
USACE / NAVFAC / AFCEC

FGS-01 33 00.05 20 (May 2014)

Change 5 - 03/23

Preparing Activity: NAVFAC

Superseding

UFGS-01 33 00.05 20 (February 2011)

UNIFIED FACILITIES GUIDE SPECIFICATIONS

SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01 33 00.05 20

CONSTRUCTION SUBMITTAL PROCEDURES

05/14, CHG 5: 03/23

PART 1 GENERAL

- 1.1 RELATED REQUIREMENTS
- 1.2 SUBMITTAL DESCRIPTIONS (SD)
- 1.3 SUBMITTALS
 - 1.3.1 Submittal Register
- 1.4 CONSTRUCTION QUALITY CONTROL
 - 1.4.1 Contractor Reviewing, Certifying, Approving Authority
 - 1.4.2 Submittals Reserved for Government Surveillance
 - 1.4.3 Submittals Reserved for Government Approval
 - 1.4.3.1 Scheduling for Government Approved Submittals
 - 1.4.3.2 Government Approval Defined
 - 1.4.4 Constraints
 - 1.4.5 Design Change and Variation
 - 1.4.5.1 Design Changes
 - 1.4.5.2 Variations
 - 1.4.6 Contractor's Responsibilities
 - 1.4.7 QC Organization Responsibilities
 - 1.4.8 Government's Responsibilities
 - 1.4.8.1 Government Actions
- 1.5 FORMAT OF SUBMITTALS
 - 1.5.1 Transmittal Form
 - 1.5.1.1 Combined Design and Construction Submittal Notification
 - 1.5.1.2 Sustainable Design and Construction Submittals
 - 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 Instructions
 - 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 Data (O&M)
 - 1.5.9 Format of SD - 01 Preconstruction Submittals and SD - 11 Closeout Submittals
- 1.6 QUANTITY OF SUBMITTALS

- 1.6.1 Quantity of Submittals Reserved for Government Approval
- 1.6.2 Quantity of Submittals Reserved for Government Surveillance
- 1.6.3 Electronic Submittals
- 1.7 FORWARDING SUBMITTALS
 - 1.7.1 Overseas Shop Drawing Submittals

PART 2 PRODUCTS

PART 3 EXECUTION

-- End of Section Table of Contents --

USACE / NAVFAC / AFCEC

FGS-01 33 00.05 20 (May 2014)

Change 5 - 03/23

Preparing Activity: NAVFAC

Superseding

UFGS-01 33 00.05 20 (February 2011)

UNIFIED FACILITIES GUIDE SPECIFICATIONS

SECTION 01 33 00.05 20

CONSTRUCTION SUBMITTAL PROCEDURES

05/14, CHG 5: 03/23

NOTE: This guide specification covers the requirements for Navy general procedures regarding construction submittals 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 item(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).

NOTE: This section is to be used on Navy Design-Build construction projects.

This specification section shall be used in conjunction with Section 01 33 10.05 20 DESIGN SUBMITTAL PROCEDURES and both this section and Section 01 33 10.05 20 together replace Section 01 33 00 SUBMITTAL PROCEDURES in Design-Build projects.

If the Contractor originated design submittals are formatted correctly and contain all appropriate information, the design submittals can serve the dual purpose of design and construction documents. These dual purpose submittals are identified on the Contractor's Submittal Transmittal Form. Refer to Section 01 33 10.05 20 DESIGN SUBMITTAL PROCEDURES

for requirements of these dual purpose submittals.

PART 1 GENERAL

1.1 RELATED REQUIREMENTS

This section covers construction submittals that are not included in the design submittals. Submit design submittals in accordance with Section 01 33 10.05 20 DESIGN SUBMITTAL PROCEDURES. When using Unified Facility Guide Specifications (UFGS) sections that reference Section 01 33 00 SUBMITTAL PROCEDURES, change reference to this section, Section 01 33 00.05 20 CONSTRUCTION SUBMITTAL PROCEDURES.

1.2 SUBMITTAL DESCRIPTIONS (SD)

Submittal requirements are specified in UFGS in Part 2, GENERAL REQUIREMENTS; in references in Part 4 PERFORMANCE TECHNICAL SPECIFICATIONS; and in UFGS in Part 5, PRESCRIPTIVE SPECIFICATIONS. Submittals that are identified by SD numbers use descriptions of items included in submittal packages 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.
- Network Analysis Schedule (NAS)
- Submittal register.
- Schedule of prices or earned value report.
- Health and safety plan.
- Work plan.
- Quality control [and commissioning]plan[s].
- 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.

Manufacturer's data certifying and demonstrating that specific product, process, and/or conditions complies with applicable Guiding Principle GP) [or Third Party Certification (TPC)] criteria.

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 ensuing 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 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.

Special requirements necessary to properly close out a construction contract. For example, Record Drawings, As-built drawings, DD Form 1354, Guiding Principles Validation or Sustainability Third Party Certification (TPC), Sustainability eNotebook (including all of components) and eOMSI submittals. Also, submittal requirements necessary to properly close out a major phase of construction on a multi-phase contract.

1.3 SUBMITTALS

NOTE: A "G" following a submittal item indicates approval by the Government in RFP PART 2 specification sections.

The Contractor's Designer of Record (DOR) approves submittals with a "G" following the item in RFP PART 4 and RFP PART 5, except those reserved for Government approval. Specify the Government approved items in this section.

NOTE: Review submittal description (SD) definitions in this specification section and edit the following list to reflect only the submittals required for the project. Submittals should be kept to the minimum required for adequate quality control.

A "G" following a Part 2 Specification Section 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 Contractors Quality Control system. Only add a "G" if the submittal is sufficiently important or complex in context of the project.

An "S" following a submittal indicates submittal is required for approval of material or action relative to project sustainability requirements. Coordinate all Part 2 and 4 Specification Sections with Section 01 33 29 SUSTAINABILITY REQUIREMENTS AND REPORTING.

The use of a "G" following a submittal indicates that an approval action is required, either by the Government or by the Contractor's Designer of Record (DOR) or QC Specialist.

The use of an "S" following a submittal indicates separate but simultaneous submittal is required as part of federally mandated sustainability requirements. Refer to Section 01 33 29 SUSTAINABILITY REQUIREMENTS AND REPORTING for "S" submittal requirements.

Submit the following in accordance with the requirements of this section.

SD-01 Preconstruction Submittals

Submittal Register Format; G

1.3.1 Submittal Register

The submittal register must be prepared during the initial design stages of the project and indicate each design and construction submittal. Maintain an electronic version of the submittal register as work progresses. The DOR must assist the DQC in preparing the submittal register by determining all project submittals that require DOR approval.

The Contractor proposed submittal register format must include all types of information pertinent to the submittal process and be approved by the Contracting Officer prior to the first submission.

1.4 CONSTRUCTION QUALITY CONTROL

1.4.1 Contractor Reviewing, Certifying, Approving Authority

**NOTE: For projects located within NAVFAC PAC area
of responsibility, select "required" and "for record
only" for construction submittals.**

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

- a. In RFP PART 4 PERFORMANCE TECHNICAL SPECIFICATIONS (PTS), there are UFGS specification sections required to be submitted as part of the design submittal. Unless specified otherwise in this section, the Contractor's DOR is the approving authority for submittals listed in these specifications with a "G" designation, unless the DOR delegates to Contractor Quality Control approval. RFP Part 4 PTS sections also include submittals identified for DOR approval that are not denoted with a "G" designation, these submittals cannot be delegated for Contractor Quality Control approval.
- b. If RFP PART 5 PRESCRIPTIVE SPECIFICATIONS are utilized in this RFP, the Contractor's DOR is the approving authority for submittals listed with a "G" designation, unless the DOR delegates to Contractor Quality Control approval.
- c. DOR must approve construction submittals that are incorporated in the design submittal prior to being submitted to the Government for design submittal approval. Indicate approval of these construction submittals on the accompanying submittal transmittal forms and the submittal register for each design submittal package. In addition, the DOR professional stamp on the final design submittal indicates approval of construction submittals combined with the design submittal.
- d. Submittal items identified in RFP PARTS 2, 4, and 5 that are not identified with a "G" designation or not designated for DOR approval (in RFP Part 4) are for Contractor Quality Control approval.
- e. Construction submittals that are approved by the DOR or certified by the QC are [not required] [required] to be submitted to the Government for [surveillance] [for record only], except when the RFP requires the design and construction submittals to be combined in Section 01 33 10.05 20 DESIGN SUBMITTAL PROCEDURES or where specified in the paragraph SUBMITTALS RESERVED FOR GOVERNMENT SURVEILLANCE of this section.
- f. In addition to other approvals that may be required, provide review and approval of Guiding Principles Validation and TPC Submittals by Design-Build team's Sustainability or TPC Professional. Provide this approval prior to including in any Government-reviewed submittal.

1.4.2 Submittals Reserved for Government Surveillance

NOTE: In paragraph below, list and describe DOR or QC Specialist approved construction submittals that the Government requires copies for surveillance. Keep these items to a minimum and confirm with the Project Manager which items should be submitted.

Surveillance submittals are approved by the Contractor in accordance with paragraph CONTRACTOR REVIEWING, CERTIFYING, APPROVING AUTHORITY, but provide the Government the opportunity to oversee critical project issues.

If during the Government surveillance of construction submittals, items are brought to the Contractor's attention as non-compliant, the Contractor must correct the submittal and construction to comply with the requirements of the RFP. Stamp surveillance submittals "APPROVED" by the DOR or QC Specialist and "FOR SURVEILLANCE ONLY." Submit the following Government surveillance submittals, prior to starting work for construction submittal items, and after the completion of the work for reports submittals items.

- a. Submit fire protection shop drawings, data sheets, calculations, preliminary test reports, and certificates pertaining to the following systems: spray-applied fire proofing and fire stopping, exterior fire alarm reporting systems, interior fire alarm detection systems and releasing systems, and fire suppression systems including fire pumps, standpipe systems, and controllers.
- b. Submit geotechnical related submittals pertaining to the soils investigations (reports and soils analysis), foundations (shallow and deep), pavements structure design, test pile and production pile testing and installation.
- c. Submit conveying related submittals pertaining to elevators, escalators, weight handling equipment, lifts, and conveyors.
- d. Submit roofing shop drawings, product data sheets, design data, test reports, certificates and warranties pertaining to materials and systems used to make up the roof system.
- e. Submit shop drawings, product data, and installer qualifications for the following exterior underground mechanical systems: steam, hot-water, chilled water, and condenser water.
- f. Submit shop drawings, data sheets, calculations, and installer qualifications as described in Part 4, D50 ELECTRICAL.
- g. Submit telecommunications shop drawings, as described in Part 4, D50 ELECTRICAL, for coordination with the NMCI Contractor.
- h. Submit Performance Verification and Acceptance Testing submittals listed in the PTS and referenced UFGS.
- i. Submit all Interim Special Inspection Reports on a bi-weekly basis until work requiring special inspections is complete.
- j. Submit all Structural Observation Reports and the Final Report of

Special Inspections.

- k. Submit Final Guiding Principle Validation [and TPC sustainability] documentation.
- l. Submit the exterior enclosure barrier drawings.

NOTE: Include the following bracketed option if air barrier testing is required.

- [m. Submit building enclosure testing results for air tightness and the infrared thermography results if air barrier deficiencies are identified. Describe actions taken to correct building enclosure deficiencies at each location.

] *****
NOTE: Include the following bracketed option if scope of work includes waterfront improvements.

- [n. Submit shop drawings, data sheets, and testing as described in Part 4, H10 WATERFRONT STRUCTURES.

] *****
NOTE: List additional items in the brackets below to require Government Surveillance.

NOTE: For electrical requirements, coordinate with Electrical RFP writer, and consider items listed in technical note for paragraph SUBMITTALS RESERVED FOR GOVERNMENT APPROVAL, as requiring Government surveillance rather than Government approval. This may include field verification and factory witness testing.

- o. [_____]

1.4.3 Submittals Reserved for Government Approval

The Government is the approving authority for submittals with a "G" designation in RFP Part 2 GENERAL REQUIREMENTS specification sections. Comply with additional Government approval requirements for Environmental submittals, as specified in RFP Part 2, Section 01 57 19 TEMPORARY ENVIRONMENTAL CONTROLS.

- [In addition to the Government approvals required by RFP Part 2, GENERAL REQUIREMENTS, the following submittals must be certified by the QC Manager and the DOR, and approved by the Contracting Officer.

NOTE: List items, in the bracketed space below, that require Government review and approval. Coordinate this paragraph with the requirements of RFP Part 3, PROJECT PROGRAM, ESR G40 and ESR D50,

and RFP, Part 4, PERFORMANCE TECHNICAL
SPECIFICATIONS.

NOTE: Coordinate with the Electrical RFP Editor to
choose submittal items in electrical construction
that may require Government Approval.

NOTE: Coordinate with the Mechanical RFP Editor to
choose submittal items in mechanical construction
that may require Government Approval, such as those
for instrumentation and control for HVAC and testing
and balancing of HVAC.

NOTE: Coordinate with Government DM and Interior
Designer to determine the need for finish material
mock-up samples. Consider Government Approval of
field applied mock-ups finishes that are integral
with architectural or structural elements of the
facility, such as the following:

- a. Colored Concrete Mock-up
- b. Polished Concrete Mock-up
- c. Broadcast Surface Additive Concrete Mock-up
- d. Impact Resistant Wall Finish Mock-up

- [a. Substations
-][b. Transformers
-][c. Medium Voltage Switchgear
-][d. Medium Voltage Cable
-][e. 400-Hz Converters
-][f. Emergency Generators
-][g. Automatic Transfer Switches
-][h. Uninterruptible Power Supplies
-][i. Electronic Security Systems
-][j. Section 23 09 13 INSTRUMENTATION AND CONTROL DEVICES FOR HVAC and
Section 23 09 23.02 BACNET DIRECT DIGITAL CONTROL FOR HVAC AND OTHER
BUILDING CONTROL SYSTEMS
-][k. Section 23 05 93 TESTING, ADJUSTING, AND BALANCING FOR HVAC
-][l. Fire Protection Systems: Performance Verification Plan (PVT), Final
Acceptance Test Reports, and Life Safety / Fire Protection
Certification

]m. Electrical systems: Performance Verification Plan (PVT) in accordance with Part 4, D50 ELECTRICAL.

]n. Section 25 05 11 CYBERSECURITY FOR FACILITY-RELATED CONTROL SYSTEMS

]o. [_____]

]p. [_____]

][1.4.3.1 Scheduling for Government Approved Submittals

NOTE: Use this paragraph only if submittals are reserved for Government approval.

At bracket, use 30 working days for projects estimated to require 180 or more calendar days for construction and use at least 20 working days for projects requiring less than 180 calendar days for construction.

Except as specified otherwise, allow review period, beginning when Government receives submittal from the QC organization, of [20] [_____] working days for return of submittal to the Contractor. 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.

][1.4.3.2 Government Approval Defined

Submittals marked "approved" indicate a quality assurance (QA) review has been performed. Government review or approval of any portion of the submittal does not relieve the Contractor from 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 within each submittal accurately conforms with the requirements of the contract documents. Furthermore, Government review or approval of a submittal is not to be construed as a complete check.

]1.4.4 Constraints

- a. Submittals must be complete for each definable feature of work; submit components of definable feature interrelated as a system at the same time.
- b. Approval of a separate material, product, or component does not imply approval of assembly in which item functions.

1.4.5 Design Change and Variation

The Contractor must limit change and variation to items that will be advantageous to the Government. Submit proof that the change or variation is needed and provide the same or better level of quality as the design that the Government originally reviewed or approved. Design change is considered prior to Government approval of the final design and variation is considered after Government approval of final design.

1.4.5.1 Design Changes

Design changes must meet the minimum requirements of the solicitation and the accepted proposal. Any changes to the design from what was previously reviewed by the Government during any phase of the design process prior to Government approval of the Final Design must be approved by the DOR and Government before the design change may be incorporated into the design documents. Design changes must be requested in accordance with Section 01 33 10.05 20 DESIGN SUBMITTAL PROCEDURES.

1.4.5.2 Variations

Variations from contract requirements including the solicitation, the accepted proposal, and the final design, require Government approval. Variations must be approved by the DOR prior to submitting written request to the Government for approval.

a. Considering Variations

Discuss the proposed variation with the Contracting Officer after consulting with the DOR prior to submission to help ensure functional and quality requirements are met and minimize potential rejections and re-submittals. When contemplating a variation which results in lower cost, consider submitting the variation as a Value Engineering Change Proposal (VECP) in accordance with FAR 52.248-3 Value Engineering-Construction. Specifically point out variations from contract requirements in transmittal letters and variation submittal as applicable. Failure to receive prior Government approval for deviations may result in the Government requiring rejection and removal of such work at no additional cost to the Government.

b. Submitting Variations

When submitting a variation, deliver the written request and submittal clearly marked as a variation on all pages to the Contracting Officer in the form of a Request for Information (RFI) to include documentation illustrating the nature and features of the variation including any necessary technical submittals and why the variation is desirable and beneficial to Government. Request must also include any savings to the government with estimate of savings amount. Provide written documented analysis and approval from the DOR.

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 therefor. Any work done before such approval is received is performed at the Contractor's risk.

c. Warranting Variations Are Compatible

When proposing a variation for approval, the Contractor, including its Designer(s) of Record, warrants that the contract documents have been reviewed to establish that the variation, if incorporated, is compatible with the design intent and operational requirements.

1.4.6 Contractor's Responsibilities

Ensure no work has begun until submittals for that work have been "approved" or "approved as noted."

1.4.7 QC Organization Responsibilities

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.

- a. When approving authority is Contracting Officer, QC organization will certify submittals, assure proper signatures, and forward 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 (insert contract number here), is in compliance with the contract documents, can be installed in the allocated spaces, and is submitted for Government approval.

RFP Part Two Submittals:

Certified by QC Manager _____, Date _____
(QC Manager)

RFP Part Four and Part Five Submittals:

Certified by DOR _____, Date _____

Certified by QC Manager _____, Date _____"

- (1) Sign certifying statement or approval statement. The person signing certifying statements must be QC organization member designated in the approved QC plan. The signatures must be in original ink. Stamped signatures are not acceptable.
 - (2) 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.
 - (3) Retain a copy of approved submittals at project site, including Contractor's copy of approved samples.
- b. When the Approving Authority is the Designer of Record, the DOR must approve, professionally stamp, sign, and date submittals. DOR stamp on construction submittals or submission of design documents that include construction submittals indicates DOR approval for construction. QC organization must certify submittals, assure proper signatures, and forward 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 (insert contract number here), is in compliance with the contract requirements, can be installed in the allocated spaces, and is submitted for DOR approval.

RFP Part Four and Part Five Submittals:

Approved by DOR _____, Date _____

Certified by QC Manager _____, Date _____"

- (1) Sign certifying statement or approval statement. The person signing certifying statements must be QC organization member designated in the approved QC plan. The signatures must be in original ink. Stamped signatures are not acceptable.
- (2) 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.
- (3) Send copies of final DOR or QC Specialist approved and signed submittals that are identified in this section for Government surveillance to the Contracting Officer. Stamp copies "For Surveillance Only."

1.4.8 Government's Responsibilities

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

- a. Note date on which submittal was received from QC Manager, on each submittal.
- b. Review submittals for compliance with contract documents.

1.4.8.1 Government Actions

Submittals will be returned with one of the following notations:

- a. Submittals marked "approved" or "approved as submitted" authorize Contractor to proceed with work covered.
- b. A submittal marked "not reviewed" will be returned with an explanation of the reason it was not reviewed.
- 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 must be resubmitted with appropriate changes. No work is allowed to proceed for this item until resubmittal is approved.
- e. Submittals required for surveillance will be returned only if corrective actions are required.

1.5 FORMAT OF SUBMITTALS

1.5.1 Transmittal Form

Transmit submittals with transmittal form prescribed by Contracting Officer and standard for the project.

1.5.1.1 Combined Design and Construction Submittal Notification

Indicate on the design submissions transmittal form, which construction submittals have been combined with the design documents. Coordinate

transmittal form list of combined design and construction submittals with submittal register to indicate DOR approval of all combined submittals.

1.5.1.2 Sustainable Design and Construction Submittals

On all projects, provide sustainability submittals in accordance with requirements of this document, specification Section 01 33 29 SUSTAINABILITY REQUIREMENTS AND REPORTING and FC 1-300-09N, "Navy and Marine Corps Design Procedures". Specific submittal requirements are also identified in technical sections of the specifications. Separate out data demonstrating compliance with construction sustainability requirements and submit separately but concurrently.

1.5.2 Identifying Submittals

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

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

- a. Project title and location.
- b. Construction contract number.
- c. Date of the drawings and revisions.
- d. Name, address, and telephone number of subcontractor, supplier, manufacturer and any other subcontractor associated with the submittal.
- e. Section number of the specification section by which submittal is required.
- f. Submittal description (SD) number of each component of submittal.
- g. When a resubmission, add alphabetic suffix on submittal description, for example, submittal 18 would become 18A, to indicate resubmission.
- h. Product identification and location in project.

1.5.3 Format for SD- 02 Shop Drawings

- a. Shop drawings are not to be less than 210 by 297 mm 8 1/2 by 11 inches nor more than 1189 by 841 mm 30 by 42 inches, except for full size patterns or templates. Prepare drawings to accurate size, with scale indicated, unless other form is required. Drawings are to be suitable for reproduction and be of a quality to produce clear, distinct lines and letters with dark lines on a white background.
- b. Present 210 by 297 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

IDENTIFYING SUBMITTALS of this section.

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

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

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

certificate that the item has been tested in accordance with the specified organization's test methods and that the item complies with the specified organization's reference standard.

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

1.5.5 Format of SD - 04 Samples

Furnish samples in sizes below, unless otherwise specified or unless the manufacturer has prepackaged samples of approximately 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 of Non-Solid Materials: 750 ml 1.6 pints. Examples of non-solid 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.
- i. 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.
- j. Reusable Samples: Incorporate returned samples into work only if so specified or indicated. Incorporated samples are to be in undamaged condition at time of use. 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.

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

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

Provide design data and certificates on 210 by 297 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

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

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

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

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

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.

Provide all dimensions in administrative submittals in [English] [Metric. Where data are included in preprinted material with English units only, submit metric dimensions on separate sheet].

1.6 QUANTITY OF SUBMITTALS

NOTE: Ensure the quantities suggested below are consistent with the quantities to be retained by the Government, in paragraphs QC ORGANIZATION RESPONSIBILITIES and GOVERNMENT'S RESPONSIBILITIES and maintain the coordination.

NOTE: Confirm with Project Manager the number of submittals required.

1.6.1 Quantity of Submittals Reserved for Government Approval

Submit [four] [_____] copies of submittals of shop drawings requiring review and approval by Contracting Officer.

1.6.2 Quantity of Submittals Reserved for Government Surveillance

NOTE: Confirm with Project Manager the number of submittals required.

Submit [three] [_____] copies of submittals specified for surveillance to the Contracting Officer. Submit two additional copies of elevator submittals directly to the NAVFAC Elevator Specialist responsible for the NAVFAC elevator certification of the project.

1.6.3 Electronic Submittals

Where practicable, in lieu of hard copy copies, construction submittals may be transmitted electronically with approval from the Contracting Officer.

[1.7 FORWARDING SUBMITTALS

NOTE: Choose the following bracketed paragraph for use on overseas jobs only.

1.7.1 Overseas Shop Drawing Submittals

All submittals must be sent via overnight express mail service. All costs associated with the overnight express mail service must be borne by the 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 are the responsibility of the Contractor.

]PART 2 PRODUCTS

Not used.

PART 3 EXECUTION

Not used.

-- End of Section --