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USACE / NAVFAC / AFCEC / NASA	**UFGS-01 33 00 (August 2018)** **Change 4 - 02/21**
Preparing Activity: USACE	**Superseding** **UFGS-01 33 00 (May 2011)**

UNIFIED FACILITIES GUIDE SPECIFICATIONS

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SECTION 01 33 00

SUBMITTAL PROCEDURES
08/18, CHG 4: 02/21

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NOTE: This guide 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.

Adhere to UFC 1-300-02 Unified Facilities Guide Specifications (UFGS) Format Standard when editing this guide specification or preparing new project specification sections. 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, suggestions and recommended changes for this guide specification are welcome and should be submitted as a Criteria Change Request (CCR).

This guide specification includes tailoring options for Army, Navy, NASA, and NAVFAC component requirements. Selection or deselection of a tailoring option will include or exclude that option in the section, but the resulting section must still be edited to fit the project required.

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PART 1 GENERAL

1.1 DEFINITIONS

1.1.1 Submittal Descriptions (SD)

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NOTE: The SD numbers and titles, 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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NOTE: This paragraph contains tailoring tags for Army, Navy, NASA, Design-Bid-Build and Design-Build.
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Submittal requirements are specified in the technical sections. Examples and descriptions of submittals identified by the Submittal Description (SD) numbers and titles follow:

SD-01 Preconstruction Submittals

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NOTE: For projects in the NAVFAC PAC Area of Operation, the submittal(s) identified as SD-01 Preconstruction Submittal for this spec section, select the "G" designation requiring Government approval.
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Submittals that are required prior to or commencing with the start of work on site.

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NOTE: For projects in the NAVFAC PAC Area of Operation, add the bracket paragraph below.
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[For Government approved division 01 preconstruction submittals that are required prior to or commencing with the start of work must be submitted within 30 calendar days of contract award unless specified elsewhere in the specifications. For contractor approved division 01 submittals that are required prior to or commencing with the start of work must be submitted within 45 calendar days of contract award unless specified elsewhere in the specifications.]

Preconstruction Submittals include schedules and a tabular list of locations, features, and other pertinent information regarding products, materials, equipment, or components to be used in the work.

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NOTE: For projects in the NAVFAC PAC Area of Operation, remove the "List of Proposed Subcontractors", "List of Proposed Products", "Submittal Register" and "Work Plan". For Guam projects add the bracketed Explosive Safety Submission ESS Work Plan.
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Certificates Of Insurance

Surety Bonds

List Of Proposed Subcontractors

List Of Proposed Products

Baseline Network Analysis Schedule (NAS)

Submittal Register

Schedule Of Prices Or Earned Value Report

Health And Safety Plan

Work Plan

Quality Control (QC) plan

Environmental Protection Plan [Explosive Safety Submission ESS Work 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 ensuring work can be judged. Includes assemblies or portions of assemblies that are to be incorporated into the project and those that will be removed at conclusion of the work.

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NOTE: This paragraph contains tailoring tags for Army, and Design-Build.
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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. Unless specified in another section, testing must have been within three years of date of contract award for the project.

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

Report that 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 the 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 document purpose is to further promote the 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 (SDS)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

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 provided by the manufacturer, or the system provider, including manufacturer's help and product line documentation, necessary to maintain and install equipment, for operating and maintenance use by facility personnel.

Data required by operating and maintenance personnel for the safe and efficient operation, maintenance and repair of the item.

Data 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.

Submittals required for Guiding Principle Validation (GPV) or Third Party Certification (TPC).

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 the submittal.

1.1.3 Work

As used in this section, on-site 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. In exception, excludes work to produce SD-01 submittals.

1.2 SUBMITTALS

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NOTE: Review Submittal Description (SD) definitions in Section 01 33 00 SUBMITTAL PROCEDURES and edit the following list, and corresponding submittal items in the text, to reflect only the submittals required for the project. The Guide Specification technical editors have classified those items that require Government approval, due to their complexity or criticality, with a "G." Generally, other submittal items can be reviewed by the Contractor's Quality Control System. Only add a “G” to an item, if the submittal is sufficiently important or complex in context of the project.

Codes following the "G" typically are not used for Navy, Air Force and NASA projects.

Submittal documents must not contain any Employee Personnel Information (EPI) or Protected Personal Information (PPI), including but not limited to Social Security Number, date of birth, home address, and home telephone number. If EPI/PPI is understood to be required as part of a submittal, contact the Contractor Officer for guidance on how to properly furnish the information in accordance with 32 CFR 701.115.

The "S" classification indicates submittals required as proof of compliance for sustainability Guiding Principles Validation or Third Party Certification and as described in Section 01 33 00 SUBMITTAL PROCEDURES.

Choose the first bracketed item for Navy, Air Force and NASA projects, or choose the second bracketed item for Army projects.

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Government approval is required for submittals with a "G" or "S" classification. Submittals not having a "G" or “S” classification are [for Contractor Quality Control approval.][for information only. When used, a code following the "G" classification identifies the office that will review the submittal for the Government.] Submit the following in accordance with Section 01 33 00 SUBMITTAL PROCEDURES:

SD-01 Preconstruction Submittals

Submittal Register; G

1.3 SUBMITTAL CLASSIFICATION

1.3.1 Government Approved (G)

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NOTE: This paragraph contains tailoring tags for Army, Design-Bid-Build and Design-Build.

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Government approval is required for extensions of design, critical materials, variations, equipment whose compatibility with the entire system must be checked, and other items as designated by the Government.

Within the terms of the Contract Clause SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION, submittals are considered to be "shop drawings."

1.3.2 For Information Only

Submittals not requiring Government approval will be for information only. Within the terms of the Contract Clause SPECIFICATIONS AND DRAWINGS FOR CONSTRUCTION, they are not considered to be "shop drawings."

1.3.3 Sustainability Reporting Submittals (S)

Submittals for Guiding Principle Validation (GPV) or Third Party Certification (TPC) are indicated with an "S" designation. These submittals are for information only and for use as specified in Section 01 33 29 SUSTAINABILITY REPORTING.

Schedule submittals for these items throughout the course of construction as provided; do not wait until closeout.

1.4 PREPARATION

1.4.1 Transmittal Form

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NOTE: This paragraph includes tailoring for Navy and NASA.
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Transmit each submittal, except sample installations and sample panels to the office of the approving authority using the transmittal form prescribed by the Contracting Officer. Include all information prescribed by the transmittal form and required in paragraph IDENTIFYING SUBMITTALS. Use the submittal transmittal forms to record actions regarding samples.

1.4.2 Identifying Submittals

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NOTE: This paragraph includes tailoring for Navy and NASA. Select Quality Control Manager for Navy projects, or approving authority for NASA projects.
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The Contractor's [Quality Control Manager] [approving authority] must prepare, review and stamp submittals, including those provided by a subcontractor, before submittal to the Government.

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. Dates of the drawings and revisions

d. Name, address, and telephone number of Subcontractor, supplier, manufacturer, and any other Subcontractor associated with the submittal.

e. Section number of the specification by which submittal is required

f. Submittal description (SD) number of each component of submittal

g. For 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.

1.4.3 Submittal Format

1.4.3.1 Format of SD-01 Preconstruction Submittals

When the submittal includes a document that is to be used in the project, or is to become part of the project record, other than as a submittal, do not apply the Contractor's approval stamp to the document itself, but to a separate sheet accompanying the document.

Provide data in the unit of measure used in the contract documents.

1.4.3.2 Format for SD-02 Shop Drawings

Provide shop drawings not 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 another form is required. Ensure drawings are suitable for reproduction and of a quality to produce clear, distinct lines and letters, with dark lines on a white background.

a. Include the nameplate data, size, and capacity on drawings. Also include applicable federal, military, industry, and technical society publication references.

b. 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.

****
NOTE: Select either the hard copy submittal or electronic submittal paragraph for the project.
****

Present 210 by 297 mm shop drawings sized 8 1/2 by 11 inches as part of the bound volume for submittals. Present larger drawings in sets. Submit an electronic copy of drawings in PDF format.

1.4.3.2.1 Drawing Identification

Include on each drawing the drawing title, number, date, and revision numbers and dates, in addition to information required in paragraph IDENTIFYING SUBMITTALS.

Number drawings in a logical sequence. Each drawing is to bear the number of the submittal in a uniform location next to the title block. Place the Government contract number in the margin, immediately below the title block, for each drawing.

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NOTE: Do not use the following paragraph for NAVFAC PAC AOR.
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Reserve a blank space, no smaller than [_____] millimeter inches on the right-hand side of each sheet for the Government disposition stamp.

1.4.3.3 Format of SD-03 Product Data

Present product data submittals for each section as a complete, bound volume. Include a table of contents, listing the page and catalog item numbers for product data.

Indicate, by prominent notation, each product that is being submitted; indicate the specification section number and paragraph number to which it pertains.

1.4.3.3.1 Product Information

Supplement product data with material prepared for the project to satisfy the submittal requirements where product data does not exist. Identify this material as developed specifically for the project, with information and format as required for submission of SD-07 Certificates.

Provide product data in metric dimensions. Where product data are included in preprinted catalogs with English units only, submit metric dimensions on separate sheet.

Provide product data in units used in the Contract documents. Where product data are included in preprinted catalogs with another unit, submit the dimensions in contract document units, on a separate sheet.

1.4.3.3.2 Standards

Where equipment or materials are specified to conform to industry or technical-society reference standards of such organizations as the American National Standards Institute (ANSI), ASTM International (ASTM), National Electrical Manufacturer's Association (NEMA), Underwriters Laboratories (UL), or 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.

1.4.3.3.3 Data Submission

Collect required data submittals for each specific material, product, unit of work, or system into a single submittal that is 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 the construction effort.

Submit the manufacturer's instructions before installation.

1.4.3.4 Format of SD-04 Samples

1.4.3.4.1 Sample Characteristics

Furnish samples in the following sizes, unless otherwise specified or unless the manufacturer has prepackaged samples of approximately the same size as specified:

a. Sample of Equipment or Device: Full size.

b. Sample of Materials Less Than 50 by 75 mm 2 by 3 inches: Built up to 210 by 297 mm 8 1/2 by 11 inches.

c. Sample of Materials Exceeding 210 by 297 mm 8 1/2 by 11 inches: Cut down to 210 by 297 mm 8 1/2 by 11 inches and adequate to indicate color, texture, and material variations.

d. 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.

e. Sample Volume of Nonsolid Materials: 750 ml Pint. Examples of nonsolid materials are sand and paint.

f. 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.

g. Sample Panel: 1200 by 1200 mm 4 by 4 feet.

h. Sample Installation: 10 square meters 100 square feet.

1.4.3.4.2 Sample Incorporation

Reusable Samples: Incorporate returned samples into work only if so specified or indicated. Incorporated samples are to be in undamaged condition at the time of use.

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

1.4.3.4.3 Comparison Sample

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.

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

When color, texture, or pattern is specified by naming a particular manufacturer and style, include one sample of that manufacturer and style, for comparison.

1.4.3.5 Format of SD-05 Design Data

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

1.4.3.6 Format of SD-06 Test Reports

Provide reports on 210 by 297 mm 8 1/2 by 11 inch paper in a complete bound volume.

By prominent notation, indicate each report in the submittal. Indicate the specification number and paragraph number to which each report pertains.

1.4.3.7 Format of SD-07 Certificates

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

1.4.3.8 Format of SD-08 Manufacturer's Instructions

Present manufacturer's instructions submittals for each section as a complete, bound volume. 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. If supplemental information is needed to clarify the manufacturer's data, submit it as specified for SD-07 Certificates.

Submit the manufacturer's instructions before installation.

1.4.3.8.1 Standards

Where equipment or materials are specified to conform to industry or technical-society reference standards of such organizations as the American National Standards Institute (ANSI), ASTM International (ASTM), National Electrical Manufacturer's Association (NEMA), Underwriters Laboratories (UL), or 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.

1.4.3.9 Format of SD-09 Manufacturer's Field Reports

Provide reports on 210 by 297 mm 8 1/2 by 11 inch paper in a complete bound volume.

By prominent notation, indicate each report in the submittal. Indicate the specification number and paragraph number to which each report pertains.

1.4.3.10 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.

1.4.3.11 Format of SD-11 Closeout Submittals

When the submittal includes a document that is to be used in the project or is to become part of the project record, other than as a submittal, do

not apply the Contractor's approval stamp to the document itself, but to a separate sheet accompanying the document.

Provide data in the unit of measure used in the contract documents.

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.

1.4.4 Source Drawings for Shop Drawings

1.4.4.1 Source Drawings

The entire set of source drawing files (DWG) will not be provided to the Contractor. Request the specific Drawing Number for the preparation of shop drawings. Only those drawings requested to prepare shop drawings will be provided. These drawings are provided only after award.

1.4.4.2 Terms and Conditions

Data contained on these electronic files must not be used for any purpose other than as a convenience in the preparation of construction data for the referenced project. Any other use or reuse is at the sole risk of the Contractor and without liability or legal exposure to the Government. The Contractor must make no claim, and waives to the fullest extent permitted by law any claim or cause of action of any nature against the Government, its agents, or its subconsultants that may arise out of or in connection with the use of these electronic files. The Contractor must, to the fullest extent permitted by law, indemnify and hold the Government harmless against all damages, liabilities, or costs, including reasonable attorney's fees and defense costs, arising out of or resulting from the use of these electronic files.

These electronic source drawing files are not construction documents. Differences may exist between the source drawing files and the corresponding construction documents. The Government makes no representation regarding the accuracy or completeness of the electronic source drawing files, nor does it make representation to the compatibility of these files with the Contractor hardware or software. The Contractor is responsible for determining if any conflict exists. In the event that a conflict arises between the signed and sealed construction documents prepared by the Government and the furnished source drawing files, the signed and sealed construction documents govern. Use of these source drawing files does not relieve the Contractor of the duty to fully comply with the contract documents, including and without limitation the need to check, confirm and coordinate the work of all contractors for the project. If the Contractor uses, duplicates or modifies these electronic source drawing files for use in producing construction data related to this contract, remove all previous indication of ownership (seals, logos, signatures, initials and dates).

1.4.5 Electronic File Format

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NOTE: Use the following two paragraphs when electronic files are submitted.
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Provide submittals in electronic format, with the exception of material

samples required for SD-04 Samples items. [In addition to the electronic submittal, provide [three] [_____] hard copies of the submittals.] Compile the submittal file as a single, complete document, to include the Transmittal Form described within. Name the electronic submittal file specifically according to its contents, and coordinate the file naming convention with the Contracting Officer. Electronic files must be of sufficient quality that all information is legible. Use PDF as the electronic format, unless otherwise specified or directed by the Contracting Officer. Generate PDF files from original documents with bookmarks so that the text included in the PDF file is searchable and can be copied. If documents are scanned, optical character resolution (OCR) routines are required. Index and bookmark files exceeding 30 pages to allow efficient navigation of the file. When required, the electronic file must include a valid electronic signature or a scan of a signature.

1.5 QUANTITY OF SUBMITTALS

****
NOTE: The quantities suggested below are consistent with the quantities to be retained by the Government, in paragraph QC ORGANIZATION RESPONSIBILITIES. Maintain the coordination.
****

1.5.1 Number of SD-01 Preconstruction Submittal Copies

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

1.5.2 Number of SD-02 Shop Drawing Copies

****
NOTE: Use when asking for hard copies of Shop Drawings and Product Data.
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Submit [six][_____] copies of submittals of shop drawings requiring review and approval by a QC organization. Submit [seven][_____] copies of shop drawings requiring review and approval by the Contracting Officer.

1.5.3 Number of SD-03 Product Data Copies

Submit in compliance with quantity requirements specified for shop drawings.

1.5.4 Number of SD-04 Samples

****
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 the range of variation, of each required item. One approved sample or set of samples will be retained by the approving authority and one will be returned to the Contractor.

b. Submit one sample panel or provide one sample installation where

directed. Include components listed in the technical section or as directed.

c. Submit one sample installation, where directed.

d. Submit one sample of nonsolid materials.

1.5.5 Number of SD-05 Design Data Copies

Submit in compliance with quantity requirements specified for shop drawings.

1.5.6 Number of SD-06 Test Report Copies

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

1.5.7 Number of SD-07 Certificate Copies

Submit in compliance with quantity requirements specified for shop drawings.

1.5.8 Number of SD-08 Manufacturer's Instructions Copies

Submit in compliance with quantity requirements specified for shop drawings.

1.5.9 Number of SD-09 Manufacturer's Field Report Copies

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

1.5.10 Number of SD-10 Operation and Maintenance Data Copies

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NOTE: In bracketed item, choose "three" copies for NAVFAC.
****

Submit [five][three][_____] copies of O&M data to the Contracting Officer for review and approval.

1.5.11 Number of SD-11 Closeout Submittals Copies

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

1.6 INFORMATION ONLY SUBMITTALS

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NOTE: This paragraph contains tailoring tags for Army and Design-Build.
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Submittals without a "G" designation must be certified by the QC manager and submitted to the Contracting Officer for information-only. Provide information-only submittals to the Contracting Officer a minimum of 14

calendar days prior to the Preparatory Meeting for the associated Definable Feature of Work (DFOW). Approval of the Contracting Officer is not required on information only submittals. The Contracting Officer will mark "receipt acknowledged" on submittals for information and will return only the transmittal cover sheet to the Contractor. Normally, submittals for information only will not be returned. However, the Government reserves the right to return unsatisfactory submittals and 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.

1.7 PROJECT SUBMITTAL REGISTER AND DATABASE

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NOTE: Create the submittal register from the project specification files, at the conclusion of the design. In SPECSINTACT, choose "Export Submittal Register" from the "Process" 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.

****

A sample Project Submittal Register showing items of equipment and materials for when submittals are required by the specifications is provided as "Appendix A - Submittal Register."

1.7.1 Submittal Management

Prepare and maintain a submittal register, as the work progresses. Use an electronic submittal register program furnished by the Government. Do not change data that is output in columns (c), (d), (e), and (f) as delivered by Government; retain data that is output in columns (a), (g), (h), and (i) as approved. As an attachment, provide a submittal register 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.

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

Column (d): Lists each submittal description (SD Number. and type, e.g., SD-02 Shop Drawings) required in each specification section.

Column (e): Lists one principal paragraph in each 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 the project requirements.

****

NOTE: Use the following paragraph for NASA projects only.

****

The database and submittal management program will be furnished to the Contractor on a writable compact disk (CD-R), for operation on a Windows-based personal computer.
Thereafter, the Contractor is to track all submittals by maintaining a complete list, including completion of all data columns and all dates on which submittals are received by and returned by the Government.

1.7.2 Preconstruction 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, that may be appropriate for small projects.

****

Submit the submittal register as an electronic database, using the submittal management program furnished to Contractor. Include the QC plan and the project schedule. Verify that all submittals required for the 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 the approving authority to receive submittals.

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

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

1.7.3 Contractor Use of Submittal Register

Update the following fields with each submittal throughout the contract.

Column (b) Transmittal Number: List of consecutive, Contractor-assigned numbers.

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

Column (l) Date submittal transmitted.

Column (q) Date approval was received.

1.7.4 Approving Authority Use of Submittal Register

Update the following fields:

Column (b) Transmittal Number: List of consecutive, Contractor-assigned numbers.

Column (l) Date submittal was received.

Column (m) through (p) Dates of review actions.

Column (q) Date of return to Contractor.

1.7.5 Action Codes

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NOTE: Select the tailoring option for either Army, Design-Build; Army, Design-Bid-Build; Navy; or NASA.
****

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

1.7.5.1 Government Review Action Codes

"A" - "Approved as submitted"; "Completed"

"B" - "Approved, except as noted on drawings"; "Completed"

"C" - "Approved, except as noted on drawings; resubmission required"; "Resubmit"

"D" - "Returned by separate correspondence"; "Completed"

"E" - "Disapproved (See attached)"; "Resubmit"

"F" - "Receipt acknowledged"; "Completed"

"G" - "Other (Specify)"; "Resubmit"

"X" - "Receipt acknowledged, does not comply with contract requirements"; "Resubmit"

1.7.6 Delivery of Copies

****
NOTE: For NASA projects only. Include 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, that may be appropriate for small projects.
****

Submit an updated electronic copy of the submittal register to the Contracting Officer with each invoice request , unless a paper copy is requested by the Contracting Officer. Provide an updated Submittal Register monthly regardless of whether an invoice is submitted.

1.8 VARIATIONS

Variations from contract requirements require Contracting Officer approval pursuant to contract Clause FAR 52.236-21 Specifications and Drawings for

Construction, and will be considered where advantageous to the Government.

1.8.1 Considering Variations

****
NOTE: For projects in the NAVFAC PAC Area of Operation, include bracketed item.
****

Discussion of variations with the Contracting Officer before submission [of a variation submittal] will help ensure that functional and quality requirements are met and minimize rejections and resubmittals. For variations that include design changes or some material or product substitutions, the Government may require an evaluation and analysis by a licensed professional engineer hired by the contractor.

****
NOTE: For projects in the NAVFAC PAC Area of Operation, include the second bracket option.
****

Specifically point out variations from contract requirements in a [transmittal letter][variation submittal]. Failure to point out variations may cause the Government to require rejection and removal of such work at no additional cost to the Government.

1.8.2 Proposing Variations

****
NOTE: Use the following paragraphs For projects in the NAVFAC PAC Area of Operation only.
****

[When proposing variation, deliver a submittal, clearly marked as a "VARIATION" to the Contracting Officer, with documentation illustrating the nature and features of the variation including any necessary technical submittals 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.]

[The Contracting Officer will indicate an approval or disapproval of the variation request; and if not approved as submitted, will indicate the Government's reasons therefore. Any work done before such approval is received is performed at the Contractor's risk.]"

Specifically point out variations from contract requirements in a [transmittal letter][variation submittal]. Failure to point out variations may cause the Government to require rejection and removal of such work at no additional cost to the Government.

1.8.3 Warranting that Variations are Compatible

When delivering a variation for approval, the 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 Extension

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

In addition to the normal submittal review period, a period of [14] [_____] calendar days will be allowed for the Government to consider submittals with variations.

1.9 SCHEDULING

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

Schedule and submit concurrently product data and shop drawings covering component items forming a system or items that are interrelated. Submit pertinent certifications at the same time. No delay damages or time extensions will be allowed for time lost in late submittals. [Allow an additional [_____] calendar days 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. The Contractor is responsible for additional time required for Government reviews resulting from required resubmittals. The review period for each resubmittal is the same as for the initial submittal.

b. Submittals required by the contract documents are listed on the submittal register. If a submittal is listed in the submittal register 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 that have been omitted from the register or marked "N/A."

c. Resubmit the submittal register and annotate it monthly with actual submission and approval dates. When all items on the register have been fully approved, no further resubmittal is required.

****
NOTE: Use the first sentence with the number of days for review.
****

Contracting Officer review will be completed within [_____] calendar days after the date of submission.

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

****
NOTE: Use this paragraph for NASA projects only.
This Article is tailored for NASA.
****

[Within [30][15] calendar days of Notice To Proceed][At the Preconstruction conference], provide the following schedule of submittals for approval by the Contracting Officer:

d. 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 anticipated submission date, and the approval need date.

e. A separate schedule of other submittals required under the contract but not listed in the specifications or drawings. Indicate the contract requirement reference, the type or title of the submittal, the anticipated submission date, and the approval need date (if approval is required).

1.10 GOVERNMENT APPROVING AUTHORITY

When the approving authority is the Contracting Officer, the Government will:

a. Note the date on which the submittal was received.

b. Review submittals for approval within the 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 REVIEW NOTATIONS and with comments and markings appropriate for the action indicated.

Upon completion of review of submittals requiring Government approval, stamp and date submittals. [_____] copies of the submittal will be retained by the Contracting Officer and [_____] copies of the submittal will be returned to the Contractor.

1.10.1 Review Notations

Submittals will be returned to the Contractor with the following notations:

a. Submittals marked "approved" or "accepted" authorize proceeding with the work covered.

b. Submittals marked "approved as noted" or "approved, except as noted, resubmittal not required," authorize proceeding with the work covered provided that the Contractor takes no exception to the corrections.

c. Submittals marked "not approved," "disapproved," or "revise and resubmit" indicate incomplete submittal or noncompliance with the contract requirements or design concept. Resubmit with appropriate changes. Do not proceed with work for this item until the resubmittal is approved.

d. Submittals marked "not reviewed" indicate that the 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.

e. Submittals marked "receipt acknowledged" indicate that submittals have been received by the Government. This applies only to "information-only submittals" as previously defined.

1.11 DISAPPROVED SUBMITTALS

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, give notice to the Contracting Officer as required under the FAR clause titled CHANGES. The Contractor is responsible for the dimensions and design of connection details and the construction of work. Failure to point out variations may cause the Government to require rejection and removal of such work at the Contractor's expense.

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

1.12 APPROVED SUBMITTALS

****
NOTE: For Navy or NASA projects, choose Design-Bid-Build text. For Army projects, choose either Design-Bid-Build or Design-Build text.
****

The Contracting Officer's approval of submittals is not to be construed as a complete check, and indicates only that

Approval or acceptance by the Government for a submittal does not relieve the Contractor of the responsibility for meeting the contract requirements or for any error that may exist, because under the Quality Control (QC) requirements of this contract, the Contractor is responsible for ensuring information contained with in each submittal accurately conforms with the requirements of the contract documents.

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.

1.13 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, provide assurance 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 that may be damaged in testing, will be returned to the Contractor, at its expense, upon completion of the contract. Unapproved samples 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 as that material. The Government reserves the right to disapprove any material or equipment that has previously 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. Replace such materials or equipment to meet contract requirements.

PART 2 PRODUCTS

Not Used

PART 3 EXECUTION

Not Used

-- End of Section --