



WMU Design Guidelines Instructions: These guidelines are to be used by the Design Professional to inform the design process and outline WMU-specific desires for University projects. Text appearing in blue indicates a WMU design guideline which must be met for all campus projects unless approved in writing by the University. Blue text that is struck out indicates products or practices that are **not** acceptable, and shall not be included unless similarly approved. Any text remaining in black is to be edited by the Design Professional as part of the normal specifications-writing process. Guidelines language shall be included in the project specifications and their intent incorporated into the drawings.

SECTION 01 3300 - SUBMITTAL PROCEDURES

PART 1 - GENERAL

1.1 SUMMARY

A. Section Includes:

1. Submittal schedule requirements.
2. Administrative and procedural requirements for submittals.

1.2 DEFINITIONS

- A. Action Submittals: Written and graphic information and physical samples that require Architect's **[and Construction Manager's]** responsive action. Action submittals are those submittals indicated in individual Specification Sections as "action submittals."
- B. Informational Submittals: Written and graphic information and physical samples that do not require Architect's **[and Construction Manager's]** responsive action. Submittals may be rejected for not complying with requirements. Informational submittals are those submittals indicated in individual Specification Sections as "informational submittals."

1.3 SUBMITTAL SCHEDULE

Designer Note: The Design Professional shall review time frame for receiving the submittal schedule with the Owner. WMU requires that the schedule include initial submittal date and final due date, and shall identify the party(s) responsible for review. Time for resubmittals shall be built into the process. In addition, all closeout submittals shall be identified.

- A. **Submittal Schedule:** Submit, as an action submittal, a list of submittals, arranged in chronological order by dates required by construction schedule. Include time required for review, ordering, manufacturing, fabrication, and delivery when establishing dates. Include additional time required for making corrections or revisions to submittals noted by Architect **[and Construction Manager]** and additional time for handling and reviewing submittals required by those corrections.
1. Coordinate submittal schedule with list of subcontracts, the schedule of values, and Contractor's construction schedule.
 2. WMU will circulate this list to internal constituents (include the Commissioning Authority, if applicable) to identify any additional reviewers that may be required.



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3. Initial Submittal: Submit concurrently with startup construction schedule. Include submittals required during the first 60 days of construction. List those submittals required to maintain orderly progress of the Work and those required early because of long lead time for manufacture or fabrication.
4. Final Submittal: Submit concurrently with the first complete submittal of Contractor's construction schedule.
 - a. Submit revised submittal schedule to reflect changes in current status and timing for submittals.
5. Format: Arrange the following information in a tabular format:
 - a. Scheduled date for first submittal.
 - b. Specification Section number and title.
 - c. Submittal Category: Action; informational.
 - d. Name of subcontractor.
 - e. Description of the Work covered.
 - f. Scheduled date for Architect's **[and Construction Manager's]** final release or approval.
 - g. Scheduled dates for purchasing.
 - h. Scheduled date of fabrication.
 - i. Scheduled dates for installation.
 - j. Activity or event number.

1.4 SUBMITTAL FORMATS

A. Submittal Information: Include the following information in each submittal:

1. Project name.
2. Date.
3. WMU project number.
4. Name of Architect.
5. Name of Construction Manager.
6. Name of Contractor.
7. Name of firm or entity that prepared submittal.
8. Names of subcontractor, manufacturer, and supplier.
9. Unique submittal number, including revision identifier. Include Specification Section number with sequential alphanumeric identifier; and alphanumeric suffix for resubmittals.
10. Category and type of submittal.
11. Submittal purpose and description.
12. Number and title of Specification Section, with paragraph number and generic name for each of multiple items.
13. Drawing number and detail references, as appropriate.
14. Indication of full or partial submittal.
15. Location(s) where product is to be installed, as appropriate.
16. Other necessary identification.
17. Remarks.
18. Signature of transmitter.

B. Options: Identify options requiring selection by Architect.



- C. Deviations and Additional Information: On each submittal, clearly indicate deviations from requirements in the Contract Documents, including minor variations and limitations; include relevant additional information and revisions, other than those requested by Architect **[and Construction Manager]** on previous submittals. Indicate by highlighting on each submittal or noting on attached separate sheet.

~~D. Paper Submittals:~~

- ~~1. Place a permanent label or title block on each submittal item for identification; include name of firm or entity that prepared submittal.~~
- ~~2. Provide a space approximately [6 by 8 inches] <Insert dimensions> on label or beside title block to record Contractor's review and approval markings and action taken by Architect [and Construction Manager].~~
- ~~3. Action Submittals: Submit [three] <Insert number> paper copies of each submittal unless otherwise indicated. Architect [through Construction Manager,] will return [two] <Insert number> copies.~~
- ~~4. Informational Submittals: Submit [two] <Insert number> paper copies of each submittal unless otherwise indicated. Architect [and Construction Manager] will not return copies.~~
- ~~5. Additional Copies: Unless additional copies are required for final submittal, and unless Architect [or Construction Manager] observes noncompliance with provisions in the Contract Documents, initial submittal may serve as final submittal.~~
- ~~6. Transmittal for Submittals: Assemble each submittal individually and appropriately for transmittal and handling. Transmit each submittal using [AIA Document G810] [facsimile of sample form included in Project Manual] transmittal form.~~

- E. PDF Submittals: Prepare submittals as PDF package, incorporating complete information into each PDF file. Name PDF file with submittal number.

1. Submittals shall be named according to WMU's naming convention. See link under 'Facility Records' heading at bottom of this webpage: <http://www.fm.wmich.edu/intranet/forms> for requirements.
2. PDFs shall be OCR compatible.

- F. Submittals for Web-Based Project Software: Prepare submittals as PDF files, or other format indicated by Project software website.

1.5 SUBMITTAL PROCEDURES

- A. Prepare and submit submittals required by individual Specification Sections. Types of submittals are indicated in individual Specification Sections.

1. Email: Prepare submittals as PDF package, and transmit to Architect by sending via email. Include PDF transmittal form. Include information in email subject line as requested by Architect.
 - a. Architect, **[through Construction Manager,]** will return annotated file. Annotate and retain one copy of file as a digital Project Record Document file.
2. Web-Based Project Software: Prepare submittals in PDF form, and upload to web-based Project software website. Enter required data in web-based software site to fully identify submittal.
3. ~~Paper: Prepare submittals in paper form, and deliver to Architect.~~



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- B. Coordination: Coordinate preparation and processing of submittals with performance of construction activities.
1. Coordinate each submittal with fabrication, purchasing, testing, delivery, other submittals, and related activities that require sequential activity.
 2. Submit all submittal items required for each Specification Section concurrently unless partial submittals for portions of the Work are indicated on approved submittal schedule.
 3. Submit action submittals and informational submittals required by the same Specification Section as separate packages under separate transmittals.
 4. Coordinate transmittal of submittals for related parts of the Work specified in different Sections so processing will not be delayed because of need to review submittals concurrently for coordination.
 - a. **[Architect reserves] [Architect and Construction Manager reserve]** the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.
- C. Processing Time: Allow time for submittal review, including time for resubmittals, as follows. Time for review shall commence on **[Architect's] [Construction Manager's]** receipt of submittal. No extension of the Contract Time will be authorized because of failure to transmit submittals enough in advance of the Work to permit processing, including resubmittals.
1. Initial Review: Allow **[15] <Insert number>** days for initial review of each submittal. Allow additional time if coordination with subsequent submittals is required. **[Architect] [Construction Manager]** will advise Contractor when a submittal being processed must be delayed for coordination.
 2. Intermediate Review: If intermediate submittal is necessary, process it in same manner as initial submittal.
 3. Resubmittal Review: Allow **[15] <Insert number>** days for review of each resubmittal.
 4. Sequential Review: Where sequential review of submittals by Architect's consultants, Owner, or other parties is indicated, allow **[21] <Insert number>** days for initial review of each submittal.
 - a. **<Insert list of Specification Sections requiring sequential review>**.
 5. Concurrent Consultant Review: Where the Contract Documents indicate that submittals may be transmitted simultaneously to Architect and to Architect's consultants, allow **[15] <Insert number>** days for review of each submittal. Submittal will be returned to **[Architect] [Construction Manager, through Architect,]** before being returned to Contractor.
 - a. Submit one copy of submittal to concurrent reviewer in addition to specified number of copies to Architect **[and Construction Manager]**.
- D. Resubmittals: Make resubmittals in same form and number of copies as initial submittal.
1. Note date and content of previous submittal.
 2. Note date and content of revision in label or title block and clearly indicate extent of revision.
 3. Resubmit submittals until they are marked with approval notation from Architect's **[and Construction Manager's]** action stamp.



- E. Distribution: Furnish copies of final submittals to manufacturers, subcontractors, suppliers, fabricators, installers, authorities having jurisdiction, and others as necessary for performance of construction activities. Show distribution on transmittal forms.
- F. Use for Construction: Retain complete copies of submittals on Project site. Use only final action submittals that are marked with approval notation from Architect's [**and Construction Manager's**] action stamp.

1.6 SUBMITTAL REQUIREMENTS

- A. Product Data: Collect information into a single submittal for each element of construction and type of product or equipment.
 - 1. If information must be specially prepared for submittal because standard published data are unsuitable for use, submit as Shop Drawings, not as Product Data.
 - 2. Mark each copy of each submittal to show which products and options are applicable.
 - 3. Include the following information, as applicable:
 - a. Manufacturer's catalog cuts.
 - b. Manufacturer's product specifications.
 - c. Standard color charts.
 - d. Statement of compliance with specified referenced standards.
 - e. Testing by recognized testing agency.
 - f. Application of testing agency labels and seals.
 - g. Notation of coordination requirements.
 - h. Availability and delivery time information.
 - 4. For equipment, include the following in addition to the above, as applicable:
 - a. Wiring diagrams that show factory-installed wiring.
 - b. ~~Printed~~ Performance curves.
 - c. Operational range diagrams.
 - d. Clearances required to other construction, if not indicated on accompanying Shop Drawings.
 - 5. Submit Product Data before Shop Drawings, and before or concurrent with Samples.
- B. Shop Drawings: Prepare Project-specific information, drawn accurately to scale. Do not base Shop Drawings on reproductions of the Contract Documents or standard printed data [**unless submittal based on Architect's digital data drawing files is otherwise permitted**].
 - 1. Preparation: Fully illustrate requirements in the Contract Documents. Include the following information, as applicable:
 - a. Identification of products.
 - b. Schedules.
 - c. Compliance with specified standards.
 - d. Notation of coordination requirements.
 - e. Notation of dimensions established by field measurement.
 - f. Relationship and attachment to adjoining construction clearly indicated.
 - g. Seal and signature of professional engineer if specified.



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2. ~~Paper Sheet Size: Except for templates, patterns, and similar full-size Drawings, submit Shop Drawings on sheets at least [8 1/2 by 11 inches, but no larger than 30 by 42 inches] <Insert dimensions>.~~
 - a. ~~[Two] opaque (bond) copies of each submittal. Architect[, through Construction Manager,] will return [one] <Insert number> copy(ies).~~
 - b. ~~[Three] <Insert number> opaque copies of each submittal. Architect[and Construction Manager] will retain [two] <Insert number> copies; remainder will be returned.~~

Designer Note: Refer to the latest version of WMU's *BIM Project Execution and Standards Guide* for requirements around BIM incorporation.

3. BIM Incorporation: **[Develop and incorporate] [Construction Manager will incorporate Contractor's]** Shop Drawing files into BIM established for Project.
- C. Samples: Submit Samples for review of kind, color, pattern, and texture for a check of these characteristics with other materials.
1. Transmit Samples that contain multiple, related components such as accessories together in one submittal package.
 2. Identification: Permanently attach label on unexposed side of Samples that includes the following:
 - a. Project name and submittal number.
 - b. Generic description of Sample.
 - c. Product name and name of manufacturer.
 - d. Sample source.
 - e. Number and title of applicable Specification Section.
 - f. Specification paragraph number and generic name of each item.
 3. Email Transmittal: Provide PDF transmittal. Include digital image file illustrating Sample characteristics, and identification information for record.
 4. Web-Based Project Software: Prepare submittals in PDF form, and upload to web-based Project software website. Enter required data in web-based software site to fully identify submittal.
 5. ~~Paper Transmittal: Include paper transmittal including complete submittal information indicated.~~
 6. Disposition: Maintain sets of approved Samples at Project site, available for quality-control comparisons throughout the course of construction activity. Sample sets may be used to determine final acceptance of construction associated with each set.
 - a. Samples that may be incorporated into the Work are indicated in individual Specification Sections. Such Samples must be in an undamaged condition at time of use.
 - b. Samples not incorporated into the Work, or otherwise designated as Owner's property, are the property of Contractor.
 7. Samples for Initial Selection: Submit manufacturer's color charts consisting of units or sections of units showing the full range of colors, textures, and patterns available.
 - a. Number of Samples: Submit **[one] <Insert number>** full set(s) of available choices where color, pattern, texture, or similar characteristics are required to be selected



from manufacturer's product line. Architect, **[through Construction Manager,]** will return submittal with options selected.

8. Samples for Verification: Submit full-size units or Samples of size indicated, prepared from same material to be used for the Work, cured and finished in manner specified, and physically identical with material or product proposed for use, and that show full range of color and texture variations expected. Samples include, but are not limited to, the following: partial sections of manufactured or fabricated components; small cuts or containers of materials; complete units of repetitively used materials; swatches showing color, texture, and pattern; color range sets; and components used for independent testing and inspection.
 - a. Number of Samples: Submit **[three]** <Insert number> sets of Samples. Architect **[and Construction Manager]** will retain **[two]** <Insert number> Sample sets; remainder will be returned. **[Mark up and retain one returned Sample set as a project record Sample.]**
 - 1) Submit a single Sample where assembly details, workmanship, fabrication techniques, connections, operation, and other similar characteristics are to be demonstrated.
 - 2) If variation in color, pattern, texture, or other characteristic is inherent in material or product represented by a Sample, submit at least **[three]** <Insert number> sets of paired units that show approximate limits of variations.
- D. Product Schedule: As required in individual Specification Sections, prepare a written summary indicating types of products required for the Work and their intended location. Include the following information in tabular form:
 1. Type of product. Include unique identifier for each product indicated in the Contract Documents or assigned by Contractor if none is indicated.
 2. Manufacturer and product name, and model number if applicable.
 3. Number and name of room or space.
 4. Location within room or space.
- E. Qualification Data: Prepare written information that demonstrates capabilities and experience of firm or person. Include lists of completed projects with project names and addresses, contact information of architects and owners, and other information specified.
- F. Design Data: Prepare and submit written and graphic information indicating compliance with indicated performance and design criteria in individual Specification Sections. Include list of assumptions and summary of loads. Include load diagrams if applicable. Provide name and version of software, if any, used for calculations. Number each page of submittal.
- G. Certificates:
 1. Certificates and Certifications Submittals: Submit a statement that includes signature of entity responsible for preparing certification. Certificates and certifications shall be signed by an officer or other individual authorized to sign documents on behalf of that entity. Provide a notarized signature where indicated.
 2. Installer Certificates: Submit written statements on manufacturer's letterhead certifying that Installer complies with requirements in the Contract Documents and, where required, is authorized by manufacturer for this specific Project.



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3. Manufacturer Certificates: Submit written statements on manufacturer's letterhead certifying that manufacturer complies with requirements in the Contract Documents. Include evidence of manufacturing experience where required.
4. Material Certificates: Submit written statements on manufacturer's letterhead certifying that material complies with requirements in the Contract Documents.
5. Product Certificates: Submit written statements on manufacturer's letterhead certifying that product complies with requirements in the Contract Documents.
6. Welding Certificates: Prepare written certification that welding procedures and personnel comply with requirements in the Contract Documents. Submit record of Welding Procedure Specification and Procedure Qualification Record on AWS forms. Include names of firms and personnel certified.

H. Test and Research Reports:

1. Compatibility Test Reports: Submit reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of compatibility tests performed before installation of product. Include written recommendations for primers and substrate preparation needed for adhesion.
2. Field Test Reports: Submit written reports indicating and interpreting results of field tests performed either during installation of product or after product is installed in its final location, for compliance with requirements in the Contract Documents.
3. Material Test Reports: Submit reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting test results of material for compliance with requirements in the Contract Documents.
4. Preconstruction Test Reports: Submit reports written by a qualified testing agency, on testing agency's standard form, indicating and interpreting results of tests performed before installation of product, for compliance with performance requirements in the Contract Documents.
5. Product Test Reports: Submit written reports indicating that current product produced by manufacturer complies with requirements in the Contract Documents. Base reports on evaluation of tests performed by manufacturer and witnessed by a qualified testing agency, or on comprehensive tests performed by a qualified testing agency.
6. Research Reports: Submit written evidence, from a model code organization acceptable to authorities having jurisdiction, that product complies with building code in effect for Project. Include the following information:
 - a. Name of evaluation organization.
 - b. Date of evaluation.
 - c. Time period when report is in effect.
 - d. Product and manufacturers' names.
 - e. Description of product.
 - f. Test procedures and results.
 - g. Limitations of use.

1.7 DELEGATED-DESIGN SERVICES

- A. Performance and Design Criteria: Where professional design services or certifications by a design professional are specifically required of Contractor by the Contract Documents, provide products and systems complying with specific performance and design criteria indicated.
 1. If criteria indicated are insufficient to perform services or certification required, submit a written request for additional information to Architect.



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- B. Delegated-Design Services Certification: In addition to Shop Drawings, Product Data, and other required submittals, submit **[digitally signed PDF file]** ~~[and] [three]~~ ~~<Insert number>~~ ~~paper copies of certificate~~, signed and sealed by the responsible design professional, for each product and system specifically assigned to Contractor to be designed or certified by a design professional.
1. Indicate that products and systems comply with performance and design criteria in the Contract Documents. Include list of codes, loads, and other factors used in performing these services.

Designer Note: Refer to the latest version of WMU's *BIM Project Execution and Standards Guide* for requirements around BIM incorporation.

- C. BIM Incorporation: **[Incorporate]** **[Construction Manager will incorporate]** delegated-design drawing and data files into BIM established for Project.
1. Prepare delegated-design drawings in the following format: **[Same digital data software program, version, and operating system as original Drawings]** ~~<Insert software name and version>~~.

1.8 CONTRACTOR'S REVIEW

- A. Action Submittals and Informational Submittals: Review each submittal and check for coordination with other Work of the Contract and for compliance with the Contract Documents. Note corrections and field dimensions. Mark with approval stamp before submitting to Architect [
- B. **and Construction Manager]**.
- C. Contractor's Approval: Indicate Contractor's approval for each submittal with **[a uniform approval stamp]** **[indication in web-based Project software]**. Include name of reviewer, date of Contractor's approval, and statement certifying that submittal has been reviewed, checked, and approved for compliance with the Contract Documents.
1. Architect **[and Construction Manager]** will not review submittals received from Contractor that do not have Contractor's review and approval.

Designer Note: WMU will also review certain submittals, as outlined in 1.3.A.2 above. Design Professional shall include language in the specification accordingly.

1.9 ARCHITECT'S **[AND CONSTRUCTION MANAGER'S]** REVIEW

- A. Action Submittals: Architect **[and Construction Manager]** will review each submittal, indicate corrections or revisions required, **[and return it]**.
1. PDF Submittals: Architect **[and Construction Manager]** will indicate, via markup on each submittal, the appropriate action[.], **as follows:**
 - a. ~~<Insert description of each action indicated on Architect's (and Construction Manager's) stamp>~~.
 2. ~~Paper Submittals: Architect [and Construction Manager] will stamp each submittal with an action stamp and will mark stamp appropriately to indicate action[.], as follows:~~



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- a. ~~<Insert description of each action indicated on Architect's (and Construction Manager's) stamp>.~~
3. Submittals by Web-Based Project Software: Architect **[and Construction Manager]** will indicate, on Project software website, the appropriate action.
 - a. Actions taken by indication on Project software website have the following meanings:
 - 1) **<Insert description of each action indicated on Architect's (and Construction Manager's) stamp>.**
 - B. Informational Submittals: Architect **[and Construction Manager]** will review each submittal and will not return it, or will return it if it does not comply with requirements. Architect **[and Construction Manager]** will forward each submittal to appropriate party.
 - C. Partial submittals prepared for a portion of the Work will be reviewed when use of partial submittals has received prior approval from Architect **[and Construction Manager]**.
 - D. Incomplete submittals are unacceptable, will be considered nonresponsive, and will be returned for resubmittal without review.
 - E. Architect **[and Construction Manager]** will **[return without review]** **[discard]** submittals received from sources other than Contractor.
 - F. Submittals not required by the Contract Documents will be returned by Architect without action.

PART 2 - PRODUCTS (Not Used)

PART 3 - EXECUTION (Not Used)

END OF SECTION 01 3300