

**Section 01350****SUBMITTALS****1.0 GENERAL**

This Section contains general lists of Submittals and Technical Specifications that may be required for the Work. When Submittals are required elsewhere in these Technical Specifications, refer to this Section for Submittal requirements and procedures.

**1.01 SECTION INCLUDES**

- A Submittal procedures for:
  - 1. Schedule of Values
  - 2. Construction Schedules
  - 3. Shop Drawings, Product Data, and Samples
  - 4. Operations and Maintenance Data
  - 5. Manufacturer's Certificates
  - 6. Construction Photographs
  - 7. Project Record Documents
  - 8. Design Mixes
  
- B References to the following Technical Specifications:
  - 1. Section 01310 – Coordination & Meetings
  - 2. Section 01630 – Product Options & Substitutions
  - 3. Section 01100 – Summary of Work
  - 4. Section 01380 – Construction Photographs
  - 5. Section 01760 – Project Record Documents
  - 6. Section 02530 – Gravity Sanitary Sewers

**1.02 SUBMITTAL PROCEDURES**

- A Scheduling and Handling
  - 1. Schedule Submittals well in advance of the need for material or equipment for construction. Allow time to make delivery of material or equipment after Submittal is approved.
  - 2. Develop a Submittal Schedule that allows sufficient time for initial review, correction, resubmission and final review of all submittals. The Engineer will review and return submittals to the Contractor as expeditiously as possible but the amount of time required for review will vary depending on the complexity and quantity of data submitted. In no case will a Submittal Schedule be acceptable which allows less than 30 days for initial review by the Engineer. This time for review shall in no way be justification for delays or additional compensation to the Contractor.
  - 3. The Engineer's review of submittals covers conformity to the Plans, Technical Specifications, and dimensions which affect the layout. The Contractor is responsible for quantity determination. The Contractor is responsible for any errors, omissions or deviations from the Contract requirements; review of

submittals in no way relieves the Contractor from his obligation to furnish required items according to the Plans and Technical Specifications.

4. Submit 5 copies of documents unless otherwise specified in this Section or by individual Technical Specifications.
5. Revise and resubmit submittals as required. Identify all changes made since previous submittal.
6. The Contractor shall assume the risk for material or equipment which is fabricated or delivered prior to approval. No material or equipment shall be incorporated into the Work or included in Applications for Payment until approval has been obtained in the specified manner.

**B Transmittal Form and Numbering**

1. Transmit each submittal to the Engineer with a transmittal form.
2. Sequentially number each transmittal form beginning with the number 1. Re-Submittals shall use the original number with an alphabetic suffix (i.e., 2A for first Re-Submittal of Submittal 2 or 15C for third Re-Submittal of Submittal 15). Each submittal shall only contain one type of work, material, or equipment. Mixed submittals will not be accepted.
3. Identify variations from requirements of Contract Documents and identify product or system limitations.
4. For submittal numbering of video tapes, see this Section, 1.10 "Video".

**C Contractor's Certification**

1. Each submittal shall contain a statement or stamp signed by the Contractor, certifying that the items have been reviewed in detail and are correct and in accordance with Contract Documents, except as noted by any requested variance.

### **1.03 SCHEDULE OF VALUES**

- A** Submit a Schedule of Values at least 10 days prior to the first Application for Payment. A Schedule of Values shall be provided for each of the items indicated as Lump Sum (LS) in Section 00300 – Bid Proposal for which the Contractor requests to receive Progress Payments.
- B** Schedule of Values shall be typewritten on 8-1/2" x 11", plain bond, white paper. Use the Table of Contents of this Project Manual as a format for listing costs of Work by Section.
- C** Round off figures for each listed item to the nearest \$100.00 except for the value of one item, if necessary, to make the total price for all items listed in the Schedule of Values equal to the applicable Lump Sum in Section 00300 – Bid Proposal.
- D** For Unit Price Contracts, items should include a proportional share of Contractor's overhead and profit, such that the total of all items listed in the Schedule of Values equals the Contract amount. For Stipulated Price Contracts, Mobilization, Bonds, and Insurance may be listed as separate items in the Schedule of Values.

- E For Lump Sum equipment items, where Submittals for Testing, Adjusting, and Balancing Reports in conjunction with Operation and Maintenance Data are required, include a separate item for equipment Operation and Maintenance Data Submittals and a separate item for Submittals of equipment Testing, Adjusting, and Balancing Reports, each valued at five (5) percent of the Lump Sum.
- F Revise the Schedule of Values and resubmit for items affected by contract modifications, Change Orders, and Work Change Directives. Submit revised Schedule of Values 10 days prior to the first Application for Payment after the changes are approved by the Engineer.

#### **1.04 CONSTRUCTION SCHEDULES**

- A Submit Construction Schedules for the Work in accordance with the requirements of this Section. The Construction Schedule Submittal shall be, at a minimum, a bar chart, (computer generated or prepared manually) and a narrative report.
- B During the Preconstruction Meeting, as noted in Section 01310 - Coordination and Meetings, the Contractor shall provide a sample of the format to be used for the Construction Schedule Submittal. The format is subject to approval by the Engineer. Review of the Submittal will be provided within 7 days of the Submittal of the sample.
- C Within 7 days of the receipt of approval of the Contractor's format, or 14 days of the Notice to Proceed, whichever is later, the Contractor shall submit a proposed Construction Schedule for review. The Construction Schedule Submittal shall meet the following requirements:
  - 1. The Construction Schedule shall usually include a total of at least 20 but not more than 50 activities. Fewer activities may be accepted, if approved by the Engineer.
  - 2. For Projects with work at different physical locations, each location should be indicated separately within the Construction Schedule.
  - 3. For projects with multiple crafts or significant subcontractor components, these elements should be indicated separately within the Construction Schedule.
  - 4. For Projects with multiple types of tasks within the scope, these types of work should be indicated separately within the Construction Schedule.
  - 5. For Projects with significant major equipment items or materials worth over 25 percent of the Total Contract Price, the Construction Schedule shall indicate dates when these items are to be purchased, when they are to be delivered, and when installed.
  - 6. For Projects where operating plants are involved, each period of work which will require the shut down of any process or operation shall be identified in the Construction Schedule and must be agreed to by the Engineer prior to starting work in the area.
  - 7. A Billing Schedule (tabulation of the estimated monthly billings) for the Work shall be prepared and submitted by the Contractor with the first Construction Schedule. This information is not required in the monthly updates, unless significant changes in Work require re-submittal of the Construction Schedule for review. The total for each month and a cumulative total will be indicated.

These monthly forecasts are only for planning purposes of the Engineer. Monthly payments for actual work completed will be made by the Engineer in accordance with Section 00700 - General Conditions of Agreement.

- D The Contractor must receive approval of the Engineer for the Construction Schedule and Billing Schedule prior to the first monthly Application for Payment. No payment will be made until these are accepted.
- E Upon written request from the Engineer, the Contractor shall revise and submit for approval all or any part of the Construction Schedule to reflect changed conditions in the Work or deviations made from the original plan and schedule.
- F The Contractor's Construction Schedule shall thereafter be updated with the Actual Start and Actual Finish Dates, Percent Complete, and Remaining Duration of each Activity and submitted monthly. The date to be used in updating the monthly Construction Schedule shall be the same Date as is used in the monthly Application for Payment. This monthly update of the Construction Schedule shall be required before the monthly Application for Payment will be processed for payment.
- G The narrative Construction Schedule Report shall include a description of changes made to the Construction Schedule; Activities Added to the Construction Schedule; Activities Deleted from the Construction Schedule; any other changes made to the Construction Schedule other than the addition of Actual Start Dates and Actual Finish Dates and Remaining Durations.

#### **1.05 SHOP DRAWINGS, PRODUCT DATA, AND SAMPLES**

- A Shop Drawings
  1. Submit Shop Drawings for review as required by the Technical Specifications.
  2. Contractor's Certification, as described in this Section, 1.02 "Submittal Procedures" shall be placed on each Shop Drawing.
  3. The Shop Drawing shall accurately and distinctly present the following:
    - a. Field and erection dimensions clearly identified as such.
    - b. Arrangement and section views.
    - c. Relation to adjacent materials or structure including complete information for making connections between work under this Contract and work under other contracts.
    - d. Kinds of materials and finishes.
    - e. Parts list and descriptions.
    - f. Assembly Shop Drawings of equipment components and accessories showing their respective positions and relationships to the complete equipment package.
    - g. Where necessary for clarity, identify details by reference to sheet numbers and detail numbers, schedule or room numbers as shown on the Plans.
  4. Shop Drawing Drawings shall be to scale, and shall be a true representation of the specific equipment or item to be furnished.

- B Product Data
1. Submit Product Data for review when required in individual Technical Specifications.
  2. Contractor's Certification, as described in this Section, 1.02 "Submittal Procedures" shall be placed on each data item submitted.
  3. Mark each copy to identify applicable products, models, options to be used in this Project. Supplement manufacturers' standard data to provide information unique to this Project, where required by the Technical Specification.
  4. For products specified only by reference standard, submit manufacturer, trade name, model or catalog designation, and applicable reference standard.
  5. For Approved Products, those designated in the Technical Specifications followed by the words "or approved equal", submit manufacturer, trade name, model or catalog designation, and applicable reference standard.
  6. For products proposed as alternates to Approved Products, refer to Section 01630 - Product Options and Substitutions, 1.04 "Selection Options" and 1.07 "Substitution Procedures".
  7. For products that are neither Pre-Approved, Approved, specified only by reference standard, nor proposed as alternates, submit product description, trade name, manufacturer, and supplier. Contractor shall provide additional information upon written request by Engineer or Owner.
- C Samples
1. Submit samples for review as required by the Technical Specification.
  2. Contractor's Certification, as described in this Section, 1.02 "Submittal Procedures", shall be placed on each sample or a firmly attached sheet of paper.
  3. Submit the number of samples specified in the Technical Specification; one of which will be retained by the Engineer.
  4. Reviewed samples which may be used in the Work are identified in the Technical Specifications.

## **1.06 OPERATIONS AND MAINTENANCE DATA**

- A When specified in Technical Specification, submit manufacturers' printed instructions for delivery, storage, assembly, installation, start-up, operation, adjusting, finishing, and maintenance.
- B Contractor's Certification, as described in this Section. 1.02 "Submittal Procedures", shall be placed on front page of each document.
- C Identify conflicts between manufacturers' instructions and Contract Documents.

## **1.07 MANUFACTURER'S CERTIFICATES**

- A When specified in Technical Specification, submit manufacturers' certificate of compliance for review by Engineer.
- B Contractor's Certification, as described in this Section, 1.02 "Submittal Procedures", shall be placed on front page of the certificate.

- C Submit supporting reference data, affidavits, and certifications as appropriate.
- D Manufacturer's Certificates may be recent or previous test results on material or product, but must be acceptable to Engineer.

### **1.08 CONSTRUCTION PHOTOGRAPHS**

- A Submit photographs in accordance with Section 01380 – Construction Photographs.
  - 1. Prints: Prepare 2 prints of each view and submit 1 print directly to the City's Representative within 7 days of taking photographs. One print shall be retained by the Contractor and made available at all times for reference on the job site.
- B PRECONSTRUCTION PHOTOGRAPHS:
  - 1. Prior to the commencement of any construction, take digital color photographs on the entire route of the project
  - 2. Photographs: Two prints, color, matte finish; 3 x 5 inch size, mounted on 8½ x 11-inch soft card stock, with left edge binding margin for three hole punch, or in plastic pockets in three-ring notebook.
  - 3. The photographs shall show:
    - a. Date photographs were taken
    - b. Location of the photograph, house number and street name. (This information may be shown on a chalk board in the photograph by a label on the mountings.)
  - 4. Photographs should show the condition of the following
    - a. Esplanades and boulevards
    - b. Yards (near, side and far side of street)
    - c. Housewalk, sidewalk and driveway; curb
    - d. Area between walk and curb
      - 1) Particular features(yard lights, shrubs, fences, trees, etc.)
      - 2) Landscaping and decorative features.
- C POST CONSTRUCTION PHOTOGRAPHS
  - 1. On completion of construction, provide photographs of any public or private property which has been repaired or restored and any damage which is or may be the subject of complaints.

### **1.09 PROJECT RECORD DOCUMENTS**

- A Submit Project Record Documents in accordance with Section 01760– Project Record Documents.

### **1.10 VIDEO**

- A Submit television video in DVD format as required in individual Technical Specifications.
- B Transmittal forms for video disks shall be numbered sequentially beginning with T01, T02, T03, etc.

**1.11 DESIGN MIXES**

- A When specified, submit design mixes for review.
- B Contractor's Certification, as described in this Section, 1.02 "Submittal Procedures", shall be placed on front page of each design mix.
- C Mark each design mix to identify proportions, gradations, and additives for each class and type of design mix submitted. Include applicable test results on samples for each mix.
- D Maintain a copy of approved design mixes at mixing plant.

**2.0 PRODUCTS - Not Used**

**3.0 EXECUTION - Not Used**

END OF SECTION