

## SECTION 01 33 00

### SUBMITTAL PROCEDURES

#### PART 1 – GENERAL

##### 1.01 SECTION INCLUDES

- A. List of material sources.
- B. Submittal requirements.

##### 1.02 RELATED SECTIONS

- A. Project progress schedules and status reports are specified in Section 01 32 16, Construction Progress Schedules.
- B. General requirements and procedures for preparing and submitting Shop Drawings, product data, and samples are specified in Section 01 33 23, Shop Drawings, Product Data, and Samples.
- C. Submittals related to the Contractor's quality program are specified in Section 01 45 00, Quality Control.
- D. Submittals required to complete the Contract closeout are specified in Section 01 77 00, Closeout Procedures.
- E. Preparation and submission of project record documents are specified in Section 01 78 39, Project Record Documents.
- F. Preparation and submission of equipment and systems operation and maintenance manuals are specified in Section 01 78 23, Operation and Maintenance Data.
- G. Preparation and submission of Training Program Deliverables such as Training Program Plan, Instructor Guides, and Student Training Manuals are specified in Section 01 79 00, Demonstration and Training. Sustainability Information submittal requirements are specified in Section 01 81 13 “Sustainability Requirements” and are referenced in the Technical Specifications as applicable.

**1.03 MEASUREMENT AND PAYMENT**

- A. Separate measurement or payment will not be made for work required under this Section. All costs in connection with the work specified herein will be considered to be included with the related item of work in the Bid Schedule of the Bid Form or incidental to the Work.

**1.04 LIST OF MATERIALS SOURCES**

- A. The Contractor shall submit to the Engineer a list of the Contractor's sources of materials. The list shall be submitted in sufficient time to permit proper inspections and testing of materials to be furnished from such listed sources in advance of their use.

**1.05 SUBMITTAL REQUIREMENTS**

- A. Submittals for Approval: Specific submittals shall be understood to be submitted to the Engineer for approval, except as otherwise specified in Article 1.07B, herein, or specified to be submitted to others such as a designated approval authority for its approval.

- B. Schedule of Submittals:

1. Within 10 Days after the effective date of Notice to Proceed, the Contractor shall submit a completed submittal schedule and list of products for all items requiring the Engineer's review and approval, as follows:
  - a. Submittals, including description of the item and name of manufacturer, trade name and model number.
  - b. Contract Specifications reference.
  - c. Intended submission/resubmission date(s).
  - d. Order release date.
  - e. Lead time to delivery/anticipated delivery date(s).
  - f. Highlight any items that require expedited review to meet the Contract schedule.
  - g. Not more than 30 Days after the effective date of Notice to Proceed, the Contractor shall provide to the Engineer an updated schedule of submittals that includes cost and sustainability information. See Contract Specifications Section 01 81 13, Sustainability Requirements, for Contract Materials Cost Schedule submittal requirements.
2. These schedules shall be presented in a form acceptable to the Engineer in both electronic and hard copy versions and shall be updated and sent to the Engineer on a monthly basis. Identify all submittals that are required by the Contract Documents and determine the date on which each submittal will be submitted in conformance with the schedules specified in Section 01 32 16, Construction Progress Schedules.

- C. Professional Seal Required: Submittals involving engineering design services, when required by the Contract Documents or by governing codes and regulations, such as shoring and underpinning, excavation support structures, falsework for concrete, fire protection system design, and load and design calculations, shall be sealed and signed in blue ink by a professional engineer, currently registered in the State of California, for the discipline involved.
- D. Review Period:
  - 1. Prepare submittals sufficiently in advance so that approval may be given before commencement of related work.
  - 2. Unless otherwise specified, allow 30 Days after receipt by the Engineer for review of each submittal, including 30 Days for each resubmittal.
  - 3. The Contractor shall be responsible for determining whether or not certain governmental entities and utility districts require longer review periods. When longer review periods are required, the Contractor shall schedule the Work accordingly, so that the Work and project progress schedules are not adversely impacted.
- E. Submittal Delivery: Ship submittals prepaid or deliver by hand directly to the Engineer.
- F. Transmittal Form: Accompany submittals with a District-furnished transmittal form in duplicate containing the following information:
  - 1. The Contractor's name, address, and telephone number;
  - 2. Submittal number and date;
  - 3. Contract title and number;
  - 4. Supplier's, manufacturer's, or Subcontractor's name, address, and telephone number; and
  - 5. Subject identification including Contract Drawing and Specifications reference.
- G. Changes in Approved Submittals: Changes in approved submittals will not be allowed unless those approved submittals with changes have been resubmitted and approved, in the same manner as the original submittal.
- H. Supplemental Submittals: Supplemental submittals initiated by the Contractor for consideration of corrective procedures shall contain sufficient data for review. Make supplemental submittals in the same manner as initial submittals.

**1.06 CONTRACTOR'S RESPONSIBILITIES**

- A. Contractor's Review and Approval:
  - 1. Each submittal shall be reviewed, stamped, and signed as reviewed and approved by the Contractor prior to submission. The Contractor's approval shall indicate review and approval with respect to the following responsibilities:
  - 2. The Contractor shall be responsible for:

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- a. The correctness of the drawings, for shop fits and field connections, and for the results obtained by the use of such drawings.
  - b. Verification of catalog numbers, and similar data.
  - c. Determination and verification of field measurements and field construction criteria.
  - d. Checking and coordinating information in the submittal with requirements of the Work and of the Contract Documents.
  - e. Determination of accuracy and completeness of dimensions and quantities.
  - f. Confirmation and coordination of dimensions and field conditions at the site.
  - g. Safety precautions.
  - h. Errors or omissions on submittals.
  - i. Coordination and performance of work of all trades.
  - j. Identification of deviation(s) from Contract requirements.
  - k. Sustainability attributes of products, including any required manufacturer's certifications, must be included in the product data submittal.
3. The Contractor shall coordinate each submittal with the requirements of the Work, placing particular emphasis upon assuring that each submittal of one trade is compatible with other submittals of related work. Ensure submittal is complete with all relevant data required for review.
  4. The Contractor shall stamp, initial or sign the submittal, certifying:
    - a. Dimensional compatibility of the product with the space in which it is intended to be used.
    - b. Review of submittals for compliance with Contract requirements.
  5. Do not start work for that requires approval by the Engineer until submittals have been returned to the Contractor with official indication that approval has been granted by the Engineer.
  6. If a submittal is designated to be submitted to a designated approval authority for approval, the Contractor shall submit a copy of the Contractor's submittal to that authority to the Engineer for information. Upon approval by the designated approval authority, the approved submittal shall be submitted for the Engineer's information.
  7. Approval of drawings and associated calculations by the Engineer shall not relieve the Contractor from the responsibility for errors or omissions in the drawings and associated calculations, or from deviations from the Contract Documents, unless submittals

containing such deviations were submitted to the Engineer and the deviations were specifically called to the attention of the Engineer in the letter of transmittal and within the submittal, and approved specifically by the Engineer as a Contract change.

8. Approval of the Contractor's submittal by the Engineer shall not relieve the Contractor of any responsibility, including responsibility for accuracy and agreement of dimensions and details.
- B. Submittal Quantities: Refer to Contract Specifications Section 01 33 23, Shop Drawings, Product Data, and Samples, for submittal quantities.
  - C. Review by the Engineer: One marked up reproducible set of drawings, one copy of product data, and one sample will be returned to the Contractor.
  - D. Distribution of Submittals after Review: Distribute prints or copies of approved submittals, bearing the Engineer's or designated approval authority's stamp and signature, to the Contractor's field office and the Engineer's field office; to affected and concerned Subcontractors, Suppliers, and fabricators; and to affected and concerned members of the Contractor's workforce.

#### **1.07 ENGINEER'S REVIEW**

- A. Submittals will be reviewed for conformance with requirements of the Contract Documents. Review of a separate item will not constitute review of an assembly in which the item functions. Nether review nor approval shall relieve the Contractor from Contractor's responsibility for accuracy of submittals, for conformity of submittals to requirements of Contract Documents, for compatibility of described product with other provided products and the rest of the system, or for prosecution and completion of the Contract in accordance with the Contract Documents.
- B. Submittals shall be understood as being made for approval, unless otherwise specified, for example, as being made for information, record, or review. The Engineer will indicate its reviews of submittals and the action taken (approvals and non-approvals) by means of its review stamp. The review stamp will be affixed by the Engineer, the action block will be marked, and the stamp will be signed in blue ink and dated.
  1. Approval of the submittal by the Engineer does not relieve the responsibilities of the professional engineer who originally signed and sealed the submittal or the responsibilities of the Contractor to meet the Contract requirements.
- C. The review-stamp action-block marks will have the following meanings:
  1. The mark APPROVED is an acceptance, and means that the submittal appears to conform to the respective requirements of the Contract Documents; that fabrication, assembly, manufacture, installation, application, and erection of the illustrated and described product may proceed; and that the submittal need not be resubmitted.
  2. The mark APPROVED AS NOTED - RESUBMISSION NOT REQUIRED is an acceptance, and means that the submittal appears to conform to the respective

requirements of the Contract Documents upon incorporation of the reviewer's corrections, and that fabrication, assembly, manufacture, installation, application, and erection of the illustrated and described product may proceed. Submittals so marked need not be resubmitted unless the Contractor challenges the reviewer's exception within seven Days. All noted changes shall be reflected in the Record (as-built) Drawings and other Record Documents by the Contractor.

3. The mark **LIMITED APPROVAL – RESUBMISSION REQUIRED** is an approval except for the work impacted by the notes and comments, and means that the submittals requires corrections to conform to the respective requirements of the Contract Documents. Fabrication, assembly, manufacture, installation, application, and erection of the illustrated and described product may proceed at the Contract's risk only for the elements of work not impacted by and changes required to incorporate the reviewer's corrections. The noted work cannot proceed until verification by the Engineer that the review's corrections have been properly incorporated in the submittal.
4. The mark **NOT APPROVED – RESUBMISSION REQUIRED** is a disapproval, and means that the submittal requires corrections to conform to the respective requirements of the Contract Documents, and that fabrication, assembly, manufacture, installation, application, and erection of the illustrated and described product may not proceed until incorporation of the reviewer's corrections and verification by the Engineer that the reviewer's corrections have been properly incorporated in the submittal.
5. The mark **REJECTED – RESUBMISSION REQUIRED** is a disapproval, and means that the submittal is deficient to the degree that the reviewer cannot correct the submittal with a reasonable degree of effort, has not made a thorough review of the submittal, and that the submittal needs revision and is to be corrected and resubmitted.
6. The mark **NOT REVIEWED** is acknowledgement of receipt and means that the submittal is for information and record purposes only.

D. Review stamps or other approval methods of the various designated approval authorities may not be the same as those of the District. The Contractor shall work with the various designated approval authorities and shall obtain approvals in the clearest and most straightforward manner possible.

## **PART 2 – PRODUCTS**

Not Used

## **PART 3 – EXECUTION**

Not Used

**END OF SECTION 01 33 00**