

## **SECTION 01300 – RECORD DRAWINGS AND SUBMITTALS**

### **PART 1 – GENERAL**

#### **1.1 WORK OF THIS SECTION**

- A. When submittals are required hereunder, all such submittals by the CONTRACTOR shall be submitted to the AGENCY.
- B. Within 10 working days prior to the date of commencement as indicated on issued permits, the CONTRACTOR shall submit the following items to the AGENCY for review:
  - 1. A Submittal Schedule of Shop Drawings, Samples. Additional submittals will not be accepted for review prior to acceptance of the Submittal Schedule by the AGENCY.
  - 2. A list of all permits and licenses the CONTRACTOR shall obtain indicating the agency required to grant the permit and the expected date of submittal for the permit and required date for receipt of the permit.

#### **1.2 RELATED WORK SPECIFIED ELSEWHERE**

- A. The work of the following Sections apply to Work of this Section. Other Sections of the Specifications, not referenced below, shall also apply to the extent required for proper performance of the Work.
  - 1. General Conditions
  - 2. Section 01048– Special Construction Conditions and Procedures
  - 3. Section 15000– General Piping System and Appurtenances
  - 4. Section 01710 – Clean-up

#### **1.3 CONTRACTOR’S OPTIONS**

- A. For products specified only by reference standard, select products by any manufacturer meeting that standard. To the maximum extent possible, provide products of the same generic kind from a single source.
- B. For products specified by naming several products or manufacturers, select any one of the products or manufacturers named that complies with the AGENCY approved materials list.
- C. For products specified by naming only one product or manufacturer and followed by words indicating that no substitution is permitted, there is no option and no substitution will be allowed.
- E. Where more than one choice is available as a CONTRACTOR’s option, select a product that is compatible with other products already selected or specified.

#### **1.4 SHOP DRAWINGS**

- A. Submit Shop Drawings to AGENCY for review and acceptance.

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- B. Determine and verify before submitting each Shop Drawing or Sample:
1. Field measurements, quantities, dimensions, specified performance criteria, installation requirements, materials, catalog numbers, and similar information with respect thereto.
  2. Materials with respect to intended use, fabrication, shipping, handling, storage, assembly, and installation pertaining to the performance of the work.
  3. Information relative to CONTRACTOR's sole responsibilities in respect of means, methods, techniques, sequences, and procedures of construction, and safety precautions and programs incident thereto.
- C. CONTRACTOR shall also have reviewed and coordinated each Shop Drawing or Sample with other Shop Drawings and Samples, and with the requirements of work and Contract Documents.
- D. All CONTRACTOR shop drawing submittals shall be carefully reviewed by an authorized representative of the CONTRACTOR, prior to submission to the AGENCY. Each submittal shall be dated, signed, and certified by the CONTRACTOR, as being correct and in strict conformance with the Contract Documents. In the case of shop drawings, each sheet shall be so dated, signed, and certified. No consideration for review by the AGENCY 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 AGENCY, and any delays caused thereby shall be the total responsibility of the CONTRACTOR.
- E. At the time of each submission, CONTRACTOR shall give AGENCY specific written notice of variations, if any, that the Shop Drawing or Sample submitted may have from the requirements of the Contract documents. The notice shall be in a written communication separate from the submittal; and, in addition, shall cause a specific notation to be made on each Shop Drawing and Sample submitted to AGENCY for review and approval of each such variation.
- F. Review and approval of Shop Drawings and Samples will be only to determine if items covered by submittals will, after installation or incorporation in work, conform to information given in the Contract Documents, and be compatible with the design concept of the completed Project as a functioning whole as indicated by the Contract Documents. Review and approval will not extend to means, methods, techniques, sequences, or procedures of construction, except where a particular means, method, technique, sequence, or procedure of construction is specifically and expressly called for by the Contract Documents. The review and approval of a separate item as such will not indicate approval of the assembly in which the item functions. The review of CONTRACTOR shop drawing submittals shall not relieve the CONTRACTOR of the entire responsibility for the correctness of details and dimensions. 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. CONTRACTOR shall make corrections required to submittals and shall

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return the required number of corrected copies of Shop Drawings and submit as required new Samples for review and approval. CONTRACTOR shall direct specific attention in writing to revisions other than corrections called for on previous submittals.

- G. Review and approval of Shop Drawings or Samples shall not relieve CONTRACTOR from responsibility for variation from requirements of the Contract Documents, unless CONTRACTOR has in writing called attention to each such variation at the time of submission, and written approval has been given of each such variation by specific written notation thereof incorporated in, or accompanying, the Shop Drawing or Sample approval.
- H. Where a Shop Drawing or Sample is required by Contract Documents or schedule of Shop Drawings and Sample submissions accepted by AGENCY, related work performed prior to review and approval of pertinent submittal will be at the sole expense and responsibility of CONTRACTOR.

### 1.5 SUBMITTAL PROCEDURES

- A. Where required by the AGENCY, the CONTRACTOR shall furnish to the AGENCY for review, 3 copies, plus the number the CONTRACTOR wants returned, not to exceed 6 copies, plus one reproducible copy, of each shop drawing submittal. The term "Shop Drawings" as used herein shall be understood to include detail design calculations, shop drawings, fabrication, and installation drawings, erection drawings, lists, graphs, catalog sheets, data sheets, and similar items.
- B. Material shall be submitted with print on both sides of page. Paper shall have a minimum of 30% recycled content.
- C. Normally, a separate transmittal form shall be used for each specific item or class of material or equipment for which a submittal is required. Transmittal of a submittal of various items using a single transmittal form will be permitted only when the items taken together constitute a manufacturers "package" or are so functionally related that expediency indicates review of the group or package as a whole. A multiple-page submittal shall be collated into sets, and each set shall be stapled or bound, as appropriate, prior to transmittal to the AGENCY.
- D. Transmit submittals with a transmittal form approved by the AGENCY and standard for the project. Transmittal form shall identify CONTRACTOR, indicate date of submittal, and include information prescribed by the transmitted form and assign a sequential number to each submittal in a format approved by the AGENCY. Process transmittal forms to record actions regarding sample panels and sample installations.
- E. In order to indicate that the submittals have been reviewed and no exceptions have been taken by the AGENCY, CONTRACTOR shall have made and shall use labels and/or a rubber stamp which shall materially conform to the following sample:

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Submittal No.:			
Project Name.:		Project No.:	
Contractor:			
REVIEWED and No Exceptions taken for Conformance with the Approved Documents By:			(Signature)
References:			
Drawing Sheet No's.:			
Specification Section No's.:			

- F. Except as may otherwise be indicated herein, the AGENCY will return prints of each submittal to the CONTRACTOR with its comments noted thereon, within 10 working days following their receipt by the AGENCY. It is considered reasonable that the CONTRACTOR shall make a complete and acceptable submittal to the AGENCY by the second submission of a submittal item. The maximum review period for each submittal and each resubmittal will be 10 working days per each. For example, the maximum review period for a submittal could be 30 working days if two resubmittals are required before it is deemed complete. The AGENCY reserves the right to withhold monies due the CONTRACTOR to cover additional costs of the review beyond the second submittal.
  
- G. 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.
  
- H. If 2 copies of a submittal are returned to the CONTRACTOR marked “MAKE CORRECTIONS NOTED,” formal revision and resubmission of said submittal will be required when requested for confirmation.
  
- I. If a submittal is returned to the CONTRACTOR marked “REVISE-RESUBMIT” or “AMEND-RESUBMIT,” the CONTRACTOR shall revise said submittal and shall resubmit the required number of copies of said revised submittal to the AGENCY.
  
- J. If a submittal is returned to the CONTRACTOR marked “REJECTED-RESUBMIT,” the CONTRACTOR shall revise said submittal and shall resubmit the required number of copies of said revised submittal to the AGENCY.
  
- K. Fabrication of an item shall be commenced only after the AGENCY has reviewed the pertinent submittals and returned copies to the CONTRACTOR marked either "NO EXCEPTIONS TAKEN" or "MAKE CORRECTIONS NOTED." 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.

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- L. Submittal log:
  - 1. CONTRACTOR shall maintain an accurate submittal log which lists all the submittals required by this Contract, showing current status of submittals.
  - 2. Make the submittal log available for review upon request and at the progress meetings.

### 1.6 SUBMITTAL FORMAT AND COPIES

- A. Format for Shop Drawings:
  - 1. For shop drawings presented on sheets larger than 8 ½-inches by 17 inches, include on each drawing the drawing title, number, date, and revision numbers and dates.
  - 2. For shop drawings presented on sheets 8 ½-inches by 17 inches or less, conform to the format and quantity requirements for product data, and present as a part of the bound volume for the submittals required by the Section.
  - 3. Dimension drawings, except diagrams and schematic drawings; prepare dimensioned drawings to scale. Identify materials and products for work shown.
  - 4. Shop drawings shall be not less than 8 ½ by 11 inches or more than 30 by 42 inches.
  - 5. Submit detailed drawings and descriptions of proposed deviations from details or component arrangement indicated on the drawings.
  - 6. Provide finished drawings for approval indicating proposed installation of Work, and materials and equipment being furnished.
  - 7. Copies of plans will not be accepted for submission as drawings, nor will catalog numbers alone of materials or equipment.
  - 8. Data shown on working drawings shall be complete with respect to dimensions, design criteria, material of construction, and other detail to enable review.
- B. Format for Product Data:
  - 1. Present product data submittals for each Section as a complete, bound volume. Include a table of contents listing page and catalog item numbers for product data.
  - 2. Indicate, by prominent notation, each product which is being submitted; indicate the Section and paragraph numbers to which it pertains.
  - 3. Supplement product data with material prepared for the project to satisfy submittal requirements for which product data does not exist. Note that the material is developed specifically for the project.
  - 4. Catalog data shall be explicit with regard to details of products being furnished and complete enough to enable Design Consultant to determine that products submitted conform to requirements of specifications.
  - 5. For submittals with more than one style, size, capacity, etc. of a product on a sheet, clearly indicate exactly which product type is being submitted for approval. Failure to do this is cause for rejection.
  - 6. Catalog data shall bear name, address, and telephone number of

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manufacturer of product or local representative.

- C. Samples:
  - 1. Label or tag each sample identifying the specification Section number, manufacturer's name and address, brand name, product identification number, and intended use in the Work.
- D. Format of Administrative and Closeout Submittals
  - 1. Submit administrative and closeout submittals in the format and quantities required for shop drawings.
  - 2. If the submittal includes a document which is to be used in the project or become a part of the project record, other than as a submittal, do not apply the CONTRACTOR's approval stamp to the document, but to a separate sheet accompanying the document.
  - 3. Record documents shall be submitted in conformance with the standard specifications..
- E. Unless otherwise directed in writing, CONTRACTOR shall submit the following number of copies of each submittal:
  - 1. Product Data, Shop Drawings, and Working Drawings: 5 copies for the following distribution:
    - a. AGENCY; 1 copy
    - b. Returned to CONTRACTOR: 2 copies.
      - (1) 1 copy for Record Documents file.
      - (2) 1 copy for CONTRACTOR's records.
  - 2. Samples; Provide two sets of required samples. One sample will be returned after review with notations resulting from review.
  - 3. Operations and Maintenance. Provide six (6) of the following documents:
    - a. Operation and Maintenance Manuals
    - b. Training Manuals:

### 1.7 MANUFACTURER'S INSTRUCTIONS

- A. Submit manufacturers' printed instructions for delivery, storage, assembly, installation, start-up, adjusting, and finishing, in quantities specified for shop drawings when specified in individual Sections.
- B. Identify conflicts between manufacturers' instructions and Contract Documents.
- C. Resolve conflicts as directed by AGENCY, at no additional cost to AGENCY.

### 1.8 MANUFACTURER'S CERTIFICATES

- A. When specified in the Water Utilities Manual, submit manufacturers' certificate(s) to AGENCY for review, in quantities specified for shop drawings.

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- B. Indicate material and equipment conforms to or exceeds specified requirements. Submit supporting reference date, affidavits, and certifications as appropriate.
- C. Certificates may be recent or previous test results on material or product, but must be acceptable to AGENCY.
- D. Where specified in the Water Utilities Manual, the certificate and/or affidavit shall be submitted to the AGENCY for approval of a particular product, or component of a product, such submittals shall be made in accordance with the following:
  - 1. A certificate submitted for a product, or component of a product, indicates test results proving that product, or component, meets the requirements of the standard specified in the Contract Documents.
  - 2. An affidavit consisting of a sworn statement by an official of the company manufacturing the product indicating that information on certificate is true and accurate shall accompany the certificate.
  - 3. A statement originating from CONTRACTOR, or his subcontractors, suppliers, or other agent which merely indicates that a particular item of equipment, product, or component of a product, meets the requirements of Contract Documents shall not be considered a certificate. A submittal made in this manner will not be approved and corresponding equipment, product, or component, shall not be finally accepted.

### **1.9 RECORD (AS-BUILT) DRAWINGS**

- C. Submit As-Built Drawings and CAD files to AGENCY for review and acceptance.

### **PART 1 - PRODUCTS (NOT USED)**

### **PART 2 - EXECUTION (NOT USED)**

**\*\* END OF SECTION \*\***