

SECTION 01330

SUBMITTAL PROCEDURES
09/01

PART 1 GENERAL

1.3 SUBMITTAL IDENTIFICATION (SD)

Submittals required are identified by SD numbers and titles as follows:

SD-01 Preconstruction Submittals

SD-02 Shop Drawings

SD-03 Product Data

SD-04 Samples

SD-05 Design Data

SD-06 Test Reports

SD-07 Certificates

SD-08 Manufacturer's Instructions

SD-09 Manufacturer's Field Reports

SD-10 Operation and Maintenance Data

SD-11 Closeout Submittals

1.10 SUBMITTAL CLASSIFICATION

Submittals are classified as follows:

1.10.1 Government Approved

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

1.10.2 Information Only

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.

1.11 APPROVED SUBMITTALS

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. 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. 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.

1.12 DISAPPROVED SUBMITTALS

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. 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.

1.13 WITHHOLDING OF PAYMENT

Payment for materials incorporated in the work will not be made if required approvals have not been obtained.

1.14 GENERAL

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 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.

1.15 SUBMITTAL REGISTER

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).

1.16 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 35 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].

1.17 TRANSMITTAL FORM (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 Quality Control System (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.

1.18 SUBMITTAL PROCEDURES

Submittals shall be made as follows:

1.18.1 Procedures

Submittals required by the CONTRACT CLAUSES and other non-technical parts of the contract are not included in this section. The Contractor shall submit to the Contracting Officer: six (6) copies for approval, and four (4) copies for information only, of all shop drawings, certificates of compliance, materials, fixtures and equipment lists called for under the various headings of these specifications. These drawings, certificates and lists shall be complete and detailed and, prior to submission, must be reviewed and certified correct by the Contractor as required by the Quality Control System paragraph of the Construction Quality Control Section. If approved by the Contracting Officer, four (4) sets of all submittals will be retained by the Contracting Officer and two (2) sets will be returned to the Contractor. Submittals for information only usually will not be returned. The Contractor is encouraged to submit paper documents that are printed/copied double-sided on recycled paper that has at least 20% postconsumer material.

1.18.1.1 Resubmittals

If a submittal is returned for correction or is not satisfactory and is disapproved by the Contracting Officer, the Contractor shall resubmit the corrected material in the same quantity, including reproducibles as specified for the original submittal for approval within 14 days after receipt by him of the disapproved material.

1.18.1.2 Submittal Register Copy

One copy of noted items on the Submittal Register shall be sent directly to the following address:

HQ AMC/CECW
ATTN: Mr. Ken Hevner
Building 40

Scott Air Force Base, Illinois 62225

1.18.2 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.

1.19 MECHANICAL ROOM LAYOUT DRAWINGS

The Contractor shall submit a layout drawing, including appropriate elevations and sections as required, for each Mechanical Room showing the room arrangement he proposes for all pieces of equipment and appurtenances thereto (via., air-conditioning equipment, boilers, compressors, hot water tanks, pumps, electrical control panels, ducts, piping, etc.), that are to be located in the room. The Mechanical Room floor slab will not be placed until the complete Mechanical Room layout drawing has been submitted and approved. No payment will be made to the Contractor for any of the equipment for the room or its installation until these drawings have been approved. Mechanical Room Layout Drawings shall be identified and submitted in the manner specified for "Shop Drawings". Equipment rooms shown on the drawings are of adequate size to accommodate equipment of required capacities, as available from several manufacturers, with sufficient space left for access, servicing, removal, etc. The use of equipment items with dimensions such as to crowd the space will not be permitted.

1.20 SPARE PARTS LIST AND MAINTENANCE OPERATIONS MANUALS

Within 30 calendar days after approval of shop drawings and equipment lists, the Contractor shall submit, to the Contracting Officer, [[3][6]] copies of spare parts lists and operating and maintenance manuals as required under the various headings of these specifications. [One reproducible, unfolded copy shall be provided of all operating instructions, control diagrams, etc., that are larger than 8-1/2-inches by 11-inches; this does not apply to standard manufacturer's data.]

(A) Spare parts lists shall contain the following listed information:

- (1) Quantity of parts required for 120 days and one year of operation.
- (2) Description of each spare part.
- (3) Drawing number and shop drawing reference.
- (4) Part equipment code number.
- (5) Unit price of each item.
- (6) Total price of all items.
- (7) Procurement lead time with particular attention to long lead times.

- (8) Name and address of nearest supplier.
- (9) Such remarks and data as the manufacturer may consider pertinent.
- (10) Complete parts list of all replaceable items.

[For additional provisions covering the furnishing of spare parts for diesel-driven generator, see SECTION: [_____] of the Technical Specifications. In any conflict that may exist between the requirements of this subparagraph and those in the Technical Specifications, the Technical Specifications shall govern.]

(B) Operation, Maintenance, and Repair Manuals and Instructions:

(1) The requirements for furnishing operating, maintenance, and repair data/manuals and field instructions under this contract are specified in the Technical Specifications. The Contractor shall submit to the Contracting Officer, not later than 60 calendar days after the Notice to Proceed, an outline showing the proposed submittal date(s) of operation and maintenance manuals to be furnished the Government and the scheduled date(s) of all required field instructions to be provided by Contractor furnished personnel or manufacturer's representatives. All operation and maintenance manuals must be furnished to the Contracting Officer not later than 60 calendar days prior to turnover of the facility to the Government.

(2) Failure on the part of the Contractor to comply with requirements of this clause will result in no further payment until all required O&M data/manuals are submitted and accepted.

(3) All O&M data/manuals submittal data shall be entered in a separate section of the master submittal register. Upon completion of review of submittals requiring Government approval, the submittals will be identified as having received approval by being so stamped and dated. (4) copies of the submittal will be retained by the Contracting Officer and (2) copies of the submittal will be returned to the Contractor.

1.21 COLOR BOARDS

Five sets of color boards shall be submitted within 90 calendar days after receipt of Notice to Proceed for all projects which involve building construction or building modifications. The board shall include samples of colors and finishes of all interior surfaces such as walls, floors, and ceilings. Material shall be submitted in a standard 8-1/2 inches by 11 inches three-ring binder. Fold-outs may be employed to 25-1/2 inches by 33 inches as long as they refold within the standard binder. Actual material samples shall be displayed showing color, texture, pattern, finish, thickness, etc., for all appearance related items where choice exists. These samples shall be large enough to indicate true patterns. However, care should be taken to present materials in proportion to that which may be installed in a given situation. Samples shall be organized by color schemes with a separate sample for each scheme. The schemes shall be coordinated by room names and numbers shown on the architectural floor plans. Colors shall be labeled with generic color names. Project title and location (Base) shall be placed in the lower right-hand corner of each module. Where special finishes such as architectural concrete, carpet, or prefinished textured metal panels are required, separate samples not less than 8 inches x 10 inches square shall be submitted with the board. If more space is needed, more than one board per set may be submitted. The

Contractor shall certify that he has reviewed the color boards in detail and that they are in strict accordance with the contract drawings and specifications except as may be otherwise explicitly stated. Submittal of the color board shall not relieve the Contractor of the responsibility to submit the samples required by the Technical Specifications.

1.22 TYPICAL ROOM MOCK-UP (QUALITY CONTROL)

1.22.1 Samples

Contractor shall submit color and finish samples to Contracting officer for approval.

1.22.2 Receipt of Approval

Following receipt of approval for all color and finish selections from the Contracting Officer, the Contractor shall completely mock-up one typical room unit to include; living/sleeping area, closet, bath and kitchen with approved finish materials. These finish materials shall include all wall covering, paint, floor coverings, trim, doors, hardware, woodwork, casework, countertops, glass, electrical, mechanical, and plumbing fixtures and appliances as called for in the contract. If mock-up is not approved by the Contracting Officer, the Contractor shall refabricate and reinstall until approval is secured. All rejected materials and finishes shall be removed from the project site. The Contracting Officer shall indicate acceptance of the quality of the finishes prior to permitting the Contractor to complete the remainder of the units. The Contractor shall maintain the level of quality approved for the typical room unit throughout the project.

1.23 AS-BUILTS

These paragraphs describe submittal requirements for as-builts and shop drawings. All other submittals and O&M Manuals will be reviewed and submitted as per other Technical Specification Section requirements.

(A) Working As-Built Drawings (Government Approved). The Contractor shall maintain a current record of the work as actually constructed in the form of working as-built drawings. These will typically be red-line mark-ups of the construction plans. The quantity of sets to be red-lined can be found under the paragraph below, Submittal Requirements for Review and Approval. It is the Contractor's responsibility to ensure the use of the most current drawings. Subject to the approval of the Contracting Officer, a member of the Contractor's Quality Control Organization will be assigned the sole responsibility for the maintenance and currency of the as-built drawings. Any reassignment of duties concerning the maintenance of the as-built drawings will be promptly reported to the Contracting Officer. Guidelines and drafting standards for preparing working and final as-built drawings can be found on the Internet. <http://www.cbbs.spk.usace.army.mil/>. See: Contents--A-E Guidance--Construction Contractors--Preparing As-Built Drawings. Contractor will use **UserID Form** (Contents) to request access to this site. Three sets of red-line markups shall be submitted after the completion of work at 25% intervals (i.e. 25%, 50%, 75%, and 100%), for bid items, if appropriate, or with more frequent intervals as determined by the Contracting Officer, in conjunction with approval of progress payments.

(B) Final As-Built Drawings (Government Approved). The Contractor shall prepare final, record copy drawings which depict the actual conditions upon completion of construction. The deliverable required shall be in both hard copy and electronic format. The final approved submittal shall be in electronic format only. Electronic Deliverable instructions can be found on the Internet: <http://cbbs.spk.usace.army.mil/cbbs/PDF/elecpkg.pdf>. All three sets of red-line markups and one new set (hard copy bond or blue-line) of completed final as-built drawings shall be submitted for review within 10 working days prior to the pre-final inspection. If upon review, the drawings are found to contain errors and/or omissions, they shall be returned to the Contractor for corrections.

Within 15 calendar days after the final project inspection, the Contractor shall submit for approval the one copy of updated red-line mark-up CADD files depicting final as-built conditions. If upon review by the Sacramento District, the drawings are found to contain errors and/or omissions, they shall be returned to the Contractor for corrections.

Within 45 calendar days after the final inspection, the Contractor shall transfer the final as-built drawings to the Government according to Paragraph, End-User (Customer Requirements).

1.24 GEOTECHNICAL AND CONCRETE MATERIALS REPORT

Contractor shall prepare an as constructed geotechnical and concrete materials report for project. For additional information see (Internet Address:

<http://www.usace.army.mil/inet/usace-docs/eng-regs/er1110-1-1901/toc.htm>).

1.25 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."

1.26 GOVERNMENT APPROVED SUBMITTALS

Upon completion of review of submittals requiring Government approval, the submittals will be identified as having received approval by being so stamped and dated. 4 copies of the submittal will be retained by the Contracting Officer and 2 copies of the submittal will be returned to the Contractor.

1.27 INFORMATION ONLY SUBMITTALS

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.

1.28 STAMPS

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

<p>CONTRACTOR</p> <p>(Firm Name)</p>

_____ Approved

_____ Approved with corrections as noted on submittal data and/or
attached sheets(s).

SIGNATURE: _____

TITLE: _____

DATE: _____

-- End of Section --