

SECTION 01340 - SUBMITTALS

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SECTION 01340 - SUBMITTALS

PART 1- GENERAL

1.01 WORK INCLUDED

- A. Submit Shop Drawings, Product Data, Samples, and Warranties and Bonds required by Contract Documents.

1.02 RELATED REQUIREMENTS

- A. Section 01310, "*Construction Schedule A*"
- B. Section 01311, "*Construction Schedule B*"
- C. Section 01410, "*Testing Laboratory Services*"
- D. Section 01600, "*Material*"
- E. Section 01640, "*Soils and Aggregates*"
- F. Section 01720, "*Project Record Documents*"
- G. Section 01730, "*Operating and Maintenance Data*"
- H. Section 01740, "*Warranties and Bonds*"

1.03 REFERENCE STANDARDS

See Special Conditions if applicable to this Work.

1.04 QUALITY ASSURANCE

See Special Conditions if applicable to this work.

1.05 MEASUREMENT AND PAYMENT

See Special Conditions if applicable to this Work.

PART 2 - PRODUCTS

See Special Conditions if applicable to this Work.

PART 3 - EXECUTION

3.01 SUBMITTAL SCHEDULE

- A. When so directed by the Engineer, within ten (10) working days after the contract award, the Contractor shall submit to the Engineer for review, eight (8) copies of a procurement and submittal schedule in accordance with the following guidelines:
1. All shop drawings, samples, product data, certificates, warranty, guarantee, and other items called to be submitted by the General and Technical portions of the Specifications shall be listed in the Schedule.
 2. The Schedule shall indicate expected submission dates and shall allow for entering of dates actually submitted, forwarded to the Engineer, returned by the City, and returned to Contractor. It may allow for entry of date that submittals are to be forwarded to suppliers and sub-Contractors.
 3. Schedule shall allow for entry of dates and remarks concerning resubmission.
 4. Where submittals are reasonably expected to occur in stages (e.g., reinforcing steel), Schedule shall allow for separate entries.
 5. For items of importance to the work, dates of fabrication and required delivery shall be entered. Note that the project schedules discussed in both Section 01310, "Construction Schedule A," and Section 01311, "Construction Schedule B," requires entry of important procurement activities.
 6. A minimum of two copies of the Submittal Schedule will be returned to the Contractor within a reasonable time (not exceeding thirty (30) calendar days) from submission to the City. The submittal shall be returned marked in one (1) of the four (4) actions specified in Paragraph 3.07 of this Section.

3.02 SHOP DRAWINGS

- A. Drawings shall be presented in a clear and thorough manner. Details shall be identified by reference to sheet and detail number as shown on the Contract Drawings.

3.03 PRODUCT DATA

- A. Preparation:
1. Clearly mark each copy to identify pertinent products.
 2. Show dimensions and clearances required.
 3. Show performance characteristics and capacities.
 4. Show piping or wiring diagrams and controls.

- B. Manufacturer's standard drawings and diagrams:
 - 1. Modify drawings and diagrams to delete information that is not applicable to the work.
 - 2. Supplement standard information to provide information specifically applicable to the work.
 - 3. Unless otherwise specified in the Special Provisions, submit a minimum of six (6) copies. A minimum of two (2) copies will be returned to the Contractor indicating City Review comments.
- C. Certification:
 - 1. Submit proper certification by recognized producer or association where specifically indicated in Contract Documents.
 - 2. Certification attesting to product's compliance with requirement of Contract Documents.

3.04 SAMPLES

- A. Office samples shall be sufficient size and quantity to clearly illustrate:
 - 1. Functional characteristics of the product, with integrally related part and attachment device.
 - 2. Full range of color, texture, and pattern.
- B. Provide field samples at project at location acceptable to the City, as required by individual specification sections. Install each sample complete and finished. Acceptable finished samples in place may be retained in the completed work.

3.05 CONTRACTOR RESPONSIBILITIES

- A. Review Shop Drawings, Product Data, and Samples prior to submission.
- B. Determine and verify:
 - 1. Field measurements.
 - 2. Field construction criteria.
 - 3. Catalog numbers and similar data.
 - 4. Conformance with specifications.
- C. Coordinate each submittal with requirements of the work and of the Contract Documents.

- D. Notify the City in writing, by letter or transmittal and with marking on drawings, at time of submission, of any deviations in the submittals from requirements of the Contract Documents, in order that (if acceptable) suitable action may be taken for proper adjustment of Contract. Unless specific changes have been noted and accepted, there shall be no deviation from Contract Documents.
- E. Begin no fabrication, procurement or work that requires submittals until return of submittals with the City's review and action required.

3.06 SUBMISSION REQUIREMENTS

- A. Make submittals promptly in accordance with reviewed and approved Schedule, and in such sequence as to cause no delay in the work or in the work of any other Contractor.
- B. Contractor shall submit a minimum of six (6) sets of each submittal for the City's review. The City will return at least two (2) copies of reviewed submittals to the Contractor after approval by the City. Product samples may be submitted in fewer quantities as approved by the Engineer.
- C. Submittals shall contain:
 - 1. The date of submission and the dates of any previous submissions. All submittals shall be numbered sequentially. Resubmittals shall maintain the original number with suffix R1, R2 etc added to the number.
 - 2. The Project title and number.
 - 3. Contract identification.
 - 4. The names of:
 - a. Contractor
 - b. Supplier
 - c. Manufacturer
 - 5. Identification of the product, with the Specification Section number.
 - 6. Field dimensions, clearly identified as such.
 - 7. Relations to adjacent or critical features of the work or materials.
 - 8. Applicable standards, such as ASTM, Federal or State Specification numbers.
 - 9. Identification of deviations from Contract Documents.
 - 10. Identification of revisions on resubmittals.
 - 11. Sufficient blank space for City's review stamp.

3.07 SUBMITTAL REVIEW COMMENTS

- A. After review by the Engineer of each of the Contractor's submissions, the material will be returned to the Contractor with actions defined as follows:
1. "NO EXCEPTIONS TAKEN" - Accepted subject to its compatibility with future submissions and additional partial submissions for portions of the work not covered in this submission. Does not constitute approval or deletion of specified or required items not shown in the partial submission.
 2. "MAKE CORRECTIONS NOTED (NO RESUBMISSIONS REQUIRED)" - Same as "NO EXCEPTIONS TAKEN", except that minor corrections as noted shall be made by the Contractor.
 3. "AMEND AND RESUBMIT" - Rejected because of major inconsistencies or errors which shall be resolved or corrected by the Contractor prior to subsequent review by the Engineer.
 4. "REJECTED - RESUBMIT" - submitted material does not conform to the Plans and Specifications in major respect (i.e. wrong size, model, capacity, or material.)
- B. These actions are interpreted as follows:
1. Items A.1 and A.2 above (no resubmittal required) are considered "favorable reviews." Items A.3 and A.4 above (correction and resubmittal required) are considered "unfavorable reviews."
 2. It is considered reasonable that the Contractor shall make a complete and acceptable submission to the Engineer at least by the second submission of data. The City reserves the right to deduct monies from payments due the Contractor to cover additional costs of the Engineer's review beyond the second submission.
- C. Favorable review by the Engineer will not constitute acceptance by the Engineer of any responsibility for the accuracy, coordination, and completeness of the Shop Drawings or the items of equipment represented on the Drawings. Accuracy, coordination, and completeness of the Shop Drawings shall be the sole responsibility of the Contractor, including the responsibility to back check comments, corrections and modifications from the Engineer's review before fabrication.
- D. Shop Drawings shall not be used for procurement, fabrication, construction or installation unless submitted to, and favorably reviewed by the Engineer.

- E. All Shop Drawings and supporting data, catalogs, schedules, etc. shall be submitted as the instruments of the Contractor, who shall be responsible for their accuracy and completeness. These submittals may be prepared by the Contractor, subContractors, or suppliers, but the Contractor shall ascertain that submittals meet all of the requirements of the Contract Documents, while conforming to structural, space, and access conditions at the point of installation. The Contractor shall check all submittals before submitting them to the Engineer and shall certify on the transmittal letter that they have been checked and are in compliance with the Plans and Specifications.
- F. Acceptance by the Engineer of any drawings, method of work, or any information regarding materials and equipment the Contractor proposes to furnish shall not relieve the Contractor of his responsibility for any errors therein and shall not be regarded as an assumption of risks or liability by the Engineer or the Owner, or any officer or employee thereof, and the Contractor shall have no claim under the Contract on account of the failure or partial failure or inefficiency or insufficiency of any plan or method of work or material and equipment so accepted. Such acceptance shall be considered to mean merely that the Engineer has no objection to the Contractor using, upon his own full responsibility, the plan or method of work proposed, or furnishing the materials and equipment proposed.
- G. It shall be the Contractor's responsibility to copy and/or conform reviewed Shop Drawings in sufficient numbers for his files, subContractors, and vendors.

3.08 RESUBMISSION REQUIREMENTS

- A. Make any corrections or changes in the submittals required by the City and resubmit until accepted.
- B. Shop Drawings and Product Data:
 - 1. Revise initial data, and resubmit as specified for the initial submittal.
 - 2. Indicate any changes that have been made other than those requested by the City.
- C. Samples: Submit new samples as required for initial submittal.

3.09 DISTRIBUTION

- A. Contractor shall distribute copies of Shop Drawings and Product Data which carry the City's stamp of review to:
 - 1. Job site file
 - 2. Record Documents file
 - 3. SubContractors
 - 4. Supplier or Fabricator
- B. As applicable, distribute reviewed samples as directed by the City.

End of Section