

SECTION 01 33 00
SUBMITTAL PROCEDURES

PART 1 GENERAL

1.01 SECTION INCLUDES

- A. Requirements for the submittal schedule and administrative and procedural requirements for submitting Shop Drawings, Product Data, Samples, and other submittals.

1.02 RELATED REQUIREMENTS

- A. Drawings and general provisions of the Contract, including General and Supplementary Conditions and other Division 01 Specification Sections, apply to this Section.
- B. Section 01 20 00 - Price and Payment Procedures: For submitting Applications for Payment and the schedule of values.
- C. Section 01 32 00 - Construction Progress Documentation: For submitting schedules and reports, including Contractor's construction schedule
- D. Section 01 35 23 - NYCHA Safety Requirements
- E. Section 01 36 00 - Electronic Project Management
- F. Section 01 43 39 - Mock-Ups and Sample Installations
- G. Section 01 77 00 - Close-Out Procedures: For submission of early close-out items.
- H. Section 01 78 39 - Project Record Documents - Close-Out Submittals
- I. Section 01 79 00 - Demonstration and Training: For submitting video recordings of demonstration of equipment and training of NYCHA personnel

1.03 DEFINITIONS

- A. Submittals: Written and graphic information and physical samples that require The NYCHA Designated Representative responsive action and are submittals indicated in individual Specification Sections as "action submittals." Submittals will be rejected for not complying with requirements for this Section.
- B. File Transfer Protocol (FTP): Communications protocol that enables transfer of files to and from another computer over a network and that serves as the basis for standard Internet protocols. An FTP site is a portion of a network located outside of network firewalls within which internal and external users are able to access files.
- C. Portable Document Format (PDF): An open standard file format licensed by Adobe Systems used for representing documents in a device-independent and display resolution-independent fixed-layout document format.

1.04 GENERAL REQUIREMENT

- A. A. All references to paper submissions shall be voided if Division 1 Section "Electronic Project Management" is included in the Division 1 Specifications. All paper copies shall be transmitted digitally per the Division 1 Section "Electronic Project Management" if included in these Division 1 Specifications.

1.05 SUBMITTALS

- A. Submittal Schedule: Within 21 days after letter of award, submit for NYCHA's approval of a schedule of submittals, arranged in chronological order. NYCHA Designated Representative will review proposed Submittal schedules for acceptance. Time frames are to be given in consecutive calendar days, not number of working days. Such schedules shall be submitted to NYCHA Designated Representative at or before the Project Pre-Construction conference. Include time required for review, ordering, manufacturing, fabrication, and delivery when establishing dates. Include additional time required for making corrections or revisions to submittals noted by NYCHA's Designated Representative and additional time for handling and reviewing submittals required by those corrections
 - 1. The General Contractor, as the Prime Contractor, shall gather, coordinate and submit all

items required in all sections of this specification and to be submitted by his/her subcontractors. See other sections of this Specification for further submission requirements.

2. Coordinate submittal schedule with list of subcontracts, the schedule of values, and the Contractor's construction schedule.
- B. Format: Arrange the following information in a tabular format:
1. Scheduled date for first submittal.
 2. Specification Section number and title.
 3. Submittal category: Action; informational.
 4. Name of subcontractor.
 5. Description of the Work covered.
 6. Scheduled date for Authority final release or approval.
 7. Scheduled date of fabrication.
 8. Scheduled dates for purchasing.
 9. CPM activity or event number requiring the material.
- C. Safety and hazardous material submittals and other guidelines
1. Hazardous Material Abatement Submissions: Means and methods submissions for hazardous materials abatement shall be submitted within 21 days of Letter of Award. See Technical Specifications for abatement.
 2. General Submissions, Long lead items, preparatory work items and other items specifically required for the Work to start, shall be submitted within 21 days of Letter of Award, and shall include, but not be limited to, the following:
 - a. Permits.
 - b. Project schedules, procedures, and phasing plan.
 - c. Site Safety Program
 - d. Noise Mitigation
 - e. Health & Safety Plan
 - f. Dust Control Plan
 - g. Job Hazard Analysis Plan
- D. SUBMITTAL ADMINISTRATIVE REQUIREMENTS
1. Designer of Record's Digital Data Files: Electronic digital data files of the Contract Drawings will be provided by the Designer of Record for the Contractor's use in preparing submittals. The Contractor will be required to sign a waiver for the release of the electronic digital data files of the Contract Drawings.
 - a. The Designer of Record will furnish the Contractor one (1) set of digital data drawing files of the Contract Drawings for use in preparing Shop Drawings and Project record drawings.
 - 1) Designer of Record makes no representations as to the accuracy or completeness of digital data drawing files as they relate to the Contract Drawings.
 - 2) Digital Drawing Software Program: The Contract Drawings are available in digital format as determined by NYCHA.
 - 3) Contractor shall execute a data licensing agreement in the form of AIA Document C106, Digital Data Licensing Agreement.
 - 4) Digital data drawing files will be made available by the Designer of Record upon request.
 - b. Coordination: Coordinate preparation and processing of submittals with performance of construction activities.
 - 1) Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
 - 2) Submit all submittal items required for each Specification Section concurrently unless partial submittals for portions of the Work are indicated on approved submittal schedule.
 - 3) Submit action submittals and informational submittals required by the same

- Specification Section as separate packages under separate transmittals.
- 4) Coordinate transmittal of different types of submittals for related parts of the Work so that processing will not be delayed because of the need to review submittals concurrently for coordination.
 - (a) All registered submittals must be submitted as one package. The NYCHA Designated Representative reserves the right to withhold action on a submittal that requires coordination with other submittals until the related submittals are received.
 - 5) Processing Time: Allow time for submittal review, including time for resubmittals, as follows. Time for review shall commence on The NYCHA Designated Representative receipt of the submittal. No extension of the Contract Time will be authorized because of failure to transmit submittals enough time in advance of the Work to permit processing, including resubmittals.
 - (a) Initial Review: Allow 14 calendar days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required. The NYCHA Designated Representative will advise the Contractor when a submittal being processed must be delayed for coordination.
 - (b) Intermediate Review: If intermediate submittal is necessary, process it in same manner as initial submittal.
 - (c) Resubmittal Review: Allow 14 calendar days for review of each resubmittal.
 - (d) Contractor is liable for payment and cost of any other (after 3) additional reviews of the same submittal.
 - 6) Submittals: Place a permanent label or title block on each submittal item for identification.
 - (a) Indicate name of firm or entity that prepared each submittal on label or title block.
 - (b) Provide a space approximately 6 by 8 inches (150 by 200 mm) on label or beside title block to record the Contractor's review and approval markings and action taken by The NYCHA Designated Representative.
 - (c) Include the following information for processing and recording action taken. All submissions shall be tendered complete, at one time in a single package labeled with the following clearly displayed:
 - (1) Project name
 - (2) Date
 - (3) Name of Designer of Record
 - (4) Name of the NYCHA Designate Representative
 - (5) Name of Contractor
 - (6) Reviewed and complies with contract and site conditions
 - (7) NYCHA Project Number
 - (8) NYCHA Contact Number
 - (9) Name of subcontractor
 - (10) Name of supplier
 - (11) Name of manufacturer
 - (12) Submittal number or other unique identifier, including revision identifier
 - (13) Submittal number shall use Specification Section number followed by a decimal point and then a sequential number (e.g., 061000.01). Resubmittals shall include an alphabetic suffix after another decimal point (e.g., 061000.01.A).
 - (14) Number and title of appropriate Specification Section.
 - (15) Drawing number and detail references, as appropriate.
 - (16) Location(s) where product is to be installed, as appropriate.
 - (17) Description of item.
 - 7) Submissions tendered without the above labeled information, or partial submissions, will not be accepted. The control number shall be clearly written

on the upper right hand corner of each catalog cut, incorporated into the title block of all shop drawings, included on all transmittals, and on identifying labels affixed to all samples. Items not submitted in this format will be rejected without review. Submit all shop drawings, samples and product data from each specification section at the same time for comparison.

- 8) Transmittal for Submittals: Assemble each submittal individually and appropriately for transmittal and handling. Transmit each submittal using a transmittal form. The NYCHA Designated Representative will return, without discarding, submittals received from sources other than the Contractor.
- 9) Transmittal Form for Submittals: Provide locations on form for the following information:
 - (a) Project name.
 - (b) Date.
 - (c) Destination (To:).
 - (d) Source (From:).
 - (e) Name and address of Designer of Record.
 - (f) Name of The NYCHA Designated Representative.
 - (g) Name of Contractor.
 - (h) Name of firm or entity that prepared submittal.
 - (i) Names of subcontractor, manufacturer, and supplier.
 - (j) Category and type of submittal.
 - (k) Submittal purpose and description.
 - (l) Specification Section number and title.
 - (m) Specification paragraph number or drawing designation and generic name for each of multiple items.
 - (n) Drawing number and detail references, as appropriate.
 - (o) Indication of full or partial submittal.
 - (p) Transmittal number, numbered consecutively.
 - (q) Submittal and transmittal distribution record.
 - (r) Remarks.
 - (s) Signature of transmitter.
 - (t) Check Numbering System
- c. Options / Selection: Identify options requiring selection by NYCHA.
- d. Deviations and Additional Information: On an attached separate sheet, prepared on Contractor's letterhead, record relevant information, requests for data, revisions other than those requested by The NYCHA Designated Representative on previous submittals, and deviations from requirements in the Contract Documents, including minor variations and limitations. Include the same identification information as that on the related submittal.
- e. Submissions returned for corrections shall be resubmitted with the required corrections made within three consecutive calendar days, calculated from the date of receipt of the returned submission(s) by the Contractor. The procedure shall be repeated as many times as required until initial final submissions are obtained that require no further correction.
- f. Rejected submissions shall be resubmitted within ten consecutive calendar days, calculated from the date of receipt of the returned submission(s) by the Contractor. The procedure shall be limited to three times otherwise the contractor will be liable for costs associated with additional reviews and submission.
- g. Resubmittals: Make resubmittals in same form and include the same number of copies as the 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) Resubmit submittals until they are marked with approval notation from NYCHA Representative.

- h. 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.
- i. Use for Construction: Retain complete copies of approved submittals at the Project site. Use only action submittals that are marked with approval notation from The NYCHA designated representative action stamp.
- j. The Contractor shall be responsible for strict adherence to approved schedules unless a written request for deviation from the schedule is made to The NYCHA designated representative. The request shall not be valid until approved.
- k. No work shall be fabricated, or materials delivered to the site, until final approval of all shop drawing(s) and other required submissions for that work have been obtained.

1.06 SUBMITTAL PROCEDURES

- A. General Submittal Procedure Requirements: Prepare and submit submittals required by individual Specification Sections. Types of submittals are indicated in individual Specification Sections.
 - 1. Submittals: Submit electronic copies of each submittal unless otherwise indicated. The NYCHA Designated Representative will return electronically.
 - 2. Certificates and Certifications Submittals: Provide a statement that includes the signature of the 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.
 - a. Provide a digital signature with digital certificate on electronically submitted certificates and certifications where indicated.
- 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 published data is 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 catalog cuts.
 - b. Manufacturer's product specifications.
 - c. Standard color charts.
 - d. Statement of compliance with specified referenced standards.
 - e. Testing by recognized testing agency.
 - f. Application of testing agency labels and seals.
 - g. Notation of coordination requirements.
 - h. Availability and delivery time information.
 - 4. For equipment, include the following in addition to the above, as applicable:
 - a. Printed performance curves.
 - b. Operational range diagrams.
 - c. Clearances required to other construction, if not indicated on accompanying Shop Drawings.
 - 5. Submit Product Data before or concurrent with Samples.
 - 6. Submit Product Data in the following format:
 - a. PDF electronic file.
- 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. Digital media of the Contract Drawings may be released to the Contractor, after the Contractor signs the "Release and Indemnification" Form.
 - 1. Preparation: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:
 - a. Identification of products.
 - b. Schedules.

- c. Compliance with specified standards.
 - d. Notation of coordination requirements.
 - e. Notation of dimensions established by field measurement.
 - f. Relationship and attachment to adjoining construction clearly indicated.
 - g. Seal and signature of professional engineer if specified.
2. Sheet Size: Except for templates, patterns, and similar full-size drawings, submit Shop Drawings on sheets at least 11 by 17 inches but no larger than 30 by 42 inches (750 by 1067 mm).
 3. Submit Shop Drawings in the following format:
 - a. PDF electronic file.
- D. Samples: Submit Samples for review of kind, color, pattern, and texture for a check of these characteristics with other elements and for a comparison of these characteristics between submittal and actual component as delivered and installed. All physical samples shall be in their original Manufacturer's containers, wrappings, etc., and shall be labeled with the information described above. Unless otherwise specified in the Contract, all samples shall be returned to contractor. The NYCHA Designated Representative will determine which samples will be kept on site and which shall be returned.
1. Transmit Samples that contain multiple, related components (such as accessories) together in one submittal package.
 2. Identification: Attach label on unexposed side of Samples that includes the following:
 - a. Generic description of Sample.
 - b. Product name and name of manufacturer.
 - c. Sample source.
 - d. Number and title of applicable Specification Section.
 - e. Specification paragraph number and generic name of each item.
 3. For projects where electronic submittals are required, provide corresponding electronic submittal of Sample transmittal, digital image file illustrating Sample characteristics, and identification information for record.
 4. Disposition: Maintain sets of approved Samples at the Project site, available for quality-control comparisons throughout the course of construction activity. Sample sets may be used to determine final acceptance of construction associated with each set.
 - a. Samples that may be incorporated into the Work are indicated in individual Specification Sections. Such Samples must be in an undamaged condition at the time of use.
 - b. Samples not incorporated into the Work, or otherwise designated as the Owner's property, are the property of the Contractor.
 5. Samples for Initial Selection: Submit manufacturer's color charts consisting of units or sections of units showing the full range of colors, textures, and patterns available.
 - a. Number of Samples: Submit three full set(s) of available choices where color, pattern, texture, or similar characteristics are required to be selected from manufacturer's product line. The NYCHA Designated Representative will return one submittal with options selected.
 6. Samples for Verification: Submit full-size units or Samples of size indicated, prepared from the same material to be used for the Work, cured and finished in the manner specified, and physically identical with material or product proposed for use, and that show full range of color and texture variations expected. Samples include, but are not limited to, the following: partial sections of manufactured or fabricated components; small cuts or containers of materials; complete units of repetitively used materials; swatches showing color, texture, and pattern; color range sets; and components used for independent testing and inspection.
 - a. Number of Samples: Submit three sets of Samples. The NYCHA Designated Representative will retain one (1) Sample set; the remainder will be returned.
 - 1) Submit a single Sample where assembly details, workmanship, fabrication techniques, connections, operation, and other similar characteristics are to be demonstrated.

- 2) If variation in color, pattern, texture, or other characteristic is inherent in the material or product represented by a Sample, submit at least three sets of paired units that show the approximate limits of variations.
- E. Product Schedule: As required in individual Specification Sections, prepare a written summary indicating the types of products required for the Work and their intended installation location. Include the following information in tabular form:
 1. Type of product. Include unique identifier for each product indicated in the Contract Documents or assigned by the Contractor if none is indicated.
 2. Manufacturer and product name, and model number if applicable.
 3. Location of installation.
 4. Submit product schedule in electronic PDF format.
 - F. Closeout Submittals and Maintenance Material Submittals: Comply with requirements specified in Division 01 Section "Closeout Procedures."
 - G. Maintenance Data: Comply with requirements specified in Division 01 Section "Operation and Maintenance Data."
 - H. Qualification Data: Prepare written information that demonstrates capabilities and experience of firm or person. Include lists of completed projects with project names and addresses, contact information of Designer of Records and owners, and other information specified.
 - I. Welding Certificates: Prepare written certification that welding procedures and personnel comply with requirements in the Contract Documents. Submit record of Welding Procedure Specification and Procedure Qualification Record on AWS forms. Include names of firms and personnel certified.
 - J. Installer Certificates: Submit written statements on manufacturer's letterhead certifying that Installer complies with requirements in the Contract Documents and, where required, is authorized by manufacturer for this specific Project.
 - K. Manufacturer Certificates: Submit written statements on manufacturer's letterhead certifying that manufacturer complies with requirements in the Contract Documents. Include evidence of manufacturing experience where required.
 - L. Material Test Reports: Submit 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.
 - M. Product Test Reports: Submit written reports indicating that current product produced by manufacturer complies with requirements in the Contract Documents. Base reports on evaluation of tests performed by manufacturer and witnessed by a qualified testing agency, or on comprehensive tests performed by a qualified testing agency.
 - N. Field Test Reports: Submit written reports indicating and interpreting results of field tests performed either during installation of product or after product is installed in its final location, for compliance with requirements in the Contract Documents.
 - O. Design Data: Prepare and submit written and graphic information, including, but not limited to, performance and design criteria, list of applicable codes and regulations, and calculations. Include list of assumptions and other performance and design criteria and a summary of loads. Include load diagrams if applicable. Provide name and version of software, if any, used for calculations. Include page numbers.

1.07 DELEGATED-DESIGN SERVICES

- A. Performance and Design Criteria: Where professional design services or certifications by a design professional are specifically required of the Contractor by the Contract Documents, provide products and systems complying with specific performance and design criteria as indicated from a New York State Licensed Engineer, Designer of Record, or Surveyor. The New York State Licensed Engineer, Designer of Record, or Surveyor shall sign and seal the submissions.
- B. If criteria indicated are not sufficient to perform services or certification required, submit a

written request for additional information to the Designer of Record.

- C. Delegated-Design Services Certification: In addition to Shop Drawings, Product Data, and other required submittals, submit digitally signed PDF electronic file and three (3) paper copies of certificate, signed and sealed by the responsible design professional, for each product and system specifically assigned to the Contractor to be designed or certified by a design professional.
 - 1. Indicate that products and systems comply with performance and design criteria in the Contract Documents. Include list of codes, loads, and other factors used in performing these services.

PART 2 PRODUCTS (NOT USED)

PART 3 EXECUTION

3.01 CONTRACTOR'S REVIEW

- A. Action and Informational Submittals: 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. Mark with approval stamp before submitting to The NYCHA Designated Representative.
- B. Project Closeout and Maintenance Material Submittals: See requirements in Division 01 Section "Closeout Procedures."
- C. Approval Stamp: Stamp each submittal with a uniform, approval stamp. Include Project name and location, submittal number, Specification Section title and number, name of reviewer, date of the Contractor's approval, and statement certifying that the submittal has been reviewed, checked, and approved for compliance with the Contract Documents.

3.02 DESIGNER OF RECORD AND AUTHORITY REPRESENTATIVE ACTION

- A. Action Submittals: The NYCHA Designated Representative will review each submittal, make marks to indicate corrections or revisions required, and return it. Designer of Record will stamp each submittal with an action stamp and will mark the stamp appropriately to indicate action, as follows:
 - 1. APPROVED - The content of this submittal has been reviewed and been found to be in general compliance with the Contract Documents. No further submission of this submittal is required and the information contained in the submittal may be built into the Work in accordance with the terms and conditions of the Contract Documents.
 - 2. APPROVED AS NOTED - The content of this submittal has been reviewed and has been found to be in general compliance with the Contract Documents. No further submission of this submittal is required and the information contained in the submittal, including review notes, may be built into the Work in accordance with the terms and conditions of the Contract Documents.
 - 3. CORRECT AND RESUBMIT - The content of this submittal has been reviewed by NYCHA and this review has indicated that additional data and/or modifications to the submitted data or other changes are required to bring the Work represented in this submittal into compliance with the Contract Documents. This submittal shall be reviewed and remarked in accordance with the comments, by the Contractor, and resubmitted for another review. The information contained in the resubmittal shall not be incorporated into the Work until the resubmittal is returned to the Contractor with an "APPROVED" or "APPROVED AS NOTED" stamp.
 - 4. REJECTED - The content of this submittal has been reviewed and this review has indicated that the Work displayed in the submittal is not in compliance with the Contract Documents. The Contractor shall submit another submittal for this portion of the Work, which complies with the Contract Documents.
 - 5. Informational Submittals: The NYCHA Designated Representative will review each submittal and will not return it, or will return it if it does not comply with requirements. The NYCHA Designated Representative will forward each submittal to the appropriate party.
- B. Partial submittals prepared for a portion of the Work will be reviewed when the use of partial

submittals has received prior approval from The NYCHA Designated Representative.

- C. Incomplete submittals are unacceptable, will be considered nonresponsive, and will be returned for resubmittal without review.
- D. Submittals not required by the Contract Documents may be returned by The NYCHA Designated Representative without action.

3.03 REVIEW AND DISTRIBUTION OF SUBMISSIONS

- A. The NYCHA Designated Representative shall review the submissions for compliance with the Contract Documents and send for final review and approval to the Designer of Record producing these Contract Documents.
- B. The Designer of Record Firm who prepared these contract documents.

3.04 LOCATIONS

- A. A. Submissions and/or transmittals are to be delivered to The NYCHA Designated Representative.

3.05 DISTRIBUTION OF SUBMISSIONS-PRODUCT DATA, SAMPLES AND SHOP DRAWINGS

- A. Distribution of Submissions
 - 1. The Contractor shall submit product data, samples and shop drawings to The CM.
 - 2. After reviewing the submissions for completeness and compliance with specifications The NYCHA Designated Representative shall send items which are ready for final review and approval by the Designer of Record.
- B. Disapprovals
 - 1. The Designer of Record will review and return electronically individual disapproved submissions to NYCHA's Designated Representative. The NYCHA Designated Representative will return electronically disapproved submission to the Contractor directly.
 - 2. In the event that all or any portion of the submitted material is rejected by the reviewer, the Contractor shall resubmit new submissions conforming to the Reviewer's comments within ten (10) CCDs, dated from the Contractor's receipt for the former submissions.
- C. Approvals
 - 1. If submissions have been accepted and approved, the Reviewer will affix their approval stamp to each submission and transmit the entire package to the CMA team for processing and distribution as described below:
 - a. Product Data: electronically distributed as follows:
 - 1) Contractor
 - (a) CMA
 - (b) A/E
 - (c) NYCHA's PM
 - (d) NYCHA's Design Group
 - b. Shop Drawings: electronically distributed as follows;
 - 1) Contractor
 - (a) CMA
 - (b) A/E
 - (c) NYCHA's PM
 - (d) NYCHA's Design Group
 - c. Samples: a total of three (3) samples, distributed as follows:
 - 1) One (1) sample to NYCHA's PM;
 - 2) One (1) sample to the Contractor;
 - 3) One (1) sample to the CMA

3.06 SUBMISSION REQUIREMENTS, GENERAL

- A. The Contractor's submissions shall be accompanied with a dated transmittal letter, indicating the contract number, development name, applicable specifications section number, and the Submissions Control number from the submissions list below. Submittals not accompanied by a clear transmittal will not be accepted.

- B. The Contractor shall be responsible for the delivery of all submissions under the respective contract.
- C. The Contractor shall check all submittals for accuracy, completeness, dimensions, clearances, connections, accessibility, servicing, maintenance, and compliance with the Contract Documents, including changes by addenda, change orders, and coordination drawings of related trades. In addition, the Contractor shall verify all field measurements and conditions. Submissions shall bear the Contractor's stamp of approval as evidence that they have been checked by him or her. The Contractor shall then transmit the submission(s) for review. Submissions that do not fully comply with these requirements will not be accepted.
- D. Duplication or tracing of contract drawing details will not be accepted and will be rejected without comment or notation. Shop drawings prepared by a fabricator are a contract requirement and the fabricator shall be obligated to the Contractor as to the accuracy of all work. All costs incurred to meet this requirement shall be borne by the Contractor and shall be included in the base bid.
- E. All shop drawings prepared by the fabricator shall be based on field dimensions taken by the fabricator.
- F. Contract Drawings submitted as shop drawings WILL NOT BE ACCEPTED. The shop drawing(s) shall show in detail all components, finishes, fabrication and installation methods, relationships to adjoining work on shop drawing(s), sizes, dimensions, sections, gauges, connections and anchors. Include on each sheet information as to vendor's name, drawing(s) number, date drawn, revision number and revision date.
- G. The items listed in the Contractor's submissions list do not limit the Contractor's responsibility from submitting Shop Drawings, Product Data or Samples for all equipment, accessories and operations that are to be provided under this contract. There will be no adjustment to the contract price to compensate the Contractor for submissions requested by The NYCHA Designated Representative which are not specifically listed.
- H. Except as otherwise specifically provided in the Contract Documents, The NYCHA Designated Representative reserves the right to reject any materials, equipment or articles proposed for use by the Contractor with which The NYCHA Designated Representative has had no prior experience, unless the Contractor is able to prove to the satisfaction of The NYCHA designated representative that such materials, equipment or articles have been in general use and given satisfactory performance for a minimum of one year. The Contractor shall furnish The NYCHA Designated Representative with a list of such locations, and The NYCHA Designated Representative shall conduct such investigation as will, in their sole judgment, satisfactory as to the fitness of the materials, equipment or articles for the Work intended.
- I. All substitutes requested by the Contractor shall be supported by comparison sheets for both the specified item and the proposed substitution, showing all necessary equivalent information for both. Submissions including only information on the proposed substitution will not be accepted.
- J. All items of related equipment in a system shall be the product of one manufacturer, and shall be submitted together at one time, unless otherwise noted in the schedule. The submissions for a system shall consist of original catalog cuts accompanied by an enclosed table of contents. This table of contents shall contain a list of all equipment proposed to be used, listing the manufacturer's name, trade name, catalog number or other positive means of identification for each item.
- K. For those items required to comply with referenced standards (ASTM, FEDERAL SPECS, ANSI, etc.), certifications from the manufacturer of such compliance shall be submitted. Corresponding equipment in each system shall be the product of one manufacturer. The term "w/certification" also refers to the submittal of any and all certified mill or laboratory test reports indicating that the material submitted complies with the requirements specified and is intended generally for the applications shown.
- L. Where physical samples are required, three (3) samples shall be submitted for each item

except in the case of finishes (flooring, paint, exposed masonry, paving, etc.), in which four (4) samples shall be submitted.

- M. Deviations from Contract Documents shall be clearly marked in a conspicuous manner, indicating component and system variations, additions and deletions, revised equipment locations, construction detail variations, substitutions and similar changes or deviations. Include a written description of the reason for the deviation. Indicate headroom heights, ceiling heights, clearances, and other dimensions affected by the proposed deviations. All variations from the Contract Documents not brought to the attention of the Designer of Record or Consultants shall be the sole responsibility of the Contractor even though such submittal has been accepted.
- N. Contractor's responsibility: NYCHA Representative review and acceptance shall not relieve the Contractor from responsibility for errors in shop drawings or for proper coordination and assembly of materials and equipment with other work; nor from the responsibility of furnishing materials and labor not indicated on the shop drawings, but required by the Contract Documents for completion of the Work.
- O. Equivalent Quality of Materials: All materials and equipment which are designated in the Specifications by a number in the trade name are designated for the purpose of describing the article and fixing the standard of the quality and finish. Materials and equipment which are, in the opinion of NYCHA, the equivalent to that specified, will be accepted.
- P. No work shall be fabricated, or materials delivered to the site, until final approval of all shop drawing(s) and other required submissions for that Work has been obtained. Final approved copies of all shop drawing(s) must be completed without added corrections, notes or comments, in pencil or ink on the white prints or blueprints. At the time of submission, the Contractor shall call to the attention of NYCHA, in writing, any deviations from the Contract Documents contained on the Shop Drawing(s). The approval of the Drawing(s) containing deviations not specifically brought to the attention of The NYCHA Designated Representative, or containing errors or omissions of any sort, shall not relieve the Contractor of the responsibility for executing the Work in accordance with the Contract Documents.
- Q. In submittals requiring manufacturer's literature, provide complete installation instructions for specified product and any associated miscellaneous material required to complete installation.
- R. The submission of any material, or article, as equal of the materials or articles set forth in the specifications as a standard shall be accompanied by illustrations and drawings. This includes descriptions, catalogs, records of tests, samples and any other information for both the specified item and the potential substitute item essential for judging, the quality and the materials, finish and durability of that specified as standard, as well as information indicating satisfactory use under similar operating conditions.
- S. Identify each submission by the Submission Control Number assigned on the Submission List. The control number shall be clearly written on the upper right hand corner of each catalog cut, incorporated into the title block of all shop drawings, included on all transmittals, and on identifying labels affixed to all samples. Items not submitted in this format will be rejected without review.
- T. In the event that all or any portion of a submission is rejected due to nonconformance with NYCHA's packaging and labeling requirements, or for any other reason, the Contractor shall tender a new submission conforming to The NYCHA Designated Representative requirements within three (3) consecutive calendar days, calculated from the submission's rejection date. In no event shall a Contractor be permitted to tender submissions beyond the dates contained in the approved Submissions schedule without written approval from The NYCHA Designated Representative.
- U. Disapproved submissions are to be returned to the Contractor directly; and the Contractor shall submit copies of the transmittals only to The NYCHA Designated Representative.
- V. **RECORD AND AS-BUILT DRAWINGS:** The Contractor shall maintain at the site for The NYCHA Designated Representative, one (1) copy of all Drawings, Specifications, Addenda,

shop drawings, authorized Change Orders and other modifications, in good order and marked to record all changes made during construction. These shall be available at all times to The NYCHA Designated Representative / NYCHA's Project Administrator. The Drawings and Specifications, marked to record all changes made during construction shall be delivered to NYCHA's Project Administrator upon completion of the Work.

3.07 LIST OF SUBMISSIONS

- A. Furnish Data Sheet, Shop Drawings and Sample Submittals required to provide all work and associated items as per Submittals Section 01 33 00 whenever else shown on Contract Drawings and Specification. Submittals shall include but be limited to the following items:

[ARCHITECT OF RECORD MUST LIST THE ITEMS]

END OF SECTION