

**SECTION 01 33 23**  
**SHOP DRAWINGS, PRODUCT DATA, AND SAMPLES**  
**ELECTRONIC SUBMITTAL REQUIREMENTS**

**PART 1 – GENERAL**

**1.1 REFERENCED DOCUMENTS**

- A. Refer to FAR Articles titled SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION and, VAAR SPECIAL NOTES and Section 01 00 00, GENERAL REQUIREMENTS, and Section 01 33 24, ELECTRONIC SUBMITTAL PROCEDURES.

**1.2 DESCRIPTION**

- A. This specification defines the general requirements and procedures for submittals. A submittal is information submitted for VA review to establish compliance with the contract documents.
- B. Detailed submittal requirements are found in the technical sections of the contract specifications. The Contracting Officer may request submittals in addition to those specified when deemed necessary to adequately describe the work covered in the respective technical specifications.
- C. VA approval of a submittal does not relieve the Contractor of the responsibility for any error which may exist. The Contractor is responsible for fully complying with all contract requirements and the satisfactory construction of all work, including the need to check, confirm, and coordinate the work of all subcontractors for the project. Non-compliant material incorporated in the work will be removed and replaced at the Contractor's expense.

**1.3 DEFINITIONS**

- A. Preconstruction Submittals: Submittals which are required prior to issuing contract notice to proceed or starting construction.
- B. SUBMITTALS: For the purposes of this contract, samples, test reports, certificates, and manufacturers' literature and data shall also be subject to the previously referenced requirements. The following text refers to all items collectively as SUBMITTALS.
- C. Shop Drawings: Drawings, diagrams, and schedules specifically prepared to illustrate some portion of the work. Drawings prepared by or for the Contractor to show how multiple systems and interdisciplinary work will be integrated and coordinated.
- D. Product Data: Catalog cuts, illustrations, schedules, diagrams, performance charts, instructions, and brochures, which describe and illustrate 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.
- E. Samples: 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 to establish standards by which the ensuing work can be judged.

- F. Design Data: Calculations, mix designs, analyses, or other data pertaining to a part of work.
- G. Test Reports: Report which includes findings of a test required to be performed by the Contractor on an actual portion of the work. Report which 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.
- H. Certificates: Document required of Contractor, or of a manufacturer, supplier, installer, or subcontractor through Contractor. The purpose is to document procedures, acceptability of methods, or personnel qualifications for a portion of the work.
- I. Manufacturer's Instructions: Pre-printed material describing installation of a product, system, or material, including special notices and (MSDS) concerning impedances, hazards, and safety precautions.
- J. Manufacturer's Field Reports: Documentation of the testing and verification actions taken by manufacturer's representative at the job site on a portion of the work, during or after installation, to confirm compliance with manufacturer's standards or instructions. The documentation must indicate whether the material, product, or system has passed or failed the test.
- K. Operation and Maintenance Data: Manufacturer data that is required to operate, maintain, troubleshoot, and repair equipment, including manufacturer's help, parts list, and product line documentation. This data shall be incorporated in an operations and maintenance manual.
- L. Closeout Submittals: Documentation 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 phase of construction on a multi-phase contract.

#### **1.4 ELECTRONIC SUBMITTAL**

- A. All submittals except color samples, color charts or physical material samples shall be made via an electronic, web-based exchange service.
  - 1. Contractor shall pay for this service. Full price of providing this service should be included in the contractor's bid.
  - 2. Administrative control of the project account shall be transferred to the government after notice to proceed.
- B. Submit for approval, all of the items specifically mentioned under the separate sections of the specification, with information sufficient to evidence full compliance with contract requirements. Materials, fabricated articles and the like to be installed in permanent work shall equal those of approved submittals. After an item has been approved, no change in brand or make will be

permitted without written approval from the COR. Change in prior approved submittals shall only be considered if the Contractor can provide justification meeting the below criteria:

1. Satisfactory written evidence is presented to, and approved by Contracting Officer, that manufacturer cannot make scheduled delivery of approved item or;
  2. Item delivered has been rejected and substitution of a suitable item is an urgent necessity or;
  3. Other conditions become apparent which indicates approval of such substitute item to be in best interest of the Government.
- C. Forward submittals in sufficient time to permit proper consideration and approval action by Government. Time submission to assure adequate lead time for procurement of contract - required items. Delays attributable to untimely and rejected submittals will not serve as a basis for extending contract time for completion.
- D. Submittals will be reviewed for compliance with contract requirements by Architect-Engineer, and action thereon will be taken by COR on behalf of the Contracting Officer.
- E. Upon receipt of submittals, Architect-Engineer will use the respective specification section indicating first submittal (-01), second submittal (-02), or first resubmittal (R1), second resubmittal (R2), etc...., as the file number and assign thereto. Contractor, in any subsequent correspondence, shall refer to this file number to expedite replies relative to previously approved or disapproved submittals.
- F. The Government reserves the right to require additional submittals, whether or not particularly mentioned in this contract.
- G. Electronic submittal service requirements:
1. Web-based (not local or ftp server) service.
  2. Automatic email notification for new submittals and for submittals approaching review deadline.
  3. Tracking and exchange of RFI/ITC/Logs and other project related documents in addition to submittals and shop drawings.
  4. Organized storage of electronic submittals that is accessible by project team members at any time and from any location.
  5. Provide a complete record of all documents submitted or reviewed during the construction project at closeout on CD or DVD.
  6. Submittal files must be readable. In general, a resolution of 300dpi or greater should be used when scanning documents.
- H. Schedules called for in specifications and shown on shop drawings shall be submitted for use and information of Department of Veterans Affairs and Architect-Engineer. However, the Contractor

shall assume responsibility for coordinating and verifying schedules. The Contracting Officer and Architect- Engineer assumes no responsibility for checking schedules or layout drawings for exact sizes, exact numbers and detailed positioning of items.

- I. Submittals must be submitted by Contractor only and shipped prepaid. Contracting Officer assumes no responsibility for checking quantities or exact numbers included in such submittals.
  1. Submit samples required by Section 09 06 00, SCHEDULE FOR FINISHES, in duplicate. Submit other samples in single units unless otherwise specified. Submit shop drawings, schedules, manufacturers' literature and data, and certificates in duplicate, except where a greater number is specified.
  2. Submittals will receive consideration only when covered by a transmittal letter signed by Contractor. Letter shall be sent via first class mail and shall contain the list of items, name of Medical Center, name of Contractor, contract number, applicable specification paragraph numbers, applicable drawing numbers (and other information required for exact identification of location for each item), manufacturer and brand, ASTM or Federal Specification Number (if any) and such additional information as may be required by specifications for particular item being furnished. In addition, catalogs shall be marked to indicate specific items submitted for approval.
    - a. A copy of letter must be enclosed with items, and any items received without identification letter will be considered "unclaimed goods" and held for a limited time only.
    - b. Each sample, certificate, manufacturers' literature and data shall be labeled to indicate the name and location of the Medical Center, name of Contractor, manufacturer, brand, contract number and ASTM or Federal Specification Number as applicable and location(s) on project.
    - c. Required certificates shall be signed by an authorized representative of manufacturer or supplier of material, and by Contractor.
- J. If submittal samples have been disapproved, resubmit new samples as soon as possible after notification of disapproval. Such new samples shall be marked "R1" as respective to the iteration of the resubmittal in addition to containing other previously specified information required on label and in transmittal letter.
- K. Approved samples will be kept on file by the COR at the site until completion of contract, at which time such samples will be delivered to Contractor as Contractor's property. Where noted in technical sections of specifications, approved samples in good condition may be used in their proper locations in contract work. At completion of contract, samples that are not approved will

be returned to Contractor only upon request and at Contractor's expense. Such request should be made prior to completion of the contract. Disapproved samples that are not requested for return by Contractor will be discarded after completion of contract.

- L. Before submittal, all submittals shall be reviewed by technically qualified employees of Contractor for accuracy, completeness, and compliance with contract requirements and coordinated with the rest of the work. After technical review, submittals shall be stamped and signed (not initialed) by Contractor certifying to such check.

## **1.5 SUBMITTAL SCHEDULING**

- A. Submittals are to be scheduled, submitted, reviewed, and approved prior to the acquisition of the material or equipment.
- B. Coordinate scheduling, sequencing, preparing, and processing of submittals with performance of work so that work will not be delayed by submittal processing. Allow time for potential resubmittal.
- C. No delay costs or time extensions will be allowed for time lost in late submittals or resubmittals.

## **1.6 SUBMITTAL PREPARATION**

- A. Submittals shall only be submitted by the Contractor and posted to the electronic submittal process, or if required, shipped prepaid. Contracting Officer assumes no responsibility for checking quantities or exact numbers included in such submittals. Each submittal is to be complete and in sufficient detail to allow ready determination of compliance with contract requirements.
- B. Transmittal Letter
  - 1. Only one specification section shall be submitted per transmittal letter.
  - 2. Submittals will receive consideration only when covered by a transmittal letter signed by the Contractor.
  - 3. Letter shall be posted directly to the electronic web based file exchange program electronically.
  - 4. Provide a transmittal for each submittal with the following information:
    - a. Project number, title, and location.
    - b. Construction contract number.
    - c. Date of the drawings and revisions.
    - d. Name, address, and telephone number of subcontractor, supplier, manufacturer, and any other subcontractor associated with the submittal.

- e. List paragraph number of the specification section and sheet number of the contract drawings by which the submittal is required.
  - f. When a resubmission, add alphabetic suffix on submittal description. For example, submittal 01 00 00-01 would become 01 00 00-01 R1, to indicate resubmission.
  - g. Product identification and location in project.
- 5. A copy of the letter must be enclosed with items, and any items received without identification letter will be considered "unclaimed goods" and held for a limited time only.
  - 6. A space 120 mm by 216 mm (4 3/4 by 8-1/2 inches) shall be reserved on each submittal to accommodate approval or disapproval stamp.

C. Individual Submittals

- 1. Only one specification section shall be submitted per individual submittal.
- 2. Catalog data and all submittals referencing more than one item shall be marked to indicate specific items submitted for approval.
- 3. Shop Drawings, Product Schedules and Manufacturer's Literature and Data:
  - a. If submitted in digital (electronic) form, submit one copy.
  - b. If submitted in hardcopy, submit at least three copies, two of which will be retained (on the Architect and one by the COR). Any copies above two will be returned to the Contractor with comments.
  - c. Each drawing shall have marked thereon, proper descriptive title, including Medical Center location, project number, manufacturer's number, reference to contract drawing number, detail Section Number, and Specification Section Number.
- 4. Schedules: Schedules called for in specifications and shown on shop drawings shall be submitted for use and information of Department of Veterans Affairs and Architect Engineer. However, the Contractor shall assume responsibility for coordinating and verifying schedules. The Contracting Officer and Architect Engineer assumes no responsibility for checking schedules or layout drawings for exact sizes, exact numbers and detailed positioning of items.
- 5. Certificates:
  - a. Required certificates shall be signed by an authorized representative of manufacturer or supplier of material, and by Contractor.
  - b. Submit in quadruplicate.
- 6. Samples:
  - a. Submit samples in single units unless otherwise specified.

- D. When submitting drawing larger than 11 x 17 inches, submit, ROLLED WITHIN A MAILING TUBE, fully protected for shipment.
- E. When work is directly related and involves more than one trade, shop drawings shall be submitted to Architect Engineer under one cover.
- F. Samples, shop drawings, test reports, certificates and manufacturers' literature and data, shall be submitted for approval to:

//Name of Design Professional Reviewing the Submittals

Name of Firm

Street Address

City, State Zip//

- AND -

//COR//

Bay Pines VAHCS

10000 Bay Pines Blvd

Bay Pines, FL 33744

At the time of transmittal to the Architect-Engineer, the Contractor shall also send a copy of the complete submittal directly to the COR.

- C. Collect required data for each specific material, product, unit of work, or system into a single submittal. Prominently mark choices, options, and portions applicable to the submittal. Partial submittals will not be accepted for expedition of construction effort. Submittal will be returned without review if incomplete.
- D. If available product data is incomplete, provide Contractor-prepared documentation to supplement product data and satisfy submittal requirements.
- E. The Contractor is responsible for reviewing and certifying that all submittals are in compliance with contract requirements before submitting for VA review. Proposed deviations from the contract requirements are to be clearly identified. All deviations submitted must include a side by side comparison of item being proposed against item specified. Failure to point out deviations will result in the VA requiring removal and replacement of such work at the Contractor's expense.
- F. Stamp, sign, and date each submittal transmittal indicating action taken.
- G. Stamp used by the Contractor on the submittal transmittal form to certify that the submittal meets contract requirements is to be similar to the following:

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| CONTRACTOR |

| |

(Firm Name)

\_\_\_\_\_ I certify that I have checked this submittal for accuracy, completeness, and compliance with contract requirements and it has been coordinated with all other submittals and Contract Documents.

||\_\_\_\_\_ I certify that I have checked this submittal for accuracy, completeness, and compliance with contract requirements and it has been coordinated with all other submittals and Contract Documents with corrections as noted on submittal data and/or attached sheets(s).

| SIGNATURE: \_\_\_\_\_

| TITLE: \_\_\_\_\_

| DATE: \_\_\_\_\_

**1.7 SUBMITTAL FORMAT AND TRANSMISSION**

- A. Provide submittals in electronic format, with the exception of material samples. Use PDF as the electronic format, unless otherwise specified or directed by the Contracting Officer.
- B. Compile the electronic submittal file as a single, complete document. Name the electronic submittal file specifically according to its contents.
- C. Electronic files must be of sufficient quality that all information is legible. Generate PDF files from original documents so that the text included in the PDF file is both searchable and can be copied. If documents are scanned, Optical Character Resolution (OCR) routines are required.
- D. Provide hard copies of submittals when requested by the Contracting Officer. Up to 3 additional hard copies of any submittal may be requested at the discretion of the Contracting Officer, at no additional cost to the VA.

## **1.8 SAMPLES**

- A. Submit two sets of physical samples showing range of variation, for each required item.
- B. 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.
- C. When color, texture, or pattern is specified by naming a particular manufacturer and style, include one sample of that manufacturer and style, for comparison.
- D. Before submitting samples, the Contractor is to ensure 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.
- E. The VA reserves the right to disapprove any material or equipment which previously has proven unsatisfactory in service.
- F. Physical samples supplied maybe requested back for use in the project after reviewed and approved.

## **1.8 OPERATION AND MAINTENANCE DATA**

- A. Submit data specified for a given item within 30 calendar days after the item is delivered to the contract site.
- B. In the event the Contractor fails to deliver O&M Data within the time limits specified, the Contracting Officer may withhold from progress payments 50 percent of the price of the item with which such O&M Data are applicable.

## **1.9 TEST REPORTS**

COR may require specific test after work has been installed or completed which could require contractor to repair test area at no additional cost to contract.

## **1.10 VA REVIEW OF SUBMITTALS AND RFIS**

- A. The VA will review all submittals for compliance with the technical requirements of the contract documents. The Architect-Engineer for this project will assist the VA in reviewing all submittals and determining contractual compliance. Review will be only for conformance with the applicable codes, standards and contract requirements.
- B. Period of review for submittals begins when the VA COR receives submittal from the Contractor.
- C. Period of review for each resubmittal is the same as for initial submittal.
- D. VA review period is 15working days for submittals.
- E. VA review period is 10working days for RFIs.

- F. The VA will return submittals to the Contractor with the following notations:
1. "Approved": authorizes the Contractor to proceed with the work covered.
  2. "Approved as noted": authorizes the Contractor to proceed with the work covered provided the Contractor incorporates the noted comments and makes the noted corrections.
  3. "Disapproved: Resubmit Promptly": indicates noncompliance with the contract requirements or that submittal is incomplete. Resubmit with appropriate changes and corrections. No work shall proceed for this item until resubmittal is approved.
  4. "Not reviewed": indicates submittal 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 after taking appropriate action.

### **1.11 APPROVED SUBMITTALS**

- A. The VA approval of a submittal:
1. 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.
  2. Does not relieve the Contractor of the responsibility for any error which may exist. The Contractor is responsible for fully complying with all contract requirements and the satisfactory construction of all work, including the need to check, confirm, and coordinate the work of all subcontractors for the project. Non-compliant material incorporated in the work will be removed and replaced at the Contractor's expense.
  3. Is at no cost to the government, and is subject to compliance with contract drawings and specifications.
  4. Shall not relieve the Contractor from responsibility for any errors or omission in the se drawings, nor from responsibility for complying with the contract agreements.
- D. If the Contractor feels VA approval of a submittal changes the scope, time frame, or monetary value of the contract documents, the Contractor shall submit a change order to the Contracting Officer prior to taking action on the approved submittal.
- E. After submittals have been approved, no resubmittal for the purpose of substituting materials or equipment will be considered unless accompanied by an explanation of why a substitution is necessary.
- F. Retain a copy of all approved submittals at project site, including approved samples.

## **1.12 WITHHOLDING OF PAYMENT**

Payment for materials incorporated in the work will not be made if the Contractor has not submitted the required submittals and/or approvals have not been obtained.

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