
USACE / NAVFAC / AFCEA UFGS-01330 (August 2004)

Preparing Activity: NAVFAC Superseding
UFGS-01330 (January 2004)

UNIFIED FACILITIES GUIDE SPECIFICATIONS

References are in agreement with UMRL dated 23 June 2005

Latest change indicated by CHG tags

SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01330

SUBMITTAL PROCEDURES

08/04

PART 1 GENERAL

1.1 DEFINITIONS

- 1.1.1 Submittal
- 1.1.2 Submittal Descriptions (SD)
- 1.1.3 Approving Authority
- 1.1.4 Work

1.2 SUBMITTALS

1.3 USE OF SUBMITTAL REGISTER [DATABASE]

- 1.3.1 Submittal Register
- 1.3.2 Contractor Use of Submittal Register
- 1.3.3 Approving Authority Use of Submittal Register
- 1.3.4 Contractor Action Code and Action Code
- 1.3.5 Copies Delivered to the Government

1.4 PROCEDURES FOR SUBMITTALS

- 1.4.1 Reviewing, Certifying, Approving Authority
- 1.4.2 Constraints
- 1.4.3 Scheduling
- 1.4.4 Variations
 - 1.4.4.1 Considering Variations
 - 1.4.4.2 Proposing Variations
 - 1.4.4.3 Warranting That Variations Are Compatible
 - 1.4.4.4 Review Schedule Is Modified
- 1.4.5 Contractor's Responsibilities
- 1.4.6 QC Organization Responsibilities
- 1.4.7 Government's Responsibilities
- 1.4.8 Actions Possible

1.5 FORMAT OF SUBMITTALS

- 1.5.1 Transmittal Form
- 1.5.2 Identifying Submittals
- 1.5.3 Format for SD-02 Shop Drawings
- 1.5.4 Format of SD-03 Product Data and SD-08 Manufacturer's
Instruction's
- 1.5.5 Format of SD-04 Samples

- 1.5.6 Format of SD-05 Design Data and SD-07 Certificates
- 1.5.7 Format of SD-06 Test Reports and SD-09 Manufacturer's Field Reports
- 1.5.8 Format of SD-10 Operation and Maintenance (O&M) Data
- 1.5.9 Format of SD-01 Preconstruction Submittals and SD-11 Closeout Submittalss
- 1.6 QUANTITY OF SUBMITTALS
 - 1.6.1 Number of Copies of SD-02 Shop Drawings
 - 1.6.2 Number of Copies of SD-03 Product Data and SD-08 Manufacturer's Instructions
 - 1.6.3 SD-04 Number of Samples
 - 1.6.4 Number of Copies SD-05 Design Data and SD-07 Certificates
 - 1.6.5 Number of Copies SD-06 Test Reports and SD-09 Manufacturer's Field Reportss
 - 1.6.6 Number of Copies of SD-10 Operation and Maintenance Data
 - 1.6.7 Number of Copies of SD-01 Preconstruction Submittals and SD-11 Closeout Submittalss
- 1.7 FORWARDING SUBMITTALS
 - 1.7.1 Submittals Required from the Contractor
 - 1.7.1.1 O&M Data
 - 1.7.1.2 Submittals Reserved for NAVFAC Atlantic Approval
 - 1.7.1.3 Overseas Shop Drawing Submittals
- 1.8 SUBMITTAL CLASSIFICATION
 - 1.8.1 Designer of Record Approved
 - 1.8.2 Government Approved
 - 1.8.3 Government Reviewed Design or Extension of Design
 - 1.8.4 Information Only
- 1.9 APPROVED SUBMITTALS
- 1.10 DISAPPROVED SUBMITTALS
- 1.11 WITHHOLDING OF PAYMENT
- 1.12 GENERAL
- 1.13 SUBMITTAL REGISTER
- 1.14 SCHEDULING
- 1.15 TRANSMITTAL FORM (ENG FORM 4025)
- 1.16 SUBMITTAL PROCEDURES
 - 1.16.1 Procedures
 - 1.16.2 Deviations
- 1.17 CONTROL OF SUBMITTALS
- 1.18 GOVERNMENT APPROVED SUBMITTALS
- 1.19 INFORMATION ONLY SUBMITTALS
- 1.20 STAMPS

PART 2 PRODUCTS

PART 3 EXECUTION

-- End of Section Table of Contents --

USACE / NAVFAC / AFCEA UFGS-01330 (August 2004)

Preparing Activity: NAVFAC Superseding
UFGS-01330 (January 2004)

UNIFIED FACILITIES GUIDE SPECIFICATIONS

References are in agreement with UMRL dated 23 June 2005

Latest change indicated by CHG tags

SECTION 01330

SUBMITTAL PROCEDURES 08/04

NOTE: This guide specification covers the requirements for general procedures regarding submittals called for in other sections of the specifications.

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).

Use of electronic communication is encouraged.

This guide specification includes tailoring options for USACE and NAVFAC requirements and for NAVFAC EFD and EFA regional requirements. Selection or deselection of a tailoring option will include or exclude that option in the section, but editing of the resulting section to fit the project is still required.

Brackets are used in the text to indicate designer choices or locations where text must be supplied by the designer.

NOTE: This section can be used for USACE construction projects or design-build construction projects.

Selection of the USACE tailoring option also requires selection of the tailoring option for construction projects or for design-build construction projects.

PART 1 GENERAL

1.1 DEFINITIONS

1.1.1 Submittal

Contract Clauses "FAR 52.236-5, Material and Workmanship," paragraph (b) and "FAR 52.236-21, Specifications and Drawings for Construction," paragraphs (d), (e), and (f) apply to all "submittals."

1.1.2 Submittal Descriptions (SD)

Submittals requirements are specified in the technical sections. Submittals are identified by SD numbers and titles as follows.

**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.**

SD-01 Preconstruction Submittals

Certificates of insurance.
Surety bonds.
List of proposed subcontractors.
List of proposed products.
Construction Progress Schedule.
Submittal register.
Schedule of prices.
Health and safety plan.
Work plan.
Quality control 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 or equipment for some portion of the work.

Samples of warranty language when the contract requires extended product warranties.

SD-04 Samples

Physical examples of materials, equipment or workmanship that illustrate functional and aesthetic characteristics of a material or product and establish standards by which the work can be judged.

Color samples from the manufacturer's standard line (or custom color samples if specified) to be used in selecting or approving colors for the project.

Field samples and mock-ups constructed 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

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 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 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 to confirm compliance with manufacturer's standards or instructions.

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. This data is needed by operating and maintenance personnel for the safe and efficient operation, maintenance and repair of the item.

SD-11 Closeout Submittals

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

1.1.3 Approving Authority

Office authorized to approve submittal.

1.1.4 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

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 Quality Control 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 Navy projects.

Submittal items not designated with a "G" are considered as being for information only for Army projects and for Contractor Quality Control approval for Navy projects.

Government approval is required for submittals with a "G" designation; submittals not having a "G" designation are for information only or as otherwise designated. When used, a designation following the "G" designation identifies the office that will review the submittal for the Government. The following shall be submitted in accordance with Section 01330 SUBMITTAL PROCEDURES:

SD-01 Preconstruction Submittals

Submittal register; G

1.3 USE OF SUBMITTAL REGISTER [DATABASE]

NOTE: The following paragraphs, up to the paragraph entitled "SUBMITTAL CLASSIFICATION", are for Navy projects only.

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

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.

Submittal register [database and submittal management program] will be delivered to the Contractor, by Contracting Officer [on 3 1/2 inch disk]. Register[database] will have 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-04 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. A "G" indicates approval by Contracting Officer; a blank indicates approval by QC manager.

[The database and submittal management program will be extractable from the disk furnished to Contractor, for operation on Contractor's IBM compatible personal computer with 640kb RAM, a hard drive, and 3 1/2 inch high density floppy disk drive.]

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.

1.3.1 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 quality control plan and project schedule required by Section 01450N DESIGN AND CONSTRUCTION QUALITY CONTROL and [Section 01321N NETWORK ANALYSIS SCHEDULES.] [Section 01320N DESIGN AND CONSTRUCTION PROGRESS DOCUMENTATION.] Verify that all submittals required for project are listed and add missing submittals. Complete the following on the register[database]:

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.

1.3.2 Contractor Use of Submittal Register

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

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.

1.3.3 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).

Column (l) List date of submittal receipt.

Column (m) through (p).

Column (q) List date returned to Contractor.

1.3.4 Contractor Action Code and Action Code

Entries used shall be as follows (others may be prescribed by Transmittal Form):

NR - Not Received

AN - Approved as noted

A - Approved

RR - Disapproved, Revise, and Resubmit

1.3.5 Copies Delivered to the Government

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.

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.]

1.4 PROCEDURES FOR SUBMITTALS

1.4.1 Reviewing, Certifying, Approving Authority

QC organization shall be 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.

1.4.2 Constraints

- a. Submittals listed or specified in this contract shall conform to provisions of this section, unless explicitly stated otherwise.
- b. Submittals shall be complete for each definable feature of work; components of definable feature interrelated as a system shall be submitted at same time.
- 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.

1.4.3 Scheduling

- 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 requirements to resubmit.
- b. 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. Period of review for each resubmittal is the same as for initial submittal.

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.

- c. 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. Period of review for each resubmittal is the same as for initial submittal.

1.4.4 Variations

Variations from contract requirements require Government approval pursuant to contract Clause entitled "FAR 52.236-21, Specifications and Drawings for Construction" and will be considered where advantageous to Government.

1.4.4.1 Considering Variations

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

1.4.4.2 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 saving. In addition to documentation required for variation, include the submittals required for the item. Clearly mark the proposed variation in all documentation.

1.4.4.3 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.

1.4.4.4 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.

1.4.5 Contractor's Responsibilities

- a. Determine and verify field measurements, materials, field construction criteria; review each submittal; and check and coordinate each submittal with requirements of the work and contract documents.
- b. Transmit submittals to QC organization in accordance with schedule on approved Submittal Register, and to prevent delays in the work, delays to Government, or delays to separate Contractors.
- c. Advise Contracting Officer of variation, as required by paragraph entitled "Variations."
- d. Correct and resubmit submittal as directed by approving authority. When resubmitting disapproved transmittals or transmittals noted for resubmittal, the Contractor shall provide copy of that previously submitted transmittal including all reviewer comments

for use by approving authority. Direct specific attention in writing or on resubmitted submittal, to revisions not requested by approving authority on previous submissions.

- e. Furnish additional copies of submittal when requested by Contracting Officer, to a limit of 20 copies per submittal.
- f. Complete work which must be accomplished as basis of a submittal in time to allow submittal to occur as scheduled.
- g. Ensure no work has begun until submittals for that work have been returned as "approved," or "approved as noted", except to the extent that a portion of work must be accomplished as basis of submittal.

1.4.6 QC Organization Responsibilities

- 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 person signing certifying statements shall be QC organization member designated in the approved QC plan. The signatures shall be in original ink. 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.

1.4.7 Government's Responsibilities

When approving authority is Contracting Officer, the Government will:

- a. Note date on which submittal was received from QC manager, on each submittal for which the Contracting Officer is approving authority.
- 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 "Actions Possible" and with markings appropriate for action indicated.

1.4.8 Actions Possible

Submittals will be returned with one of the following notations:

- a. 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.
- b. Submittals marked "approved" "approved as submitted" authorize

Contractor to proceed with work covered.

- c. Submittals marked "approved as noted" or "approval except as noted; resubmission not required" authorize Contractor to proceed with work as noted provided Contractor takes no exception to the notations.
- d. Submittals marked "revise and resubmit" or "disapproved" indicate submittal is incomplete or does not comply with design concept or requirements of the contract documents and shall be resubmitted with appropriate changes. No work shall proceed for this item until resubmittal is approved.

1.5 FORMAT OF SUBMITTALS

1.5.1 Transmittal Form

Transmit each submittal, except sample installations and sample panels, to office of approving authority. Transmit submittals with transmittal form prescribed by Contracting Officer and standard for project. The transmittal form shall 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 panels and sample installations.

1.5.2 Identifying Submittals

Identify submittals, except sample panel and sample installation, 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. Section number of the specification section by which submittal is required.
- d. Submittal description (SD) number of each component of submittal.
- e. When a resubmission, add alphabetic suffix on submittal description, for example, SD-10A, to indicate resubmission.
- f. Name, address, and telephone number of subcontractor, supplier, manufacturer and any other second tier Contractor associated with submittal.
- g. Product identification and location in project.

1.5.3 Format for SD-02 Shop Drawings

- a. Shop drawings shall not be less than A4 (297 by 210 mm) 8 1/2 by 11 inches nor more than AO (1189 by 841 mm) 30 by 42 inches.
- 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. Dimension drawings, except diagrams and schematic drawings; prepare drawings demonstrating interface with other trades to scale. Shop drawing dimensions shall be the same unit of measure as indicated on the contract drawings. Identify materials and products for work shown.
- e. Drawings shall include the nameplate data, size and capacity. 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 Instruction's

- 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.
- e. Product data shall include the manufacturer's name, trade name, place of manufacture, and catalog model or number. Submittals shall also include applicable federal, military, industry and technical society publication references. Should manufacturer's data require supplemental information for clarification, the supplemental information shall be submitted 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. The certificate shall state 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. Submit manufacturer's instruction 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.
 - (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 are unavoidable due to nature of the materials, submit sets of samples of not less than three units showing extremes and middle of range.
- c. Reusable Samples: Incorporate returned samples into work only if so specified or indicated. Incorporated samples shall 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.

NOTE: To avoid unnecessary effort by the Contractor, use the following paragraph only when there is no color board prepared during design.

- 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

- a. 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 (O&M) Data

- a. O&M Data format shall comply with the requirements specified in Section 01781, Operation and Maintenance Data"

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

- 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.

1.6 QUANTITY OF SUBMITTALS

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.

1.6.1 Number of Copies of SD-02 Shop Drawings

NOTE: Verify with the Contracting Officer the number of submittals required; normally "six" for Quality Control Manager approval and "seven" for Contracting Officer approval.

- a. 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 SD-04 Number of Samples

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

- 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. 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

- a. 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 Reportss

- b. Submit in compliance with quantity with quality requirements specified for shop drawings.

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

NOTE: For NAVFAC Atlantic, require three copies of O&M Data.

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 Submittalss

- a. Unless otherwise specified, submit administrative submittals compliance with quantity requirements specified for shop drawings.

1.7 FORWARDING SUBMITTALS

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.

1.7.1 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.

1.7.1.1 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.

[1.7.1.2 Submittals Reserved for NAVFAC Atlantic Approval

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.

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.

- [a. Section [____], "[____]": Pile driving records]
- [b. Section [____], "[____]": All fire protection system submittals]
- [c. Section [____], "[____]": All fire alarm system submittals]
- [d. Section 15901N SPACE TEMPERATURE CCONTROL SYSTEMS: SD-06 field test report submittals]
- [e. Section 15910N DIRECT DIGITAL CONTROL SYSTEMS: SD-06 field test report submittals]
- [f. Section 15950N HVAC TESTING/ADJUSTING/BALANCING: All submittals]
- [g. Section 15951N TESTING INDUSTRIAL VENTILATION SYSTEMS: All submittals]
- [h. Section 16272 THREE-PHASE PAD POUNTED TRANSFORMERS: All

submittals]

[i. Section 16273 SINGLE-PHASE PAD POUNTED TRANSFORMERS: All submittals]

[j. Section 16301N OVERHEAD TRANSMISSION AND DISTRIBUTION: Transformer submittals]

[k. Section 16360 SECONDARY UNIT SUBSTATIONS: Transformer submittals]

[l. Section 16361N PRIMARY UNIT SUBSTATIONS: Transformer submittals]

] [1.7.1.3 Overseas Shop Drawing Submittals

NOTE: For use on overseas jobs only.

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.

]

1.8 SUBMITTAL CLASSIFICATION

NOTE: The remaining paragraphs of this specification section are for Army projects only.

Submittals are classified as follows:

1.8.1 Designer of Record Approved

NOTE: This paragraph applies only to design-build projects. The DESIGN AFTER AWARD section is project specific and usually carries the number 01012.

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". The Contractor shall provide the Government 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 shall be in accordance with Section [_____] DESIGN AFTER AWARD. Generally, design submittals should be identified as SD-05 DESIGN DATA submittals.

1.8.2 Government Approved

**NOTE: Selection of construction or design-build
construction text required.**

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."

1.8.3 Government Reviewed Design or Extension of Design

**NOTE: This paragraph applies only to design-build
construction projects. The DESIGN AFTER AWARD
section is project specific and usually carries the
number 01012.**

The Government will review all (____%) and (____%) 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.

1.8.4 Information Only

**NOTE: Selection of construction or design-build
construction text required.**

All submittals not requiring Government approval will be for information only. 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. All submittals not requiring 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.

1.9 APPROVED SUBMITTALS

**NOTE: Selection of construction or design-build
construction text required.**

The Contracting Officer's approval of submittals shall not be construed as

a complete check, but will indicate 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 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 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.

1.10 DISAPPROVED SUBMITTALS

**NOTE: Selection of construction or design-build
construction text required.**

The Contractor shall make all corrections required by the Contracting Officer and promptly furnish a corrected submittal in the form and number of copies specified for the initial submittal. The Contractor shall make all corrections required by the Contracting Officer, obtain the Designer of Record's approval when applicable, and promptly furnish a corrected submittal in the form and number of copies specified for the initial submittal. Any "information only" submittal found to contain errors or unapproved deviations from the Solicitation or Accepted Proposal shall be resubmitted as one requiring "approval" action, requiring both Designer of Record and Government approval. If the Contractor considers any correction indicated on the submittals to constitute a change to the contract, a notice in accordance with the Contract Clause "Changes" shall be given promptly to the Contracting Officer.

1.11 WITHHOLDING OF PAYMENT

**NOTE: Selection of construction or design-build
construction text required.**

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.

1.12 GENERAL

**NOTE: Selection of construction or design-build
construction text required.**

The Contractor shall make submittals as required by the specifications.

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 shall be the same as those used in the contract drawings. Each submittal shall be complete and in sufficient detail to allow ready determination of compliance with contract requirements. Prior to submittal, all items shall be checked and approved by the Contractor's Quality Control (CQC) System Manager and the Designer of Record, if applicable, and each item shall be stamped, signed, and dated by the CQC System Manager indicating action taken. Proposed deviations from the contract requirements shall be clearly identified. Submittals shall include 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 shall be scheduled and made prior to the acquisition of the material or equipment covered thereby. Samples remaining upon completion of the work shall be picked up and disposed of in accordance with manufacturer's Material Safety Data Sheets (MSDS) and in compliance with existing laws and regulations.

1.13 SUBMITTAL REGISTER

NOTE: Use the first bracketed sentence of the paragraph if the Contractor is required by the contract to use the Quality Control System (QCS). Use the second bracketed sentence of the paragraph if the Contractor will not be required by the contract to use the Quality Control System (QCS). 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.

A submittal register or a submittal list is not a part of this guide specification; a register or listing must be developed locally for each project.

When creating a new section not covered by guide specifications, the following guidelines must be followed.

1. The submittal paragraph must be in PART 1 and entitled "1.x SUBMITTALS" ("x" represents any main paragraph number).
2. Each submittal category (SD-## Title) used must be identified in the submittal paragraph and surrounded by a set of submittal tags.
3. Items requiring a submittal are listed below the submittal categories (SD-## Title) surrounded by a set of submittal tags. If the submittal item is repeated elsewhere in a paragraph outside the submittal paragraph and that paragraph establishes the requirements for the item, the item should be

tagged in the paragraph title or the paragraph text so that the paragraph number will appear on the submittal register. Tagging of the item in the paragraph title should be the first choice.

4. Submittal Classifications:

a. Government approved is required for submittals with a "G" designation. All submittals not requiring Government approval will be for information only. The "G" Submittal Classification can only appear in the submittal paragraph and must be included within a separate set of submittal tags immediately following the submittal item.

b. A Reviewer designation should be used anytime the "G" designation is used. The Reviewer is designated by inserting an identifier of three characters or less (e.g. "AE") immediately following the "G" designation. The identifier must be separated from the "G" designation by a space, comma, pipe symbol or dash (a comma and a space are used in the guide specifications). The "G" and the reviewer designation should be included within the same set of submittal tags.

When the submittal register is generated, SPECSINTACT software searches by section for the submittal paragraph within Part 1. Next it will search for submittal tags within the paragraph and within the section and place the information on the submittal register. Submittal registers generated through the QCS software utilize the submittal file generated by the SPECSINTACT software.

Selection of construction or design-build construction text required.

At the end of this section is a submittal [register] [list] showing items of equipment and materials for which submittals are required by the specifications; this list may not be all inclusive and additional submittals may be required. [The Contractor shall maintain a submittal register for the project in accordance with Section 01312A QUALITY CONTROL SYSTEM (QCS).] [The Government will provide the initial submittal register in electronic format. Thereafter, the Contractor shall maintain a complete list of all submittals, including completion of all data columns. Dates on which submittals are received and returned by the Government will be included in its export file to the Contractor. The Contractor shall track all submittals.]

The Designer of Record shall develop a complete list of submittals during design. The Designer of Record shall 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. The submit dates and need dates used in the submittal register shall be coordinated with dates in the Contractor prepared progress schedule. Updates to the submittal register showing the Contractor action codes and actual dates with Government action codes and actual dates shall be submitted monthly or until all submittals have been satisfactorily completed. When the progress schedule is revised, the submittal register shall also be revised and both submitted for approval.

1.14 SCHEDULING

Submittals covering component items forming a system or items that are interrelated shall be scheduled to be coordinated and submitted concurrently. Certifications to be submitted with the pertinent drawings shall be so scheduled. Adequate time (a minimum of [_____] calendar days exclusive of mailing time) shall be allowed and shown on the register for review and approval. No delay damages or time extensions will be allowed for time lost in late submittals. An additional [_____] calendar days shall be allowed and shown on the register for review and approval of submittals for [food service equipment] [and] [refrigeration and HVAC control systems].

1.15 TRANSMITTAL FORM (ENG FORM 4025)

NOTE: 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.

The sample transmittal form (ENG Form 4025) attached to this section shall be used 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]. This form shall be properly completed by filling out all the heading blank spaces and identifying each item submitted. Special care shall be exercised to ensure proper listing of the specification paragraph and/or sheet number of the contract drawings pertinent to the data submitted for each item.

1.16 SUBMITTAL PROCEDURES

Submittals shall be made as follows:

1.16.1 Procedures

NOTE: Add applicable procedures, including where to be submitted and number of copies required.

[_____] [_____] [The Government will further discuss detailed submittal procedures with the Contractor at the [Preconstruction Conference] [Post-Award Conference]].

1.16.2 Deviations

For submittals which include proposed deviations requested by the Contractor, the column "variation" of ENG Form 4025 shall be checked. The Contractor shall 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.

1.17 CONTROL OF SUBMITTALS

The Contractor shall carefully control his procurement operations to ensure that each individual submittal is made on or before the Contractor scheduled submittal date shown on the approved "Submittal Register."

1.18 GOVERNMENT APPROVED SUBMITTALS

**NOTE: Selection of construction or design-build
construction text required.**

Upon completion of review of submittals requiring Government approval, the submittals will be identified as having received approval by being so stamped and dated. [] copies of the 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.

1.19 INFORMATION ONLY SUBMITTALS

**NOTE: Selection of construction or design-build
construction text required.**

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.

1.20 STAMPS

**NOTE: Selection of construction or design-build
construction text required.**

Stamps used by the Contractor on the submittal data to certify that the submittal meets contract requirements shall 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 shall stamp and sign to certify that the submittal meets contract requirements.

PART 2 PRODUCTS

Not used.

PART 3 EXECUTION

Not used.

-- End of Section --