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The TEXT indicated with < > is to be selected or filled in by the Specifier to meet the requirements of the project.

If any of the SECTIONS (i.e. 1.02, 1.03, etc.) below are not required for the project do NOT delete the Section, but rather change the title of the Section to “NOT USED” (i.e. 1.02 NOT USED) so that numbering of specification references is preserved, and delete the specification language in this Section below the title.

PART 1 GENERAL

1.01 SECTION INCLUDES

- A. Definitions.
- B. General instructions.
- C. Submittal organization.
- D. Submittal cover sheets.
- E. Submittal content.
- F. Submittal procedure.
- G. CONTRACTOR's professional engineer (PE) certification form.
- H. Closeout submittals.

1.02 DEFINITIONS

- A. Product data: Product data usually consisting of a manufacturers' printed data sheets or catalog pages illustrating the products to be incorporated into the project.
- B. Samples: Example products intended to illustrate the products to be incorporated into the project. Sample submittals are often necessary for such characteristics as colors, textures, and other appearance issues.
- C. Shop drawings: Drawings prepared specifically for the project to illustrate details, dimensions, and other data necessary for satisfactory fabrication or construction that are not shown in the Contract Documents. Shop drawings could include graphic line-type drawings, single-line diagrams, or schedules and lists of products and their application.
- D. Submittals: Submittals include samples, product data, shop drawings, and other items that demonstrate how the CONTRACTOR intends to conform with the Contract Documents.

1.03 GENERAL INSTRUCTIONS

- A. CONTRACTOR shall provide submittals that are specified or reasonably required for construction, operation, and maintenance of the Work.

- B. CONTRACTOR shall provide submittal information from only 1 manufacturer for a specified product. Submittals with multiple manufacturers for 1 product will be rejected without review.
- C. Where multiple submittals are required, CONTRACTOR shall provide a separate submittal for each specification section or as designated by the submittal register.
 - 1. In order to expedite construction, the CONTRACTOR may make more than 1 submittal per specification section, but a single submittal may not cover more than 1 specification section:
 - 2. The only exception to this requirement is when 1 specification section covers the requirements for a component of equipment specified in another section.
 - a. For example, circuit breakers are a component of switchgear. The switchgear submittal must also contain data for the associated circuit breakers, even though they are covered in a different specification section.
- D. CONTRACTOR shall edit all submittals so that the submittal specifically applies to only the equipment or material furnished. Neatly cross out all extraneous text, options, models, etc. that do not apply to the equipment or material being furnished, so that the information remaining is only applicable to the equipment or material being furnished.
- E. Prepare submittals in the English language. Do not include information in other languages.
- F. Present measurements in customary American units (feet, inches, pounds, etc).
- G. Show dimensions, construction details, wiring diagrams, controls, manufacturers, catalog numbers, and all other pertinent details.
- H. Indicate project designated equipment tag numbers from P&IDs for submittal of devices, equipment, and assemblies.
- I. <Hardcopy submittals:>
 - 1. <If submittal is more than 80 pages, provide hardcopy.>
 - 2. <Must be clear and legible, and of sufficient size for presentation of information.>
 - a. <Minimum page size will be 8 1/2 inches by 11 inches.>
 - b. <Maximum page size will be 11 inches by 17 inches.>
- J. Submittals in electronic media format:
 - 1. General: Provide all information via PM SaaS, see Section 01 33 12 - PM SaaS.
 - 2. Text: Provide text documents and manufacturer's literature using current version of Adobe Acrobat (i.e., PDF extension) as utilized by UTILITIES <and Engineer>.
 - 3. Graphics: Provide all graphic submittals (drawings, diagrams) utilizing current version of Adobe Acrobat (i.e., PDF extension) as utilized by UTILITIES <and Engineer>.

1.04 SUBMITTAL ORGANIZATION

- A. Fully indexed with a tabbed divider for every component.
- B. Sequentially number pages within the tabbed sections:
 - 1. Submittals that are not fully indexed and tabbed with sequentially numbered pages, or are otherwise unacceptable, will be returned without review.
- C. Organize submittals in exactly the same order as the items are referenced, listed, and/or organized in the specification section. The submittal register shall be created in PM SaaS based on the Contract Documents.
- D. For submittals that cover multiple equipment or materials used in different areas under the same specification section, the submittal for the individual devices must list the area where the equipment or material is used.

- E. Consolidate electronic format submittals with multiples pages into a single file.

1.05 SUBMITTAL COVER SHEETS

- A. CONTRACTOR shall use the Submittal Transmittal Form as provided by UTILITIES in PM SaaS.
 - 1. A brief description of the submittal contents shall be provided in the description field.
 - 2. Exceptions taken within the submittal shall be documented in the exceptions field. This section shall also be used to summarize revisions made on resubmittals.
- B. CONTRACTOR shall check Certification Statement Criteria stating:
 - 1. "By this submittal, I hereby represent that I have determined and verified all field measurements, field construction criteria, materials, dimensions, catalog information, and similar data and I have checked and coordinated each item with other applicable "Approved" shop drawings and all Contract requirements."
 - 2. Submittals without CONTRACTOR's signature will be returned to the CONTRACTOR unreviewed. Subsequent submittal of this information will be counted as the first resubmittal.
- C. Attachments:
 - 1. Specification section: Include with each submittal a link to the relevant specification section, including relevant addendum updates.
 - a. Indicate in the left margin, next to each pertinent paragraph, either compliance with a check (√) or deviation with a consecutive number (1, 2, 3).
 - b. Provide a list of all numbered deviations with a clear explanation and reason for the deviation.
 - 2. Drawings: Include with each submittal a link to the relevant Drawing, including relevant addendum updates.
 - a. Indicate either compliance with a check (√) or cloud each deviation and number with a consecutive number (1, 2, 3).
 - b. Provide a list of all numbered deviations with a clear explanation and reason for the deviation.
 - c. Provide field dimensions and relationship to adjacent or critical features of the Work or materials.
- D. CONTRACTOR shall prepare submittal information in sufficient detail to show compliance with specified requirements. Submittals shall:
 - 1. Determine and verify quantities, field dimensions, product dimensions, specified design and performance criteria, materials, catalog numbers, and similar data.
 - 2. Coordinate submittal with other submittals and with the requirements of the Contract Documents.
 - 3. Check, verify, and revise submittals as necessary to bring them into conformance with Contract Documents and actual field conditions.

1.06 SUBMITTAL CONTENT

- A. Shop drawings:
 - 1. CONTRACTOR to field verify elevation, coordinates, and other pertinent information prior to the preparation of shop drawings.
 - 2. Details may include:
 - a. Fabrication drawings: drawn to scale and dimensioned.
 - b. Front, side, and, rear elevations, and top and bottom views, showing all dimensions.
 - c. Locations of conduit entrances and access plates.
 - d. Component layout and identification.
 - e. Weight.
 - f. Finish.
 - g. Temperature limitations, as applicable.
 - h. Nameplate information.
- B. Product information:
 - 1. Product data:
 - a. Details:

- 1) Manufacture and Supplier name and address.
 - 2) Subcontractor name and address.
 - b. Include:
 - 1) Catalog cuts.
 - 2) Bulletins.
 - 3) Brochures.
 - 4) Manufacturer's Certificate of Compliance: signed by product manufacturer along with supporting reference data, affidavits, and tests, as appropriate.
 - 5) Manufacturer's printed recommendations for installation of equipment.
 - 6) Quality copies of applicable pages from manufacturer's documents.
 2. <Completely fill out a Motor Data Sheet, as specified in Division 26, for every motor furnished:
 - a. Submit one copy of the Motor Data Sheet to UTILITIES <and Engineer> for review as part of the associated equipment submittal.>
 3. <Hard copies (when required):>
 - a. <Number of copies: 4 minimum:>
 - 1) <UTILITIES: 1 copy.>
 - 2) <Engineer: 3 copies.>
 4. Samples:
 - a. <Number of samples: 3 minimum:>
 - 1) <UTILITIES: 1.>
 - 2) <Engineer: 2.>
 - b. Details:
 - 1) Submit labeled samples.
 - 2) Samples will not be returned.
 - 3) Provide samples from manufacturer's standard colors, materials, products, or equipment lines.
 - 4) Clearly label samples to indicate any that represent non-standard colors, materials, products, or equipment lines and that if selected, will require an increase in Contract Time or Contract Price.
 5. Minor or incidental products and equipment schedules:
 - a. Details:
 - 1) Shop Drawings of minor or incidental fabricated products will not be required, unless requested.
 - 2) Submit tabulated lists of minor or incidental products showing the names of the manufacturers and catalog numbers, with Product Data and Samples as required to determine acceptability.
- C. Design calculations:
1. Details:
 - a. Defined in technical sections.
 - b. Calculations must bear the original seal and signature of a Professional Engineer licensed in the state Colorado and who provided responsible charge for the design.
- D. Qualifications Statements:
1. Details:
 - a. Defined in technical sections.
 - b. Licensing documentation.
 - c. Certification documentation.
 - d. Education documentation.
- E. Quality assurance/control submittals:
1. Mill test reports:
 - a. Details:
 - 1) Submit certified copies of factory and mill test reports.
 - 2) Do not incorporate Products in the Work which have not passed testing and inspection satisfactorily.
 - 3) Pay for mill and factory tests.

2. Test reports:
 - a. Details:
 - 1) Include the following information:
 - a) A description of the test.
 - b) List of equipment used.
 - c) Name of the person and company conducting the test.
 - d) Date and time the test was conducted.
 - e) Ambient temperature and weather conditions.
 - f) All raw data collected.
 - g) Calculated results.
 - h) Clear statement if the test passed or failed the requirements stated in Contract Documents.
 - i) Signature of the person responsible for the test.
 3. Factory Acceptance Test:
 - a. Details: Include complete test procedure and all forms to be used during test.
 4. Certificates:
 - a. Details: Defined in technical sections.
 5. Manufacturers' field reports:
 - a. Details: Certificate of proper installation.
 6. Field Samples:
 - a. Details: Defined in technical sections.
 7. Test Plans:
 - a. Details: Defined in technical sections.
- F. Project management submittals:
 1. Applications for payment:
 - a. Details:
 - 1) As specified in Section 01 29 72 – Applications for Payment.
 2. Schedules:
 - a. Details:
 - 1) Progress schedules: As specified in Section 01 32 16 – Construction Progress Schedule.
 - 2) Schedule of values: As specified in Section 01 29 73 – Schedule of Values.
 - 3) Schedule of submittals: As specified herein.
 3. Progress reports and quantity charts:
 - a. Details: As specified in Section 01 30 00 – Administrative Requirements.
 4. Technical Submittals
 - a. Extra stock materials: Describe extra stock materials to be provided for UTILITIES's use in facility operation and maintenance.
 - b. Maintenance material submittals: Use this article to categorize maintenance materials submittals requiring no UTILITIES <and Engineer> action other than confirmation of receipt under an explanatory heading.
 - c. Manufacturer's instructions: Instructions, stipulations, directions, and recommendations issued in printed form by the manufacturer of a product addressing handling, installation, erection, and application of the product; manufacturers' instructions are not prepared especially for the Work.
 - d. Spare parts: Describe spare parts necessary for UTILITIES's use in facility operation and maintenance; identify the type and quantity here but include the actual characteristics of the spare parts in Product as part of the specification of the product.

1.07 SUBMITTAL PROCEDURE

- A. CONTRACTOR shall send electronic submittal to UTILITIES <and Engineer> via PM SaaS. See PM SaaS for CONTRACTOR Response Submittal Form and in accordance with the following:
 1. <Provide number of hard copies of document submittal (when required) as below:>
 - a. <Total: 6 minimum except where noted.>
 - b. <UTILITIES: 1 copy.>

- c. <Engineer: 3 copies.>
 - d. <CONTRACTOR: Remaining copies will be returned.>
 2. <Provide number of sample submittals as below:>
 - a. <Total: 3 minimum.>
 - b. <UTILITIES: 1.>
 - c. <Engineer: 2.>
 - d. <CONTRACTOR: None.>
 3. Deliver samples and hard copy submittals (when required) to <Location>, unless another mutually agreeable place is designated. CONTRACTOR to use the Shipment Tracking feature in PM SaaS for all samples and hard copy submittals.
 4. Schedule and make submissions timely in accordance with the requirements of the individual specification sections and in such a sequence as to cause no delay in Work.
 5. CONTRACTOR assumes the risk of expense and delays when proceeding with work related to required submittals without review and approval.
- B. UTILITIES <and Engineer> shall review submittals and provide responses, in accordance with the following:
 1. Review description:
 - a. UTILITIES <and Engineer> will be entitled to rely upon the accuracy or completeness of designs, calculations, or certifications made by licensed professionals accompanying a particular submittal whether or not a stamp or seal is required by Contract Documents or Laws and Regulations.
 - b. UTILITIES' <and Engineer's> review of submittals shall not release CONTRACTOR from CONTRACTOR's responsibility for performance of requirements of Contract Documents. Neither shall UTILITIES' <and Engineer's> review release CONTRACTOR from fulfilling purpose of installation nor from CONTRACTOR's liability to replace defective work.
 - c. UTILITIES' <and Engineer's> review of shop drawings, samples, or test procedures will be only for conformance with design concepts and for compliance with information given in Contract Documents.
 - d. UTILITIES' <and Engineer's> review does not extend to:
 - 1) Accuracy of dimensions, quantities, or performance of equipment and systems designed by CONTRACTOR.
 - 2) CONTRACTOR's means, methods, techniques, sequences, or procedures except when specified, indicated on the Drawings, or required by Contract Documents.
 - 3) Safety precautions or programs related to safety which shall remain the sole responsibility of the CONTRACTOR.
 - e. UTILITIES <and Engineer> can accept or reject any exception at their sole discretion.
 2. Review timeframe:
 - a. Except as may be provided in technical specifications, a submittal will be returned within <5> <14> <21> <_> days.
 - b. When a submittal cannot be returned within the specified period, UTILITIES <and Engineer> will, within a reasonable time after receipt of the submittal, give notice of the date by which that submittal will be returned.
 - c. UTILITIES' <and Engineer's> acceptance of a Progress Schedule containing submittal review times less than those specified or agreed to in writing by UTILITIES <and Engineer> will not constitute UTILITIES' <and Engineer's> acceptance of such shortened review times.
 - d. Critical submittals:
 - 1) CONTRACTOR will notify UTILITIES <and Engineer> in writing that timely review of a submittal is critical to the progress of Work.
 - 2) UTILITIES <and Engineer> will provide decision on request.
 - e. Written agreement by UTILITIES <and Engineer> to reduce submittal review time will be made only for unusual situations.
 3. Schedule delays:
 - a. No adjustment of Contract Times or Contract Price will be allowed due to UTILITIES' <and Engineer's> review of submittals, unless all of the following criteria are met:
 - 1) UTILITIES <and Engineer> has failed to review and return first submission within the timeframe set forth above.

- 2) CONTRACTOR demonstrates through a Time Impact Analysis that a delay in the progress of Work is directly attributable to UTILITIES' <and Engineer's> failure to return a submittal within the timeframe set forth above.
- b. In no event will CONTRACTOR be entitled to an adjustment of the Contract Times or Contract Price as a result of UTILITIES' <and Engineer's> failure to accept a submittal or re-submittal that fails to meet the requirements of the Contract Documents.
4. Review responses: 1 copy of submittal will be returned to CONTRACTOR with one of the following reviewer's response.
 - a. Approved:
 - 1) No Exceptions Taken:
 - a) There are no notations or comments on the submittal and the CONTRACTOR may release the equipment for production.
 - 2) Make Corrections Noted:
 - a) UTILITIES' <and Engineer's> comments will note if confirmation and resubmittals are required. If required, submit confirmation specifically addressing each notation or comment to UTILITIES <and Engineer> within <14> <_> days of the date of UTILITIES' <and Engineer's> transmittal requiring the confirmation.
 - b. Not approved:
 - 1) Amend and Resubmit:
 - a) CONTRACTOR may not proceed with the work described in the submittal.
 - b) CONTRACTOR assumes responsibility for proceeding without approval.
 - c) Resubmittal of complete submittal package is required within <21> <_> days of the date of UTILITIES' <and Engineer's> submittal review response.
 - 2) Rejected - See Remarks:
 - a) CONTRACTOR may not proceed with the work described in the submittal.
 - b) The submittal does not meet the requirements of the Contract Documents. Resubmittal of complete submittal package is required with materials, equipment, methods, etc. that meet the requirements of the Contract Documents.
 - c. Receipt Acknowledged: Filed for Record:
 - 1) This is used in acknowledging receipt of informational submittals that address means and methods of construction such as schedules and work plans, conformance test reports, health and safety plans, etc.
- C. CONTRACTOR shall prepare a re-submittal, if applicable.
 1. Clearly identify each correction or change made.
 2. Include a response in writing to each of UTILITIES' <and Engineer's> comments or questions for submittal packages that are resubmitted in the order that the comments or questions were presented throughout the submittal.
 - a. Acceptable responses to UTILITIES' <and Engineer's> comments are listed below:
 - 1) "Incorporated" UTILITIES' <and Engineer's> comment or change is accepted and appropriate changes are made.
 - 2) "Response" UTILITIES' <and Engineer's> comment not incorporated. Explain why comment is not accepted or requested change is not made. Explain how requirement will be satisfied in lieu of comment or change requested by UTILITIES <and Engineer>.
 - b. Reviews and re-submittals:
 - 1) Suppliers shall provide re-submittals which include responses to all submittal review comments separately and at a level of detail commensurate with each comment.
 - 2) Supplier responses shall indicate how the supplier resolved the issue pertaining to each review comment. Responses such as "acknowledged" or "noted" are not acceptable.
 - 3) Re-submittals which do not comply with this requirement may be rejected and returned without review.
 - 4) CONTRACTOR shall be allowed no extensions of any kind to any part of their contract due to the rejection of non-compliant submittals.
 - 5) Submittal review comments not addressed by the CONTRACTOR in resubmittals shall continue to apply whether restated or not in subsequent reviews until adequately addressed by the CONTRACTOR to the satisfaction of the reviewing and approving authority.

- c. Any resubmittal that does not contain responses to UTILITIES' <and Engineer's> previous comments shall be returned for Revision and Resubmittal. No further review by UTILITIES <and Engineer> will be performed until a response for previous comments has been received.
- 3. Re-submittal timeframe:
 - a. CONTRACTOR shall provide re-submittal within <14> <__> days.
 - b. When a re-submittal cannot be returned within the specified period, CONTRACTOR shall notify UTILITIES <and Engineer> in writing.
- 4. Review costs:
 - a. Costs incurred by UTILITIES as a result of additional reviews of a particular submittal after the second time it has been reviewed shall be borne by CONTRACTOR.
 - b. Reimbursement to UTILITIES will be made by deducting such costs from CONTRACTOR's subsequent progress payments.

1.08 CONTRACTOR'S PROFESSIONAL ENGINEER (PE) CERTIFICATION FORM

- A. Submit a completed CONTRACTOR's P.E. Certification Form, provided in this Section, to comply with technical sections requirement for a professional engineer's certification from an engineer licensed in Colorado.

1.09 CLOSEOUT SUBMITTALS

- A. Provide closeout submittals as specified in Section 01 77 00 – Closeout Procedures.

PART 2 PRODUCTS

NOT USED

PART 3 EXECUTION

NOT USED

END OF SECTION

CONTRACTOR'S P.E. CERTIFICATION FORM

Owner: _____ Date: _____

Contractor: _____ Registration State: _____

Project Name: _____ Project No.: _____

Responsibilities: _____

Specification Section: _____

Statement of Certification

The undersigned hereby certifies that he/she is a professional engineer registered in the State of Colorado and that he/she has been employed by

The undersigned further certifies that he/she has performed the said design in conformance with all applicable local, state, and federal codes, rules, and regulations; and, that his/her signature and P.E. stamp have been affixed to all calculation and drawings used in, and resulting from, the design.

The undersigned hereby agrees to make all original design drawings and calculations available to:

(Name of Owner, or Owner's representative within 7 days of receiving a written request by the Owner.)

P.E. Signature: _____ Date: _____

Printed Name: _____ Company Name: _____

Contractor's Signature: _____ Date: _____

Printed Name: _____