
DEPARTMENT OF THE ARMY 01300.TD
U.S. ARMY CORPS OF ENGINEERS -----

GUIDE SPECIFICATION FOR MILITARY CONSTRUCTION

NOTE: This section, 01300.TD, is similar to the
UFGS Guide 01330. The UFGS Guide was modified to
fit the requirements of the Tulsa District of the
Corps of Engineers.

SECTION 01300

SUBMITTAL PROCEDURES
04/02

NOTE: This guide specification covers procedures
to be used in making submittals called for in
other sections of the specifications. This guide
specification is to be used in the preparation of
project specifications in accordance with ER
1110-1-8155.

Comments and suggestions on this specification are
welcome and should be directed to the proponent of
the specification. A listing of proponents,
including their organization designation and
telephone number, is at URL:
<http://www.hnd.usace.army.mil/techinfo/index.htm>,
and an electronic feedback page for submission of
recommended changes is available at the same
address. Use of electronic communication is
encouraged.

PART 1 GENERAL

1.1 SUBMITTAL IDENTIFICATION

NOTE: Submittal categories (SD numbers and titles) listed in this paragraph are those that are included in the SPECSINTACT software. Submittal registers for projects using any or all of these submittal categories can be generated using the SPECSINTACT software. The Resident Management System (RMS) software can produce a submittal register using the SPECSINTACT submittal categories or additional categories as may be required.

Submittal categories are for convenience in identifying submittals required, and the titles used are reasonably self-explanatory. Detailed category definitions are not necessary for the designer or the Contractor and could conflict with requirements specified in other sections.

Submittal categories are listed in this paragraph to facilitate the production of the Submittal Verification Results report generated with the SPECSINTACT software. This report is available from the job print menu and the master print menu. One of the functions of this report is to list as a discrepancy any submittal category that differs from those in this paragraph.

The Submittal Reconciliation function of SPECSINTACT is available from the job print menu. This function will automatically delete any submittal category from this list which is not used in the job. Not all of the categories listed in this paragraph are included in CEGS guide specifications, but this does not interfere with the Submittal Reconciliation function.

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

SD-01 Preconstruction Submittals

Certificates of insurance.
Surety bonds.
List of Proposed subcontractors.
List of proposed products.
Construction progress schedule.
Submittal schedule.
Schedule of values.
Health and safety plan.
Work plan.
Quality control plan.
Environment protection plan.

SD-02 Shop Drawings

Drawings, diagrams and schedules specifically prepared to illustrate

some portion of the work.

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

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

SD-03 Product Data

Catalog cuts, illustrations, schedules, diagrams, performance charts, instructions and brochures illustrating size, physical appearance and other characteristics of materials or equipment for some portion of the work.

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

SD-04 Samples

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

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

Field samples and mock-ups constructed on the project site establish standards by which the ensuring work can be judged. Includes assemblies or portions of assemblies which are to be incorporated into the project and those which will be removed at conclusion of the work.

SD-05 Design Data

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

SD-06 Test Reports

Report signed by authorized official of testing laboratory that a material, product or system identical to the material, product or system to be provided has been tested in accordance with specified requirements. (Testing must have been within 3 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.

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.

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 intended to be incorporated in operations and maintenance manuals.

SD-11 Closeout Submittals

As-built drawings.
Special warranties.
Posted operating instructions.
Training plan.

1.2 SUBMITTAL CLASSIFICATION

Submittals are classified as follows:

1.2.1 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."

1.2.2 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.

1.3 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.

1.4 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.

1.5 WITHHOLDING OF PAYMENT

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

USE THE FOLLOWING PARAGRAPH FOR ALL MILITARY
PROJECTS UNLESS THE REQUIREMENT IS INCLUDED IN
SECTION 09915 - COLOR SCHEDULE

1.6 CONSTRUCTION COLOR BOARD (CESWT-EC-D, T. VERDEL)

1.6.1 Description

Contractor shall prepare in binder format a series of construction color boards which illustrate by means of physical samples the materials and finishes that are integral to the exterior and interior finishes of the completed facility. These items include, but are not limited to: masonry, architectural concrete, metal panels, siding and roofing, interior and exterior trim, paints, wall coverings, floor coverings and base, ceiling materials, plastic laminates, casework, stained woodwork, toilet partition and accessory finishes, etc. Color board samples (especially of exterior finish materials) are not required to be of full size or thickness but must represent the full range of color, texture, and finish of the materials. Carpet samples shall not be less than 3" by 5" or larger if needed to indicate complete color and design.

1.6.2 Format

Material samples shall be mounted on 8 1/2" x 11" modules with the

project title and name of the installation placed in the lower right corner of each module. Sample board modules shall consist of protection (mat) boards of sufficient strength and thickness to support and anchor samples. Large or heavy samples shall be anchored with mechanical fasteners or epoxy resin cement. "Rubber cement" or other contact adhesives shall not be used. Eight and one half by eleven inch (8- 1/2" x 11") boards shall be three-hole punched and placed in 3-ring binders. 8-1/2" x 11" boards may be securely taped together at edges to provide a "fold-out" display presentation provided overall dimensions of fold-out materials does not exceed 25-1/2" x 33". Each 3-ring binder shall be identified on its spine with the following information: project fiscal year, project title, contract number, installation name where project is to be built and date of submittal (month and year). Presentation shall be organized in a logical manner to facilitate an orderly and speedy review. Sample items and color names shall be identified with names that correspond to names shown on the project color and finish schedule. If not readily apparent from the color and finish schedule, the sample boards shall be annotated to reflect what areas or surfaces of the facility are to receive the finishes shown.

**NOTE: IN THE FOLLOWING PARAGRAPH USE 75 DAYS
FOR PROJECTS WITH A CONSTRUCTION VALUE OF 5
MILLION OR LESS AND 120 DAYS FOR PROJECTS WITH A
CONSTRUCTION VALUE GREATER THAN 5 MILLION.**

1.6.3 Submittal

Five (5) complete sets of the construction color boards shall be submitted to the Contracting Officer for approval within [75] [120] calendar days after Notice to Proceed. All other technical submittals regarding finish materials depicted on these boards (test reports, certifications, manufacturer's instructions or data sheets, etc.) as required by technical portions of this project specification, shall be submitted prior to or concurrent with the construction color boards.

1.6.4 Approval

Upon receipt by the Contracting Officer of all finish material submittals (technical submittal materials and construction color boards) a 30-day review period by the Government shall be allowed. No finish work involving any item included on the color board shall be started by the Contractor prior to the approval of the total construction color boards. After receipt of final approval by the Government, the Contractor shall mark each approved item on the color board with its appropriate technical submittal transmittal number, make any corrections, additions or deletions required by the Government and return the five sets of approved construction color boards to the Contracting Officer. Any Contractor proposed substitutions of materials following approval must be approved by the Government as coordinating visually with other approved items equally as well as the originally approved item.

1.7 WIRING AND CONTROL DIAGRAMS

The Contractor shall furnish one reproducible, unfolded copy of all wiring and control diagrams and approved system layout drawings with the operating instructions called for under the various headings of these specifications for mechanical and electrical systems.

NOTE: USE THE FOLLOWING PARAGRAPH ALL PROJECTS WHICH HAVE HVAC EQUIPMENT.

1.8 EMCS, MECHANICAL EQUIPMENT, AND TEMPERATURE CONTROL SUBMITTAL COORDINATION

1.8.1 General

Submittals for temperature controls and mechanical equipment as specified in Division 15 and/or energy management control systems (EMCS) as specified in Division 13 shall be submitted in accordance with the procedure outlined below.

1.8.2 Procedure

Submittals shall be submitted as Groups with each group to include items scheduled below. All items in Group 3 shall be submitted together at the same time. All items in each group shall be submitted prior to submittal of any item in a subsequent package.

1.8.3 Approval

Items to be submitted which are required to receive Government Approval (GA) as specified in the specifications shall be approved prior to the submittal of any item in a subsequent group.

1.8.4 Group Descriptions

Submittals included in each group shall be for items listed in the following schedule:

GROUP 1

Control Valves Control Dampers Temperature control piping and other control\EMCS rough-in hardware VAV controllers (when not specified as a part of the VAV boxes)

GROUP 2

Mechanical equipment operated or associated with temperature controls and/or EMCS.

GROUP 3

Temperature controls and EMCS items including the following:

point-to-point wiring diagrams bills of materials sequences of

operation (with reference to I/O summary for EMCS) hardware data sheets EMCS I/OS summaries, system schematics, installation details, and legend

Temperature controls shall be transmitted separate from the EMCS items.

1.8.5 Dual Function Items

Items which serve for both the temperature control systems and the EMCS system shall be submitted (and approved if GA) in accordance with the temperature control requirements. However, the appropriate corresponding EMCS information shall also be submitted for information only (FIO). This information shall be listed separately as "Supplemental Reference" on the Transmittal Form.

PART 2 PRODUCTS (Not used)

PART 3 EXECUTION

3.1 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.

3.2 SUBMITTAL REGISTER (ENG FORM 4288)

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

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

1. The submittal paragraph must be in PART 1 and entitled "1.x SUBMITTALS" ("x" represents any main paragraph number).

2. Each submittal category (SD-## Title) used must be identified in the submittal paragraph and surrounded by a set of submittal tags.

3. Items requiring a submittal are listed below the submittal categories (SD-## Title) surrounded by a set of submittal tags. If the submittal item is repeated elsewhere in a paragraph outside the submittal paragraph and that paragraph establishes the requirements for the item, the item should be tagged in the paragraph title or the paragraph text so that the paragraph number will appear on the submittal register. Tagging of the item in the paragraph title should be the first choice.

4. Submittal Classifications:

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

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

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

A Submittal Register, a sample of which is shown at the end of this section, shall list all items required by the specifications to be submitted to the Government. The list shall include shop drawings, tests, certificates, computations, and all other items specified to be submitted to the Contracting Officer except safety plans, quality

control plans, environmental plans, and routine quality control tests. The listing shall give the page and paragraph number of the specifications for each item listed and the Contractor Scheduled Dates.

The technical specification sections shall be referenced for complete submittal requirements. The Contractor shall complete the form and return the completed form to the Contracting Officer for approval. The approved Submittal Register will become the scheduling document and will be used to control submittals throughout the life of the contract. This register and the progress schedules shall be coordinated.

3.3 SCHEDULING

Submittals covering component items forming a system or items that are interrelated shall be scheduled to be coordinated and submitted concurrently. All various types of submittals for each item (i.e. data, drawings, instructions, certifications, etc.) shall be submitted concurrently. Adequate time, but not less than 30 days, shall be allowed on the Submittal Register for review and approval by the Government of all submittals. Delays, damages, or time extensions will not be allowed for time lost due to late submittals.

3.4 TRANSMITTAL FORM (ENG FORM 4025)

NOTE: ENG Form 4025 is not a part of this guide specification; the sample ENG Form 4025 must be added to this section locally. If the Contractor is required to use the RMS-QC software for the contract, that system included an electronic version of ENG Form 4025.

Transmittal Form (ENG Form 4025) shall be used for submitting submittals in accordance with the instructions on the reverse side of the form. (See sample Form 4025 at the end of this section) These forms will be furnished to the Contractor as needed. This form shall be properly completed by filling out all the heading blank spaces and identifying each item submitted. The specification paragraph or sheet number of the contract drawings pertinent to the data submitted shall be provided for each item. All samples of materials submitted as required by these specifications shall be properly identified and labeled for ready identification, and upon being approved, stored at the site of the work for jobsite use until all work has been completed and accepted by the Contracting Officer.

All proposed deviations requested by the Contractor shall be noted in the "Remarks" column of the ENG Form 4025. The Contractor shall set forth in writing the reason for any deviations and annotate such deviations on the shop drawing. The Government reserves the right to rescind inadvertent approval of shop drawings containing unnoted deviations.

3.5 SUBMITTAL PROCEDURE

Submittals shall be made as follows:

3.5.1 Procedures

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

The Submittal Register shall be submitted within 21 days after notice to proceed.

The Contractor shall maintain the Submittal Register listing all submittals as the items are submitted. Listings shall be grouped by section number and listed in numerical sequence of the Transmittal Number shown on Form 4025. When the project is 90 percent complete, the up-to-date, typed Form shall be submitted to the Contracting Officer for review to assure that required submittals and resubmittals have been noted.

Upon completion of the work the completed Submittal Register shall be submitted to the Contracting Officer.

3.5.2 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.

3.6 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."

3.7 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. Five (5) copies of the submittal will be retained by the Contracting Officer and one (1) copy of the submittal will be returned to the Contractor.

3.8 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.

3.9 STAMPS

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

CONTRACTOR

(Firm Name)

_____ Approved

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

SIGNATURE: _____

TITLE: _____

DATE: _____

-- End of Section --