

## **SECTION 01300 - CONTRACTOR SUBMITTALS**

### **PART 1 - GENERAL**

#### **1.1 GENERAL**

- A. All submittals by the CONTRACTOR shall be submitted to the ENGINEER.
- B. Unless otherwise noted, within 14 days after the date of commencement as stated in the Notice to Proceed, the CONTRACTOR shall submit the following items to the ENGINEER for review:
  - 1. A list of submittals with scheduled submission dates. This list shall include specification section number, description of the submittal, scheduled submission date, and anticipated approval date. The CONTRACTOR's schedule shall be based on a minimum of one resubmittal for each shop drawing and sample.
  - 2. A list of all permits and licenses the CONTRACTOR is required to obtain, indicating the agency required to grant the permit, the expected date of submittal for the permit, and required date for receipt of the permit.
- C. The CONTRACTOR shall be responsible for identifying and delivering all submittals and/or permits required by the Contract Documents.
- D. The CONTRACTOR shall submit a Storm Water Pollution Plan (SWPPP), where applicable, in accordance with the National Pollution Discharge Elimination System General Permit for storm water discharge associated with construction activities prior to commencing clearing and grubbing operations..
- E. The CONTRACTOR shall submit, where applicable, a grading plan for interim grading conditions. The grading plan must be approved by the DISTRICT prior to commencement of work.

#### **1.2 SHOP DRAWINGS**

- A. The term "Shop Drawings" as used herein shall be understood to include detailed design calculations, shop drawings, fabrication and installation drawings, erection drawings, lists, graphs, catalog sheets, data sheets, and similar items.
- B. Wherever called for in the Contract Documents, the CONTRACTOR shall furnish to the DISTRICT for review, 4 copies, plus a reproducible copy of each shop drawing submittal.

- C. The CONTRACTOR shall submit, as applicable, the following for all prefabricated or manufactured structural, mechanical, electrical, plumbing, and process systems and equipment.
1. Wiring and control diagrams of systems and equipment.
  2. Complete manufacturer's specifications, including materials descriptions and paint system.
  3. Samples of finish colors for selection.
  4. Requirements for storage and protection prior to installation.
  5. Installation procedures.
  6. List of all requested exceptions to the Contract Documents and/or variations from the specified equipment.
- D. All shop drawing submittals shall be accompanied by a transmittal form. Any submittal not accompanied by such a form, or wherever all applicable items on the form are not completed, will be returned for resubmittal.
1. The transmittal forms shall be sequentially numbered. Resubmittals shall have the original submittal number with an alphabetic suffix.
  2. CONTRACTOR, Subcontractor and/or Supplier shall be identified; pertinent drawing sheet and detail number(s) and specification section number shall be identified on the transmittal forms, as appropriate. On standard drawings or data sheets, clearly indicate model and option being proposed and strike out all non-relevant data.
  3. All submittals must be capable of being scanned electronically for filing on a computer file.
- E. A separate transmittal form shall be used for each specific item or class of material or equipment for which a submittal is required.
- F. Transmittal of a submittal of various items using a single transmittal form will be permitted only when the items taken together constitute a manufacturer's "package" or are so functionally related that expediency indicates review of the group or package as a whole.
- G. A multiple-page submittal shall be collated into sets, and each set shall be stapled or bound, as appropriate, prior to transmittal to the ENGINEER.
- H. Except as may otherwise be indicated herein, the ENGINEER will return two (2) prints of each submittal to the CONTRACTOR with comments noted thereon, within 30 calendar days following their receipt by the ENGINEER. It is considered reasonable that the CONTRACTOR shall make a complete

and acceptable submittal to the ENGINEER by the second submission of a submittal item.

- I. The OWNER reserves the right to withhold monies due the CONTRACTOR to cover additional costs of the ENGINEER's and DESIGN CONSULTANT's review beyond the second submittal.
- J. The ENGINEER's and DESIGN CONSULTANT's maximum review period for each submittal, will be 30 days. Therefore, for a submittal that requires a second submittal before it is complete, the maximum period for that submittal could be 60 days.
- K. If 2 copies of a submittal are returned to the CONTRACTOR marked "NO EXCEPTIONS TAKEN," formal revision and resubmission of said submittal will not be required.
- L. If 2 copies of a submittal are returned to the CONTRACTOR marked "AMEND AS NOTED", formal revision and resubmission of said submittal will not be required, unless specifically required.
- M. If a submittal is returned to the CONTRACTOR marked either "AMEND AND RESUBMIT" or "REJECTED-RESUBMIT," the CONTRACTOR shall revise said resubmittal and shall resubmit the required number of copies of said revised submittal to the ENGINEER.
- N. Fabrication of an item shall be commenced only after the DESIGN CONSULTANT has reviewed the pertinent submittals and the ENGINEER has returned copies to the CONTRACTOR marked either "NO EXCEPTIONS TAKEN" or "AMEND AS NOTED."
- O. Corrections indicated on submittals shall be considered as changes necessary to meet the requirements of the Contract Documents and shall not be taken as the basis for changes to the contract requirements.
- P. All CONTRACTOR shop drawing submittals shall be carefully reviewed by an authorized representative of the CONTRACTOR, prior to submission to the ENGINEER.
- Q. Each submittal shall be dated, signed, and certified. No consideration for review by the ENGINEER of any CONTRACTOR submittals will be made for any items which have not been so certified by the CONTRACTOR. All non-certified submittals will be returned to the CONTRACTOR without action taken by the ENGINEER, and any delays caused thereby shall be the total responsibility of the CONTRACTOR.
- R. The CONTRACTOR MANAGER's and DESIGN CONSULTANT's review of CONTRACTOR shop drawing submittals shall not relieve the

CONTRACTOR of the entire responsibility for the correctness of details and dimensions.

- S. The CONTRACTOR shall assume all responsibility and risk for any misfits due to any errors in CONTRACTOR submittals. The CONTRACTOR shall be responsible for the dimensions and the design of adequate connections and details.
- T. The ENGINEER may schedule a submittal conference to provide for a rapid review of a submittal, should the project schedule warrant such a review. The ENGINEER, DESIGN CONSULTANT, CONTRACTOR, and a qualified manufacturer's representative shall attend the submittal conference.

### 1.3 CONTRACTOR'S SCHEDULE

- A. The CONTRACTOR's construction schedules and reports shall be prepared and submitted to the ENGINEER in accordance with DISTRICT Standards.

### 1.4 SAMPLES

- A. Whenever, in the Specifications, samples are required, the CONTRACTOR shall submit not less than four (4) samples of each such item or material to the ENGINEER for review by the DESIGN CONSULTANT.
- B. Samples, as required herein, shall be submitted for acceptance a minimum of 30 days prior to ordering such material for delivery to the job site, and shall be submitted in an orderly sequence so that dependent materials or equipment can be assembled and reviewed without causing delays in WORK.
- C. All samples submitted to the ENGINEER shall be individually and indelibly labeled or tagged, indicating thereon all specified physical characteristics and the manufacturer's name for identification. Upon receiving acceptance by the DESIGN CONSULTANT, 2 sets of the samples will be returned to the CONTRACTOR by the ENGINEER. One set of samples will be retained by the DESIGN CONSULTANT, and one set of samples shall remain at the job site with the ENGINEER until completion of the WORK.
- D. Unless indicated otherwise, all colors and textures of specified items presented in sample submittals shall be from the manufacturer's standard colors and standard materials, products, or equipment lines. If the samples represent non-standard colors, materials, products, or equipment lines and their selection will require an increase in contract time or price, the CONTRACTOR will clearly indicate same on the transmittal page of the submittal.

### 1.5 OWNER'S MANUAL

- A. The CONTRACTOR shall submit technical operation and maintenance information for each item of mechanical, electrical and instrumentation equipment in an organized manner in the OWNER'S MANUAL. The OWNER'S MANUAL shall be written so that it can be used and understood by the OWNER'S operation and maintenance staff.
- B. The OWNER'S MANUAL shall be subdivided first by specification section number; second by equipment item; and last, by "part." "Parts" shall conform to the following (as applicable):

- 1. Part 1 - Equipment Summary

- a. Summary: A summary table shall indicate the equipment name, equipment number, and process area in which the equipment is installed.
- b. Form: The ENGINEER will supply an Equipment Summary Form for each item of mechanical, electrical and instrumentation equipment in the WORK. The CONTRACTOR shall fill in the relevant information on the form and include it in Part 1.

- 2. Part 2 - Operational Procedures

- a. Procedures: Manufacturer-recommended procedures for the following shall be included in Part 2:

- Installation

- Adjustment

- Start-up

- Location of controls, special tools or other equipment required, or related instrumentation needed for operation

- Operating Procedures

- Load Changes

- Calibration

- Shutdown

- Troubleshooting

- Disassembly

- Realignment

- Testing of proper settings for all pressure relief valves, low and high pressure switches and other protection devices

- List of all electrical relay settings including alarm and contact settings

- 3. Part 3 - Preventive Maintenance Procedures

- a. Procedures: Preventive maintenance procedures shall include all manufacturer-recommended procedures to be performed on a

periodic basis, both by removing and replacing the equipment or component and by leaving the equipment in place.

- b. Schedules: Recommended frequency of preventative maintenance procedures shall be included. Lubrication schedules, including lubricant SAE grade and type, and temperature ranges shall be covered.

4. Part 4 - Parts List

- a. Parts List: A complete parts list shall be furnished, including a generic description and manufacturer's identification number for each part. Addresses and telephone numbers of the nearest supplier and parts warehouse shall be included.
- b. Drawings: Cross-sectional or exploded view drawings shall accompany the part list.

5. Part 5 - Wiring Diagrams

- a. Diagrams: Complete internal and connection wiring diagrams for electrical equipment items shall be furnished.

6. Part 6 - Shop Drawings

- a. Drawings: Approved shop or fabrication drawings, complete with dimensions shall be included.

7. Part 7 - Safety

- a. Procedures: Safety precautions to be taken when operating and maintaining the equipment or working near it.

8. Part 8 - Documentation

- a. All equipment warranties, affidavits, and certifications required by the Technical Specifications shall be included.

C. The CONTRACTOR shall furnish to the ENGINEER seven (7) identical OWNER'S MANUALS. Each set shall consist of one or more volumes, each of which shall be labeled and bound in a standard size, 3-ring, loose leaf, vinyl plastic hard cover binder suitable for bookshelf storage. Binder ring size shall not exceed 2.5 inches. A table of contents indicating all equipment in the manuals shall be prepared.

D. OWNER'S MANUALS shall be submitted in final form to the ENGINEER not later than the 75 percent of construction completion date. All discrepancies

found by the CONSTRUCTION MANGER in the OWNER'S MANUALS shall be corrected by the CONTRACTOR within 30 days from the date or written notification by the CONSTRUCTION MANGER.

- E. Incomplete or unacceptable OWNER'S MANUALS at the 75 percent construction point shall constitute sufficient justification to withhold the amount stipulated in the Contract Documents from any monies due the CONTRACTOR.
- F. When available from the equipment vendor, the CONTRACTOR shall submit one copy of available sections of the final OWNER'S MANUAL in an electronic media format. The information shall be provided on a 3-1/2 inch disk in either Word for Windows or ASCII files.

#### 1.6 SPARE PARTS LIST

- A. The CONTRACTOR shall furnish to the ENGINEER seven (7) copies of spare parts information for all mechanical, electrical, and instrumentation equipment.
- B. The spare parts list shall include the current list price of each spare part.
- C. The spare parts lists shall be limited to those parts which each manufacturer recommends be maintained by the OWNER in inventory at the facility site.
- D. Each manufacturer or supplier shall indicate the name, address, and telephone number of its nearest outlet of spare parts to facilitate the OWNER in ordering.
- E. The CONTRACTOR shall cross-reference all spare parts lists to the equipment numbers designated in the Contract Documents.
- F. The spare parts lists shall be labeled and bound in standard size, 3-ring, loose leaf, vinyl plastic hard cover binders suitable for bookshelf storage. Binder ring size shall not exceed 2.5 inches.

#### 1.7 RECORD DRAWINGS

- A. The CONTRACTOR shall keep and maintain, at the job site, one record set of Drawings. On these, it shall mark all project conditions, locations, configurations, and any other changes or deviations which may vary from the details represented on the original Contract Drawings, including buried or concealed construction and utility features which are revealed during the course of construction. Special attention shall be given to recording the horizontal and vertical location of all buried utilities that differ from the locations indicated, or which were not indicated on the Contract Drawings.

- B. Record drawings shall be supplemented by any detailed sketches as necessary or directed to indicate fully, the WORK as actually constructed. These master record drawings of the CONTRACTOR's representation of as-built conditions, including all revisions made necessary by addenda and change orders shall be maintained up-to-date during the progress of the WORK.
- C. In the case of those drawings which depict the detail requirement for equipment to be assembled and wired in the factory such as motor control centers and the like, the record drawings shall be updated by indicating those portions which are superseded by change order drawings or final shop drawings, and by indicating appropriate reference information describing the change orders by number and the shop drawings by manufacturer, drawing, and revision numbers.
- D. Record drawings shall be accessible to the ENGINEER at all times during the construction period.
- E. Final payment will not be acted upon until the CONTRACTOR-prepared record drawings have been delivered to the ENGINEER. Said up-to-date record drawings shall be in form of a set of prints with carefully plotted information overlaid in red.
- F. Upon substantial completion of the WORK and prior to final acceptance, the CONTRACTOR shall finalize and deliver a complete set of record drawings to the ENGINEER for transmittal to the OWNER, conforming to the construction records of the CONTRACTOR. This set of drawings shall consist of corrected drawings on mylar reproducibles showing the reported location of the WORK. The information submitted by the CONTRACTOR in the Record Drawings will be assumed to be correct, and the CONTRACTOR shall be responsible for the accuracy of such information, and for any errors or omissions which may appear on the Record Drawings as a result.

**PART 2 - PRODUCTS** (Not used)

**PART 3 - EXECUTION**

3.1 SCHEDULE FOR SUBMITTING

- A. The CONTRACTOR is to recognize the time and sequence related to the submittals required by the Contract Documents. Therefore, the CONTRACTOR shall demonstrate competency in preparing and delivering submittals.
- B. The CONTRACTOR will not be granted additional contract time or compensation due to delays associated with submittals. In addition, the costs associated with expedited review of a submittal or a submittal conference may

be withheld from monies due the CONTRACTOR by the OWNER to cover additional costs of the ENGINEER's and DESIGN CONSULTANT's review.

END OF SECTION