

SECTION 01 33 23

SHOP DRAWINGS, PRODUCT DATA, AND SAMPLES

PART 1 - GENERAL

1.1 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 at no additional cost to the government.
- C. Neither A/E nor VA approval of a submittal relieves 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.

1.2 DEFINITIONS

- A. Preconstruction Submittals: Submittals which are required prior to issuing contract notice to proceed or starting construction. For example, Certificates of insurance; Surety bonds; Site-specific safety plan; Construction progress schedule; Schedule of values; Submittal register; List of proposed subcontractors.
- B. 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.
- C. 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.

- D. 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.
- E. Design Data: Calculations, mix designs, analyses, or other data pertaining to a part of work.
- F. 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.
- G. 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.
- H. 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.
- I. 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.
- J. 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.
- K. 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.

1.3 SUBMITTAL REGISTER

- A. The submittal register will list items of equipment and materials for which submittals are required by the specifications. This list may not

be all inclusive and additional submittals may be required by the specifications. The Contractor is not relieved from supplying submittals required by the contract documents but which have been omitted from the submittal register.

- B. The submittal register will serve as a scheduling document for submittals and will be used to control submittal actions throughout the contract period.
- C. The VA will provide the initial submittal register in electronic format. Thereafter, the Contractor shall track all submittals by maintaining a complete list, including completion of all data columns, including dates on which submittals are received and returned by the VA.
- D. The Contractor shall update the submittal register as submittal actions occur and maintain the submittal register at the project site until final acceptance of all work by Contracting Officer.
- E. The Contractor shall submit formal monthly updates to the submittal register in electronic format. Each monthly update shall document actual submission and approval dates for each submittal.

1.4 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.
- D. All submittals are required to be approved prior to the start of the specified work activity.

1.5 SUBMITTAL PREPARATION

- A. Each submittal is to be complete and in sufficient detail to allow ready determination of compliance with contract requirements.
- B. 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.

- C. If available product data is incomplete, provide Contractor-prepared documentation to supplement product data and satisfy submittal requirements.
- D. All irrelevant or unnecessary data shall be removed from the submittal to facilitate accuracy and timely processing. Submittals that contain the excessive amount of irrelevant or unnecessary data will be returned with review.
- E. Provide a transmittal form for each submittal with the following information:
1. Project title, location and number.
 2. Construction contract number.
 3. Date of the drawings and revisions.
 4. Name, address, and telephone number of subcontractor, supplier, manufacturer, and any other subcontractor associated with the submittal.
 5. List paragraph number of the specification section and sheet number of the contract drawings by which the submittal is required.
 6. When a resubmission, add alphabetic suffix on submittal description. For example, submittal 18 would become 18A, to indicate resubmission.
 7. Product identification and location in project.
- F. The construction 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. **Contractor shall highlight salient characteristics, code and compliance information from the specification as it appears in each submittal / cut-sheets.**
- G. Stamp, sign, and date each submittal transmittal form indicating action taken. Subcontractor and contractor shall stamp and sign each submittal to indicate their review for compliance.
- H. 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)
_____ Approved
_____ Approved with corrections as noted on submittal data and/or attached sheets(s)
SIGNATURE: _____
TITLE: _____
DATE: _____

1.6 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. E-mail electronic submittal documents shall be smaller than 5MB in size to e-mail addresses as directed by the Contracting Officer and COR.
- E. Provide electronic documents over 5MB through an electronic FTP file sharing system. Confirm that the electronic FTP file sharing system can be accessed from the VA computer network. The Contractor is responsible for setting up, providing, and maintaining the electronic FTP file sharing system for the construction contract period of performance.
- F. 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.

1.7 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

SRE 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. Review will not be conducted to verify counts, fit and finish to ensure a compliant working system; Verification of these items will be the contractor's responsibility.
- 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 15 working days for submittals.
- E. VA review period is 10 working 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" or "Approved as noted; Partial Resubmission": "Approved as noted" authorizes the Contractor to proceed with the work covered provided the Contractor incorporates the noted comments and makes the noted corrections. "Approved as noted; Partial Resubmission" authorizes the Contractor to proceed after providing proof of compliance regarding specified items/components/issues, when a full resubmittal is not deemed necessary.
 - 3. "Disapproved, revise and resubmit": 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. Summary:

1. Basis of specification is Procore (www.procore.com) construction management software. Procore will be the primary tool for tracking all communications, submittals, RFIs, shop drawings, meeting minutes, daily reports, construction phase photographs, etc. The contractor may submit another provider however that provider must be deemed equal by the COR.
2. Substitution may be considered if submitted prior to bid date for pre-approval.
3. The intent of electronic submittals is to expedite the construction process by reducing paperwork, improving information flow, and decreasing turnaround time.
4. The electronic submittal process is not intended for color samples, color charts, or physical material samples.
5. Contractor to include the cost of using Procore or other VA approved equal in their bid.
6. Architect, engineer, COR, or CO approval does not alleviate the general contractor from complying with drawing and specification requirements or provision of a complete working system.

B. Procedures:

1. During the Pre-construction meeting the COR will provide the contractor a list of names, and email addresses of all VA staff and A/E employees (by discipline) who require access to Procore to review submittals, respond to RFIs, etc. The contractor will upload these persons to Procore.
2. Follow submittal log in Procore by inserting required submittals listed in individual specification sections.

3. Submittal Preparation - The general contractor must review and approve all submittals for accuracy and content (per specifications) before uploading per software instructions. Contractor may use any or all of the following options:
 - a. Subcontractors and Suppliers provide electronic (PDF) submittals to Contractor via the Procore website.
 - b. Subcontractors and Suppliers provide electronic (PDF) submittals to Contractor via email.
 - c. Subcontractors and Suppliers provide paper submittals to Scanning Service which electronically scans and converts to PDF format.
4. Printed Submittals: When requested by COR, provide two printed sets of submittals for shop drawings and structural framing in addition to electronic submittals.
5. Contractor shall review and apply electronic stamp certifying that the submittal complies with the requirements of the Contract Documents including verification of manufacturer/product, dimensions and coordination of information with other parts of the work.
 - a. The general contractor must clearly note any submittal that deviates from the specifications and document why the deviation is required/requested.
6. Contractor shall upload submittals in priority order based on critical path schedule and long lead-time materials and equipment.
7. In the event the COR or Architect/Engineer rejects/disapproves or requites revise and resubmit two (2) times for a submittal that clearly does not meet specification requirements, the general contractor's project manager and superintendent will be required to meet with the COR and A/E to explain the reasons for not meeting drawing and/or specification requirements.
8. Distribution of reviewed submittals to subcontractors and suppliers is the responsibility of the Contractor.
9. Submit paper copies of any reviewed submittals not submitted electronically at project closeout for record purposes in accordance with Section 01 77 19 - Contract Closeout.

C. Costs:

1. General Contractor shall include the full cost of Procore project subscription in their proposal. This cost is included in the Contract Amount.
2. The intent is for Procore service cost to be in lieu of postage or shipping costs typically paid for paper submittals. Service cost is a net cost savings to Contractor because submittals sent electronically do not need to be physically shipped.
3. After award of contract, training will be provided by Procore regarding use of website and PDF submittals.
4. Internet Service and Equipment Requirements:
 - a. Email address and Internet access at Contractor's main office.
 - b. Adobe Acrobat (www.adobe.com), Bluebeam PDF Revu (www.bluebeam.com), or other similar PDF review software for applying electronic stamps and comments.

D. Products:

1. Basis of specification is Procore website system for electronic construction submittals (www.procore.com) or equal.
2. Substitution may be considered if submitted prior to bid date for pre-approval. Product requirements:
 - a. Independently hosted, web-based system for automated tracking, storage, and distribution of contract submittals, Requests For Information, and other contract related documents. FTP sites, e-mail exchanges, and server-based systems hosted from inside a contractor's office will not be considered acceptable.
 - b. Utilize 256-bit SSL encryption and hosted at SAS70 Type II compliant datacenters.
 - c. Minimum five years documented experience of use on comparable commercial construction projects. "Comparable commercial construction projects" shall be defined as documented use on a minimum of fifty governmental, public-entity, or private sector projects each of \$1 million construction value or greater.
 - d. Minimum five years documented 99.5% website uptime.
 - e. Unlimited individual user accounts and system access for all project subcontractors, general contractor, owner staff, COR,

- architect, design consultants, and sub-consultants, with no additional fees for those parties to access the system.
- f. Separate locations for owner, COR, architect, design consultant, and sub-consultant review comments with contractors restricted from viewing comments until final review or release by owner / COR or primary design consultant.
 - g. Full version histories and dates of exchanges automatically tracked and available for viewing, searching, and reporting in a linear log format compatible with AIA G712.
 - h. Functionality to group submittals as required packages and apply forms and review comments to entire package simultaneously.
 - i. Functionality for integrated online PDF viewing and review, including graphical markups and stamps, for owner, COR, architect, design consultants, sub-consultants, and general contractor without need for additional software purchase.
 - j. Automatic, configurable email notifications for each project team member for new and reviewed submittals and other items.
 - k. Automatic, configurable email reminders of past due items.
 - l. Customized, automated PDF form generation for submittals, RFIs, and other documents matching standard templates used by COR/owner, design consultants, sub-consultants, and general contractor. Documentation and demonstration of automatic form generation using each entity's templates must be submitted as part of any substitution request.
 - m. Prior to project start, system vendor shall create submittal log with all required items from project manual or submittal register. Owner/COR or primary design consultant shall have full control over required items list and access to edit, add, or remove items during project.
 - n. System vendor shall provide minimum one-hour live web meeting training sessions to contractors, design consultants, sub-consultants, and COR / owners staff prior to project start.
 - o. System vendor shall make available minimum thirty-minute live web meeting training sessions for subcontractors at least twice weekly for the entire duration of the project.
 - p. System vendor shall provide access for COR / owner, design consultants, sub-consultants, general contractor, and subcontractors to live technical support by phone and email

minimum of 7 AM to 6 PM CST on standard business days at no additional cost.

- q. Allowance for scanning and printing services provided by local third-party reprographic vendor to assist with obtaining documents electronically and online print ordering.
- r. At completion of project closeout, system vendor shall provide minimum of four archival discs that include all documents and tracking logs, or the ability to download this information from the live website in a single complete archive package.

1.12 WITHHOLDING OF PAYMENT

Payment for materials incorporated in the work will not be made if required approvals have not been obtained.

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