
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION
NASA-01330 (May 2004)
NASA
Superseding NASA-01330
(December 2003)

SECTION TABLE OF CONTENTS

DIVISION 01 - GENERAL REQUIREMENTS

SECTION 01330

SUBMITTAL PROCEDURES

05/04

PART 1 GENERAL

- 1.1 SUMMARY
- 1.2 REFERENCES
- 1.3 SUBMITTALS
- 1.4 PREPARATION
 - 1.4.1 Marking
 - 1.4.2 Drawing Format
 - 1.4.3 Data Format
 - 1.4.4 Samples
- 1.5 SUBMISSION REQUIREMENTS
 - 1.5.1 Schedules
 - 1.5.2 Drawings Submittals
 - 1.5.3 Data Submittals
 - 1.5.4 Samples
- 1.6 GOVERNMENT'S REVIEW
 - 1.6.1 Review Notations
 - 1.6.2 Sample Approval
- 1.7 PROGRESS SCHEDULE
 - 1.7.1 Bar Chart
 - 1.7.2 Project Network Analysis
- 1.8 STATUS REPORT ON MATERIALS ORDERS

PART 2 PRODUCTS

PART 3 EXECUTION

-- End of Section Table of Contents --

NASA-01330 (May 2004)
NATIONAL AERONAUTICS NASA
AND SPACE ADMINISTRATION Superseding NASA-01330
(December 2003)

SECTION 01330

SUBMITTAL PROCEDURES
05/04

NOTE: This broadscope section covers data, normally
submitted for review, to establish conformance with
the design concept and the contract documents. This
section does not include such items as guarantees,
bonds, and insurance.

PART 1 GENERAL

1.1 SUMMARY

Requirements of this Section apply to, and are a component part of, each section of the specifications.

1.2 REFERENCES

Not Used

1.3 SUBMITTALS

NOTE: Only SD number 01, 02, 03, 04, 05, 06, 07,
08, 09, 10 and 11 should be used on NASA projects.

A standard transmittal form provided by the Government shall be used to transmit each submittal.

Submittal Description (SD): Drawings, diagrams, layouts, schematics, descriptive literature, illustrations, schedules, performance and test data, and similar materials to be furnished by the Contractor explaining in detail specific portions of the work required by the contract.

The following items, SD-01 through SD-11, are descriptions of data to be submitted for the project. The requirements to actually furnish the applicable items will be called out in each specification.

However, as a minimum, provide test reports, installation, operation and maintenance submittals and manuals as original data bound in three ring binders. Equipment actually installed will be clearly marked.

Provide only those submittals considered critical to assure quality and compliance to the contract as "approval" processing and are indicated with a "G." All other submittals include are for record only.

SD-01 Preconstruction Submittals

Submittals which are required prior to a notice to proceed on a new contract. Submittals required prior to the start of the next major phase of the construction on a multi-phase contract. Schedules or tabular list of data or tabular list including location, features, or other pertinent information regarding products, materials, equipment, or components to be used in the work, submitted prior to contract notice to proceed or next major phase of construction.

SD-02 Shop Drawings

Submittals which graphically show relationship of various components of the work, schematic diagrams of systems, detail of fabrications, layout of particular elements, connections, and other relational aspects of the work.

SD-03 Product Data

Data composed of catalog cuts, brochures, circulars, specifications and product data, and printed information in sufficient detail and scope to verify compliance with requirements of the contract documents.

SD-04 Samples

Samples, including both fabricated and unfabricated physical examples of materials, products, and units of work as complete units or as portions of units of work.

SD-05 Design Data

Design calculations, mix design analyses, or other data, written in nature, and pertaining to a part of the work.

SD-06 Test Reports

Written reports of a manufacturer's findings of his product during field inspections, attesting that the products are installed in accordance with the manufacturer's installation instructions, shop drawings, or other manufacturer's requirements. Written reports by a general contractor or his subcontractors including daily logs reporting on the progress of daily activities or attesting that the work has been installed in accordance with the contract plans and specifications.

SD-07 Certificates

A document, required of the Contractor, or through the Contractor by way of a supplier, installer, manufacturer, or other Lower Tier Contractor, the purpose of which is to further the quality or orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel, qualifications, or other verification of quality.

Statements signed by responsible officials of a manufacturer of a product, system, or material attesting that the product, system or material meet specified requirements. Statements must be dated after the award of this contract, name the project, and list the specific requirements which it is intended to address.

SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system, or material, including special notices and material safety data sheets, if any concerning impedances, hazards, and safety precautions.

SD-09 Manufacturer's Field Reports

A written report which includes the findings of a test made 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. Report must be signed by an authorized official of a testing laboratory or agency and must state the test results; and indicate whether the material, product, or system has passed or failed the test.

SD-10 Operation and Maintenance Data

Data intended to be incorporated in an operations and maintenance manual.

SD-11 Closeout Submittals

Special requirements necessary to properly close out a construction contract. For example, as-built record drawings, manufacturer's help and product lines necessary to maintain and install equipment. Also, submittal requirements necessary to properly close out a major phase of construction on a multi-phase contract.

1.4 PREPARATION

1.4.1 Marking

Prepare, review and stamp with Contractor's approval all specified submittals.

Permanently mark each submittal to identify it by contract number; transmittal date; Contractor's, Subcontractor's, and supplier's name, address(es) and telephone number(s); submittal name; specification or drawing reference; and similar information to distinguish it from other submittals. Submittal identification shall include space to receive the review action by the Contracting Officer.

1.4.2 Drawing Format

Drawing submittals shall be prepared on translucent, reproducible sheets, not less than 8-1/2 by 11 inches 210 by 279 millimeter nor larger than 30 by 42 inches 841 by 1189 millimeter in size, except for full size patterns or templates. Drawings shall be prepared to accurate size, with scale indicated, unless other form is required. Drawing reproducibles shall be suitable for microfilming and reproduction on the Diazo or Ozalid machines and shall be of a quality to produce clear, distinct lines and letters. Drawings shall have dark lines on a white background.

Copies of each drawing shall have the following information clearly marked thereon:

- a. Job name, which shall be the general title of the contract drawings.

- b. Date of the drawings and revisions.
- c. Name of Contractor.
- d. Name of Subcontractor.
- e. Name of the item, material, or equipment detailed thereon.
- f. Submittal number (e.g., first submittal to last submittal) in a uniform location adjacent to the title block.
- g. Specification section to which submittal applies.
- h. Government contract number shall appear in the margin, immediately below the title block.

Drawings shall be numbered in logical sequence. Contractor may use his own number system. Each drawing shall bear the number of the submittal in a uniform location adjacent to the title block. Government contract number shall appear in the margin, immediately below the title block, for each drawing.

A blank space, no smaller than [_____] inches millimeter shall be reserved on the right hand side of each sheet for the Government disposition stamp.

1.4.3 Data Format

Required data submittals for each specific material, product, unit of work, or system shall be collected into a single submittal and marked for choices, options, and portions applicable to the submittal. Marking of each copy of product data submitted shall be identical. Partial submittals will [not] be accepted for expedition of construction effort.

1.4.4 Samples

Samples shall be physically identical with the proposed material or product to be incorporated in the work, fully fabricated and finished in the specified manner, and full scale. Where variations in color, finish, pattern, or texture are inherent in the material or product represented by the sample, multiple units of the sample, showing the near-limits of the variations and the "average" of the whole range (not less than 3 units), shall be submitted. Each unit shall be marked to describe its relation to the range of the variation. Where samples are specified for selection of color, finish, pattern, or texture, the full set of available choices shall be submitted for the material or product specified. Sizes and quantities of samples shall represent their respective standard unit.

1.5 SUBMISSION REQUIREMENTS

NOTE: Quantities and procedures should be modified to suit project requirements and the applicable user's procedures.

1.5.1 Schedules

NOTE: Delete this part if submittal schedule is

specified elsewhere or is not required due to size
or nature of the project.

[Within 30 calendar days of notice to proceed] [Within 15 calendar days of notice to proceed] [At the Preconstruction conference], provide, for approval by the Contracting Officer, the following schedule of submittals:

- a. 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 Contractor's anticipated submission date and the approval need date.
- b. A separate schedule of other submittals required under the contract but not listed in the specifications or drawings. Schedule will indicate the contract requirement reference; the type or title of the submittal; the Contractor's anticipated submission date and the approved need date (if approval is required).
- c. Submittals called for by the contract documents will be listed on one of the above schedules. If a submittal is called for but does not pertain to the contract work, the Contractor shall include the submittal in the applicable schedule and annotate it "N/A" with a brief explanation. Approval of the schedules by the Contracting Officer does not relieve the Contractor of supplying submittals required by the contract documents but which have been omitted from the schedules or marked "N/A".
- d. Re-submit copies of both schedules and annotate monthly by the Contractor with actual submission and approval dates. When all items on a schedule have been fully approved, no further re-submittal of the schedule is required.

1.5.2 Drawings Submittals

Submit [[_____] translucent reproducible copy(s)] [and] [[_____] blackline or blue-line opaque print(s)] of each drawing. [_____] prints, marked with review notations by the Contracting Officer, will be returned to the Contractor. All required installation, fabrication and connection drawings shall be submitted and approved prior to the start of work detailed on these drawings.

1.5.3 Data Submittals

Submit [Five] [_____] complete sets of indexed and bound product data. [One] [_____] set, marked with review notations by the Contracting Officer, will be returned to the Contractor.

1.5.4 Samples

Submit one set of identified samples. A copy of the transmittal form, marked with review notations including selections by the Contracting Officer, will be returned to the Contractor.

Samples that are intended or permitted to be returned and actually incorporated in the work are so indicated in the individual technical

sections. These samples will be returned to the Contractor, at his expense, to be clearly labeled, with installation location recorded. Samples shall be in undamaged condition at the time of installation.

Where mockups and similar large samples are required by individual technical sections, it is recognized that these are a special type of sample which cannot be readily "transmitted" as specified for submittal of samples. Otherwise, and except as indicated in the individual technical sections, the requirements for samples shall be complied with and a transmittal form shall be processed for each mockup, to provide a record of the activity.

1.6 GOVERNMENT'S REVIEW

1.6.1 Review Notations

Contracting Officer will review submittals and provide pertinent notation within [_____] calendar days after date of submission. Submittals will be returned to the Contractor with the following notations:

- a. Submittals marked "approved" authorize the Contractor to proceed with the work covered.
- b. Submittals marked "approved as noted" authorize the Contractor to proceed with the work covered provided he takes no exception to the corrections. Notes shall be incorporated prior to submission of the final submittal.
- c. Submittals marked "return for correction" require the Contractor to make the necessary corrections and revisions and to re-submit them for approval in the same routine as before, prior to proceeding with any of the work depicted by the submittal.
- d. Submittals marked "not approved" or "disapproved" indicate noncompliance with the contract requirements and shall be re-submitted with appropriate changes. No item of requiring a submittal shall be accomplished until the submittals are approved or approved as noted.
- e. Contractor shall 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; notice as required under the clause entitled, "Changes" shall be given to the Contracting Officer. Approval of the submittals by the Contracting Officer shall not be construed as a complete check, but will indicate only that the general method of construction and detailing is satisfactory. Contractor shall be responsible for the dimensions and design of connection details and construction of work. Failure to point out deviations may result in the Government requiring rejection and removal of such work at the Contractor's expense.
- f. If changes are necessary to approved submittals, the Contractor shall make such revisions and submission of the submittals in accordance with the procedures above. No item of work requiring a submittal change shall be accomplished until the changed submittals are approved.

1.6.2 Sample Approval

Furnish, for the approval of the Contracting Officer, samples required by the specifications or by the Contracting Officer. Shipping charges shall be paid by the Contractor. Materials or equipment requiring sample approval shall not be delivered to the site or used in the work until approved in writing by the Contracting Officer.

Each sample shall have a label indicating:

- a. Name of project
- b. Name of Contractor
- c. Material or equipment
- d. Place of origin
- e. Name of producer and brand
- f. Specification section to which samples applies
- g. Samples of furnished material shall have additional markings that will identify them under the finished schedules.

Contractor shall submit to the Contracting Officer two samples of materials where samples are requested. Transmit to the Contracting Officer with each sample a letter, original and two copies, containing the above information.

Approval of a sample shall be only for the characteristics or use named in such approval and shall not be construed to change or modify any contract requirements. Before submitting samples, the Contractor shall assure 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.

Materials and equipment incorporated in the work shall match the approved samples. If requested, approved samples, including those which may be damaged in testing, will be returned to the Contractor, at his expense, upon completion of the contract. Samples not approved 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 of that material. Government reserves the right to disapprove any material or equipment which previously has proved unsatisfactory in service.

Variations from contract requirements shall be specifically pointed out in transmittal letters. Failure to point out deviations may result in the Government requiring rejection and removal of such work at no additional cost to the Government.

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. Contractor shall replace such materials or equipment to meet contract requirements.

Approval of the Contractor's samples by the Contracting Officer shall not relieve the Contractor of his responsibilities under the contract.

**NOTE: Selection between the use of progress
schedule must be coordinated with project management.**

1.7 PROGRESS SCHEDULE

1.7.1 Bar Chart

- a. Submit the progress chart, for approval by the Contracting Officer, at the Preconstruction Conference in one reproducible and 4 copies.
- b. Prepare the progress chart in the form of a bar chart utilizing form "Construction Progress Chart" or comparable format acceptable to the Contracting Officer.
- c. Include no less than the following information on the progress chart:
 - (1) Break out by major headings for primary work activity.
 - (2) A line item break out under each major heading sufficient to track the progress of the work.
 - (3) A line item showing contract finalization task which includes punch list, clean-up and demolition, and final construction drawings.
 - (4) A materials bar and a separate labor bar for each line item. Both bars will show the scheduled percentage complete for any given date within the contract performance period. Labor bar will also show the number of men (man-load) expected to be working on any given date within the contract performance period.
 - (5) The estimated cost and percentage weight of total contract cost for each materials and labor bar on the chart.
 - (6) Separate line items for mobilization and drawing submittal and approval. (These items are to show no associated costs.)
- d. Update the progress schedule in one reproduction and 4 copies every 30 calendar days throughout the contract performance period.]

1.7.2 Project Network Analysis

[Submit the initial progress schedule within 21 calendar days of notice to proceed. Schedule shall be updated and resubmitted monthly beginning 7 calendar days after return of the approved initial schedule. Updating shall entail complete revision of the graphic and data displays incorporating changes in scheduled dates and performance periods. Redlined updates will only be acceptable for use as weekly status reviews.

Contractor shall provide a single point contact from his on-site organization as his Schedule Specialist. Schedule Specialist shall have the responsibility of updating and coordinating the schedule with actual

job conditions. Schedule Specialist shall participate in weekly status meetings and present current information on the status of purchase orders, shop drawings, off-site fabrication, materials deliveries, Subcontractor activities, anticipated needs for Government furnished equipment, and any problem which may impact the contract performance period.

Include the following in the project network analysis:

- a. Graphic display shall be a standard network or arrow diagram capable of illustrating the required data. Drafting shall be computer generated on standard 24 by 36 inch (nominal size) 609 by 914 millimeter drafting sheets or on small (11 by 17 inch 279 by 432 millimeter minimum) sheets with separate overview and detail breakouts. Provide a project network analysis that is legible with a clear, consistent method for continuations and detail referencing. Clearly delineate the critical path on the display. Clearly indicate the contract milestone date on the project network analysis graphic display.
- b. Data shall be presented as a separate printout on paper or, where feasible, may be printed on the same sheet as the graphic display. Data shall be organized in a logical coherent display capable of periodic updating.
- c. Data shall include verbal activity descriptions with a numerical ordering system cross referenced to the graphic display. Additionally, costs (broken down into separate materials and labor costs), duration, early start date, early finish date, late start date, late finish date, and float shall be detailed for each activity. A running total of the percent completion based on completed activity costs versus total contract cost shall be indicated. A system for indicating scheduled versus actual activity dates and durations shall be provided.
- d. Schedule shall be of sufficient detail to facilitate the Contractor's control of the job and to allow the Contracting Officer to readily follow progress for portions of the work.]

1.8 STATUS REPORT ON MATERIALS ORDERS

Within [_____] calendar days after notice to proceed, submit, for approval by the Contracting Officer, an initial material status report on all materials orders. This report will be updated and re-submitted every [_____] calendar days as the status on material orders changes.

Report shall list, in chronological order by need date, materials orders necessary for completion of the contract. The following information will be required for each material order listed:

- a. Material name, supplier, and invoice number.
- b. Bar chart line item or CPM activity number affected by the order.
- c. Delivery date needed to allow directly and indirectly related work to be completed within the contract performance period.
- d. Current delivery date agreed on by supplier.
- e. When item d exceeds item c, the effect that delayed delivery date

will have on contract completion date.

- f. When item d exceeds item c, a summary of efforts made by the Contractor to expedite the delayed delivery date to bring it in line with the needed delivery date, including efforts made to place the order (or subcontract) with other suppliers.

PART 2 PRODUCTS

Not Used

PART 3 EXECUTION

Not Used

-- End of Section --