



SECTION 01300

SUBMITTALS, MEETINGS AND RECORD DOCUMENTS

1. GENERAL

1.1 PRE-CONSTRUCTION MEETING

A. Architect and Owner will schedule a pre-construction meeting within 15 days of issuance of Notice to Proceed, to be attended by the owner, all project managers, Contractor's field superintendent, and representatives of major sub-contractors. At this time, Contractor shall make specified pre-construction submittals including following:

1. Typed list of sub-contractors with addresses and telephone numbers.
2. Certificates of insurance.
3. Approved construction schedule. See General Conditions, Paragraph 3.10.
4. Schedule of values.
5. Start-up authorization or certificates.

B. Pre-construction meeting agenda will include following:

1. Processing application for payment.
2. Processing and distribution of submittals.
3. Maintenance of record documents.
4. Procedure for field changes, change estimates, change orders, etc.
5. Site and building security.
6. Location and maintenance of temporary storage areas, field offices, vehicular parking and access, waste disposal, etc.
7. Safety and first-aid procedures.
8. Date and time for regular monthly coordination and progress meeting (to be coordinated with monthly application for payment).

1.2 CONSTRUCTION SCHEDULE

- A. Refer to General Conditions, Paragraph 3.10, for general provisions concerning construction progress schedule. Schedule shall show activities, itemized according to specification Section, and be organized in bar-chart or graph form so as to show both projected and actual progress of work.
- B. Arrange schedule to indicate required sequencing of units, and to show time allowances for submittals, inspections, and similar time margins.
- C. Show critical submittal dates related to each time bar, or prepare a separate coordinated listing of critical submittal dates.



- D. Show phases of work within each time bar for major elements which involve purchase lead-time, fabrication, seasonal treatment, mockups, testing, or similar phases as well as installation.
- E. Submit updated schedule monthly, together with application for payment.

1.3 SCHEDULE OF VALUES

- A. Refer to General Conditions, Paragraph 9.2 for general provisions concerning schedule of values.
- B. For these submittals, use AIA Document G702/703, Application and Certificate for Payment.
- C. Use specifications Sections as listed in Table of Contents as basis for format for listing costs.
- D. Itemize separately general cost items, such as bonds and allowances.
- E. Itemize change orders separately as they are approved.

1.4 MEETINGS AND REPORTING

- A. Contractor shall conduct general progress and coordination meetings at least twice each month, attended by a representative of each primary entity engaged for performance of work. Record discussions and decisions, and distribute copies to those attending and others affected, including Architect/Engineer.
- B. Date and time of at least one regular monthly progress and coordination meeting shall be determined at the pre-construction meeting. Timing of this monthly meeting shall be coordinated with payment requests.

1.5 APPLICATION FOR PAYMENT

- A. Refer to General Conditions, Paragraph 9.3, for general provisions concerning applications for payment.
- B. Use AIA Form G702/703, fully completed and executed.
- C. Submit the forms in triplicate including attachment of waivers and similar documentation with one copy.

1.6 SHOP DRAWINGS, PROJECT DATA, SAMPLES

- A. Refer to General Conditions, Product Data and Samples, paragraph 3.12, for general provisions covering this type of submittal.



- B. Coordinate the preparation and processing of work-related submittals with the performance of the work. Coordinate each separate submittal with other submittals and related activities that require sequential activity. Coordinate the submittal of different units of interrelated work so that one submittal will not be delayed by the necessity of reviewing a related submittal.
- C. Architect/Engineer Review:
 - 1. Allow ten working days for the Architect/Engineer's initial processing of each submittal. Allow one week for reprocessing each submittal. No extension of time will be authorized because of failure to transmit submittals to the Architect/Engineer sufficiently in advance of the work.
 - 2. The Architect/Engineer will stamp each submittal to be returned with a uniform, self-explanatory action stamp, appropriately marked and executed to indicate the status of the submittal.
- D. Mark each submittal with a permanent label for identification. Provide project name, date, name of Architect/Engineer, name of Contractor, number and title of appropriate specification section and similar definitive information. Provide a space on the label for Contractors and Architect/Engineer's review markings.
- E. Package each submittal appropriately for transmittal and handling. Send each submittal from the Contractor to the Architect/Engineer and other destinations using AIA Transmittal Form G810.
- F. Provide additional copies of submittals required by governing authorities that are in addition to copies specified for submittal to the Architect/Engineer.
- G. Where it is necessary to provide intermediate submittals between the initial and final submittals, provide and process intermediate submittals in the same manner as for initial submittals.
- H. Submit as follows:
 - 1. Shop drawings (original drawings prepared by Contractor or sub-contractor illustrating fabrication, layout, erection details, etc.): six prints, or one reproducible transparency and one opaque print, to Architect.
 - 2. Manufacturers' specifications, installation instructions, charts, schedules, catalogs, brochures, etc.: number of copies required by Contractor for distribution, plus one copy for Architect's retention.
 - 3. Samples: one sample to Architect only, unless otherwise specified.
 - 4. In submitting shop drawings and product data to Architect, use separate transmittals for material in different specification Sections, with applicable specification Section clearly numbered.



- I. Architect will review submittals within ten working days, measured from date of receipt by Architect until date of mailing. Contractor shall promptly make corrections and resubmit when so directed. Where submittal is marked "Approved as Noted" or similar, assume that all items are approved other than those to which specific exception is taken. Do not delay fabrication, assembly and delivery pending receipt of entirely "Approved" submittal.
- J. Distribute approved submittals to job site and record document files, and to suppliers and sub-contractors as required. Samples not designated by Contractor for incorporation into Work shall be kept on file until job completion. Any sample not reclaimed within 30 days after job completion will be considered unclaimed, and will be disposed of as directed by Architect.

1.7 PROJECT RECORD DOCUMENTS

- A. Keep on file at job site one complete set of up-to-date Contract Documents, including drawings and specifications, addenda, shop drawings and product data, testing data, change orders, field orders, and other modifications. Documents shall be neatly and securely stored in files or on racks, clearly indexed by trade activity or specification Section, and shall not be used for construction purposes.
- B. Legibly mark significant field changes such as following, using colored pencils or felt-tipped pens:
 - 1. Drawings: locations of concealed utilities, field changes of dimension and detail, changes resulting from change order or field order, and details not on original drawings.
 - 2. Specifications: manufacturer and model number of equipment actually installed.
 - 3. Shop drawings and manufacturers' literature: changes made after Architect's review.
- C. At completion of Work, deliver completed record documents to Architect. Final payment for Project will not be made until Architect reviews and approves these documents.

1.8 SUBSTANTIAL COMPLETION

- A. Refer to General Conditions, Article 9, Substantial Completion, for general provision concerning substantial Completion.
- B. Following issuance by Architect/Engineer of Certificate of Substantial Completion, Contractor may submit special payment request, provided the following have been completed:



1. Obtain permits, certificates of inspection and other approval and releases by governing authorities, required for Owner's occupancy and use of project.
 2. Submit warranties and similar documentation.
 3. Submit maintenance manuals and provide instruction of Owner's operational/maintenance personnel.
 4. Complete final cleaning of the work.
 5. Submit record documents.
 6. Submit listing of work to be completed before final acceptance.
- C. Following completion of the following requirements, final payment request may be submitted:
1. Complete work listed as incomplete at time of substantial completion, or otherwise assure Owner of subsequent completion of individual incomplete items.
 2. Settle liens and other claims, or assure Owner of subsequent settlement.
 3. Submit proof of payment on fees, taxes and similar obligations.
 4. Transfer operational, access, security and similar provisions to Owner; and remove temporary facilities, tools and similar items.
 5. Completion of requirements specified in "Project Closeout" section.
 6. Obtain consent of surety for final payment.

END OF SECTION