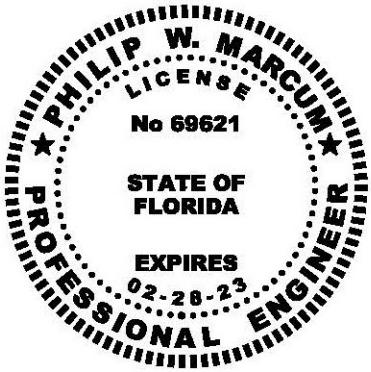
SECTION 01 33 00

SUBMITTAL PROCEDURES

APPROVAL STATUS							
PREPARED BY:	PWM	DATE	27July2021	CHECKED BY:	GA	DATE	27July2021
APPROVED BY:	DB	DATE	27July2021				

REVISION STATUS						
REV	ISSUED FOR	REVISED BY	CHECKED BY	APPROVAL	APPROVAL	DATE
0	Bidding					

Engineer's Seal



Digital Signature

Philip W Marcum

Digitally signed by Philip W Marcum
DN: c=US, o=Unaffiliated, ou=A01410D0000017497222E2400009748, cn=Philip W Marcum
Date: 2021.07.28 17:29:46 -04'00'

PHILIP W. MARCUM P.E., STATE OF FLORIDA, PROFESSIONAL ENGINEER, LICENSE NO. 69621.

THIS ITEM HAS BEEN ELECTRONICALLY SIGNED AND SEALED BY PHILIP W. MARCUM ON 28 JULY 2021, USING A DIGITAL SIGNATURE ISSUED BY IDENTRUST.

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SECTION 01 33 00

SUBMITTAL PROCEDURES

PART 1 GENERAL

1.1 SUMMARY

1.1.1 Submittal Information

The Owner's Representative may request submittals in addition to those specified when deemed necessary to adequately describe the work covered in the respective sections. Each submittal is to be complete and in sufficient detail to allow ready determination of compliance with contract requirements.

Units of weights and measures used on all submittals are to be the same as those used in the contract drawings.

1.1.2 Project Type

The Contractor's Quality Control (CQC) System Manager are to check and approve all items before submittal and stamp, sign, and date indicating action taken. Proposed deviations from the contract requirements are to be clearly identified. Include within submittals items such as: Contractor's, manufacturer's, or fabricator's drawings; descriptive literature including (but not limited to) catalog cuts, diagrams, operating charts or curves; test reports; test cylinders; samples; O&M manuals (including parts list); certifications; warranties; and other such required submittals.

The Contractor and the Designer of Record (DOR), if applicable, are to check and approve all items before submittal and stamp, sign, and date indicating action taken. Proposed deviations from the contract requirements are to be clearly identified. Include within submittals items such as: Contractor's, manufacturer's, or fabricator's drawings; descriptive literature including (but not limited to) catalog cuts, diagrams, operating charts or curves; test reports; test cylinders; samples; O&M manuals (including parts list); certifications; warranties; and other such required submittals.

1.1.3 Submission of Submittals

Schedule and provide submittals requiring Owner approval before acquiring the material or equipment covered thereby. Pick up and dispose of samples not incorporated into the work in accordance with manufacturer's Safety Data Sheets (SDS) and in compliance with existing laws and regulations.

1.2 DEFINITIONS

1.2.1 Submittal Descriptions (SD)

Submittal requirements are specified in the technical sections. Examples and descriptions of submittals identified by the Submittal Description (SD) numbers and titles follow:

SD-01 Preconstruction Submittals

Submittals that are required prior to or commencing with the start of work on site. Submittals that are required prior to or at the start of construction (work) or the next major phase of the construction on a multiphase contract.

- Emergency Shutdown Plan for Hurricane, Tropical Storm or Heavy Rainfall Event
- Health and Safety Management Plan
- Construction Schedule (Primavera)
- Contractor Quality Control Plan
- Construction Work Plan
- Design Quality Control Plan
- Environmental Management Plan
- Traffic Control Plan
- Material Management Plan
- Waste Management Plan
- Site Temporary Facilities Plan
- Utility Outage Requests
- Utility Connection Requests
- Certificates of Insurance
- Surety Bonds
- List of Proposed Subcontractors
- List of Proposed Products
- Submittal Register
- Schedule of Prices or Earned Value Report
- Request for Information (RFI) form
- Lightening Plan
- Power Supply Plan
- Non-Potable Water Plan
- Qualifications of Contractor's Surveyor (Licensed in the State of Florida Board of Professional Engineers and Surveyors)
- Project Schedule using Primavera including Construction Phasing Plan
- Quality Control Management Plan
- Inspection and Test Plan

Health and Safety Management Plan

- Included in this plan should be the qualifications of the fulltime Safety Manager that will be assigned to the project by the Contractor. The Safety Manager shall be familiar with the following fields of construction:
    - Cofferdams
    - Work near water
    - Work in water
    - Work underwater
    - Earthwork
    - Heavy Lifting
    - Cranes (land and barge based)

- Piling Operations
- Welding Operations
- Confined Space
- Other fields as necessary to complete the work described in these contract documents

Each of the previous listed documents and those not yet identified shall be updated as needed throughout the project.

SD-02 Shop Drawings

Drawings, diagrams and schedules specifically prepared to illustrate some portion of the work.

Diagrams and instructions from a manufacturer or fabricator for use in producing the product and as aids to the Contractor for integrating the product or system into the project.

Drawings prepared by or for the Contractor to show how multiple systems and interdisciplinary work will be coordinated.

SD-03 Product Data

Catalog cuts, illustrations, schedules, diagrams, performance charts, instructions and brochures illustrating size, physical appearance and other characteristics of materials, systems or equipment for some portion of the work.

Samples of warranty language when the contract requires extended product warranties.

SD-04 Samples

Fabricated or unfabricated physical examples of materials, equipment or workmanship that illustrate functional and aesthetic characteristics of a material or product and establish standards by which the work can be judged.

Color samples from the manufacturer's standard line (or custom color samples if specified) to be used in selecting or approving colors for the project.

Field samples and mock-ups constructed on the project site establish standards ensuring work can be judged. Includes assemblies or portions of assemblies that are to be incorporated into the project and those that will be removed at conclusion of the work.

SD-05 Design Data

Design calculations, mix designs, analyses or other data pertaining to a part of work.

Design submittals, design substantiation submittals and extensions of design submittals.

SD-06 Test Reports

Report signed by authorized official of testing laboratory that a material, product or system identical to the material, product or system to be provided has been tested in accord with specified requirements. Unless specified in another section, testing must have been within three years of date of contract award for the project.

Report that includes findings of a test required to be performed on an actual portion of the work or prototype prepared for the project before shipment to job site.

Report that includes finding of a test made at the job site or on sample taken from the job site, on portion of work during or after installation.

Investigation reports

Daily logs and checklists

Final acceptance test and operational test procedure

SD-07 Certificates

Statements printed on the manufacturer's letterhead and signed by responsible officials of manufacturer of product, system or material attesting that the product, system, or material meets specification requirements. Must be dated after award of project contract and clearly name the project.

Document required of Contractor, or of a manufacturer, supplier, installer or Subcontractor through Contractor. The document purpose is to further promote the orderly progression of a portion of the work by documenting procedures, acceptability of methods, or personnel qualifications.

Confined space entry permits

Text of posted operating instructions

SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system or material, including special notices and (SDS)concerning impedances, hazards and safety precautions.

SD-10 Operation and Maintenance Data

Data provided by the manufacturer, or the system provider, including manufacturer's help and product line documentation, necessary to maintain and install equipment, for operating and maintenance use by facility personnel.

Data required by operating and maintenance personnel for the safe and efficient operation, maintenance and repair of the item.

Data incorporated in an operations and maintenance manual or control system.

SD-11 Closeout Submittals

Documentation to record compliance with technical or administrative requirements or to establish an administrative mechanism.

Submittals required for Guiding Principle Validation (GPV) or Third Party Certification (TPC).

Special requirements necessary to properly close out a construction contract. For example, Record Drawings and as-built drawings. Also, submittal requirements necessary to properly close out a major phase of construction on a multi-phase contract.

1.2.2 Approving Authority

Office or designated person authorized to approve the submittal.

1.2.3 Work

As used in this section, on-site and off-site construction required by contract documents, including labor necessary to produce submittals, construction, materials, products, equipment, and systems incorporated or to be incorporated in such construction. In exception, excludes work to produce SD-01 submittals.

1.3 SUBMITTALS

Owner approval is required for submittals with a "G" or "S" classification. Submittals not having a "G" or “S” classification are for information only. When used, a code following the "G" classification identifies the office that will review the submittal for the Owner. Submit the following in accordance with Section 01 33 00 SUBMITTAL PROCEDURES:

SD-01 Preconstruction Submittals

Submittal Register; G

1.4 SUBMITTAL CLASSIFICATION

1.4.1 Owner Approved

Owner approval is required for extensions of design, critical materials, variations, equipment whose compatibility with the entire system must be checked, and other items as designated by the Owner.

Owner approval is required for any variations from the Solicitation or the Accepted Proposal and for other items as designated by the Owner.

Within the terms of the Contract Clause SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION, submittals are considered to be "shop drawings."

1.4.2 Design-Build Submittal Classifications

1.4.2.1 Designer of Record Approved (DA)

Designer of Record (DOR) approval is required for extensions of design; critical materials; any variations from the Solicitation, the Accepted Proposal, or the completed design; equipment whose compatibility with the entire system must be checked; and other items as designated by the Owner's Representative. Provide the Owner with the number of copies designated hereinafter of all DOR approved submittals. The Owner may review any or all Designer of Record approved submittals for conformance with the Solicitation, the Accepted Proposal, and the completed design. The Owner will review all submittals designated as varying from the Solicitation or Accepted Proposal, as described below. Generally, list design submittals under SD-05 Design Data.

1.4.2.2 Owner Conformance Review of Design (CR)

The Owner will review all intermediate and final design submittals for conformance with the technical requirements of the Solicitation. Review will be only for conformance with the applicable codes, standards, and contract requirements.

1.4.2.3 Designer of Record Approved/ Owner Conformance Review (DA/CR)

1.4.2.3.1 Variations from the Accepted Design

DOR approval and the Owner's concurrence are required for any proposed variation from the accepted design that still complies with the contract before the Contractor is authorized to proceed with material acquisition or installation. If necessary, to facilitate the project schedule, before official submission to the Owner, the Contractor and the DOR may discuss with the Owner's Representative a submittal proposing a variation. However, the Owner reserves the right to review the submittal before providing an opinion. In any case, the Owner will not formally agree to or provide a preliminary opinion on any variation without the DOR's approval or recommended approval. The Owner reserves the right to reject any design, variation that may affect furniture, furnishings, equipment selections, or operational decisions that were made, based on the reviewed and concurred design.

1.4.2.3.2 Substitutions

Unless prohibited or otherwise provided for elsewhere in the contract, where the Accepted Proposal named products, systems, materials or equipment by manufacturer, brand name, model number, or other specific identification, and the Contractor desires to substitute a manufacturer or model after award, submit a requested substitution for Owner concurrence. Include substantiation, through identifying information and the DOR's approval, that the substitute meets the contract requirements and that it is equal in function, performance, quality, and salient features to that in the accepted contract proposal. If the contract otherwise prohibits substitutions of equal named products, systems, materials or equipment by manufacturer, brand name, model number or other specific identification, the request is considered a "variation" to the contract.

1.4.3 For Information Only

Submittals not requiring Owner approval will be for information only.

1.4.4 Sustainability Reporting Submittals (S)

Submittals for Guiding Principle Validation (GPV) or Third Party Certification (TPC) are indicated with an "S" designation. These submittals are for information only.

Schedule submittals for these items throughout the course of construction as provided; do not wait until closeout.

1.5 FORWARDING SUBMITTALS REQUIRING OWNER APPROVAL

As soon as practicable after award of contract, and before procurement or fabrication, forward to the Engineer: submittals required in the technical sections of this specification, including shop drawings, product data and samples. In addition, forward a copy of the submittals to the Owner's Representative.

1.5.1 O&M Data

Submit data specified for a given item within 30 calendar days after the item is delivered to the contract site.

In the event the Contractor fails to deliver O&M data within the time limits specified, the Owner's Representative may withhold from progress payments 50 percent of the price of the items to which such O&M data apply.

1.6 PREPARATION

1.6.1 Transmittal Form

Transmit each submittal, except sample installations and sample panels to the office of the approving authority using the transmittal form prescribed by the Owner's Representative. Include all information prescribed by the transmittal form and required in paragraph IDENTIFYING SUBMITTALS. Use the submittal transmittal forms to record actions regarding samples.

Exercise special care to ensure proper listing of the specification paragraph and sheet number of the contract drawings pertinent to the data submitted for each item.

1.6.2 Identifying Submittals

The Contractor's Quality Control Manager approving authority must prepare, review and stamp submittals, including those provided by a subcontractor, before submittal to the Owner.

Identify submittals, except sample installations and sample panels, with the following information permanently adhered to or noted on each separate component of each submittal and noted on transmittal form. Mark each copy of each submittal identically, with the following:

a. Project title and location

b. Construction contract number

c. Dates of the drawings and revisions

d. Name, address, and telephone number of Subcontractor, supplier, manufacturer, and any other Subcontractor associated with the submittal.

e. Section number of the specification by which submittal is required

f. Submittal description (SD) number of each component of submittal

g. For a resubmission, add alphabetic suffix on submittal description, for example, submittal 18 would become 18A, to indicate resubmission

h. Product identification and location in project.

1.6.3 Submittal Format

1.6.3.1 Format of SD-01 Preconstruction Submittals

When the submittal includes a document that is to be used in the project, or is to become part of the project record, other than as a submittal, do not apply the Contractor's approval stamp to the document itself, but to a separate sheet accompanying the document.

Provide data in the unit of measure used in the contract documents.

1.6.3.2 Format for SD-02 Shop Drawings

Provide shop drawings not less than 8 1/2 by 11 inches nor more than 30 by 42 inches, except for full-size patterns or templates. Prepare drawings to accurate size, with scale indicated, unless another form is required. Ensure drawings are suitable for reproduction and of a quality to produce clear, distinct lines and letters, with dark lines on a white background.

a. Include the nameplate data, size, and capacity on drawings. Also include applicable federal, military, industry, and technical society publication references.

b. Dimension drawings, except diagrams and schematic drawings. Prepare drawings demonstrating interface with other trades to scale. Use the same unit of measure for shop drawings as indicated on the contract drawings. Identify materials and products for work shown.

Present shop drawings sized 8 1/2 by 11 inches as part of the bound volume for submittals. Present larger drawings in sets. Submit an electronic copy of drawings in PDF format.

1.6.3.2.1 Drawing Identification

Include on each drawing the drawing title, number, date, and revision numbers and dates, in addition to information required in paragraph IDENTIFYING SUBMITTALS.

Number drawings in a logical sequence. Each drawing is to bear the number of the submittal in a uniform location next to the title block. Place the Owner contract number in the margin, immediately below the title block, for each drawing.

1.6.3.3 Format of SD-03 Product Data

Present product data submittals for each section as a complete, bound volume. Include a table of contents, listing the page and catalog item numbers for product data.

Indicate, by prominent notation, each product that is being submitted; indicate the specification section number and paragraph number to which it pertains.

1.6.3.3.1 Product Information

Supplement product data with material prepared for the project to satisfy the submittal requirements where product data does not exist. Identify this material as developed specifically for the project, with information and format as required for submission of SD-07 Certificates.

Provide product data in units used in the Contract documents. Where product data are included in preprinted catalogs with another unit, submit the dimensions in contract document units, on a separate sheet.

1.6.3.3.2 Standards

Where equipment or materials are specified to conform to industry or technical-society reference standards of such organizations as the American National Standards Institute (ANSI), ASTM International (ASTM), National Electrical Manufacturer's Association (NEMA), Underwriters Laboratories (UL), or Association of Edison Illuminating Companies (AEIC), submit proof of such compliance. The label or listing by the specified organization will be acceptable evidence of compliance. In lieu of the label or listing, submit a certificate from an independent testing organization, competent to perform testing, and approved by the Owner’s Representative. State on the certificate that the item has been tested in accordance with the specified organization's test methods and that the item complies with the specified organization's reference standard.

1.6.3.3.3 Data Submission

Collect required data submittals for each specific material, product, unit of work, or system into a single submittal that is marked for choices, options, and portions applicable to the submittal. Mark each copy of the product data identically. Partial submittals will [not] be accepted for expedition of the construction effort.

Submit the manufacturer's instructions before installation.

1.6.3.4 Format of SD-04 Samples

1.6.3.4.1 Sample Characteristics

Furnish samples in the following sizes, unless otherwise specified or unless the manufacturer has prepackaged samples of approximately the same size as specified:

a. Sample of Equipment or Device: Full size.

b. Sample of Materials Less Than 2 by 3 inches: Built up to 8 1/2 by 11 inches.

c. Sample of Materials Exceeding 8 1/2 by 11 inches: Cut down to 8 1/2 by 11 inches and adequate to indicate color, texture, and material variations.

d. Sample of Linear Devices or Materials: 10 inch length or length to be supplied, if less than 10 inches. Examples of linear devices or materials are conduit and handrails.

e. Sample Volume of Nonsolid Materials: Pint. Examples of nonsolid materials are sand and paint.

f. Color Selection Samples: 2 by 4 inches. Where samples are specified for selection of color, finish, pattern, or texture, submit the full set of available choices for the material or product specified. Sizes and quantities of samples are to represent their respective standard unit.

g. Sample Panel: 4 by 4 feet.

h. Sample Installation: 100 square feet.

1.6.3.4.2 Sample Incorporation

Reusable Samples: Incorporate returned samples into work only if so specified or indicated. Incorporated samples are to be in undamaged condition at the time of use.

Recording of Sample Installation: Note and preserve the notation of any area constituting a sample installation but remove the notation at the final clean-up of the project.

1.6.3.4.3 Comparison Sample

Samples Showing Range of Variation: Where variations in color, finish, pattern, or texture are unavoidable due to nature of the materials, submit sets of samples of not less than three units showing extremes and middle of range. Mark each unit to describe its relation to the range of the variation.

When color, texture, or pattern is specified by naming a particular manufacturer and style, include one sample of that manufacturer and style, for comparison.

1.6.3.5 Format of SD-05 Design Data

Provide design data and certificates on 8 1/2 by 11-inch paper. Provide a bound volume for submittals containing numerous pages.

1.6.3.6 Format of SD-06 Test Reports

Provide reports on 8 1/2 by 11-inch paper in a complete bound volume.

By prominent notation, indicate each report in the submittal. Indicate the specification number and paragraph number to which each report pertains.

1.6.3.7 Format of SD-07 Certificates

Provide design data and certificates on 8 1/2 by 11-inch paper. Provide a bound volume for submittals containing numerous pages.

1.6.3.8 Format of SD-08 Manufacturer's Instructions

Present manufacturer's instructions submittals for each section as a complete, bound volume. Include the manufacturer's name, trade name, place of manufacture, and catalog model or number on product data. Also include applicable federal, military, industry, and technical-society publication references. If supplemental information is needed to clarify the manufacturer's data, submit it as specified for SD-07 Certificates.

Submit the manufacturer's instructions before installation.

1.6.3.8.1 Standards

Where equipment or materials are specified to conform to industry or technical-society reference standards of such organizations as the American National Standards Institute (ANSI), ASTM International (ASTM), National Electrical Manufacturer's Association (NEMA), Underwriters Laboratories (UL), or Association of Edison Illuminating Companies (AEIC), submit proof of such compliance. The label or listing by the specified organization will be acceptable evidence of compliance. In lieu of the label or listing, submit a certificate from an independent testing organization, competent to perform testing, and approved by the Owner’s Representative. State on the certificate that the item has been tested in accordance with the specified organization's test methods and that the item complies with the specified organization's reference standard.

1.6.3.9 Format of SD-09 Manufacturer's Field Reports

Provide reports on 8 1/2 by 11-inch paper in a complete bound volume.

By prominent notation, indicate each report in the submittal. Indicate the specification number and paragraph number to which each report pertains.

1.6.3.10 Format of SD-10 Operation and Maintenance Data (O&M)

Comply with the requirements specified in Section 01 78 23 OPERATION AND MAINTENANCE DATA for O&M Data format.

1.6.3.11 Format of SD-11 Closeout Submittals

When the submittal includes a document that is to be used in the project or is to become part of the project record, other than as a submittal, do not apply the Contractor's approval stamp to the document itself, but to a separate sheet accompanying the document.

Provide data in the unit of measure used in the contract documents.

1.6.4 Source Drawings for Shop Drawings

1.6.4.1 Source Drawings

The entire set of source drawing files (DWG) will not be provided to the Contractor. Request the specific Drawing Number for the preparation of shop drawings. Only those drawings requested to prepare shop drawings will be provided. These drawings are provided only after award.

1.6.4.2 Terms and Conditions

Data contained on these electronic files must not be used for any purpose other than as a convenience in the preparation of construction data for the referenced project. Any other use or reuse is at the sole risk of the Contractor and without liability or legal exposure to the Owner. The Contractor must make no claim and waives to the fullest extent permitted by law any claim or cause of action of any nature against the Owner, its agents, or its subconsultants that may arise out of or in connection with the use of these electronic files. The Contractor must, to the fullest extent permitted by law, indemnify and hold the Owner harmless against all damages, liabilities, or costs, including reasonable attorney's fees and defense costs, arising out of or resulting from the use of these electronic files.

These electronic source drawing files are not construction documents. Differences may exist between the source drawing files and the corresponding construction documents. The Owner makes no representation regarding the accuracy or completeness of the electronic source drawing files, nor does it make representation to the compatibility of these files with the Contractor hardware or software. The Contractor is responsible for determining if any conflict exists. In the event that a conflict arises between the signed and sealed construction documents prepared by the Owner and the furnished source drawing files, the signed and sealed construction documents govern. Use of these source drawing files does not relieve the Contractor of the duty to fully comply with the contract documents, including and without limitation the need to check, confirm and coordinate the work of all contractors for the project. If the Contractor uses, duplicates or modifies these electronic source drawing files for use in producing construction data related to this contract, remove all previous indication of ownership (seals, logos, signatures, initials and dates).

1.6.5 Electronic File Format

Provide submittals in electronic format, with the exception of material samples required for SD-04 Samples items. In addition to the electronic submittal, provide three hard copies of the submittals. Compile the submittal file as a single, complete document, to include the Transmittal Form described within. Name the electronic submittal file specifically according to its contents and coordinate the file naming convention with the Owner’s Representative. Electronic files must be of sufficient quality that all information is legible. Use PDF as the electronic format, unless otherwise specified or directed by the Owner’s Representative. Generate PDF files from original documents with bookmarks

so that the text included in the PDF file is searchable and can be copied. If documents are scanned, optical character resolution (OCR) routines are required. Index and bookmark files exceeding 30 pages to allow efficient navigation of the file. When required, the electronic file must include a valid electronic signature or a scan of a signature.

Contractor shall submit all submittals through Lake Manatee's E-Builder project control system. Contractor shall also submit an email to the Owner's Representative stating the number and name of the submittal and verification that the document(s) were uploaded and accepted in the E-Builder system.

1.7 QUANTITY OF SUBMITTALS

1.7.1 Number of SD-01 Preconstruction Submittal Copies

Unless otherwise specified, submit **three** sets of administrative submittals.

1.7.2 Number of SD-02 Shop Drawing Copies

Unless otherwise specified, submit **three** sets of submittals of shop drawings requiring review and approval by a QC organization. Submit seven copies of shop drawings requiring review and approval by the Owner's Representative.

1.7.3 Number of SD-03 Product Data Copies

Submit in compliance with quantity requirements specified for shop drawings.

1.7.4 Number of SD-04 Samples

a. Submit two samples, or two sets of samples showing the range of variation, of each required item. One approved sample or set of samples will be retained by the approving authority and one will be returned to the Contractor.

b. Submit one sample panel or provide one sample installation where directed. Include components listed in the technical section or as directed.

c. Submit one sample installation, where directed.

d. Submit one sample of nonsolid materials.

1.7.5 Number of SD-05 Design Data Copies

Submit in compliance with quantity requirements specified for shop drawings.

1.7.6 Number of SD-06 Test Report Copies

Submit in compliance with quantity and quality requirements specified for shop drawings, other than field test results that will be submitted with QC reports.

1.7.7 Number of SD-07 Certificate Copies

Submit in compliance with quantity requirements specified for shop drawings.

1.7.8 Number of SD-08 Manufacturer's Instructions Copies

Submit in compliance with quantity requirements specified for shop drawings.

1.7.9 Number of SD-09 Manufacturer's Field Report Copies

Submit in compliance with quantity and quality requirements specified for shop drawings other than field test results that will be submitted with QC reports.

1.7.10 Number of SD-10 Operation and Maintenance Data Copies

Submit **three** copies of O&M data to the Owner's Representative for review and approval.

1.7.11 Number of SD-11 Closeout Submittals Copies

Unless otherwise specified, submit **three** sets of administrative submittals.

1.8 INFORMATION ONLY SUBMITTALS

Submittals without a "G" designation must be certified by the QC manager and submitted to the Owner's Representative for information-only. Approval of the Owner's Representative is not required on information only submittals. The Owner's Representative will mark "receipt acknowledged" on submittals for information and will return only the transmittal cover sheet to the Contractor. Normally, submittals for information only will not be returned. However, the Owner reserves the right to return unsatisfactory submittals and require the Contractor to resubmit any item found not to comply with the contract. This does not relieve the Contractor from the obligation to furnish material conforming to the plans and specifications; will not prevent the Owner's Representative from requiring removal and replacement of nonconforming material incorporated in the work; and does not relieve the Contractor of the requirement to furnish samples for testing by the Owner laboratory or for check testing by the Owner in those instances where the technical specifications so prescribe. For Design-Build construction, the Owner will retain two copies of information-only submittals.

1.9 PROJECT SUBMITTAL REGISTER AND DATABASE

A sample Project Submittal Register showing items of equipment and materials for when submittals are required by the specifications is provided as "Appendix A - Submittal Register."

1.9.1 Submittal Management

Contractor is to utilize Manatee County's E-Builder to submit and track all submittals.

1.9.2 Design-Build Submittal Register

Contractor is to utilize Manatee County's E-Builder to submit and track all submittals.

1.9.3 Preconstruction Use of Submittal Register

Contractor is to utilize Manatee County's E-Builder to submit and track all submittals.

1.9.4 Contractor Use of Submittal Register

Contractor is to utilize Manatee County's E-Builder to submit and track all submittals.

1.9.5 Approving Authority Use of Submittal Register

Manatee County and the Owner's Representative will manage the submission of all submittals through E-Builder.

1.9.6 Action Codes

Action Codes shall be in accordance with Manatee County's E-Builder standards.

1.9.7 Delivery of Copies

Submit an updated electronic copy of the submittal register to the Owner's Representative with each invoice request, unless a paper copy is requested by the Owner's Representative. Provide an updated Submittal Register monthly regardless of whether an invoice is submitted.

1.10 VARIATIONS

Variations from contract requirements require Owner's Representative approval pursuant to contract documents and will be considered where advantageous to the Owner.

1.10.1 Considering Variations

Discussion of variations with the Owner's Representative before submission of a variation submittal will help ensure that functional and quality requirements are met and minimize rejections and resubmittals. For variations that include design changes or some material or product substitutions, the Owner may require an evaluation and analysis by a licensed professional engineer hired by the contractor.

Specifically point out variations from contract requirements in a variation submittal. Failure to point out variations may cause the Owner to require rejection and removal of such work at no additional cost to the Owner.

1.10.2 Proposing Variations

When proposing variation, deliver a submittal, clearly marked as a "VARIATION" to the Owner's Representative, with documentation illustrating the nature and features of the variation including any necessary technical submittals and why the variation is desirable and beneficial to Owner. If lower cost is a benefit, also include an estimate of the cost savings. In addition to documentation required

for variation, include the submittals required for the item. Clearly mark the proposed variation in all documentation.

The Owner's Representative will indicate an approval or disapproval of the variation request; and if not approved as submitted, will indicate the Owner's reasons, therefore. Any work done before such approval is received is performed at the Contractor's risk."

Specifically point out variations from contract requirements in a variation submittal. Failure to point out variations may cause the Owner to require rejection and removal of such work at no additional cost to the Owner.

Identify clearly for submittals that include variations proposed by the Contractor. Set forth in writing the reason for any variations and note such variations on the submittal. The Owner reserves the right to rescind inadvertent approval of submittals containing unnoted variations.

1.10.3 Warranting that Variations are Compatible

When delivering a variation for approval, the Contractor warrants that this contract has been reviewed to establish that the variation, if incorporated, will be compatible with other elements of work.

1.10.4 Review Schedule Extension

In addition to the normal submittal review period, a period of 14 calendar working days will be allowed for the Owner to consider submittals with variations.

1.11 SCHEDULING

Schedule and submit concurrently product data and shop drawings covering component items forming a system or items that are interrelated. Submit pertinent certifications at the same time. No delay damages or time extensions will be allowed for time lost in late submittals.

a. Coordinate scheduling, sequencing, preparing, and processing of submittals with performance of work so that work will not be delayed by submittal processing. The Contractor is responsible for additional time required for Owner reviews resulting from required resubmittals. The review period for each resubmittal is the same as for the initial submittal.

b. Submittals required by the contract documents are listed on the submittal register. If a submittal is listed in the submittal register but does not pertain to the contract work, the Contractor is to include the submittal in the register and annotate it "N/A" with a brief explanation. Approval by the Owner's Representative does not relieve the Contractor of supplying submittals required by the contract documents but that have been omitted from the register or marked "N/A."

c. Resubmit the submittal register and annotate it monthly with actual submission and approval dates. When all items on the register have been fully approved, no further resubmittal is required.

Owner's Representative review will be completed within 14 calendar working days after the date of submission unless otherwise notified.

d. Except as specified otherwise, allow a review period, beginning with receipt by the approving authority, that includes at least 15 working days for submittals for QC manager approval and 20 working days for submittals where the Owner's Representative is the approving authority. The period of review for submittals with Owner's Representative approval begins when the Owner receives the submittal from the QC organization.

e. For submittals requiring review by an Owner fire protection engineer, allow a review period, beginning when the Owner receives the submittal from the QC organization, of 30 working days for return of the submittal to the Contractor.

Within **15** calendar days of Notice to Proceed at the Preconstruction conference, provide the following schedule of submittals for approval by the Owner's Representative:

d. A schedule of shop drawings and technical submittals required by the specifications and drawings. Indicate the specification or drawing reference requiring the submittal; the material, item, or process for which the submittal is required; the "SD" number and identifying title of the submittal; the anticipated submission date, and the approval need date.

e. A separate schedule of other submittals required under the contract but not listed in the specifications or drawings. Indicate the contract requirement reference, the type or title of the submittal, the anticipated submission date, and the approval need date (if approval is required).

1.11.1 Reviewing, Certifying, and Approving Authority

The QC Manager is responsible for reviewing all submittals and certifying that they are in compliance with contract requirements. The approving authority on submittals is the QC Manager unless otherwise specified. The Owner's Representative is the approving authority for all submittals.

1.11.2 Constraints

Conform to provisions of this section, unless explicitly stated otherwise for submittals listed or specified in this contract.

Submit complete submittals for each definable feature of the work. At the same time, submit components of definable features that are interrelated as a system.

When acceptability of a submittal is dependent on conditions, items, or materials included in separate subsequent submittals, the submittal will be returned without review.

Approval of a separate material, product, or component does not imply approval of the assembly in which the item functions.

1.11.3 QC Organization Responsibilities

a. Review submittals for conformance with project design concepts and compliance with contract documents.

b. Process submittals based on the approving authority indicated in the submittal register.

(1) When the QC manager is the approving authority, take appropriate action on the submittal from the possible actions defined in paragraph APPROVED SUBMITTALS.

(2) When the Owner's Representative is the approving authority or when variation has been proposed, forward the submittal to the Owner, along with a certifying statement, or return the submittal marked "not reviewed" or "revise and resubmit" as appropriate. The QC organization's review of the submittal determines the appropriate action.

c. Ensure that material is clearly legible.

d. Stamp each sheet of each submittal with a QC certifying statement or an approving statement, except that data submitted in a bound volume or on one sheet printed on two sides may be stamped on the front of the first sheet only.

(1) When the approving authority is the Owner's Representative, the QC organization will certify submittals forwarded to the Owner's Representative with the following certifying statement:

"I hereby certify that the (equipment) (material) (article) shown and marked in this submittal is that proposed to be incorporated with Contract Number _____ is in compliance with the contract drawings and specification, can be installed in the allocated spaces, and is submitted for Owner approval.

Certified by Submittal Reviewer _____, Date _____
(Signature when applicable)

Certified by QC Manager _____, Date _____"
(Signature)

(2) When approving authority is the QC manager, the QC manager will use the following approval statement when returning submittals to the Contractor as "Approved" or "Approved as Noted."

"I hereby certify that the (material) (equipment) (article) shown and marked in this submittal and proposed to be incorporated with Contract Number [_____] is in compliance with the contract drawings and specification, can be installed in the allocated spaces, and is approved for use.

Certified by Submittal Reviewer _____, Date _____
(Signature when applicable)

Approved by QC Manager _____, Date _____"
(Signature)

e. Sign the certifying statement or approval statement. The QC organization member designated in the approved QC plan is the person signing certifying statements. The use of original ink for signatures is required. Stamped signatures are not acceptable.

f. Update the submittal register as submittal actions occur, and maintain the submittal register at the project site until final acceptance of all work by the Owner's Representative.

g. Retain a copy of approved submittals and approved samples at the project site.

h. For "S" submittals, provide a copy of the approved submittal to the Owner Approving authority.

1.11.4 Owner Reviewed Design

The Owner will review design submittals for conformance with the technical requirements of the Solicitation. Owner review is required for variations from the completed design. Review will be only for conformance with the contract requirements. Included are only those construction submittals for which the DOR's design documents do not include enough detail to ascertain contract compliance. The Owner may, but is not required to, review extensions of design such as structural steel or reinforcement shop drawings.

1.12 OWNER APPROVING AUTHORITY

When the approving authority is the Owner's Representative, the Owner will:

a. Note the date on which the submittal was received from the QC manager.

b. Review submittals for approval within the scheduling period specified and only for conformance with project design concepts and compliance with contract documents.

c. Identify returned submittals with one of the actions defined in paragraph REVIEW NOTATIONS and with comments and markings appropriate for the action indicated.

Upon completion of review of submittals requiring Owner approval, stamp and date submittals. Two copies of the submittal will be retained by the Owner's Representative and one copy of the submittal will be returned to the Contractor. If the Owner performs a conformance review of other Designer of Record approved submittals, the submittals will be identified and returned, as described above.

1.12.1 Review Notations

Submittals will be returned to the Contractor with the following notations:

a. Submittals marked "approved" or "accepted" authorize proceeding with the work covered.

b. Submittals marked "approved as noted" or "approved, except as noted, resubmittal not required," authorize proceeding with the work covered provided that the Contractor takes no exception to the corrections.

c. Submittals marked "not approved," "disapproved," or "revise and resubmit" indicate incomplete submittal or noncompliance with the contract requirements or design concept. Resubmit with appropriate changes. Do not proceed with work for this item until the resubmittal is approved.

d. Submittals marked "not reviewed" indicate that the submittal has been previously reviewed and approved, is not required, does not have evidence of being reviewed and approved by Contractor, or is not complete. A submittal marked "not reviewed" will be returned with an explanation of the reason it is not reviewed. Resubmit submittals returned for lack of review by Contractor or for being incomplete, with appropriate action, coordination, or change.

e. Submittals marked "receipt acknowledged" indicate that submittals have been received by the Owner. This applies only to "information-only submittals" as previously defined.

1.13 DISAPPROVED SUBMITTALS

Make corrections required by the Owner’s Representative. If the Contractor considers any correction or notation on the returned submittals to constitute a change to the contract drawings or specifications, give notice to the Owner’s Representative. The Contractor is responsible for the dimensions and design of connection details and the construction of work. Failure to point out variations may cause the Owner to require rejection and removal of such work at the Contractor's expense.

If changes are necessary to submittals, make such revisions and resubmit in accordance with the procedures above. No item of work requiring a submittal change is to be accomplished until the changed submittals are approved.

1.14 APPROVED SUBMITTALS

The Owner’s Representative 's approval of submittals is not to be construed as a complete check, and indicates only that the general method of construction, materials, detailing, and other information are satisfactory. the design, general method of construction, materials, detailing, and other information appear to meet the Solicitation and Accepted Proposal.

Approval or acceptance by the Owner for a submittal does not relieve the Contractor of the responsibility for meeting the contract requirements or for any error that may exist, because under the Quality Control (QC) requirements of this contract, the Contractor is responsible for ensuring information contained within each submittal accurately conforms with the requirements of the contract documents.

After submittals have been approved or accepted by the Owner’s Representative, no resubmittal for the purpose of substituting materials or equipment will be considered unless accompanied by an explanation of why a substitution is necessary.

1.15 APPROVED SAMPLES

Approval of a sample is only for the characteristics or use named in such approval and is not be construed to change or modify any contract requirements. Before submitting samples, provide

assurance that the materials or equipment will be available in quantities required in the project. No change or substitution will be permitted after a sample has been approved.

Match the approved samples for materials and equipment incorporated in the work. If requested, approved samples, including those that may be damaged in testing, will be returned to the Contractor, at its expense, upon completion of the contract. Unapproved samples will also be returned to the Contractor at its expense, if so requested.

Failure of any materials to pass the specified tests will be sufficient cause for refusal to consider, under this contract, any further samples of the same brand or make as that material. The Owner reserves the right to disapprove any material or equipment that has previously proved unsatisfactory in service.

Samples of various materials or equipment delivered on the site or in place may be taken by the Owner's Representative for testing. Samples failing to meet contract requirements will automatically void previous approvals. Replace such materials or equipment to meet contract requirements.

1.16 WITHHOLDING OF PAYMENT

Payment for materials incorporated in the work will not be made if required approvals have not been obtained. No payment for materials incorporated in the work will be made unless all required DOR approvals or required Owner approvals have been obtained. No payment will be made for any materials incorporated into the work for any conformance review submittals or information-only submittals found to contain errors or deviations from the Solicitation or Accepted Proposal.

1.17 CERTIFICATION OF SUBMITTAL DATA

Certify the submittal data as follows on Form ENG 4025: "I certify that the above submitted items had been reviewed in detail and are correct and in strict conformance with the contract drawings and specifications except as otherwise stated.

_____NAME OF CONTRACTOR _____ SIGNATURE OF CONTRACTOR

PART 2 PRODUCTS

Not Used.

PART 3 EXECUTION

Not Used.

-- End of Section --