

SECTION 01300

SUBMITTALS

PART 1 GENERAL

1.1 SECTION INCLUDES

- A. Description of Requirements
- B. Submittal Procedures
- C. Specific Submittal Requirements
- D. Action on Submittals
- E. Repetitive Review

1.2 DESCRIPTION OF REQUIREMENTS

- A. This section specifies procedural requirements for Shop Drawings, product data, samples, and other miscellaneous Work-related submittals.
- B. Procedures concerning items such as listing of manufacturers, suppliers, subcontractors, construction progress schedule, schedule of Shop Drawing submissions, bonds, payment applications, insurance certificates, and schedule of values are specified elsewhere.
- C. Work-Related Submittals:
 - 1. Substitution or "Or Equal" Items:
 - a. Includes material or equipment CONTRACTOR requests ENGINEER to accept, after Bids are received, as substitute for items specified or described in Specifications by using name of a proprietary item or name of particular supplier.
 - 2. Shop Drawings:
 - a. Includes technical data and drawings specially prepared for this Project, including fabrication and installation drawings, diagrams, actual performance curves, data sheets, schedules, templates, patterns, reports, instructions, design mix formulas, measurements, and similar information not in standard printed form.

- b. Standard information prepared without specific reference to the Project is not considered a Shop Drawing.
- 3. Product Data:
 - a. Includes standard printed information on manufactured products, and systems that has not been specially prepared for this Project, including manufacturer's product specifications and installation instructions, catalog cuts, standard wiring diagrams, printed performance curves, mill reports, and standard color charts.
- 4. Samples:
 - a. Includes both fabricated and manufactured physical examples of materials, products, and units of work, partial cuts of manufactured or fabricated work, swatches showing color, texture, and pattern, and units of work to be used for independent inspection and testing.
 - b. Mock-ups are special forms of samples which are too large or otherwise inconvenient for handling in manner specified for transmittal of sample submittals.
- 5. Working Drawings:
 - a. When used in the Contract Documents, the term "working drawings" shall be considered to mean the CONTRACTOR'S plans for temporary structures such as temporary bulkheads, support of open cut excavation, support of utilities control systems, forming and falsework for underpinning; temporary by-pass pumping and for such other work as may be required for construction but does not become an integral part of the project.
 - b. Copies of working drawings shall be submitted to the ENGINEER at least fourteen (14) calendar days (unless otherwise specified by the ENGINEER) in advance of the required work.
 - c. Working drawings shall be signed by a registered Professional Engineer currently licensed to practice in the State of Florida and shall convey, or be accompanied by, calculation or other sufficient information to completely explain the structure, machine, or system described and its intended manner of use.
- 6. Miscellaneous Submittals:
 - a. Work-related submittals that do not fit in the previous categories, such as guarantees, warranties, certifications, experience records, maintenance agreements, Operating and Maintenance Manuals, workmanship bonds,

survey data and reports, physical work records, quality testing and certifying reports, copies of industry standards, record drawings, field measurement data, and similar information, devices, and materials applicable to the Work.

1.3 SUBMITTAL PROCEDURES

A. Scheduling:

1. Submit for approval, a preliminary schedule of shop drawings and samples submittals, in duplicate, and in accordance with the General Conditions.
2. Prepare and transmit each submittal to ENGINEER sufficiently in advance of scheduled performance of related work and other applicable activities.

B. Coordination:

1. Coordinate preparation and processing of submittals with performance of work. Coordinate each submittal with other submittals and related activities such as substitution requests, testing, purchasing, fabrication, delivery, and similar activities that require sequential activity.
2. Coordinate submission of different units of interrelated work so that one submittal will not be delayed by ENGINEER's need to review a related submittal. ENGINEER may withhold action on any submittal requiring coordination with other submittals until related submittals are forthcoming.

C. Submittal Preparation:

1. Stamp and sign each submittal certifying to review of submittal, verification of products, field measurement, field construction criteria, coordination of information within submittal with requirements of the Work and the Contract Documents, coordination with all trades, and verification that product will fit in space provided.
2. Transmittal Form: In the transmittal form forwarding each specific submittal to the ENGINEER include the following information as a minimum.
 - a. Date of submittal and dates of previous submittals containing the same material.
 - b. Project title and number.
 - c. Submittal and transmittal number.
 - d. Contract identification.

- e. Names of:
 - (1) Contractor
 - (2) Supplier
 - (3) Manufacturer
- f. Identification of equipment and material with equipment identification numbers, model numbers, and Specification section number.
- g. Variations from Contract Documents and any limitations which may impact the Work.
- h. Drawing sheet and detail number as appropriate.

D. Resubmittal Preparation:

- 1. Comply with the requirements described in Submittal Preparation. In addition:
 - a. Identify on transmittal form that submittal is a resubmission.
 - b. Make any corrections or changes in submittals required by ENGINEER's notations on returned submittal.
 - c. Respond to ENGINEER's notations:
 - (1) On the transmittal or on a separate page attached to CONTRACTOR's resubmission transmittal, answer or acknowledge in writing all notations or questions indicated by ENGINEER on ENGINEER's transmittal form returning review submission to CONTRACTOR.
 - (2) Identify each response by question or notation number established by ENGINEER.
 - (3) If CONTRACTOR does not respond to each notation or question, resubmission will be returned without action by ENGINEER until CONTRACTOR provides a written response to all ENGINEER's notations or questions.
 - d. CONTRACTOR initiated revisions or variations:
 - (1) On transmittal form identify variations or revisions from previously reviewed submittal, other than those called for by ENGINEER.
 - (2) ENGINEER's responsibility for variations or revisions is established in the General Conditions.

1.4 SPECIFIC SUBMITTAL REQUIREMENTS

- A. Specific submittals required for individual elements of work are specified in the individual Specification sections. Except as otherwise indicated in Specification sections, comply with requirements specified herein for each indicated type of submittal.
- B. Requests for Substitution or "Or Equal"
 - 1. Collect data for items to be submitted for review as substitution into one submittal for each item of material or equipment in accordance with the General Conditions.
 - 2. Submit with other scheduled submittals for the material or equipment allowing time for ENGINEER to evaluate the additional information required to be submitted.
 - 3. If CONTRACTOR requests to substitute for material or equipment specified but not identified in Specifications as requiring submittals, schedule substitution submittal request in Submittal schedule and submit as scheduled.
- C. Shop Drawings:
 - 1. Check all drawings, data and samples before submitting to the ENGINEER for review. Each and every copy of the drawings and data shall bear CONTRACTOR's stamp showing that they have been so checked. Shop drawings submitted to the ENGINEER without the CONTRACTOR's stamp will be returned to the CONTRACTOR for conformance with this requirement. All shop drawings shall be submitted through the CONTRACTOR, including those from any subcontractors.
 - 2. Submit newly prepared information, with graphic information at accurate scale. Indicate name of manufacturer or supplier (firm name). Show dimensions and clearly note which are based on field measurement; identify materials and products which are included in the Work; identify revisions. Indicate compliance with standards and notation of coordination requirements with other work. Highlight, encircle or otherwise indicate variations from Contract Documents or previous submittals.
 - 3. Include on each drawing or page:
 - a. Submittal date and revision dates.
 - b. Project name, division number and descriptions.
 - c. Detailed specifications section number and page number.

- d. Identification of equipment, product or material.
 - e. Name of CONTRACTOR and Subcontractor.
 - f. Name of Supplier and Manufacturer.
 - g. Relation to adjacent structure or material.
 - h. Field dimensions, clearly identified.
 - i. Standards or Industry Specification references.
 - j. Identification of deviations from the Contract Documents.
 - k. CONTRACTOR's stamp, initialed or signed, dated and certifying to review of submittal, certification of field measurements and compliance with Contract.
 - l. Physical location and location relative to other connected or attached material at which the equipment or materials are to be installed.
- 4. Provide 8-inch by 3-inch blank space for CONTRACTOR and ENGINEER stamps.
 - 5. Submittals:
 - a. Submit 3 blue line or black line prints, or 2 reverse sepia reproducible and 1 blue or black line print. One reproducible or one print will be returned.
 - 6. Distribution:
 - a. Do not proceed with installation of materials, products or systems until copy of applicable product data showing only approved information is in possession of installer.
 - b. Maintain one set of product data (for each submittal) at Project site.
 - c. Mark 5 additional copies with the date of approval and forward to the ENGINEER for use in field and for OWNER's records.
- D. Product Data:
- 1. Preparation:
 - a. Collect required data into single submittal for each element of work or system. Where product data has been printed to include information on several similar products, some of which are not required for use on

Project or are not included in submittal, mark copies to clearly show such information is not applicable.

- b. Where product data must be specially prepared for required products, materials or systems, because standard printed data are not suitable for use, submit data as a Shop Drawing and not as product data.

2. Submittals:

- a. Submittal is for information and record, and to determine that products, materials, and systems comply with Contract Documents. Submittal is final when returned by ENGINEER marked "Approved" or "Approved as Noted".
- b. Submit 3 copies.

3. Distribution:

- a. Do not proceed with installation of materials, products or systems until copy of applicable product data showing only approval information is in possession of installer.
- b. Maintain one set of product data (for each submittal) at Project site, available for reference by ENGINEER and others.
- c. Mark 5 additional copies with the date of approval and forward to the ENGINEER for use in field and for OWNER records.

E. Samples:

1. Preparation:

- a. Where possible, provide samples that are physically identical with proposed materials or products to be incorporated into the Work. Where variations in color, pattern or texture are inherent in material or product represented by sample, submit multiple units (not less than 3 units) showing approximate limits of variations.
- b. Provide full set of optional samples where ENGINEER's selection required. Prepare samples to match ENGINEER's selection where so indicated.
- c. Include information with each sample to show generic description, source or product name and manufacturer, limitations, and compliance with standards.

- d. Submit samples for ENGINEER's visual review of general generic kind, color, pattern, texture, and for final check of coordination of these characteristics with other related elements of work.

2. Submittals:

- a. At CONTRACTOR's option, and depending upon nature of anticipated response from ENGINEER, initial submittal of samples may be either preliminary or final submittal.
- b. A preliminary submittal, consisting of a single set of samples, is required where specifications indicate ENGINEER's selection of color, pattern, texture or similar characteristics from manufacturer's range of standard choices is necessary. Preliminary submittals will be reviewed and returned with ENGINEER's "Action" marking.
- c. Final Submittals: Submit 3 sets of samples in final submittal, 1 set will be returned.

3. Distribution:

- a. Maintain returned final set of samples at Project site, in suitable condition and available for quality control comparisons throughout course of performing work.
- b. Returned samples intended or permitted to be incorporated in the Work are indicated in Specification sections, and shall be in undamaged condition at time of use.

F. Mock-Ups:

- 1. Mock-ups and similar samples specified in Specification sections are recognized as special type of samples. Comply with samples submittal requirements to greatest extent possible. Process transmittal forms to provide record of activity.

G. Miscellaneous Submittals:

1. Inspection and Test Reports:

- a. Classify each inspection and test report as being either "Shop Drawings" or "product data", depending on whether report is specially prepared for Project or standard publication of workmanship control testing at point of production. Process inspection and test reports accordingly.

2. Guarantees, Warranties, Maintenance Agreements, and Workmanship Bonds:

- a. Refer to Specification sections for specific requirements. Submittal is final when returned by ENGINEER marked "Approved" or "Approved as Noted".
 - b. In addition to copies desired for CONTRACTOR's use, furnish 2 executed copies. Provide 2 additional copies where required for maintenance data.
- 3. Survey Data:
 - a. Refer to Specification sections for specific requirements on property surveys, building or structure condition surveys, field measurements, quantitative records of actual Work, damage surveys, photographs, and similar data required by Specification sections. Copies will not be returned.
 - (1) Survey Copies: Furnish 2 copies. Provide 10 copies of final property survey (if any).
 - (2) Condition Surveys: Furnish 2 copies.
- 4. Certifications:
 - a. Refer to Specification sections for specific requirement on submittal of certifications. Submit 7 copies. Certifications are submitted for review of conformance with specified requirements and information. Submittal is final when returned by ENGINEER marked "Approved".
- 5. Closeout Submittals:
 - a. Refer to Specification Section 01720 for specific requirements on submittal of closeout information, materials, tools, and similar items.
 - (1) Record Documents: Section 01720.
 - (2) Materials and Tools: Spare parts, extra and overrun stock, maintenance tools and devices, keys, and similar physical units to be submitted.
 - (3) Operating and maintenance data.
- H. Operation and Maintenance Manuals:
 - 1. Submit Operation and Maintenance Manuals in accordance with Section 01730.
- I. General Distribution:

1. Unless required elsewhere, provide distribution of submittals to subcontractors, suppliers, governing authorities, and others as necessary for proper performance of work.

1.5 ACTION ON SUBMITTALS

A. ENGINEER's Action:

1. General:

- a. Except for submittals for record and similar purposes, where action and return on submittals are required or requested, ENGINEER will review each submittal, mark with appropriate action, and return. Where submittal must be held for coordination, ENGINEER will also advise CONTRACTOR without delay.
- b. ENGINEER will stamp each submittal with uniform, self-explanatory action stamp, appropriately marked with submittal action.

B. Action Stamp:

1. Approved:

- a. Final Unrestricted Release: Where submittals are marked "Approved", Work covered by submittal may proceed PROVIDED IT COMPLIES WITH CONTRACT DOCUMENTS. Acceptance of Work will depend upon that compliance.

2. Approved As Noted:

- a. When submittals are marked "Approved as Noted", Work covered by submittal may proceed PROVIDED IT COMPLIES WITH BOTH ENGINEER'S NOTATIONS OR CORRECTIONS ON SUBMITTAL AND WITH Contract Documents. Acceptance of Work will depend on that compliance. Re-submittal is not required.

3. Comments Attached - Confirm or Resubmit:

- a. When submittals are marked "Examined and Returned for Correction", do not proceed with Work covered by submittal. Do not permit Work covered by submittal to be used at Project site or elsewhere where Work is in progress.
- b. Revise submittal or prepare new submittal in accordance with ENGINEER's notations in accordance with Paragraph 1.3D of this section. Resubmit submittal without delay. Repeat if necessary to obtain different action marking.

1.6 RE-SUBMITTAL REVIEW

- A. Cost of Subsequent Reviews: Shop Drawings and Operation and Maintenance Manuals submitted for each item will be reviewed no more than twice at the OWNER's expense. All subsequent reviews will be performed at times convenient to the ENGINEER and at the CONTRACTOR's expense based on the ENGINEER's then prevailing rates including all direct and indirect costs and fees. Reimburse the OWNER for all such fees invoiced to the OWNER by the ENGINEER.
- B. Time Extension: Any need for more than one resubmission, or any other delay in ENGINEER's review of submittals, will not entitle CONTRACTOR to extension of the Contract Time.

PART 2 PRODUCTS

Not Used

PART 3 EXECUTION

Not Used

END OF SECTION

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