

SECTION 013300

SUBMITTAL REQUIREMENTS

PART 1 - GENERAL

1.1 GENERAL PROVISIONS

- A. Attention is directed to the CONTRACT AND GENERAL CONDITIONS and all Sections within DIVISION 01 - GENERAL REQUIREMENTS which are hereby made a part of this Section of the Specifications.

1.2 REQUIREMENTS INCLUDED

- A. Shop drawings, products data, samples, submittal logs (shop drawings and samples, RFI, NOI, PCO, CO and SK drawings), weather protection (if applicable) and schedule of values.

1.3 SHOP DRAWINGS, PRODUCTS DATA, AND SAMPLES

A. General:

1. Review and submit to the Designer and where outlined below to the OWNER Project Manager, shop drawings, project data and samples required by Specifications Sections in hard and electronic copies.
2. No submissions made by FAX will be accepted.
3. The General Contractor, within the time frame stated in Section 013200 – CONSTRUCTION PROGRESS DOCUMENTATION after the Pre-Construction Meeting, shall prepare and submit for the Designer and the Project Manager's approval, a Schedule of Shop Drawings, Product Data and Samples required to be submitted for the Work. The schedule shall indicate, by Subcontractor, the date by which final approval of each item must be obtained, and shall be revised as required by conditions of the Work, subject to the Project Manager's approval. The Schedule of Shop Drawings, Product Data and Samples shall correspond with the construction schedule so that the submissions relate to the time when the products and/or systems will be required on the site. Neither the Designer nor the Project Manager will approve a schedule that calls for out-of-sequence submittals.

B. Shop Drawings:

1. Original drawings shall be prepared by General Contractor, Subcontractor, Supplier or Distributor, which illustrate some portion of the Work, showing fabrication, layout, setting, or erection of details.
 - a. Shop drawings shall be prepared by a qualified detailer.
 - b. Details shall be identified by reference to sheet and detail numbers indicated on Contract Drawings.
 - c. Maximum sheet size shall be 30-inch by 42-inch.

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- d. Submit with the required number of opaque prints specified and electronic media herein.

C. Product Data:

1. Manufacturers' catalog sheets, brochures, diagrams, schedules, performance charts, illustrations, and other standard descriptive data. Provide manufacturer's catalogue sheet, specification for each product and other pertinent data as required under the individual specification.
 - a. Modify product data submittals to delete information which is not applicable to the project.
 - b. Supplement standard information to provide additional information applicable to the project.
 - c. Clearly mark each copy to identify pertinent materials, products, or models.
 - d. Show dimensions and clearances required.
 - e. Show performance characteristics and capacities.
 - f. Show wiring diagrams and controls.
2. All such data shall be specific and identification of material or equipment submitted shall be clearly made in ink. Data of general nature will not be accepted.
3. Product Data shall be accompanied by transmittal notice. The General Contractor's stamp of approval shall appear on the printed information itself.
4. Submit the information listed above in both hard and electronic format.

D. Samples:

1. Physical samples shall illustrate materials, equipment, or workmanship, and shall establish standards by which work is judged. After review and approval, samples may be used in construction of project if not retained for comparison
 - a. Office samples of sufficient size and quantity shall clearly illustrate:
 - 1) Functional characteristics of product or material, with integrally related parts and attachment devices.
 - 2) Full range of color samples (including standard and premium ranges).
 - 3) After review and approval by Designer and the Project Manager, samples may be used in construction of project if not retained for comparison.
 - b. Field Samples and Mock-ups
 - 1) Erect at project site at locations acceptable to the Designer and the Project Manager.
 - 2) Construct each sample of mock-up complete, including work of all Subcontractors required in finished work. Samples shall be incorporated into a larger mock-up with varied products and Subcontractors if required.
2. Unless otherwise specified in the individual Section, the General Contractor shall submit two labeled specimens of each Sample.
3. Samples shall be of adequate size to permit proper evaluation of material. Where variations in color or in other characteristics are to be expected, samples shall show the maximum range of variation. Materials exceeding the variation of the approved samples will not be approved on the Work.
4. Samples which can be conveniently mailed shall be sent directly to the Designer, accompanied by transmittal notice. On the transmittal notice the General Contractor shall stamp his approval of Samples submitted.

5. If Sample is rejected by the Designer, a new Sample shall be resubmitted in the manner specified herein above. This procedure shall be repeated until the Sample is approved in writing by the Designer.
 6. Samples will not be returned unless return is requested at the time of submission. The right is reserved to require submission of Samples whether or not specified in the Specifications, at no additional cost to the Commonwealth.
- E. Mock-ups: Erect at project site at location acceptable to Designer and the OWNER Project Manager, a mock-up complete, including work of all Subcontractors required in finished work.

1.4 GENERAL CONTRACTOR'S RESPONSIBILITIES:

- A. Review shop drawings, Product Data and Samples prior to submission. Verify:
1. Field measurements.
 2. Field construction criteria.
 3. Catalog numbers and similar data.
 4. Conformance with Specifications.
 5. Integration with adjoining work.
 6. Delivery schedule.
 7. Is the product an equal to the product specified or a substitution? If either of these occur a comparison sheet must be submitted comparing the proposed product to the product specified.
- B. All shop drawings prepared by Subcontractors shall be processed through the General Contractor. The General Contractor shall check all the shop drawings for conformity with the Contract Documents and particularly for field measurements and proper fit with adjoining work prior to submitting same to the Designer for approval. Certification shall appear on each shop drawing stating that the General Contractor has made his/her check. Format and content of the General Contractor's certification stamp shall be subject to approval by the OWNER Project Manager and the Designer and shall include, but not be limited to:
1. The Term "By Others" shall not be used on shop drawings, the General Contractor shall state by whom related items are to be furnished and/or installed.
 2. The Designer reserves the right to reject and return to the General Contractor, without examination, any shop drawings which have not been previously checked and certified as outlined above, which carry the term "by other" or such vague reference, which are difficult to read, which have arrived by FAX or which in any way are obviously not in conformity with Contract Requirements.
 3. Shop drawings shall show materials, design, dimensions, connections and other details necessary to ensure that they accurately interpret the Contract Documents and shall also show adjoining work in such detail as required to provide proper connection with same.
 4. The Designer will check and approve shop drawings only for conformance with the design concept and for compliance with information given in the Contract Documents. Approval of shop drawings by the Designer will not release the General Contractor from his responsibility for furnishing same of proper dimensions, size quantity and quality to effectively perform the work and carry out the requirements and intent of Contract Documents.

5. Such approval will not relieve the General Contractor from responsibility for errors of any sort in the shop drawings, nor for the proper coordination of any submittal with all other work. If the shop drawings deviate, or are intended to deviate, from the Contract Documents, the General Contractor shall so advise the Designer in writing at the time the shop drawings are submitted, stating the difference in value between the Contract requirements and that denoted by said shop drawings.
 6. The General Contractor shall assume full liability for delay attributed to insufficient time for delivery and/or installation of material or performance of the work when approval of pertinent shop drawing is withheld due to the failure of the General Contractor to submit, revise, or resubmit shop drawings in adequate time to allow the Designer and the Project Manager a reasonable time, not to exceed twenty-one (21) calendar days, for normal checking and processing of each submission or resubmission.
- C. Coordinate each submittal with requirements of Contract Documents.
- D. The General Contractor's responsibility for errors and omissions in submittals is not relieved by the Designer's review and approval of submittals, unless Designer gives tentative written acceptance of specific deviations identified as such by the General Contractor, subject to written concurrence by the Project Manager.
- E. Notify the Designer in writing at the time of submission, of deviations in submittals from requirements of Contract Documents or previous submissions.
- F. Work that requires submittals shall not commence unless submitted with Designer's stamp and initials or signature indicating review and approval, and OWNER Project Manager's initials or signature of concurrence indicate review and approval.
1. No work shall be started in the shop or on the job, or materials delivered to the site, until pertinent shop drawings have been approved by the Designer and the OWNER Project Manager.
- G. After aforesaid review and approval, distribute copies.
- H. Maintain one (2) copies of each approved submittal at the project site. One for the General Contractor and one for the Owner representative.
- 1.5 SUBMISSION REQUIREMENTS:
- A. General: All submittals shall be made to the Designer's Office. The quantity and make-up of submittals shall be as established by the Designer; however, two (2) additional copies of all submittals shall be transmitted to the Project Manager at the same time that such submittals are transmitted to the Designer. The Designer will log and distribute submittals for review by his consultant engineers. The General Contractor shall distribute all Civil, Structural, and MEP shop drawings directly to the Designer. All submittals shall be in both hard and electronic copies.
 - B. Make submittals promptly in accordance with approved schedules, and in such sequence as to cause no delay in the work.

C. Submit number of samples specified in each Section of the Specifications.

D. Submittals shall include:

1. Date and revision dates.
2. Project title and number.
3. The names of:
 - a. Designer;
 - b. General Contractor;
 - c. Subcontractor;
 - d. Supplier;
 - e. Manufacturer;
 - f. Separate detailer when pertinent.
4. Identification of product or material.
5. Location of work and relation to adjacent structure or materials.
6. Field dimensions clearly identified as such.
7. Specification Section number and specific paragraph under which item is specified.
8. Submission number.
9. Applicable standards, such as ASTM number.
10. A blank space, five-inch by four-inch, for the Designer's stamp.
11. General Contractor's remarks. Identify exceptions or deviations from Contract Documents and reasons for them.
 - a. If shop drawings submitted by the General Contractor indicate a departure from the Contract and the Designer deems it to be minor adjustment in the interest of (subject to concurrence by the General Contractor stating it does not involve a change in Contract Price or extension of time), the Designer may approve the submission, but the approval shall be subject to OWNER review and acceptance of the Designer's recommendation.
 - b. The approval of Owner shall be inferred to contain in substance the following: The change is so ordered with the understanding that it does not involve any change in the Contract Price or Time, and that it is subject generally to all contract stipulations and covenants, and is without prejudice to any and all rights of the OWNER under the Contract.
12. General Contractor's stamp, initialed or signed certifying review and approval of submittal.
13. Any other items as called for by the Designer, the Project Manager or required by the manufacturers.
14. The Designer reserves the right to ask for shop drawings for any or all items on the project, whether or not requested in individual specification sections, at no additional cost to the Commonwealth.

1.6 RESUBMISSION REQUIREMENTS:

- A. Resubmission: Resubmission procedure shall follow the same procedures as the initial submittal with the following exceptions:
- B. Shop Drawings:

1. Transmittal shall contain the same information as the first transmittal except that the submission number shall change sequentially. The drawing number/description shall be identical as the first transmittal but the date shall be the revised date for that submission.
2. No new material should be included on the same transmittal for the resubmission.
3. Indicate on drawings any changes which may have been made other than those requested by the Designer.

C. Product Data and Samples:

1. Submit any new data and samples as required from previous submittal.

1.7 THE OWNER PROJECT MANAGER'S AND DESIGNER'S REVIEWS AND DISTRIBUTION OF SUBMISSIONS

A. The Project Manager and/or his/her designees will review submittals concurrently with the Designer and his/her consultant engineers. The Designer and the Project Manager shall communicate within the aforesaid review period time frame (21 calendar days). The time frame for the Designer's review will not exceed fourteen (14) calendar days between her/his receipt of submittal and contacting the OWNER'S Project Manager. After the Designer's (and his/her consultant engineers) review, distribution shall be as stated herein.

1. If submittal is 'reviewed - no exceptions taken', or 'reviewed, make corrections noted', the Project Manager shall compose a transmittal indicating the status. The Project Manager will then return one (1) copy of the submittal together with the transmittal to the Designer, and shall retain one (1) copy for her/his records. The Designer shall copy and attach the Project Manager's transmittal to each submittal, stamp the submittals in concurrence with the status agreed to, and transmit back to the General Contractor, with one (1) copy sent directly to the Architect. The General Contractor shall then distribute said submittals to appropriate Subcontractors, and one (1) copy to the Architect.
2. If submittal is 'reviewed - revise and resubmit' or 'rejected', the Project Manager shall compose a transmittal indicating the status. The Project Manager will then return one (1) copy of the submittal together with the transmittal to the Designer, and shall retain one (1) copy for her/his records. The Designer shall copy and attach the Project Manager's transmittal to each submittal, stamp the submittals in concurrence with the status agreed to, and transmit back to the General Contractor for resubmission. A copy of the transmittal, indicating that a submittal was disapproved and returned to the General Contractor, will be forwarded from the Designer to the Project Manager with an additional copy forwarded from the Designer to the Architect, for their records.
3. If a submittal is 'reviewed - no exceptions taken' or reviewed, make corrections noted' by the Designer, or approved as noted by the Designer, but the Project Manager does not concur, a meeting between the Designer and the Project Manager will immediately be established to resolve the impasse within the overall review period time frame (21 calendar days). The Project Manager will have final authority as to the disposition of the submission. The Designer's position of approval (or disapproval) must be based on the contractual criteria of design intent, function, structure, and durability. The Project Manager's contrary position must also be based on these criteria.
4. The combined review period, for the Designer and the Project Manager, will not exceed twenty-one (21) calendar days from the established date of each submission indicated on the Schedule of Shop Drawings, Product Data and Samples, plus the additional time, if

any, for distribution by the General Contractor and receipt of submissions by the Designer and Project Manager. The General Contractor is required to anticipate review time, including time for possible rejection and resubmission, in establishing Schedule dates.

- a. The aforementioned time provided the Designer for checking shop drawings is from the date of receipt of shop drawings by the Designer to the mailing date of shop drawings returned to the General Contractor by the Designer.
5. The Designer will process the submission and indicate the appropriate action on the submission and the transmittal. Incomplete or erroneous transmittals will be returned without action.
6. The Designer will fill out transmittal in the following sequence:
 - a. Date received from General Contractor.
 - b. Date forwarded to Project Manager.
 - c. Date received from Project Manager.
 - d. Date returned to General Contractor.
 - e. Action taken on submission.
 - f. Distribution, including number of copies distributed and type of material distributed (i.e., print, brochure or sample, etc.).
 - g. Designer's remarks (note major deviations from the Contract Documents).

B. Designer's Review Procedure:

1. Stamped REVIEWED, "NO EXCEPTIONS TAKEN":
 - a. No corrections or resubmissions required, fabrication may proceed.
2. Stamped REVIEWED, "MAKE CORRECTIONS NOTED":
 - a. If General Contractor complies with noted corrections, fabrication may proceed. Submit corrected print for final review.
 - b. If, for any reason, the General Contractor cannot comply with the noted corrections, fabrication shall not proceed and General Contractor shall resubmit, following procedures outlined in this Section.
3. Stamped REVIEWED, "REVISE AND RESUBMIT" OR "REJECTED":
 - a. General Contractor shall revise and resubmit for review. Fabrication shall not proceed.

C. Manufacturer's Instruction

1. When required in individual Specification Section, submit manufacturer's printed instructions for delivery, storage, assembly, installation, start-up, adjusting and finishing, in quantities specified for product data., with two (2) additional copies submitted to the Project Manager and one (1) copy to the Architect.

D. Certificates of Compliance: Submit certificates of compliance with the associated Shop Drawings, Product Data, and Samples required for the product in quantities specified for certificates of compliance, with two (2) additional copies submitted to the Project Manager and one (1) copy to the Architect.

E. Field Samples: Provide field samples of finishes at the project as required by individual Specification Section. Install sample complete and finished.

- F. Patterns and Colors: Submit accurate color charts and pattern charts to the Designer for review and selection whenever a choice of color or pattern is available in a specified product, unless the exact color and pattern of a product are indicated in the Contract Documents. Color and Pattern charts shall represent the manufacturer's complete standard offerings, except where Specifications limit the offerings by defining a particular series or product type which is normally limited in color and pattern availability. Color and Pattern charts shall be submitted in quantities specified with two (2) additional copies submitted to the Project Manager and one (1) copy to the Architect.

1.8 SCHEDULE OF VALUES

- A. Prior to the first request for payment, the General Contractor shall submit to the Designer and the Project Manager, a Schedule of Values of the various portions of the Work in sufficient detail to reflect various major components of each Subcontractor, including quantities when requested, aggregating the total contract sum, and divided so as to facilitate payments for work under each Section. The schedule shall be prepared in such form as specified or as the Designer or the Project Manager may approve, and it shall include data to substantiate its accuracy. Each item in the Schedule of Values shall include its proper share of overhead and profit. This schedule, including breakdown and values, requires the approval of the Designer and the Project Manager and shall be used only as a basis for the General Contractor's request for payment

PART 2 - PRODUCTS (Not Used)

PART 3 - EXECUTION (Not Used)

END OF SECTION