release the equipment or material for manufacture; however, all notations and comments must be incorporated into the final product.
  - 3. "RETURNED FOR CORRECTION" is assigned when the submittal does not meet the intent of the Construction Contract Documents. The Contractor must resubmit the document revised to bring the submittal into compliance with Contract Documents. "RETURNED FOR CORRECTION" is also assigned when notations and comments are extensive enough to require a resubmittal of the package.
  - 4. "NOT ACCEPTABLE" is assigned when the submittal does not meet the intent of the Construction Contract Documents. The Contractor must resubmit the entire package revised to bring the submittal into compliance with Contract Documents. It may be necessary to resubmit using a different manufacturer/vendor to meet the Construction Contract Documents. "NOT ACCEPTABLE" is also assigned when the notations and comments are extensive enough to require a resubmittal of the package.
- C. If the Contractor considers any correction indicated on the shop drawings to constitute a change to the Contract Documents, the Contractor shall give written notice thereof to the City/Design Professional at least seven working days prior to release for manufacture.

D. Resubmittal of Drawings and Data:

1. The Contractor shall accept full responsibility for the completeness of each resubmittal. The Contractor shall verify that all corrected data and additional information previously requested by the City/Design Professional are provided on the resubmittal. When corrected copies are resubmitted, the Contractor shall in writing direct specific attention to all revisions and shall list separately any revisions made other than those called for by the City/Design Professional on previous submissions.
2. Requirements specified for initial submittals shall also apply to resubmittals. Resubmittals shall bear the number of the first submittal followed by a letter (A, B, etc.) to indicate the sequence of the resubmittal.
3. Resubmittals shall be made within thirty (30) days of the date of the letter returning the submittal to be modified or corrected; unless, within 14 days, the Contractor submits an acceptable request for an extension of the stipulated period, listing the reasons the resubmittal cannot be completed within the specified time.
4. Any need for more than one resubmission or any other delay in obtaining the City/Design Professional's review of submittals, will not entitle the Contractor to an extension of the Contract Times, unless: the delay of the Work is directly caused by a change in the Work authorized by a Change Order or by failure of the City/Design Professional to review the submittals within the submittal review period specified herein.

PART 2 - PRODUCTS

Not used.

PART 3 - EXECUTION

Not used

END OF SECTION