CITY OF FORT WAYNE MASTER UPDATED: 1/5/15

SECTION

SUBMITTAL PROCEDURES

1. GENERAL
	1. DESCRIPTION
		1. Shop Drawing procedures shall conform to requirements of General Conditions and as described in this Section.
		2. Contractor shall utilize City of Fort Wayne’s Project Management Information System (PMIS), an internet-based construction control system for construction document control.

NTS: Include with this specification a submittal listing, which identifies required project specific submittals.

* + 1. The ***Required Submittal Listing*** for this Project is indicated in Attachment 1 herein.

NTS: Section “1.2” is to be included if project is bid on unit price basis. Section to be deleted or revised if project is to be bid on lump sum basis.

* 1. MEASUREMENT AND PAYMENT
		1. This item is to be included in overall Project cost and not bid as a separate Work item. If additional Shop Drawing which are not noted in Attachment 1 are required, they will be prepared and submitted at no additional cost to the Owner.
	2. PROCEDURE
		1. Submit Shop Drawings in accordance with Paragraph ***1.4 –Project Electronic Data Protocol***. Refer to ***Required Submittal Listing*** noted above for Project Shop Drawing. Note that the Owner reserves the right to amend the list as Project needs dictate.
		2. A letter of transmittal shall accompany each submittal. A separate transmittal letter shall accompany the data submitted for each submittal item.
		3. At the beginning of each letter of transmittal provide a reference heading including the following information:
			1. Owner's Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
			2. Project Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
			3. City of Fort Wayne Work Order No.\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
			4. Section No. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
			5. Submittal No.(see section 1.3G) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
		4. If a Shop Drawing deviates from the requirements of the Contract Documents, Contractor shall specifically note each variation in his letter of transmittal.
		5. All Shop Drawings submitted for approval shall have a title block with complete identifying information satisfactory to Engineer.
		6. All Shop Drawings submitted shall bear the stamp of approval and signature of Contractor as evidence that they have been reviewed by Contractor. Submittals without this stamp of approval will not be reviewed by Engineer and will be returned to Contractor. Contractor's stamp shall contain the following minimum information:

Project Name: \_­\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Contractor's Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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Item: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Specifications Section: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Page No.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Para. No.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Drawing No.:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Location: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Submittal No.: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Approved By: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

* + 1. Submittals shall be numbered in accordance with the project submittal numbering sequence. This sequence will be provided to the Contractor and will generally follow the form of: (Work Order No.)-(Section No.)-(Paragraph No.)-(Item No.)-(Extension APC/ECO). An item number will be assigned to each submittal, within each section; starting with No. 0001 and thence numbered consecutively. Resubmittals shall be identified by the original submittal number followed by a dash and “R1” for the first resubmittal, “R2" for the second re­submittal, etc.
		2. Contractor shall comply with the data formats, transmission methods, and permitted uses set forth in the Project Electronic Data Protocol Table as shown in Exhibit 01 33 00-1, when transmitting or using Electronic Data on the Project. If hard copy data format has been previously approved, Contractor shall initially submit to Engineer a minimum of 7 copies of all submittals that are on 11‑inch by 17‑inch or smaller sheets, and 2 prints made from original, for all submittals on sheets larger than 11‑inch by 17‑inch. One copy of each submittal shall be stamped "Preliminary ‑ Not For Construc­tion."
		3. After Engineer completes his review, Shop Drawings will be marked with one of the following notations:
			1. Approved (APP)
			2. Approved as Noted (AAN)
			3. No Action Required (NAR)
			4. Revise and Resubmit (R&R)
			5. Rejected (REJ)
			6. Hold
		4. If a submittal is acceptable, it will be returned "Approved" or "Approved as Noted".
		5. Upon a submittal being returned "Approved" or "Approved as Noted", Contractor may order, ship or fabricate the materials included on the submittal, provided it is in accordance with the corrections indicated.
		6. If a submittal has been submitted, but does not require approval, it will be returned “No Action Required”. This indicates the receipt of the submittal is acknowledged and no further submittal action is required from any party.
		7. If a submittal is unacceptable, it will be returned with one of the following notations:
			1. "Revise and Resubmit"
			2. "Rejected"
		8. Upon notification of a submittal returned "Revise and Resubmit", Contractor shall make the corrections indicated and repeat the initial approval procedure. The "Rejected" notation is used to indicate material or equipment that is not acceptable. Upon notification of a submittal so marked, Contractor shall repeat the initial approval procedure utilizing acceptable material or equipment.
		9. Incomplete submittals, which could be remedied by the Contractor’s submission of additional information, may be held without disposition. The Contractor will receive a Submittal Hold Notice, detailing generally the required additional information. If the requested information is not received by the date indicated on the Submittal Hold Notice, the submittal shall be marked “Rejected” and Contractor will be notified.
		10. Any related Work performed or equipment installed without an "Approved" or "Approved as Noted" Shop Drawing will be at the sole responsibility of the Contractor.
		11. Shop Drawings shall be submitted well in advance of the need for the material or equipment for construction and with ample allowance for the time required to make delivery of material or equipment after data covering such is approved. Contractor shall assume the risk for all materials or equipment which are fabricated or delivered prior to the approval of Shop Drawings. Materials or equipment will not be included in periodic progress payments until approval thereof has been obtained in the specified manner.
		12. Engineer will review and process all submittals prompt­ly, but a reasonable time should be allowed for this, for the Shop Drawings being revised and resubmitted, and for time required to return the approved Shop Drawings to Contractor.
		13. It is Contractor's responsibility to review submittals made by his Suppliers and Subcontractors before transmitting them to Engineer to assure proper coordination of the Work and to determine that each submittal is in accordance with his desires and that there is sufficient information about materials and equipment for Engineer to determine compliance with the Contract Documents. Incomplete or inadequate submittals will be returned for revision without review.
		14. Contractor shall furnish required submittals with complete informa­tion and accuracy in order to achieve required approval of an item within three submittals. All costs to Engineer involved with subsequent submittals of Shop Drawings, Samples or other items requiring approval, will be backcharged to Contractor, at the rate of 3.0 times direct technical labor cost, by deducting such costs from payments due Contractor for Work completed. In the event that Contractor requests a substitution for a previously approved item, all of Engineer's costs in the reviewing and approval of the substitution will be backcharged to Contractor unless the need for such substitution is beyond the control of Contractor.
	1. PROJECT ELECTRONIC DATA PROTOCOL
		1. General Provisions: The Project Electronic Data Protocol (PROTOCOL) establishes the procedures relative to the transmission or exchange of Electronic Data for the Project. Where a provision in this PROTOCOL conflicts with a provision(s) in the Contract Documents, the provisions in this PROTOCOL will prevail.
		2. Contractor shall utilize City of Fort Wayne’s Project Management Information System (PMIS), an internet-based construction control system for construction document control in accordance with the Project Electronic Data Protocol Exhibit. Training will be provided to the Contractor on the PMIS system.
		3. The Contractor shall incorporate this PROTOCOL by reference into any other agreement for services or construction for the Project.
		4. Definitions
			1. *Electronic Data* – Electronic Data is defined as information communications, Drawings, or designs created or stored for the Project in electronic or digital form.
			2. *Confidential Information* – Confidential Information is defined as Electronic Data that the transmitting party has designated as confidential and clearly marked with an indication such as “Confidential” or “Business Proprietary”.
			3. *Written or In Writing* – In addition to definitions in the Contract Documents, “written” or “in writing” shall mean any communication, including without limitation a notice, consent or interpretation, prepared and sent to an address provided in this PROTOCOL using a transmission method sent forth in this PROTOCOL that permits the recipient to print or store the communication. Communications transmitted electronically are presumed received if sent in conformance with Paragraph 1.4 E.
		5. Transmission of Electronic Data
			1. The transmission of Electronic Data constitutes a warrant by the transmitting party to the receiving party that the transmitting party (1) is the copyright owner of the Electronic Data, (2) has permission from the copyright owner to transmit the Electronic Data for its use on the Project, or (3) is authorized to transmit Confidential Information.
			2. The receiving party agrees to keep Confidential Information strictly confidential and not to disclose it to any other person except to (1) its employees, (2) those who need to know the content of the Confidential Information to perform services or construction solely and exclusively for the Project, or (3) its consultants and Contractors whose contracts include similar restrictions on the use of Confidential Information.
			3. For exchanging Electronic Data for the Project where so indicated in the Project Electronic Data Protocol Table, Owner, Contractor, and Engineer shall use the Project’s Internet-based Program Management Information System (PMIS) website. PMIS website hosting will be by Owner. PMIS website address will be furnished to Contractor within ten days after the Effective Date of the Agreement. To access the PMIS website, the Contractor shall acquire and maintain throughout the Project high-speed Internet service suitable for transferring Electronic Data, and Internet browsing software such as Microsoft Internet Explorer 7.0 or equal. Upon Contractor’s request, Owner will provide training for Contractor for up to three hours (one time) at Contractor’s place of business.
		6. Project Electronic Data Protocol Table
			1. The Owner, Contractor, and Engineer shall comply with the data formats, transmission methods, and permitted uses set forth in the Project Electronic Data Protocol Table as shown in Exhibit 01 33 00-1, when transmitting or using Electronic Data on the Project.
			2. Primary data format is electronic and primary transmission method is via email, email attachment, or PMIS.
			3. If Contractor does not have electronic capabilities, hard copy transmissions will be allowed with prior approval. Contractor to coordinate hard copy transmission and return procedures with Engineer and Owner, prior to first submittal.
1. PRODUCTS (NOT USED)
2. EXECUTION (NOT USED)

+ + END OF SECTION + +

