SECTION 013323 - SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.1 SUMMARY

A. This Section includes administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other submittals.

1.2 DEFINITIONS

A. Action Submittals: Written and graphic information that requires Government's responsive action.

B. Informational Submittals: Written information that does not require Government's responsive action. Submittals may be rejected for not complying with requirements.

1.3 GENERAL SUBMITTAL PROCEDURES

A. Coordination: Coordinate preparation and processing of submittals with performance of construction activities. Review them for legibility, accuracy, completeness, and compliance with contract documents.

1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
2. Coordinate transmittal of different types of submittals for related parts of the Work so processing will not be delayed because of need to review submittals concurrently for coordination.

a. Contracting Officer reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.

B. Submittal List: A submittal list has been attached to the end of this specification section for your convenience. The intent is to provide an overall summary of submittal requirements and not a comprehensive list. The terms and conditions of the contract still require you to satisfy the requirements of the individual specification sections regardless of what is shown on the submittal list.

C. Processing Time: Allow enough time for submittal review, including time for re-submittals, as follows. Time for review shall commence on Contracting Officer's receipt of submittal. No extension of the Contract Time will be authorized because of failure to transmit submittals enough in advance of the Work to permit processing, including re-submittals.

1. Action submittals

a. Initial Review: Allow 30 days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required.

b. Re-submittal Review: Allow 30 days for review of each re-submittal.

2. Informational submittals

a. Review: Allow 10 days for review of each submittal.

D. Approved Equals:

1. For each item proposed as an "approved equal," submit supporting data, including:

a. Drawings and samples as appropriate.
b. Comparison of the characteristics of the proposed item with that specified.
c. Changes required in other elements of the work because of the substitution.
d. Name, address, and telephone number of vendor.

2. A request for approval constitutes a representation that Contractor:

a. Has investigated the proposed item and determined that it is equal or superior in all respects to that specified.
b. Will provide the same warranties for the proposed item as for the item specified.
c. Has determined that the proposed item is compatible with interfacing items.
d. Will coordinate the installation of an approved item and make all changes required in other elements of the work because of the substitution.
e. Waives all claims for additional expenses that may be incurred as a result of the substitution

E. Additional Copies: Unless additional copies are required for final submittal, and unless Contracting Officer observes noncompliance with provisions in the Contract Documents, initial submittal may serve as final submittal.

F. Transmittal: Package each submittal individually and appropriately for transmittal and handling. Transmit each submittal using a transmittal form. Contracting Officer will discard submittals received from sources other than Contractor.

1. Transmittal Form: All material submittals shall be transmitted using National Park Service form CM-16. No action will be taken on a material submittal item unless accompanied by the transmittal form.
2. Documents required in division 1 are to be delivered under separate cover letter. Do not use the CM-16 Transmittal form for these documents.

G. Identification: Place a permanent label 1 by 4 inches on each submittal for identification.

1. Include the following information on label for processing and recording action taken:

a. Project name, Park, PMIS number, Contract number.
b. Date.
c. Submittal number or other unique identifier, including revision identifier.

1) Submittal number shall use Specification Section number followed by a decimal point and then a sequential number (e.g., 061000.01). Re-

submittals shall include an alphabetic suffix after another decimal point (e.g., 061000.01.A).

H. Re-submittals: Make re-submittals in same form and number of copies as initial submittal.

1. Note date and content of previous submittal.
2. Note date and content of revision in label or title block and clearly indicate extent of revision.
3. Re-submit submittals until they are marked “Approved” or “Approved with notations”.

I. Distribution: Furnish copies of final submittals to manufacturers, subcontractors, suppliers, fabricators, installers, authorities having jurisdiction, and others as necessary for performance of construction activities. Show distribution on transmittal forms.

J. Use for Construction: Use only final submittals with mark indicating “Approved” or “Approved with notations”.

1.4 CONTRACTOR'S USE OF CAD FILES

A. General: At Contractor's written request, copies of CAD files will be provided to Contractor for Contractor's use in connection with Project, subject to the following conditions:

1. Files will be provided as is; no format or other changes to files or changes to the objects in the drawing will be done by the Government

PART 2 - PRODUCTS

2.1 ACTION SUBMITTALS

A. General: Prepare and submit Action Submittals required by individual Specification Sections.

1. Contracting Officer reserves the right to require submittals in addition to those called for in individual sections. If the contractor intends on supplying materials that differ from the salient characteristics specified in the individual sections, than a submittal will be required.

B. Product Data: Collect information into a single submittal for each element of construction and type of product or equipment.

1. If information must be specially prepared for submittal because standard printed data are not suitable for use, submit as Shop Drawings, not as Product Data.
2. Mark each copy of each submittal to show which products and options are applicable.
3. Include the following information, as applicable:

a. Manufacturer's written recommendations.
b. Manufacturer's product specifications.
c. Manufacturer's installation instructions: When contract documents require compliance with manufacturer's printed instructions, provide one complete set of

instructions to Contracting Officer and keep another complete set of instructions at the project site until substantial completion.

d. Manufacturer's catalog cuts: Submit only pertinent pages; mark each copy of standard printed data to identify specific products proposed for use.
e. Compliance with specified referenced standards.
f. Testing by recognized testing agency.

4. Number of Copies: Submit four copies of Product Data, unless otherwise indicated. Contracting officer will return one copy. Retain copy as a Project Record Document.

C. Shop Drawings: Prepare Project-specific information, drawn accurately to scale. Do not base Shop Drawings on reproductions of the Contract Documents or standard printed data , unless submittal of CAD Drawings is otherwise permitted.

1. Preparation: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:

a. Dimensions.
b. Identification of products.
c. Fabrication and installation drawings.
d. Schedules.
e. Notation of coordination requirements.
f. Notation of dimensions established by field measurement.
g. Relationship to adjoining construction clearly indicated.

2. Sheet Size: Except for templates, patterns, and similar full-size drawings, submit Shop Drawings on sheets at least 8-1/2 by 11 inches but no larger than 30 by 40 inches.
3. Number of Copies: Submit four opaque (bond) copies of each submittal. Contracting Officer will return one copy.

D. Construction Materials: The Contractor is encouraged to submit for approval products made out of recycled or environmentally responsible material. Every effort will be made by the National Park Service to approve these materials.

E. Subcontract List: Prepare a written summary identifying individuals or firms proposed for each portion of the Work, including those who are to furnish products or equipment fabricated to a special design. List must include, at a minimum, Subcontractors shown in your original proposal.

1. Number of Copies: Submit three copies of subcontractor list, unless otherwise indicated.

2.2 INFORMATIONAL SUBMITTALS

A. General: Prepare and submit Informational Submittals required by other Specification Sections.

1. Number of Copies: Submit three copies of each submittal, unless otherwise indicated. Contracting Officer will not return copies.
2. Certificates and Certifications: Provide a notarized statement that includes signature of entity responsible for preparing certification. Certificates and certifications shall be

signed by an officer or other individual authorized to sign documents on behalf of that entity.

3. Informational submittals that do not comply with the requirements specified in the contract documents will be rejected and one copy will be returned.

B. Coordination Drawings: Comply with requirements specified in Division 01 Section "Project Management and Coordination."

C. Contractor's Construction Schedule: Comply with requirements specified in Division 01 Section "Construction Schedule."

D. Welding Certificates: Prepare written certification that welding procedures and personnel comply with requirements in the Contract Documents. Submit record of Welding Procedure Specification (WPS) and Procedure Qualification Record (PQR) on AWS forms. Include names of firms and personnel certified.

E. Product Certificates: Prepare written statements on manufacturer's letterhead certifying that product complies with requirements in the Contract Documents.

F. Material Certificates: Prepare written statements on manufacturer's letterhead certifying that material complies with requirements in the Contract Documents.

G. Material Test Reports: Prepare reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting test results of material for compliance with requirements in the Contract Documents.

H. Manufacturer's Instructions: Prepare written or published information that documents manufacturer's recommendations, guidelines, and procedures for installing or operating a product or equipment. Include name of product and name, address, and telephone number of manufacturer.

I. Insurance Certificates and Bonds: Prepare written information indicating current status of insurance or bonding coverage. Include name of entity covered by insurance or bond, limits of coverage, amounts of deductibles, if any, and term of the coverage.

PART 3 - EXECUTION

3.1 CONTRACTOR'S REVIEW

A. Review each submittal and check for coordination with other Work of the Contract and for compliance with the Contract Documents. Note corrections and field dimensions

3.2 CONTRACTING OFFICER’S ACTION

A. General: Submittals will be returned disapproved without technical review if identification information is missing, not filled in, or if placed on the back of the submittal; an incorrect number or format of submittals is provided; the transmittal form is incorrectly filled out; submittals are not coordinated; or submittals do not show evidence of Contractor's approval.

1. Any work done or orders for materials or services placed before approval shall be at the Contractor's own risk.

B. Action Submittals: Contracting Officer will review each submittal, make marks to indicate corrections or modifications required, and return one copy. Contracting Officer will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action taken, as follows:

1. The returned submittal will be marked in one of three ways as defined below:

a. APPROVED: Acceptable with no corrections.
b. APPROVED WITH NOTATIONS: Minor corrections or clarifications required. All comments are clear and no further review is required. The Contractor shall address all review comments when proceeding with the work.
c. DISAPPROVED - RESUBMIT: Rejected as not in accordance with the contract or as requiring major corrections or clarifications. The Contracting Officer will identify the reasons for disapproval. The Contractor shall revise and resubmit with changes clearly identified.

C. Informational Submittals: Contracting Officer will review each submittal and will not return it, or will reject and return one copy if it does not comply with requirements. Contracting Officer will forward each submittal to appropriate party.

D. Partial submittals are not acceptable, will be considered non-responsive, and will be returned without review.

END OF SECTION 013323