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USACE / NAVFAC / AFCEA / NASA UFGS-01 33 00 (January 2008)  
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Preparing Activity: NASA Superseding  
UFGS-01 33 00 (July 2007)

UNIFIED FACILITIES GUIDE SPECIFICATIONS

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SECTION 01 33 00

SUBMITTAL PROCEDURES  
01/08

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NOTE: This specification covers the requirements for general procedures regarding submittals, data normally submitted for review to establish conformance with the design concept and contract documents, called for in other sections of the specifications.

Edit this guide specification for project specific requirements by adding, deleting, or revising text. For bracketed items, choose applicable items(s) or insert appropriate information.

Remove information and requirements not required in respective project, whether or not brackets are present.

Comments and suggestions on this guide specification are welcome and should be directed to the technical proponent of the specification. A listing of technical proponents, including their organization designation and telephone number, is on the Internet.

Recommended changes to a UFGS should be submitted as a Criteria Change Request (CCR).

This guide specification includes tailoring options for ARMY, NAVY, NASA and for NAVFAC component requirements. Army tailoring options also include DESIGN-BUILD and CONSTRUCTION, and at least one of these options must be deselected. Do not use this section for Navy DB projects. Use the DB specs in the NAVFAC DB Master posted within the Whole Building Design Guide. Selection or deselection of a tailoring option will include or exclude that option in the section, but editing the resulting section to fit the project is still required.

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PART 1 GENERAL

The Contracting Officer may request submittals in addition to those specified when deemed necessary to adequately describe the work covered in the respective sections.

Units of weights and measures used on all submittals are to be the same as those used in the contract drawings.

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

Contractor's Quality Control (CQC) System Manager and the Designer of Record, if applicable, to check and approve all items prior to submittal and stamp, sign, and date indicating action taken. Proposed deviations from the contract requirements are to be clearly identified. Include within submittals items such as: Contractor's, manufacturer's, or fabricator's drawings; descriptive literature including (but not limited to) catalog cuts, diagrams, operating charts or curves; test reports; test cylinders; samples; O&M manuals (including parts list); certifications; warranties; and other such required submittals.

Submittals requiring Government approval are to be scheduled and made prior to the acquisition of the material or equipment covered thereby. Picked up and disposed of in accordance with manufacturer's Material Safety Data Sheets (MSDS) and in compliance with existing laws and regulations samples remaining upon completion of the work.

## 1.1 DEFINITIONS

### 1.1.1 Submittal Descriptions (SD)

Submittals requirements are specified in the technical sections. Submittals are identified by Submittal Description (SD) numbers and titles as follows:

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NOTE: The SD numbers and names, assigned by the  
SPECSINTACT Configuration, Control and Coordinating  
Board, relate to the terminology of the technical  
sections and should not be changed. Refer to UFC  
1-300-02 UNIFIED FACILITIES GUIDE SPECIFICATIONS  
(UFGS) FORMAT STANDARD for additional information.  
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#### SD-01 Preconstruction Submittals

Submittals which are required prior to a notice to proceed commencing work on site. Submittals required prior to the start of the next major phase of the construction on a multi-phase contract. Schedules or tabular list of data or tabular list including location, features, or other pertinent information regarding products, materials, equipment, or components to be used in the work, submitted prior to contract notice to proceed or next major phase of construction.

Certificates of insurance  
Surety bonds  
List of proposed subcontractors  
List of proposed products  
Construction Progress Schedule  
Network Analysis Schedule (NAS)  
Submittal register  
Schedule of prices  
Health and safety plan

Work plan  
Quality control (QC) plan  
Environmental protection plan

#### SD-02 Shop Drawings

Drawings, diagrams and schedules specifically prepared to illustrate some portion of the work.

Diagrams and instructions from a manufacturer or fabricator for use in producing the product and as aids to the Contractor for integrating the product or system into the project.

Drawings prepared by or for the Contractor to show how multiple systems and interdisciplinary work will be coordinated.

#### SD-03 Product Data

Catalog cuts, illustrations, schedules, diagrams, performance charts, instructions and brochures illustrating 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.

#### SD-04 Samples

Fabricated or unfabricated 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 on the project site establish standards by which the ensuring work can be judged. Includes assemblies or portions of assemblies which are to be incorporated into the project and those which will be removed at conclusion of the work.

#### SD-05 Design Data

Design calculations, mix designs, analyses or other data pertaining to a part of work.

#### SD-06 Test Reports

Report signed by authorized official of testing laboratory that a material, product or system identical to the material, product or system to be provided has been tested in accord with specified requirements. (Testing must have been within three years of date of contract award for the project.)

Report which includes findings of a test required to be performed by the Contractor on an actual portion of the work or prototype prepared for the project before shipment to job site.

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.

Investigation reports.

Daily logs and checklists.

Final acceptance test and operational test procedure.

#### SD-07 Certificates

Statements printed on the manufacturer's letterhead and signed by responsible officials of manufacturer of product, system or material attesting that product, system or material meets specification requirements. Must be dated after award of project contract and clearly name the project.

Document required of Contractor, or of a manufacturer, supplier, installer or subcontractor through Contractor, the purpose of which is to further quality of orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel qualifications.

Confined space entry permits.

Text of posted operating instructions.

#### SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system or material, including special notices and Material Safety Data sheets concerning impedances, hazards and safety precautions.

#### SD-09 Manufacturer's Field Reports

Documentation of the testing and verification actions taken by manufacturer's representative at the job site, in the vicinity of the job site, or on a sample taken from 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 be signed by an authorized official of a testing laboratory or agency and must state the test results; and indicate whether the material, product, or system has passed or failed the test.

Factory test reports.

#### SD-10 Operation and Maintenance Data

Data that is furnished by the manufacturer, or the system provider, to the equipment operating and maintenance personnel, including manufacturer's help and product line documentation necessary to maintain and install equipment. This data is needed by operating and maintenance personnel for the safe and efficient operation, maintenance and repair of the item.

This data is intended to be incorporated in an operations and maintenance manual or control system.

## SD-11 Closeout Submittals

Documentation to record compliance with technical or administrative requirements or to establish an administrative mechanism.

Special requirements 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 major phase of construction on a multi-phase contract.

### 1.1.2 Approving Authority

Office or designated person authorized to approve submittal.

### 1.1.3 Work

As used in this section, on- and off-site construction required by contract documents, including labor necessary to produce submittals, construction, materials, products, equipment, and systems incorporated or to be incorporated in such construction.

## 1.2 SUBMITTALS

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NOTE: Submittals must be limited to those necessary for adequate quality control. The importance of an item in the project should be one of the primary factors in determining if a submittal for the item should be required.

A "G" following a submittal item indicates that the submittal requires Government approval. Some submittals are already marked with a "G". Only delete an existing "G" if the submittal item is not complex and can be reviewed through the Contractor's QC system. Only add a "G" if the submittal is sufficiently important or complex in context of the project.

For submittals requiring Government approval on Army projects, a code of up to three characters within the submittal tags may be used following the "G" designation to indicate the approving authority. Codes for Army projects using the Resident Management System (RMS) are: "AE" for Architect-Engineer; "DO" for District Office (Engineering Division or other organization in the District Office); "AO" for Area Office; "RO" for Resident Office; and "PO" for Project Office. Codes following the "G" typically are not used for NAVFAC, Air Force and NASA projects.

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Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are [for Contractor QC approval.] [for information only. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government.] Submit the following in accordance with this section.

## SD-01 Preconstruction Submittals

Submittal register[; G][; G, [\_\_\_\_]]

### 1.3 SUBMITTAL CLASSIFICATION

Submittals are classified as follows:

#### 1.3.1 Designer of Record Approved

Designer of Record approval is required for extensions of design, critical materials, any deviations from the solicitation, the accepted proposal, or the completed design, equipment whose compatibility with the entire system must be checked, and other items as designated by the Contracting Officer. Within the terms of the Contract Clause entitled "Specifications and Drawings for Construction," they are considered to be "shop drawings." Contractor to provide the Government with the number of copies designated hereinafter of all Designer of Record approved submittals. The Government may review any or all Designer of Record approved submittals for conformance to the Solicitation and Accepted Proposal. The Government will review all submittals designated as deviating from the Solicitation or Accepted Proposal, as described below. Design submittals to be in accordance with Section [\_\_\_\_] DESIGN AFTER AWARD. Generally, design submittals should be identified as SD-05 Design Data submittals.

#### 1.3.2 Government Approved

Government approval is required for extensions of design, critical materials, deviations, equipment whose compatibility with the entire system must be checked, and other items as designated by the Contracting Officer. Government approval is required for any deviations from the Solicitation or Accepted Proposal and other items as designated by the Contracting Officer. Within the terms of the Contract Clause entitled "Specifications and Drawings for Construction," they are considered to be "shop drawings."

#### 1.3.3 Information Only

Submittals not requiring Government approval will be for information only. For Design-build construction all submittals not requiring Designer of Record or Government approval will be for information only. They are not considered to be "shop drawings" within the terms of the Contract Clause referred to above.

### 1.4 FORWARDING SUBMITTALS REQUIRING GOVERNMENT APPROVAL

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NOTE: Use this article and the following paragraphs only in LANTNAFVFACENGCOM Division projects. In the following paragraphs select only the applicable information in brackets. On A/E projects, the A/E should insert the firm name in the spaces shown, unless it is known that the A/E will not be checking samples and other submittals, including shop drawings and product data.  
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#### 1.4.1 Submittals Required from the Contractor

As soon as practicable after award of contract, and before procurement of



fabrication, forward to the [Commander, NAVFAC Atlantic, Code CI4A1, 6506 Hampton Boulevard, Norfolk, Virginia, 23508-1278] [Architect-Engineer: [\_\_\_\_],] submittals required in the technical sections of this specification, including shop drawings, product data and samples. One copy of the transmittal form for all submittals shall be forwarded to the Resident Officer in Charge of Construction.

[The Architect-Engineer for this project] [NAVFAC Atlantic] will review and approve for the Contracting Officer those submittals reserved for Contracting Officer approval to verify submittals comply with the contract requirements.

#### 1.4.1.1 O&M Data

[The Architect-Engineer for this project] [NAVFAC Atlantic] will review and approve for the Contracting Officer O&M Data to verify the submittals comply with the contract requirements; submit data specified for a given item within 30 calendar days after the item is delivered to the contract site.

- a. 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.

#### [1.4.1.2 Submittals Reserved for NAVFAC Atlantic Approval

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**NOTE: Include this optional paragraph for all projects designed by Architect-Engineer consulting firms. Fill in the appropriate specification section numbers and titles for the respective products.**  
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As an exception to the standard submittal procedure specified above, submit the following to the Commander, NAVFAC Atlantic, Code CI4A1, 6506 Hampton Blvd, Norfolk, VA 23508-1278:

\*\*\*\*\*  
**NOTE: Add Section Reference tags where appropriate below when blanks are filled.**  
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- [a. Section [\_\_\_\_], "[\_\_\_\_]": Pile driving records]
- [b. Section [\_\_\_\_], "[\_\_\_\_]": All fire protection system submittals]
- [c. Section [\_\_\_\_], "[\_\_\_\_]": All fire alarm system submittals]
- [d. Section 23 09 53.00 20 SPACE TEMPERATURE CONTROL SYSTEMS: SD-06 field test report submittals]
- [e. Section 23 09 23.13 20 BACnet DIRECT DIGITAL CONTROL SYSTEMS FOR HVAC: SD-06 field test report submittals]
- [f. Section 23 08 00.00 20 HVAC TESTING/ADJUSTING/BALANCING: All submittals]

- [g. Section 23 08 01.00 20 TESTING INDUSTRIAL VENTILATION SYSTEMS: All submittals]
- [h. Section 26 12 19.10 THREE-PHASE PAD-MOUNTED TRANSFORMERS: All submittals]
- [i. Section 26 12 19.20 SINGLE-PHASE PAD-MOUNTED TRANSFORMERS: All submittals]
- [j. Section 33 71 01 OVERHEAD TRANSMISSION AND DISTRIBUTION: Transformer submittals]
- [k. Section 26 11 16 SECONDARY UNIT SUBSTATIONS: Transformer submittals]
- [l. Section 26 11 13.00 20 PRIMARY UNIT SUBSTATION: Transformer submittals]

#### ] 1.4.1.3 Overseas Shop Drawing Submittals

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**NOTE: For use on overseas jobs only.**  
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All submittals shall be sent via overnight express mail service. All costs associated with the overnight express mail service shall be borne by the construction Contractor. Costs associated with the overnight express mail of submittals related to proposed submittal variances of resubmittals necessary as a result of noncompliant or incomplete Contractor submittals shall be the responsibility of the Contractor.

#### ] 1.5 PREPARATION

##### 1.5.1 Transmittal Form

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**NOTE: Do not use the following paragraph for Army projects.**  
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[ Transmit each submittal, except sample installations and sample panels to office of [approving authority]. Transmit submittals with transmittal form prescribed by Contracting [Officer] [Administrator] and standard for project. On the transmittal form identify Contractor, indicate date of submittal, and include information prescribed by transmittal form and required in paragraph entitled "Identifying Submittals." Process transmittal forms to record actions regarding sample[s] [installations] [panels].]

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**NOTE: Use the following paragraph for Army projects only. ENG Form 4025 is not a part of this guide specification; the sample ENG Form 4025 must be added to this section locally. If the Contractor is required to use the QCS software for the contract, that system includes an electronic version of ENG Form 4025.**  
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[ Use the attached sample transmittal form (ENG Form 4025) for submitting both Government approved and information only submittals in accordance with the instructions on the reverse side of the form. These forms [will be furnished to the Contractor][are included in the QCS software that the Contractor is required to use for this contract]. Properly complete this form by filling out all the heading blank spaces and identifying each item submitted. Exercise special care to ensure proper listing of the specification paragraph and sheet number of the contract drawings pertinent to the data submitted for each item.]

#### 1.5.2 Identifying Submittals

When submittals are provided by a lower tier contractor the Prime Contractor is to prepare, review and stamp with Contractor's approval all specified submittals prior to submitting for Government approval.

Identify submittals, except sample installations and sample panels, with the following information permanently adhered to or noted on each separate component of each submittal and noted on transmittal form. Mark each copy of each submittal identically, with the following:

- a. Project 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 second tier Contractor associated with submittal.
- e. Section number of the specification section by which submittal is required.
- f. Submittal description (SD) number of each component of submittal.
- g. When a resubmission, add alphabetic suffix on submittal description, for example, submittal 18 would become 18A, to indicate resubmission.
- h. Product identification and location in project.

#### 1.5.3 Format for SD-02 Shop Drawings

- a. Shop drawings are not to be less than 210 by 297 mm 8 1/2 by 11 inches nor more than 1189 by 841 mm 30 by 42 inches, except for full size patterns or templates. Prepare drawings to accurate size, with scale indicated, unless other form is required. Drawings are to be suitable for reproduction and be of a quality to produce clear, distinct lines and letters with dark lines on a white background.
- b. Present A4 297 by 210 mm 8 1/2 by 11 inches sized shop drawings as part of the bound volume for submittals required by section. Present larger drawings in sets.
- c. Include on each drawing the drawing title, number, date, and revision numbers and dates, in addition to information required in

paragraph entitled "Identifying Submittals."

- d. Number drawings in a logical sequence. [Contractors may use their own number system.] Each drawing is to bear the number of the submittal in a uniform location adjacent to the title block. Place the Government contract number in the margin, immediately below the title block, for each drawing.
- e. Reserve a blank space, no smaller than [\_\_\_\_\_] millimeter inches on the right hand side of each sheet for the Government disposition stamp.
- f. Dimension drawings, except diagrams and schematic drawings; prepare drawings demonstrating interface with other trades to scale. Use the same unit of measure for shop drawings as indicated on the contract drawings. Identify materials and products for work shown.
- g. Include the nameplate data, size and capacity on drawings. Also include applicable federal, military, industry and technical society publication references.

#### 1.5.4 Format of SD-03 Product Data and SD-08 Manufacturer's Instructions

- a. Present product data submittals for each section as a complete, bound volume. Include table of contents, listing page and catalog item numbers for product data.
- b. Indicate, by prominent notation, each product which is being submitted; indicate specification section number and paragraph number to which it pertains.
- c. Supplement product data with material prepared for project to satisfy submittal requirements for which product data does not exist. Identify this material as developed specifically for project, with information and format as required for submission of SD-07 Certificates.
- d. Provide product data in metric dimensions. Where product data are included in preprinted catalogs with English units only, submit metric dimensions on separate sheet.
- d. Provide product data in metric dimensions. Where product data are included in preprinted catalogs with English units only, submit metric dimensions on separate sheet.
- e. Include the manufacturer's name, trade name, place of manufacture, and catalog model or number on product data. Also include applicable federal, military, industry and technical society publication references. Should manufacturer's data require supplemental information for clarification, submit as specified for SD-07 Certificates.
- f. Where equipment or materials are specified to conform to industry and technical society reference standards of the organizations such as American National Standards Institute (ANSI), ASTM International (ASTM), National Electrical Manufacturer's Association (NEMA), Underwriters Laboratories (UL), and Association of Edison Illuminating Companies (AEIC), submit proof

of such compliance. The label or listing by the specified organization will be acceptable evidence of compliance. In lieu of the label or listing, submit a certificate from an independent testing organization, competent to perform testing, and approved by the Contracting Officer. State on the certificate that the item has been tested in accordance with the specified organization's test methods and that the item complies with the specified organization's reference standard.

- g. Collect required data submittals for each specific material, product, unit of work, or system into a single submittal and marked for choices, options, and portions applicable to the submittal. Mark each copy of the product data identically. Partial submittals will [not] be accepted for expedition of construction effort.
- h. Submit manufacturer's instructions prior to installation.

#### 1.5.5 Format of SD-04 Samples

- a. Furnish samples in sizes below, unless otherwise specified or unless the manufacturer has prepackaged samples of approximately same size as specified:
  - (1) Sample of Equipment or Device: Full size.
  - (2) Sample of Materials Less Than 50 by 75 mm 2 by 3 inches: Built up to A4 297 by 210 mm 8 1/2 by 11 inches.
  - (3) Sample of Materials Exceeding A4 297 by 210 mm 8 1/2 by 11 inches: Cut down to A4 297 by 210 mm 8 1/2 by 11 inches and adequate to indicate color, texture, and material variations.
  - (4) Sample of Linear Devices or Materials: 250 mm 10 inch length or length to be supplied, if less than 250 mm 10 inches. Examples of linear devices or materials are conduit and handrails.
  - (5) Sample of Non-Solid Materials: 750 ml Pint. Examples of non-solid materials are sand and paint.
  - (6) Color Selection Samples: 50 by 100 mm 2 by 4 inches. 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. Sizes and quantities of samples are to represent their respective standard unit.
  - (7) Sample Panel: 1200 by 1200 mm 4 by 4 feet.
  - (8) Sample Installation: 10 square meters 100 square feet.
- b. Samples Showing Range of Variation: Where variations in color, finish, pattern, or texture are unavoidable due to nature of the materials, submit sets of samples of not less than three units showing extremes and middle of range. Mark each unit to describe its relation to the range of the variation.
- c. Reusable Samples: Incorporate returned samples into work only if so specified or indicated. Incorporated samples are to be in undamaged condition at time of use.

- d. Recording of Sample Installation: Note and preserve the notation of area constituting sample installation but remove notation at final clean up of project.

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NOTE: To avoid unnecessary effort by the Contractor, use the following paragraph only when there is no color board prepared during design.  
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- e. When color, texture or pattern is specified by naming a particular manufacturer and style, include one sample of that manufacturer and style, for comparison.

#### 1.5.6 Format of SD-05 Design Data and SD-07 Certificates

Provide design data and certificates on 297 by 210 mm 8 1/2 by 11 inches paper. Provide a bound volume for submittals containing numerous pages.

#### 1.5.7 Format of SD-06 Test Reports and SD-09 Manufacturer's Field Reports

- a. Provide reports on 297 by 210 mm 8 1/2 by 11 inches paper in a complete bound volume.
- b. Indicate by prominent notation, each report in the submittal. Indicate specification number and paragraph number to which it pertains.

#### 1.5.8 Format of SD-10 Operation and Maintenance Data (O&M)

Comply with the requirements specified in Section 01 78 23 OPERATION AND MAINTENANCE DATA for O&M Data format.

#### 1.5.9 Format of SD-01 Preconstruction Submittals and SD-11 Closeout Submittals

- a. When submittal includes a document which is to be used in project or become part of project record, other than as a submittal, do not apply Contractor's approval stamp to document, but to a separate sheet accompanying document.
- b. Provide all dimensions in administrative submittals in metric. Where data are included in preprinted material with English units only, submit metric dimensions on separate sheet.
- b. Provide all dimensions in administrative submittals in metric. Where data are included in preprinted material with English units only, submit metric dimensions on separate sheet.

#### 1.6 QUANTITY OF SUBMITTALS

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NOTE: The quantities suggested below are consistent with the quantities to be retained by the Government, in paragraphs entitled "QC Organization Responsibilities" and "Government Responsibilities;" maintain the coordination.  
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1.6.1 Number of Copies of SD-02 Shop Drawings

Submit [six] [\_\_\_\_\_] copies of submittals of shop drawings requiring review and approval only by QC organization and [seven] [\_\_\_\_\_] copies of shop drawings requiring review and approval by Contracting Officer.

1.6.2 Number of Copies of SD-03 Product Data and SD-08 Manufacturer's Instructions

Submit in compliance with quantity requirements specified for shop drawings.

1.6.3 Number of Samples SD-04 Samples

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**NOTE: For NAVFAC, require one sample in paragraph "a" and delete the second sentence of paragraph "a".**

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- a. Submit [two] [\_\_\_\_\_] samples, or [two] [\_\_\_\_\_] sets of samples showing range of variation, of each required item. One approved sample or set of samples will be retained by approving authority and one will be returned to Contractor.
- b. Submit one sample panel or provide one sample installation where directed. Include components listed in technical section or as directed.
- c. Submit one sample installation, where directed.
- d. Submit one sample of non-solid materials.

1.6.4 Number of Copies SD-05 Design Data and SD-07 Certificates

Submit in compliance with quantity requirements specified for shop drawings.

1.6.5 Number of Copies SD-06 Test Reports and SD-09 Manufacturer's Field Reports

Submit in compliance with quantity and quality requirements specified for shop drawings other than field test results that will be submitted with QC reports.

1.6.6 Number of Copies of SD-10 Operation and Maintenance Data

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**NOTE: NAVFAC requires three copies of O&M Data unless OMSI manual is specified. Coordinate with OMSI requirements.**

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Submit [Five] [three] [\_\_\_\_\_] copies of O&M Data to the Contracting Officer for review and approval.

1.6.7 Number of Copies of SD-01 Preconstruction Submittals and SD-11 Closeout Submittals

Unless otherwise specified, submit [two] [three] sets of administrative

submittals.

#### 1.7 INFORMATION ONLY SUBMITTALS

\*\*\*\*\*  
**NOTE: Use the following paragraph for Army projects.**  
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Normally submittals for information only will not be returned. Approval of the Contracting Officer is not required on information only submittals. The Government reserves the right to require the Contractor to resubmit any item found not to comply with the contract. This does not relieve the Contractor from the obligation to furnish material conforming to the plans and specifications; will not prevent the Contracting Officer from requiring removal and replacement of nonconforming material incorporated in the work; and does not relieve the Contractor of the requirement to furnish samples for testing by the Government laboratory or for check testing by the Government in those instances where the technical specifications so prescribe. For design-build construction the Government will retain [\_\_\_\_\_] copies of information only submittals.

#### 1.8 VARIATIONS / SUBSTITUTION REQUESTS

Variations from contract requirements require Government approval pursuant to contract Clause FAR 52.236-21 and will be considered where advantageous to Government.

##### 1.8.1 Considering Variations

Discussion with Contracting Officer prior to submission, will help ensure functional and quality requirements are met and minimize rejections and re-submittals. When contemplating a variation which results in lower cost, consider submission of the variation as a Value Engineering Change Proposal (VECP).

Specifically point out variations from contract requirements in transmittal letters. Failure to point out deviations may result in the Government requiring rejection and removal of such work at no additional cost to the Government.

##### 1.8.2 Proposing Variations

When proposing variation, deliver written request to the Contracting Officer, with documentation of the nature and features of the variation and why the variation is desirable and beneficial to Government. If lower cost is a benefit, also include an estimate of the cost savings. In addition to documentation required for variation, include the submittals required for the item. Clearly mark the proposed variation in all documentation.

\*\*\*\*\*  
**NOTE: Use the following paragraph for Army projects only.**  
\*\*\*\*\*

Check the column "variation" of ENG Form 4025 for submittals which include proposed deviations requested by the Contractor. Set forth in writing the reason for any deviations and annotate such deviations on the submittal. The Government reserves the right to rescind inadvertent approval of submittals containing unnoted deviations.



### 1.8.3 Warranting That Variations Are Compatible

When delivering a variation for approval, Contractor warrants that this contract has been reviewed to establish that the variation, if incorporated, will be compatible with other elements of work.

### 1.8.4 Review Schedule Is Modified

\*\*\*\*\*  
NOTE: Allow a longer additional review period if  
the construction phase will have geographically  
scattered reviewers.  
\*\*\*\*\*

In addition to normal submittal review period, a period of [10] [\_\_\_\_\_] working days will be allowed for consideration by the Government of submittals with variations.

\*\*\*\*\*  
NOTE: Use the term "Database" in the following  
paragraphs on NASA projects only.  
\*\*\*\*\*

## 1.9 SUBMITTAL REGISTER [AND DATABASE]

\*\*\*\*\*  
NOTE: Create the submittal register from the project specification files, at the conclusion of the design. In SPECSINTACT, choose "Submittal Register Program" from "Forms/Documents" pull-down menu. Local procedures should be responsive to the requirement that the submittal register, required with the QC plan, is usually due from the Contractor within 20 days after the Notice of Award.  
\*\*\*\*\*

\*\*\*\*\*  
NOTE: Use bracketed items for Army projects only.  
\*\*\*\*\*

\*\*\*\*\*  
NOTE: Use the first bracketed sentence of the paragraph if the Contractor is required by the contract to use the Army Quality Control System (QCS). Use the second bracketed sentence of the paragraph if QCS not required. It may not be necessary or beneficial to use the QCS in small, simple, short duration contracts/delivery orders for construction, or for other contracts where its use would not be in the best interest of the Government.  
\*\*\*\*\*

Prepare and maintain submittal register, as the work progresses. [Use electronic submittal register program furnished by the Government or any other format.] Do not change data which is output in columns (c), (d), (e), and (f) as delivered by Government; retain data which is output in

columns (a), (g), (h), and (i) as approved. A submittal register showing items of equipment and materials for which submittals are required by the specifications is provided as an attachment. This list may not be all inclusive and additional submittals may be required. Maintain a submittal register for the project in accordance with Section 01 45 01.10 USACE QUALITY CONTROL SYSTEM (QCS). [The Government will provide the initial submittal register ][in electronic format][ with the following fields completed, to the extent that will be required by the Government during subsequent usage.]

Column (c): Lists specification section in which submittal is required.

Column (d): Lists each submittal description (SD No. and type, e.g. SD-02 Shop Drawings) required in each specification section.

Column (e): Lists one principal paragraph in specification section where a material or product is specified. This listing is only to facilitate locating submitted requirements. Do not consider entries in column (e) as limiting project requirements.

Column (f): Indicate approving authority for each submittal.

\*\*\*\*\*  
NOTE: Use the following paragraph for NASA projects only.  
\*\*\*\*\*

The database and submittal management program will be furnished to Contractor on a Writable Compact Disk (CD-R), for operation on Windows based personal computer.

[Thereafter, the Contractor is to 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 Government.]

\*\*\*\*\*  
NOTE: Use the following paragraph for Army Design-Build projects only.  
\*\*\*\*\*

The Designer of Record shall develop a complete list of submittals during design and identify required submittals in the specifications, and use the list to prepare the Submittal Register. The list may not be all inclusive and additional submittals may be required by other parts of the contract. The Contractor is required to complete the submittal register and submit it to the Contracting Officer for approval within 30 calendar days after Notice to Proceed. The approved submittal register will serve as a scheduling document for submittals and will be used to control submittal actions throughout the contract period. Coordinate the submit dates and need dates with dates in the Contractor prepared progress schedule. Submit monthly or until all submittals have been satisfactorily completed, updates to the submittal register showing the Contractor action codes and actual dates with Government action codes. Revise the submittal register when the progress schedule is revised and submit both for approval.

#### 1.9.1 Use of Submittal Register

\*\*\*\*\*

NOTE: Include the bracketed text, invoking the use of the electronic database for submittals, in most projects. The alternative is a manually processed submittal register initially created from the Submittal Register Program, which may be appropriate for small projects.

\*\*\*\*\*

Submit submittal register[ as an electronic database, using submittals management program furnished to Contractor]. Submit with QC plan and project schedule. Verify that all submittals required for project are listed and add missing submittals. Coordinate and complete the following fields on the register [database] submitted with the QC plan and the project schedule:

[Column (a) Activity Number: Activity number from the project schedule.]

Column (g) Contractor Submit Date: Scheduled date for approving authority to receive submittals.

[Column (h) Contractor Approval Date: Date Contractor needs approval of submittal.]

[Column (i) Contractor Material: Date that Contractor needs material delivered to Contractor control.]

#### 1.9.2 Contractor Use of Submittal Register

Update the following fields[ in the Government-furnished submittal register program or equivalent fields in program utilized by Contractor] with each submittal throughout contract.

Column (b) Transmittal Number: Contractor assigned list of consecutive numbers.

Column (j) Action Code (k): Date of action used to record Contractor's review when forwarding submittals to QC.

Column (l) List date of submittal transmission.

Column (q) List date approval received.

#### 1.9.3 Approving Authority Use of Submittal Register

Update the following fields[ in the Government-furnished submittal register program or equivalent fields in program utilized by Contractor].

Column (b) Transmittal Number: Contractor assigned list of consecutive numbers.

Column (l) List date of submittal receipt.

Column (m) through (p) List Date related to review actions.

Column (q) List date returned to Contractor.

#### 1.9.4 Contractor Action Code and Action Code

Entries for columns (j) and (o), are to be used are as follows (others may be prescribed by Transmittal Form):

NR - Not Received

AN - Approved as noted

A - Approved

RR - Disapproved, Revise, and Resubmit

#### 1.9.5 Copies Delivered to the Government

\*\*\*\*\*  
NOTE: For NASA projects only. Include the bracketed text, invoking the use of the electronic database for submittals, in most projects. The alternative is a manually processed submittal register initially created from the Submittal Register Program, which may be appropriate for small projects.  
\*\*\*\*\*

Deliver one copy of submittal register updated by Contractor to Government with each invoice request. [Deliver in electronic format, unless a paper copy is requested by Contracting Officer.]

#### 1.10 SCHEDULING

Schedule and submit concurrently submittals covering component items forming a system or items that are interrelated. Include certifications to be submitted with the pertinent drawings at the same time. No delay damages or time extensions will be allowed for time lost in late submittals. An additional [\_\_\_\_\_] calendar days will be allowed and shown on the register for review and approval of submittals for [food service equipment] [and] [refrigeration and HVAC control systems].

- a. Coordinate scheduling, sequencing, preparing and processing of submittals with performance of work so that work will not be delayed by submittal processing. Allow for potential resubmittal of requirements.
- b. Submittals called for by the contract documents will be listed on the register. If a submittal is called for but does not pertain to the contract work, the Contractor is to include the submittal in the register and annotate it "N/A" with a brief explanation. Approval by the Contracting Officer does not relieve the Contractor of supplying submittals required by the contract documents but which have been omitted from the register or marked "N/A".
- c. Re-submit register and annotate monthly by the Contractor with actual submission and approval dates. When all items on the register have been fully approved, no further re-submittal is required.
- d. Carefully control procurement operations to ensure that each

individual submittal is made on or before the Contractor scheduled submittal date shown on the approved "Submittal Register."

- e. Except as specified otherwise, allow review period, beginning with receipt by approving authority, that includes at least [15] [\_\_\_\_\_] working days for submittals for QC Manager approval and [20] [\_\_\_\_\_] working days for submittals for Contracting Officer approval. Period of review for submittals with Contracting Officer approval begins when Government receives submittal from QC organization.

\*\*\*\*\*

**NOTE: At bracket, use 30 working days for projects estimated to require 180 or more calendar days to construct. For projects requiring less than 180 calendar days to complete, use at least 20 working days.**

\*\*\*\*\*

- f. For submittals requiring review by fire protection engineer, allow review period, beginning when Government receives submittal from QC organization, of [30] [\_\_\_\_\_] working days for return of submittal to the Contractor.
- g. Period of review for each resubmittal is the same as for initial submittal.

\*\*\*\*\*

**NOTE: Delete this part if submittal schedule is specified elsewhere or is not required due to size or nature of the project.**

\*\*\*\*\*

[Within [30] [15] calendar days of notice to proceed] [At the Preconstruction conference], provide, for approval by the Contracting Officer, the following schedule of submittals:

- a. A schedule of shop drawings and technical submittals required by the specifications and drawings. Indicate the specification or drawing reference requiring the submittal; the material, item, or process for which the submittal is required; the "SD" number and identifying title of the submittal; the Contractor's anticipated submission date and the approval need date.
- b. A separate schedule of other submittals required under the contract but not listed in the specifications or drawings. Schedule will indicate the contract requirement reference; the type or title of the submittal; the Contractor's anticipated submission date and the approved need date (if approval is required).

#### 1.10.1 Reviewing, Certifying, Approving Authority

\*\*\*\*\*

**NOTE: Use this subpart for NAVFAC projects only.**

\*\*\*\*\*

The QC organization is responsible for reviewing and certifying that submittals are in compliance with contract requirements. Approving

authority on submittals is QC Manager unless otherwise specified for specific submittal. At each "Submittal" paragraph in individual specification sections, a notation "G," following a submittal item, indicates Contracting Officer is approving authority for that submittal item.

#### 1.10.2 Constraints

\*\*\*\*\*  
**NOTE: Use this subpart for NAVFAC projects only.**  
\*\*\*\*\*

- a. Conform to provisions of this section, unless explicitly stated otherwise for submittals listed or specified in this contract.
- b. Submit complete submittals for each definable feature of work. Submit at the same time components of definable feature interrelated as a system.
- c. When acceptability of a submittal is dependent on conditions, items, or materials included in separate subsequent submittals, submittal will be returned without review.
- d. Approval of a separate material, product, or component does not imply approval of assembly in which item functions.

#### 1.10.3 QC Organization Responsibilities

\*\*\*\*\*  
**NOTE: Use this subpart for NAVFAC projects only.**  
\*\*\*\*\*

- a. Note date on which submittal was received from Contractor on each submittal.
- b. Review each submittal; and check and coordinate each submittal with requirements of work and contract documents.
- c. Review submittals for conformance with project design concepts and compliance with contract documents.
- d. Act on submittals, determining appropriate action based on QC organization's review of submittal.
  - (1) When QC Manager is approving authority, take appropriate action on submittal from the possible actions defined in paragraph entitled, "Actions Possible."
  - (2) When Contracting Officer is approving authority or when variation has been proposed, forward submittal to Government with certifying statement or return submittal marked "not reviewed" or "revise and resubmit" as appropriate. The QC organization's review of submittal determines appropriate action.
- e. Ensure that material is clearly legible.
- f. Stamp each sheet of each submittal with QC certifying statement or approving statement, except that data submitted in bound volume or on one sheet printed on two sides may be stamped on the front of

the first sheet only.

(1) When approving authority is Contracting Officer, QC organization will certify submittals forwarded to Contracting Officer with the following certifying statement:

"I hereby certify that the (equipment) (material) (article) shown and marked in this submittal is that proposed to be incorporated with contract Number [\_\_\_\_], is in compliance with the contract drawings and specification, can be installed in the allocated spaces, and is submitted for Government approval.

Certified by Submittal Reviewer \_\_\_\_\_, Date \_\_\_\_\_  
(Signature when applicable)

Certified by QC Manager \_\_\_\_\_, Date \_\_\_\_\_"  
(Signature)

(2) When approving authority is QC Manager, QC Manager will use the following approval statement when returning submittals to Contractor as "Approved" or "Approved as Noted."

"I hereby certify that the (material) (equipment) (article) shown and marked in this submittal and proposed to be incorporated with contract Number [\_\_\_\_], is in compliance with the contract drawings and specification, can be installed in the allocated spaces, and is approved for use.

Certified by Submittal Reviewer \_\_\_\_\_, Date \_\_\_\_\_  
(Signature when applicable)

Approved by QC Manager \_\_\_\_\_, Date \_\_\_\_\_"  
(Signature)

- g. Sign certifying statement or approval statement. The QC organization member designated in the approved QC plan is the person signing certifying statements. The use of original ink for signatures is required. Stamped signatures are not acceptable.
- h. Update submittal register [database ]as submittal actions occur and maintain the submittal register at project site until final acceptance of all work by Contracting Officer.
- i. Retain a copy of approved submittals at project site, including Contractor's copy of approved samples.

#### 1.10.4 Government Reviewed Design or Extension of Design

\*\*\*\*\*  
**NOTE: Use this subpart for Army projects only.**  
\*\*\*\*\*

The Government will review all [[\_\_\_\_] percent] and [[\_\_\_\_] percent] design submittals for conformance with the technical requirements of the solicitation. Section [\_\_\_\_] DESIGN AFTER AWARD covers the design submittal and review process in detail. Government review is required for extension of design construction submittals, used to define contract conformity, and for deviation from the completed design. Review will be only for conformance with the contract requirements. Included are only

those construction submittals for which the Designer of Record design documents do not include enough detail to ascertain contract compliance. The Government may, but is not required, to review extensions of design such as structural steel or reinforcement shop drawings.

#### 1.11 GOVERNMENT APPROVING AUTHORITY

When approving authority is Contracting Officer, the Government will:

- a. Note date on which submittal was received from QC Manager.
- b. Review submittals for approval within scheduling period specified and only for conformance with project design concepts and compliance with contract documents.
- c. Identify returned submittals with one of the actions defined in paragraph entitled "Review Notations" and with markings appropriate for action indicated.

Upon completion of review of submittals requiring Government approval, stamp and date approved submittals. [ ] copies of the approved submittal will be retained by the Contracting Officer and [ ] copies of the submittal will be returned to the Contractor. If the Government performs a conformance review of other Designer of Record approved submittals, the submittals will be so identified and returned, as described above.

##### 1.11.1 Review Notations

Contracting Officer review will be completed within [ ] calendar days after date of submission. Submittals will be returned to the Contractor with the following notations:

- a. Submittals marked "approved" or "accepted" authorize the Contractor to proceed with the work covered.
- b. Submittals marked "approved as noted" "or approved except as noted, resubmittal not required," authorize the Contractor to proceed with the work covered provided he takes no exception to the corrections.
- c. Submittals marked "not approved" or "disapproved," or "revise and resubmit," indicate noncompliance with the contract requirements or design concept, or that submittal is incomplete. Resubmit with appropriate changes. No work shall proceed for this item until resubmittal is approved.
- d. Submittals marked "not reviewed" will indicate submittal has been previously reviewed and approved, is not required, 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 returned for lack of review by Contractor or for being incomplete, with appropriate action, coordination, or change.

#### 1.12 DISAPPROVED[ OR REJECTED] SUBMITTALS

Contractor shall make corrections required by the Contracting Officer. If the Contractor considers any correction or notation on the returned



submittals to constitute a change to the contract drawings or specifications; notice as required under the clause entitled, "Changes" is to be given to the Contracting Officer. Contractor is responsible for the dimensions and design of connection details and construction of work. Failure to point out deviations may result in the Government requiring rejection and removal of such work at the Contractor's expense.

If changes are necessary to submittals, the Contractor shall make such revisions and submission of the submittals in accordance with the procedures above. No item of work requiring a submittal change is to be accomplished until the changed submittals are approved.

#### 1.13 APPROVED[/ACCEPTED] SUBMITTALS

\*\*\*\*\*  
**NOTE: For Navy or NASA projects choose construction text. On Army projects choose either construction or design-build text.**  
\*\*\*\*\*

The Contracting Officer's approval or acceptance of submittals is not be construed as a complete check, and indicates only that the general method of construction, materials, detailing and other information are satisfactory design, general method of construction, materials, detailing and other information appear to meet the Solicitation and Accepted Proposal. Approval or acceptance will not relieve the Contractor of the responsibility for any error which may exist, as the Contractor under the Contractor Quality Control (CQC) requirements of this contract is responsible for [dimensions, the design of adequate connections and details, and the satisfactory construction of all work][design, dimensions, all design extensions, such as the design of adequate connections and details, etc., and the satisfactory construction of all work]. After submittals have been approved or accepted by the Contracting Officer, no resubmittal for the purpose of substituting materials or equipment will be considered unless accompanied by an explanation of why a substitution is necessary.

#### 1.14 APPROVED SAMPLES

Approval of a sample is only for the characteristics or use named in such approval and is not be construed to change or modify any contract requirements. Before submitting samples, the Contractor to assure 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.

Match the approved samples for Materials and equipment incorporated in the work. If requested, approved samples, including those which may be damaged in testing, will be returned to the Contractor, at his expense, upon completion of the contract. Samples not approved will also be returned to the Contractor at its expense, if so requested.

Failure of any materials to pass the specified tests will be sufficient cause for refusal to consider, under this contract, any further samples of the same brand or make of that material. Government reserves the right to disapproved any material or equipment which previously has proved unsatisfactory in service.

Samples of various materials or equipment delivered on the site or in place

may be taken by the Contracting Officer for testing. Samples failing to meet contract requirements will automatically void previous approvals. Contractor to replace such materials or equipment to meet contract requirements.

Approval of the Contractor's samples by the Contracting Officer does not relieve the Contractor of his responsibilities under the contract.

#### 1.15 WITHHOLDING OF PAYMENT

\*\*\*\*\*  
**NOTE: Choose either construction or design-build construction text.**  
\*\*\*\*\*

Payment for materials incorporated in the work will not be made if required approvals have not been obtained. No payment for materials incorporated in the work will be made if all required Designer of Record or required Government approvals have not been obtained. No payment will be made for any materials incorporated into the work for any conformance review submittals or information only submittals found to contain errors or deviations from the Solicitation or Accepted Proposal.

\*\*\*\*\*  
**NOTE: Selection between the use of progress schedule must be coordinated with project management.**  
\*\*\*\*\*

#### 1.16 PROGRESS SCHEDULE

##### 1.16.1 Bar Chart

- [a. Submit the progress chart, for approval by the Contracting Officer, at the Preconstruction Conference in one reproducible and 4 copies.
- b. Prepare the progress chart in the form of a bar chart utilizing form "Construction Progress Chart" or comparable format acceptable to the Contracting Officer.
- c. Include no less than the following information on the progress chart:
  - (1) Break out by major headings for primary work activity.
  - (2) A line item break out under each major heading sufficient to track the progress of the work.
  - (3) A line item showing contract finalization task which includes punch list, clean-up and demolition, and final construction drawings.
  - (4) A materials bar and a separate labor bar for each line item. Both bars will show the scheduled percentage complete for any given date within the contract performance period. Labor bar will also show the number of men (man-load) expected to be working on any given date within the contract performance period.
  - (5) The estimated cost and percentage weight of total contract

cost for each materials and labor bar on the chart.

(6) Separate line items for mobilization and drawing submittal and approval. (These items are to show no associated costs.)

- d. Update the progress schedule in one reproduction and 4 copies every 30 calendar days throughout the contract performance period.]

#### 1.16.2 Project Network Analysis

[Submit the initial progress schedule within 21 calendar days of notice to proceed. Schedule is to be updated and resubmitted monthly beginning 7 calendar days after return of the approved initial schedule. Updating to entail complete revision of the graphic and data displays incorporating changes in scheduled dates and performance periods. Redlined updates will only be acceptable for use as weekly status reviews.

Contractor to provide a single point contact from his on-site organization as his Schedule Specialist. Schedule Specialist is to have the responsibility of updating and coordinating the schedule with actual job conditions. Schedule Specialist to participate in weekly status meetings and present current information on the status of purchase orders, shop drawings, off-site fabrication, materials deliveries, Subcontractor activities, anticipated needs for Government furnished equipment, and any problem which may impact the contract performance period.

Include the following in the project network analysis:

- a. Graphically display with the standard network or arrow diagram capable of illustrating the required data. Drafting to be computer generated on standard 609 by 914 millimeter 24 by 36 inch (nominal size) drafting sheets or on small (279 by 432 millimeter 11 by 17 inch minimum) sheets with separate overview and detail breakouts. Provide a project network analysis that is legible with a clear, consistent method for continuations and detail referencing. Clearly delineate the critical path on the display. Clearly indicate the contract milestone date on the project network analysis graphic display.
- b. Data is to be presented as a separate printout on paper or, where feasible, may be printed on the same sheet as the graphic display. Data is to be organized in a logical coherent display capable of periodic updating.
- c. Include within the data verbal activity descriptions with a numerical ordering system cross referenced to the graphic display. Additionally, costs (broken down into separate materials and costs), duration, early start date, early finish date, late start date, late finish date, and float are to be detailed for each activity. A running total of the percent completion based on completed activity costs versus total contract cost is to be indicated. A system for indicating scheduled versus actual activity dates and durations is also to be provided.
- d. Sufficient detail to facilitate the Contractor's control of the job and to allow the Contracting Officer to readily follow progress for portions of the work should be shown within the schedule.]

#### 1.17 STATUS REPORT ON MATERIALS ORDERS

Within [\_\_\_\_\_] calendar days after notice to proceed, submit, for approval by the Contracting Officer, an initial material status report on all materials orders. This report will be updated and re-submitted every [\_\_\_\_\_] calendar days as the status on material orders changes.

Report to include list, in chronological order by need date, materials orders necessary for completion of the contract. The following information will be required for each material order listed:

- a. Material name, supplier, and invoice number.
- b. Bar chart line item or CPM activity number affected by the order.
- c. Delivery date needed to allow directly and indirectly related work to be completed within the contract performance period.
- d. Current delivery date agreed on by supplier.
- e. When item d exceeds item c, the effect that delayed delivery date will have on contract completion date.
- f. When item d exceeds item c, a summary of efforts made by the Contractor to expedite the delayed delivery date to bring it in line with the needed delivery date, including efforts made to place the order (or subcontract) with other suppliers.

#### 1.18 STAMPS

\*\*\*\*\*  
**NOTE: Use the following paragraph and stamps for  
Army projects only.**  
\*\*\*\*\*

Stamps used by the Contractor on the submittal data to certify that the submittal meets contract requirements is to be similar to the following:

CONTRACTOR	
(Firm Name)	
_____	Approved
_____	Approved with corrections as noted on submittal data and/or attached sheets(s)
SIGNATURE: _____	
TITLE: _____	
DATE: _____	

For design-build construction, both the Contractor Quality Control System Manager and the Designer of Record are to stamp and sign to certify that the submittal meets contract requirements.

PART 2    PRODUCTS

Not Used

PART 3    EXECUTION

Not Used

-- End of Section --