

SECTION 01300

SUBMITTALS

1.01 SUBMITTAL PROCEDURES

- A. Accompany each submittal with a Submittal form, General Conditions Exhibit GC-2, which contains the following information:
 - 1. Contractor's name and the name of Subcontractor or supplier who prepared the submittal.
 - 2. The project name and identifying number.
 - 3. Description of the submittal and reference to the Contract requirement or technical specification section and paragraph number being addressed.
- B. Submit the number and type of copies for each submittal and follow the procedures described below or in other paragraphs in this Section. Submit four copies of submittals not covered in this Section 01300.
 - 1. Designation of Superintendent: Submit three copies for information. Include name, address, home telephone number and a brief resume.
 - 2. List of Subcontractors and Major Suppliers: Submit three copies for information. Include address, telephone number and name of responsible party.
 - 3. Schedule of Values, in a form acceptable to the Engineer: Submit three copies for information. No copy will be returned. See General Conditions paragraph 13.1.
 - 4. Subcontractors'/Suppliers'/Manufacturers' Affidavits. Submit three copies for items specified in the Technical Specifications.
 - 5. Environmental Protection Plan. Submit three copies for information.

1.02 SCHEDULE OF SUBMITTALS

- A. Submit three copies for information. No copy will be returned.
- B. See General Conditions paragraph 5.19. Within 15 days after the Notice to Proceed, submit a Schedule of Submittals showing the date by which each submittal required for Product Review or Product Information will be made. Identify the items that will be included in each submittal (see paragraph 1.05 of this Section) by listing the item or group of items and the Specification Section and paragraph number under which they are specified. Indicate whether the submittal is required for Product Review of Proposed Equivalents, Shop Drawings, Product Data or Samples or required for Product Information only.

1.03 PLAN OF OPERATIONS

- A. Submit three copies.
- B. Before beginning on site work, submit a plan showing Contractor's intended use of the site assigned to it. Show location of enclosing fence, access points and gates. Show location for Contractor's, Subcontractor's, and Engineer's field office and parking. Show location of Contractor's and Subcontractor's work areas and storage areas.

1.04 CONSTRUCTION SCHEDULE

- A. Submit four copies for information. No copy will be returned. See General Conditions paragraphs 5.15 through 5.19 and Section 01311.
- B. The form of Construction Schedule may be selected by the Contractor but the Schedule shall meet the minimum requirements of General Conditions paragraph 5.16.
- C. If the Construction Schedule does not reflect the CPM format requirements, the specified work, or the Contract Time, it will be returned to the Contractor for modification.
- D. Revise the Construction Schedule and resubmit within seven (7) days following any monthly meeting to review Contractor's Application for Payment when Contractor's work is fifteen (15) days or more behind schedule.
- E. Accelerated Work if Required to Meet Schedule: See General Conditions paragraph 11.6. Give Engineer 3 days prior notice of construction that will take place outside of normal work hours or work days. Compensate Owner for extra inspection cost caused by Accelerated Work required to meet Schedule.
- F. Give Engineer 3 days prior notice of normal work days on which construction will not take place or of scheduled construction that will not take place. Compensate Owner for extra inspection cost resulting from failure to give notice.

1.05 SHOP DRAWING, PRODUCT DATA AND SAMPLES SUBMITTED FOR PRODUCT REVIEW

- A. This paragraph covers submittal of Shop Drawings, Product Data and Samples required for the Engineer's review referred to as Product Review submittals in the Technical Specifications (Division 2 through 17). Submittals required for information only are referred to as Product Information submittals in the Technical Specifications and are covered in paragraph 1.07 of this Section. See General Conditions Article 8.
- B. Number and type of submittals:
 - 1. Shop Drawings: Submit four clear, sharp high contrast copies one of which will be marked, stamped and returned to the Contractor. The Contractor shall make and distribute the required number of additional copies to its superintendent, subcontractors and suppliers.
 - 2. Product Data: Submit four clear copies. One copy will be marked, stamped, and returned. The Contractor shall make and distribute the required number of additional copies to its superintendent, subcontractors and suppliers.
 - 3. Samples: Submit three labeled samples or three sets of samples of manufacturers' full range of colors and finishes. Comply with requirements in Technical Specification Sections. One sample will be returned to Contractor.
- C. The Contractor shall make all Product Review submittals early enough to allow adequate time for the Engineer's review, for manufacture and for delivery at the

construction site without causing delay to the Work. Submittals shall be made early enough to allow for unforeseen delays such as:

1. Failure to obtain Favorable Review because of inadequate or incomplete submittal or because the item submitted does not meet the requirements of the Contract Documents.
2. Delays in manufacture.
3. Delays in delivery.

D. Content of Submittals:

1. Each submittal shall include all of the items and material required for a complete assembly, system or Specification Section.
2. Submittals shall contain all of the physical, technical and performance data required by the specifications or necessary to demonstrate conclusively that the items comply with the requirements of the Contract Documents.
3. Include information on characteristics of electrical or utility service required and verification that requirements have been coordinated with services provided by the Work and by other interconnected elements of the Work.
4. Provide verification that the physical characteristics of items submitted, including size, configuration, clearances, mounting points, utility connection points and service access points, are suitable for the space provided and are compatible with other interrelated items that are existing or have or will be submitted.
5. Label each Product Data Submittal, Shop Drawing, and Sample with the information required in paragraph 1.01A of this Section. Highlight or mark every page of every copy of all Product Data submittals to show the specific items being submitted and all options included or choices offered.
6. Additional requirements for Product Review submittals are contained in the Technical Specification sections.
7. Designation of work as "NIC" or "by others," shown on Shop Drawings, shall mean that the work will be the responsibility of the Contractor rather than the subcontractor or supplier who has prepared the Shop Drawings.

E. Compatibility of Equipment and Material: Verify that items contained in the same or in different submittals meet the requirements in the paragraph titled "Material and Equipment in Section 01040 especially the subparagraphs titled "Compatibility of Material and Equipment."

F. Requirements for Contractor Designed Items and for First Specified (Named) Items: Verify that items meet the requirements in the paragraph titled "Performance Specifications and Contractor Designed Items" in Section 01040.

G. Requirements for the Contractor's review and stamping of submittals prepared by the Contractor or by Subcontractors or suppliers prior to submitting them to the Engineer are covered in General Conditions paragraph 8.8.

H. Submittals that contain deviations from the requirements of the Contract Documents shall be accompanied by a separate letter explaining the deviations. See General Conditions paragraphs 8.8 and 8.11. The Contractor's letter shall:

1. Cite the specific Contract requirement including the Specification Section and paragraph number for which approval of a deviation is sought.
2. Describe the proposed alternate material, item, or construction and explain its advantages and/or disadvantages to the Owner.

3. State the reduction in Contract Price if any that is offered to the Owner.
- I. Engineer's Review Procedure and Meaning:
1. The Engineer will stamp and mark each Product Review submittal prior to returning it to the Contractor. The stamp will indicate whether or not the review was favorable and what action is required of the Contractor. Review categories "No Exceptions Taken" and "Make Corrections Noted" both indicate Favorable Review.
 2. The Engineer's Favorable Review is contingent on the Contractor's warranties required by General Conditions paragraph 8.8 and is subject to all of the limitations and conditions in General Conditions Article 8. Favorable Review is also contingent on:
 - a. The compatibility of items included in a submittal with other related or interdependent items included in previous or future submittals.
 - b. Future submittal of items related to or required to be part of this submittal that were not included with this submittal.
 3. Favorable Review of a submittal does not constitute approval or deletion of items required as part of the submittal but not included with the submittal. Favorable Review of items included in the submittal does not constitute deletion of specified features, options, or accessories that were not included in the submittal.
 4. The action required by the Contractor for each category of review is as follows:
 - a. **NO EXCEPTIONS TAKEN**. NO RESUBMITTAL REQUIRED.
 - b. **MAKE CORRECTIONS NOTED**:
 - (1) **NO RESUBMITTAL REQUIRED**. The Contractor shall make corrections noted prior to manufacture.
 - (2) **PARTIAL RESUBMITTALS REQUIRED**. The Contractor shall submit related accessory or optional items as noted which are required but were not included with the submittal and/or shall resubmit unsatisfactory portions or attributes of items as noted. The Contractor may proceed to manufacture those portions of the submittal that will be unaffected by required resubmittals.
 - c. **AMEND AND RESUBMIT**. The Contractor shall amend and resubmit the submittal as noted or required to comply with the Contract Documents.
 - d. **REJECTED - RESUBMIT**. The item submitted does not comply with the Contract Documents in a major way. Resubmit items that comply with the requirements of the Contract Documents.
 5. The letter of transmittal accompanying the returned Product Review submittal may contain numbered notes. Marking a corresponding number on a Shop Drawing or Product Data submittal shall have the same affect as applying the entire note to the submittal.
- J. Re-submittals that contain changes that were not requested by the Engineer on the previous submittal shall be accompanied by a letter explaining the change. See General Conditions paragraph 8.12.
- K. Favorable Review Required Prior to Proceeding: Do not proceed with manufacture, fabrication, delivery, or installation of items prior to obtaining the Engineers Favorable Review of Product Review submittals. See General Conditions paragraph 12.1.
- L. Intent and Limitation on Engineer's Review:

1. See General Conditions Article 8.
2. The Contractor has primary responsibility for submitting and providing work that complies with the requirements of the Contract Documents. That responsibility cannot be delegated in whole or in part to subcontractors or suppliers. Neither the Engineer's Favorable Review nor the Engineer's failure to notice or comment on deficiencies in the Contractor's submittals shall relieve the Contractor from the duty to provide work, which complies with the requirements of the Contract Documents.

1.06 PROPOSED EQUIVALENTS

- A. Submit Proposed Equivalent submittal form, General Conditions Exhibit GC-3 and comply with the submittal requirements for Shop Drawings, Product Data, and Samples submitted for Product Review in another paragraph of this Section.
- B. See General Conditions paragraphs 8.1 through 8.15.
- C. Time of Submittal:
 1. General Conditions paragraph 8.3 requires submittal of Proposed Equivalents within 35 days of the Notice to Proceed. The Engineer may agree to a later submittal date if requested in writing within 35 days of the Notice to Proceed. The request shall identify the item, give the Specification reference, and proposed manufacturer and model number of the item that will be submitted and the proposed submittal date.
 2. The Engineer's agreement to a later submittal date shall be in writing and shall not be construed as Favorable Review or acceptance of the manufacturer or item proposed.
- D. Content of submittals shall be the same as that required for Product Data, Shop Drawings, and Samples submitted for Product Review in another paragraph of this Section. In addition, the Contractor shall provide information on several recent similar installations of the item to verify its suitability. The information shall include the project name and location, the Owner's name, address, telephone number and name of a knowledgeable person to contact for information on performance of the product.
- E. When the Contractor has listed specific maker's products on Document Number 00411 Designation of Equipment or Material Manufacturers submitted with its Bid no changes will be permitted without submittal of acceptable evidence justifying the change and the Engineer's written approval.
- F. If a non-equivalent substitute is submitted for review, it shall be accompanied by a proposed reduction in Contract Price which shall include the increased cost of Engineering service required to evaluate the proposed substitute (which shall be paid to the Owner whether or not the substitute is accepted) plus the greater of
 - 1) the difference in price between the first specified item and the item submitted and
 - 2) the difference in value to the Owner between the two items.

1.07 PRODUCT INFORMATION SUBMITTALS

- A. Submit three copies. No copies will be returned. See General Conditions paragraph 8.15.

- B. Product Information submittals are required for the Owner's permanent records and will be used for future maintenance, repair, modification or replacement work. Product Information submittals will be examined only to verify that the required submittals have been made; they will NOT be reviewed for compliance with the Contract Documents.
- B. Make Product Information submittals prior to delivering material, products or items for which Product Information submittals are required.
- C. The Contractor has the sole and exclusive responsibility for furnishing products and work that meets the requirements of the Contract Documents.
- D. The Engineer reserves the right to comment on any submittal and to reject any product or work delivered, installed or otherwise at any time that the Engineer become aware that it is defective or does not meet the requirements of the Contract Document. See General Conditions paragraph 12.1.

1.08 OPERATION AND MAINTENANCE MANUALS AND PARTS LISTS

- A. Submit three complete sets.
- B. Provide operation and maintenance manuals and parts list for all equipment furnished under this contract. Comply with the detailed requirements in Technical Specification sections. Include instructions for delivery, storage, assembly, installation, lubrication, adjusting, startup, operation, and maintenance.
 - 1. For all equipment include:
 - a. Startup instructions
 - b. Normal operation instructions.
 - c. Trouble shooting instructions.
 - d. Lubrication instructions.
 - e. Maintenance and reinstallation instructions.
 - f. Parts identification.
 - g. List of spare parts recommended to have on hand.
 - h. Operator safety instructions.
 - 2. For all Electrical Equipment, provide the following additional information:
 - a. Equipment ratings.
 - b. Calibration curves and rating tables if appropriate.
 - 3. For Complex Equipment provide in addition:
 - a. Alternate specified operating modes.
 - b. Emergency shutdown instructions.
 - c. Normal shutdown instructions.
 - d. Long-term shutdown instructions.
 - 4. Operation and maintenance manuals for systems composed of separate pieces of equipment shall include a system explanation of items 1, a, b, and c, and 3a through c, as well as the instructions for each separate piece of equipment.
- C. Submit at least 15 days prior to Facility Startup and Training specified in Section 01650, paragraph 1.05.

- D. Provide the number of copies specified in paragraph 1.01 of this Section. Bind each copy in one or more "D" ring, 8-1/2x11, 3-ring binders with clear view spine and cover, Avery E-Z –D View Binder; K&M; or equal. Prepare Titles for the spine and cover and a Table of Contents listing each piece of equipment. Organize the contents by Specification Section and paragraph number under which the equipment was specified. Provide labeled tab separators for each major item or group of smaller similar items. When standard manufacturers literature is used highlight or mark all copies to shop specific items and options provided.

1.09 MANUFACTURER'S CERTIFICATES

- A. Submit three copies.
- B. When specified in Technical Specification section, submit manufacturers' certificate to Engineer for review. Indicate material or product conforms to or exceeds specified requirements. Submit supporting reference data, affidavits, and certifications as appropriate. Certificates may be recent or previous test results on material or Product, but must be acceptable to the Engineer.

1.10 CONSTRUCTION PHOTOGRAPHS

- A. Each month submit photographs to Engineer with Application for Payment.
- B. Photographs: Submit one print; color, glossy; 4x6 inch, mounted on 8-1/2 x 11-inch white soft card stock, with left edge punched for 3-ring binder.
- C. Take two site photographs from different directions and five interior photographs to show progress of the Work. Make photographs within 5 days of the Application for Payment Date.
- D. Identify photographs with date, time, orientation and project identification.
- E. With the written consent of the Engineer, digital photographs in JPEG format may be acceptable.

1.11 BASE BID EQUIPMENT

Items of equipment listed on the Base Bid Equipment List included with the BID FORM are subject to the following:

- A. The Contractor's lump sum Base Bid shall include providing items of equipment manufactured by the maker listed in the BASE BID EQUIPMENT LIST, and selected and designated by the Bidder for each item of equipment. If awarded the Contract, the successful Bidder agrees to provide items manufactured by the makers named by the Owner in the BASE BID EQUIPMENT LIST and designated by the Bidder.
- B. The Contractor may include in its bid an offer to provide equivalent equipment by other makers in accordance with General Conditions Article 8 and shall designate the proposed maker and model number and shall quote the proposed change in bid price in the space provided in the BASE BID EQUIPMENT LIST for each item of equipment.

- C. The successful bidder will be determined based on the BASE BID.
- D. After Contract award and execution of the Agreement, the Owner may, at its sole discretion, accept proposed alternate makers by Change Order.

1.12 LIST OF SUBMITTALS FOR DIVISIONS 0 AND 1

- A. Submittals required with the Bid are not listed.

Description	Required by	Time of Submittal
1. Performance & Payment Bonds	GC 4.1 - 4.2	Prior to signing Agreement
2. Liability Insurance Certificates	GC 4.3 - 4.5	Prior to beginning Construction
3. Property Insurance Certificates	GC 4.3 - 4.5	Prior to beginning Construction
4. List of Subcontractors	Doc 00430, GC 5.8	Prior to beginning Construction
5. Plan of Operations	01300, par. 1.03	Prior to beginning work on the site
6. Temporary Construction Schedule	GC 5.15	Within 10 days of the date in the Notice to Proceed
7. Schedule of Submittals	01300, par. 1.02	Within 15 days of Notice to Proceed
8. Schedule of Values	GC 13.1, 01010, par. 1.14	20 days prior to the first Application for Payment
9. Application for Payment	GC 13.2, 01010, par. 1.15	5 days prior to each Application for Payment date
10. Construction Schedule	GC 5.16, 01300, par. 1.04	Within 30 days of Notice to Proceed.
11. Environmental Protection Plan	01300, par. 1.01 01140, par. 1.02	Submit within 30 days from the date of the Notice to Proceed
12. Submittal of All Proposed Equivalent Items	GC 8.2 - 8.7, 01300, par. 1.06 and Technical Sections	Within 35 days of the Notice to Proceed unless Engineer has agreed to a later submittal date in writing
13. Manufacturer's Certificates	01300, par. 1.09 and Technical Specifications	Prior to delivering material or equipment and in accordance with Technical Specifications
14. Construction Photographs	01300, par. 1.10	Submit monthly
15. Operations and Maintenance Manuals and Parts Lists	01300, par. 1.08 01650, par. 1.05	Submit 15 days prior to Facility Startup and Training
16. Manufacturer's Affidavits	01300, par. 1.01 01650, par. 1.04B	During equipment startup. For equipment for which affidavits are called for in the Technical Specifications
17. Record Drawings	GC 5.13	Prior to Final Acceptance
18. Extra Materials	01700, par. 1.06 and Technical Specifications	Prior to Final Acceptance
19. Special Guarantees	01700, par. 1.07 and Technical Specifications	Prior to Final Acceptance
20. Maintenance Contracts	01700, par. 1.09 and Technical Specifications	Prior to Final Acceptance

Description	Required by	Time of Submittal
21. Release of Liens	GC 13.2 GC 13.13	With Progress Payments Prior to Final Payment
22. Contractor's Waiver of Claims	GC 13.14	Prior to Final Payment
23. Insurance Certificate for insurance coverage beyond Final Payment including completed operations coverage and liability coverage when the Contractor is correcting defective work under the Guarantee.	GC 4.3 - 4.5	Prior to Final Payment

END OF SECTION