



STATE OF NEW YORK
OFFICE OF GENERAL SERVICES
DESIGN AND CONSTRUCTION GROUP
THE GOVERNOR NELSON A. ROCKEFELLER
EMPIRE STATE PLAZA
ALBANY, NY 12242



ADDENDUM NO.1 TO PROJECT NO. 43999

**CONSTRUCTION WORK, HVAC WORK, ELECTRICAL WORK
REPLACE MAIN BUILDING HEATING SYSTEM & ROOF
DEPARTMENT OF TRANSPORTATION REGION 10
NORTH MERRICK MAINTENANCE HEADQUARTERS
1234 MEADOWBROOK ROAD
NORTH MERRICK, NY 11566**

December 1, 2011

NOTE: This Addendum forms a part of the Contract Documents. Insert it in the Project Manual.
Acknowledge receipt of this Addendum in the space provided on the Bid Form.

SPECIFICATIONS

1. SECTION 013300 SUBMITTALS: Discard the section bound in the Project Manual and substitute the attached Section (013300-1 thru 013300-9) noted "Revised 12/1/2011" and Forms BDC 42 and BDC23.

END OF ADDENDUM

James Dirolf, P.E.
Director of Design

SECTION 013300

SUBMITTALS

PART 1 GENERAL

1.01 RELATED REQUIREMENTS SPECIFIED ELSEWHERE

- A. Other requirements pertaining to submittals are included in the General Conditions and in the various sections of the Specifications.
- B. Administrative Requirements: Section 013000.
- C. Contract Closeout Submittals: Section 017716.

1.02 DEFINITIONS

- A. Deviation: Changes in products, materials, equipment and methods of construction from those required by the Contract Documents and proposed by the Contractor.

1.03 DEVIATIONS FROM REQUIREMENTS OF THE CONTRACT DOCUMENTS

- A. Deviations from the requirements of the Contract Documents will not be allowed unless a request for deviation is made in writing prior to or at the time of submission and the specific deviation is approved by the Director's Representative subject to the requirements of Article 4 of the General Conditions. The request for deviation shall be made utilizing the CONTRACT DOCUMENT DEVIATION REQUEST FORM (Form BDC 49) bound in the Appendix or from the OGS Web Site.
 - 1. The submission of a deviation shall be done in a timely manner according to the schedule of submittals to allow the Director sufficient time for review.

1.04 "OR EQUAL" TO BRAND NAME PRODUCTS

- A. Whenever a product is specified by brand name, a comparable brand, equal to that named, may be submitted for approval subject to the requirements of Article 5 of the General Conditions.
 - 1. The contractor shall bear the burden of proving that the proposed product is equal to the specified product. The submission of an "or equal" shall be done in a timely manner to allow the Director sufficient time to review the proposed product.
 - 2. Whenever a color or pattern is indicated by a specific manufacturer's name or number, the intent is to communicate the required color or pattern of the material. Other manufacturers' comparable colors or patterns may be submitted for approval as equal.

1.05 WAIVER OF CERTAIN SUBMITTAL REQUIREMENTS

- A. Unless otherwise specified, the requirement to submit product data and samples for approval will be waived for products specified by brand name if the specifically named products are furnished for the Work. In such cases, submit required Product Data to the Director's Representative via the Submittals Website for information only.

1.06 ADMINISTRATIVE REQUIREMENTS

- A. Identify all submittals by project title and number. Include Contractor's name, date, and revision date. On shop drawings, product data and samples, also include the name of the supplier and subcontractor (if any), and applicable specification section number. Stamp each submittal and initial or sign the stamp to certify review and approval of submittal.
- B. Assemble submittals in accordance with the requirements in the individual sections of the Specifications and as required by this section. It is the Contractor's responsibility to review and verify that all information required for each submittal is included in the submittal package. Errors or omissions found by the Contractor are to be corrected prior to the submission of the submittal package for approval. Incomplete submittal packages that have been submitted for review and approval will be returned.
 - 1. It is the Contractor's responsibility to verify that portions of the submittal package to be provided by a subcontractor (or supplier) are complete, as well as portions of the submittal package being provided directly by the Contractor.
 - 2. Do not combine the submittals of more than one specification section with submittals required by other specification sections unless specifically stated in the contract specifications.
- C. If a submittal is based on, or the result of, a change order or field order to the Contract documents, include copies of the applicable change order or field order with the submittal.

1.07 RE-EVALUATION FEE

- A. In accordance with Article 4.7 of the General Conditions, a re-evaluation processing fee will be levied against the Contractor for each re-evaluation of any Submittal Package submission that was returned for failure to comply with the submittal requirements relative to completeness, content or format.

1.08 ELECTRONIC SUBMITTALS

- A. A Submittals Website, an internet (web-based) service shall be used to provide an on-line database and repository which shall be used to transmit and track project related documents. The intent for using the Submittals Website is to expedite the construction process by reducing paperwork, improving information flow, and decreasing submittal review turnaround time.
 - 1. Project submittals (shop drawing, product data and quality assurance submittals) shall be transmitted by the Contractor in Portable Document Format (PDF) to the Submittals Website, where it will be tracked and

- stored for retrieval for review. After the submittal is reviewed it is uploaded back to the Submittals Website for action or use by the Contractor and Director's Representatives.
2. The service also tracks and stores documents related to the project such as RFI's (Request for Information), IB's (Information Bulletins), CAD Coordination, Minutes, Testing, Closeout, and SWPPP documents.
- B. For each submittal, the Contractor shall review and apply electronic stamp certifying that the submittal complies with the requirements of the Contract Documents, including verification of manufacturer/product, dimensions and coordination of information with other parts of the work.
- C. It is the Contractor's responsibility to provide the submittals in a PDF format. The contractor may use any of the following options:
1. Subcontractors and suppliers provide electronic submittals in PDF format to the Contractor via the Submittals Website.
 2. Subcontractors and suppliers provide paper submittals to the Contractor, who electronically scans and converts them to PDF format.
 3. Contract a Scanning Service, which will allow the Contractor and the Contractor's subcontractors and suppliers to provide paper submittals to the Scanning Service, which electronically scans and converts them to PDF format. It will be the Contractor's responsibility to transmit the scanned submittals to the Submittals Website.
- D. Image Quality:
1. Image resolution: The PDF files shall be created at a minimum resolution of 200 dots per inch utilizing the original document size. The Contractor will be responsible to increase the resolution of the scanned file or images being submitted as required to adequately present the information.
 2. Image Color Rendition: When information represented requires color to convey the intent and compliance, provide full color PDF reproduction.
- E. Internet Service and Equipment Requirements:
1. The Contractor will be required to have an Email address and Internet access at Contractor's main office.
 2. Unless the Contractor will exclusively be using a Scanning Service to create all PDF documents, the Contractor will be required to own a PDF reviewing, creating and editing software, such as Adobe Acrobat (www.adobe.com), Bluebeam PDF Revu (www.bluebeam.com), or other similar PDF reviewing, creating and editing software for applying electronic stamps and comments.
- F. Training and Support:
1. Web-based training and support shall be available, free of charge from the Submittals Website, for all project participants regarding use of the Submittals Website and PDF submittals.
 2. Coordinate training schedule through the Director's Representative.
- G. Administration and Cost:

1. The Construction Contractor shall include the full cost of Submittals Website project (all contracts) subscription in their proposal. This cost is included in the Contract Amount. Contact service provider to verify cost prior to bid.
 - a. All related Contracts will utilize the Submittals Website at no additional charge.
2. The Submittals Website project subscription shall be in the name of, and administered by the Director's Representative.

H. Products:

1. Basis of specification is Submittal Exchange, 1-800-714-0024, www.submittalexchange.com.
2. If a Preaward Meeting is held, it may include discussion regarding conformance of the Contractor proposed Submittal Website based on the criteria established below.
3. Submit documented conformance and provide an online demonstration to the Director's Representative within three business days of Award of Contract if a product other than Submittal Exchange is proposed.
4. Acceptable Submittal Website shall document conformance with the following requirements:
 - a. Independently hosted, web-based system for automated tracking, storage and distribution of contract submittals and other contract related documents. FTP sites, e-mail exchanges, and server-based systems hosted from inside a contractor's office will not be considered.
 - b. Utilize 256-bit SSL encryption and hosted at SAS70 Type II compliant data centers.
 - c. Minimum four years experience of use on comparable commercial construction projects. "Comparable commercial construction projects" shall include documented use on a minimum of twenty governmental or public-entity projects of ten million dollar construction value or greater.
 - d. Website requirements:
 - 1) Minimum of four years documented 99.5% website uptime.
 - 2) Minimum of four gigabytes of on-line storage available for each contract, for storage of all documents related to that contract.
 - 3) Minimum of two gigabytes of on-line storage for common documents relating to all contracts for the project.
 - 4) Redundant storage of all project information (all contracts) at a minimum of two geographically separate storage sites (not in the same building).
 - e. Unlimited secure individual user accounts and system access for all project subcontractors, prime contractors, OGS staff, design consultants, and subconsultants.
 - f. Separate locations for OGS staff, design consultant, and subconsultant review comments with contractors restricted from viewing comments until final review or release by OGS staff or primary design consultants.

- g. Full version histories and dates of exchanges automatically tracked and available for viewing, searching, and reporting in a linear log format compatible with the Design and Construction Schedule of Submittals.
 - 1) Each Contract's Submittal Log shall be tracked and maintained independent of the Submittal Logs of the related Contracts.
- h. Automatic, email reminders of past due items to related reviewers by specification and discipline.
- i. Customized, automated PDF form generation matching OGS standard templates for Transmittal, IB, RFI, and Design & Construction Submittal Comment forms. Documentation and demonstration of automatic form generation using OGS templates must be submitted for approval.
- j. Automated workflow processes
 - 1) Two stage review workflows for Submittal, and RFI,
 - 2) Posting Only for IB, CAD Coordination, Minutes, Testing, Closeout, and SWPPP documents.
 - 3) Documentation of automated workflow processes matching requirements must be submitted for approval.
- k. Functionality to group submittals as required packages and apply forms and review comments to entire package simultaneously.
 - 1. Within three business days of Award of Contract, Contractor shall execute the form of agreement with the System Vendor and shall have notified the Director's Representative and the related work contractors of such agreement. Within three days of Agreement, each Contractor shall provide the Submittal Website with all required information from Project Manual for their related Contract in regard to set up of the Submittal Website for their contract. Within fourteen days of award the Submittal Website shall be ready for use.
- m. Director's Representative and primary design consultant shall have full control over required items list and access to edit, add or remove items during project.
- n. System vendor shall provide minimum one-hour live web meeting training sessions to prime contractors, design consultants, subconsultants, and OGS staff prior to project start.
- o. System vendor shall make available minimum thirty-minute live web meeting training sessions for subcontractors at least once weekly for the entire duration of the project.
- p. System vendor shall provide access for OGS staff, design consultants, subconsultants, prime contractors, and subcontractors to live technical support by phone and email minimum of 8 AM to 5 PM EST on standard business days for the entire duration of the project at no additional cost.
- q. At completion of project closeout, minimum four sets of archival discs that include all documents and tracking logs in a navigable format shall be sent by system vendor to Director's Representative.

I. Paper prints (hardcopies) of reviewed submittals:

1. Record Copy: Within 14 days of receipt of submittals marked “Approved”, “Approved As Noted”, or meeting the requirements of Article 1.05 of this specification section, each Contractor shall provide one paper copy of the submittal they are responsible for to the Director’s Representative.
 - a. Paper copies shall be printed in a size format equal to the original document.
 - b. Scaled Shop Drawings shall be printed to the scale noted on the drawings.
 - c. The resolution of the printed copy shall be equal to that of the PDF file that it is being printed from.
 - d. The Record Copy shall be used by the Director’s Representative during the construction of the project and shall be retained as a turn-over item to the facility at the end of the project as required section 017716 Contract Closeout.
2. Contractor Copies: The Contractor will be responsible for making copies, for the Contractors own use and for use by its subcontractors and suppliers.

1.09 SHOP DRAWINGS

- A. Provide shop drawings in the format required by the specifications. Show the information, dimensions, connections and other details necessary to insure that the shop drawings accurately interpret the Contract Documents. Show adjoining construction in such detail as required indicating proper connections. Where adjoining connected construction requires shop drawings or product data, submit such information for approval at the same time so that connections can be accurately checked.
- B. Have shop drawings prepared by a qualified detailer. Shop drawings shall be neatly drawn and clearly legible. Machine duplicated copies of Contract Drawings will not be accepted as shop drawings.
 1. Where shop drawings are indicated to be drawn to scale:
 - a. Use scale normally found on an “Architect” or “Engineer” scale.
 - b. Written Scale: Clearly label scales being used on each drawing and/or on each detail on the drawing.
 - 1) Examples: $1/8" = 1'-0"$ $1" = 40'-0"$.
 - c. Graphic Scale: Adjacent to each Written Scale, provide a graphic scale delineating the scale being used. Graphic scale shall be divided into measuring units relating to the accuracy required for the drawing or details.
 - d. Clearly dimension key elements of the drawing or detail.
 2. When the drawing sheet is printed full size, the minimum text size shall be 1/8" (3.2 mm) for hand drafting and 3/32" (2.5 mm) for CADD drawings.
- C. Submit the shop drawings through the Submittals Website. The shop drawings will be reviewed and the review results will be posted on the Submittals Website. Contractor will receive email notice of completed review. If the review results in disposition of “DISAPPROVED” or “RETURNED FOR CORRECTION”, promptly correct the deficiencies and resubmit the shop drawings meeting Contract requirements.

1.10 PRODUCT DATA

- A. Provide product data in the format required by the specifications. Modify product data by deleting information that is not applicable to the project or by marking the product data to identify pertinent products. Supplement standard information, if necessary, to provide additional information applicable to project.
- B. Submit the product data through the Submittals Website. The product data will be reviewed and the review results will be posted on the Submittals Website. Contractor will receive email notice of completed review. If the review results in disposition of “DISAPPROVED” or “RETURNED FOR CORRECTION”, promptly correct the deficiencies and resubmit the product data meeting Contract requirements.

1.11 QUALITY ASSURANCE

- A. Provide quality assurance information in the format required by the specifications, including supporting documentation as required.
- B. Submit the quality assurance information through the Submittals Website. The quality assurance information will be reviewed and the review results will be posted on the Submittals Website. Contractor will receive email notice of completed review. If the review results in disposition of “DISAPPROVED” or “RETURNED FOR CORRECTION”, promptly correct the deficiencies and resubmit the quality assurance information meeting Contract requirements.

1.12 SAMPLES

- A. Submit 2 (unless a different number is specified) of each sample required by the Specifications.
- B. Samples will become the property of the State when submitted and will not be incorporated in the Work unless specifically stated otherwise.
- C. The electronic submittal process is not intended for color samples, color charts, or physical material samples.
- D. Record transmittal of each sample required by the Specifications through the Submittals Website.
- E. Consult with the Director’s Representative for direction on where Samples will be sent for review.
- F. The sample will be reviewed and the review results will be posted on the Submittals Website. Contractor will receive email notice of completed review.

1.13 REVIEW OF SUBMITTALS

- A. Items submitted for review will be reviewed for compliance with the contract documents, based upon the information submitted. The items will be acted upon with the following dispositions:
1. Approved (or No Exception Noted): Where the submittal is marked “Approved”, the work covered by the submittal may proceed provided it complies with the contract documents. Final acceptance will depend on that compliance.
 2. Approved as Noted (or Make Corrections Noted): Where the submittal is marked “Approved as Noted”, the work covered by the submittal may proceed provided it complies with the review comments noted on the submittal and the contract documents. Final acceptance will depend on that compliance.
 3. Disapproved (or Rejected): Where the submittal is marked “Disapproved”, do not proceed with the work covered by the submittal, including purchasing, fabrication, delivery or other activity for the item submitted. Prepare a new submittal according to the review comments noted on the submittal and meeting the contract documents.
 4. Returned for Correction (or Revise and Resubmit): Where the submittal is marked “Returned for Correction”, do not proceed with the work covered by the submittal, including purchasing, fabrication, delivery or other activity for the item submitted. Revise or prepare a new submittal according to the review comments noted on the submittal and meeting the contract documents.
 5. Acknowledged: Where the submittal is marked “Acknowledged”, receipt of the submittal is acknowledged and has been recorded.
 6. No Action: Where the submittal is marked “No Action” or “No Action Taken”, no review was made of this item, see comments noted on submittal and take appropriate action.
 7. Multi-Action: Where the submittal is marked “Multi-Action”, separate dispositions were made for the items submitted, see the review comments for the disposition of each item submitted.

1.14 SCHEDULES AND RECORDS

- A. Submit the following Schedules and Records information not later than 15 days after approval of the Contract unless the Contractor or the Director determines an earlier submission is required to properly schedule or progress the Work.
1. SCHEDULE OF SUBMITTALS: In the Submittal Log on the Submittals Website, for each item to be submitted indicate in the “Date Expected” column the date the item will be submitted for review and approval. The submission date that is entered shall provide sufficient time for the item to be reviewed, ordered, delivered and installed for timely completion of the Work in accordance with the Project Schedule. The date entered for submittal of each item is the last day a deviation will be considered.

1.15 TRANSMITTALS

- A. Submittal Transmittal (Form BDC 42):
1. Furnish separate Form BDC 42 for each submitted item sent to Submittals Website for review.

- a. Contractor may utilize their own Transmittal Form (or Transmittal Letter) in lieu of utilizing the Form BDC 42, contingent on the Contractor's Transmittal Form includes all information and certifications required by Form BDC 42.
 2. Clearly identify applicable specification section number of submitted item (product data, shop drawing, etc.) on the Form BDC 42.
- B. All Contracts:
1. Transmit items designated in the Schedule of Submittals (and project specifications) to the Submittals Website.

PART 2 PRODUCTS (Not Used)

PART 3 EXECUTION (Not Used)

END OF SECTION



Design and Construction

AN ISO 9001:2008 CERTIFIED ORGANIZATION

Division of Construction, 34th Floor, Corning Tower
 The Governor Nelson A. Rockefeller Empire State Plaza
 Albany, New York 12242

Phone: (518) 474-0331 FAX: (518) 474-8201

SUBMITTAL TRANSMITTAL

Project No.: _____

NOTE: A Transmittal is required for each Specification Section. DO NOT bind together separate submittals from different Specification Sections.

This form is to be used *only* if there are no deviations from the Contract Documents. If there are ANY deviations from the Contract Documents, you must submit the Contract Document Deviation Request Form (BDC 49).

Project Description: *(Project Title, Facility Name and Address)*

Date: _____

TO:

FROM:

SUBMITTAL TYPE:

- | | | |
|---------------------------------------|--|--|
| <input type="checkbox"/> Product Data | <input type="checkbox"/> Re-Submittal | <input type="checkbox"/> Information (Waiver) |
| <input type="checkbox"/> Test Reports | <input type="checkbox"/> Shop Drawings | <input type="checkbox"/> Quality Control/Assurance |
| <input type="checkbox"/> Design Data | <input type="checkbox"/> Certificate | <input type="checkbox"/> Contract Closeout |
| | <input type="checkbox"/> Samples | <input type="checkbox"/> Other |

Comply with all submittal requirements in the Project Manual as per Section 013300 and the particular Specification Section for which you are transmitting material.

Specification Number and Title: _____

Part	Type	Description

Contractor's Certification:

We have verified that all material or equipment contained in this submittal meets all the requirements specified or shown **(no exceptions)**.

 Contractor/Contractor's Representative (Print Name)

 Signature



NYS OGS DESIGN AND CONSTRUCTION SUBMITTAL COMMENTS

To: Contractor: Submittal No.:
From: EIC:
Contract No.: Submittal Desc:
Facility: Disposition:
Reviewed By: Remarks:

No.	Date of Action	Action	Spec Section	Supplier/Mfr	No. of Dwgs	Drawing No's
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1

Item Description:

Remarks:

2

Item Description:

Remarks:

3

Item Description:

Remarks:



Request for Information

Design And Construction
 Division of Construction
 34th Floor, Corning Tower
 The Governor Nelson A. Rockefeller
 Empire State Plaza
 Albany, New York 12242
 FAX: (518)474-8201

Project Information		
Project Number	Client	Location
	Project Title	
RFI Information		
Number	Trades	Spec Section
Contractor's Ref#		Drawing No.
Brief Description		
Date of Request	Requested By	Affiliation
	Estimated Cost Impact <input type="checkbox"/> Additional Cost <input type="checkbox"/> No Change <input type="checkbox"/> Credit	Estimated Time Impact <input type="checkbox"/> Yes <input type="checkbox"/> No
Detailed Description		
Response Date	Response By	Affiliation
	Estimated Cost Impact <input type="checkbox"/> Additional Cost <input type="checkbox"/> No Change <input type="checkbox"/> Credit	Estimated Time Impact <input type="checkbox"/> Yes <input type="checkbox"/> No
Response		
Attached Document Description		



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INFORMATION BULLETIN

Project No.: _____

Project Description: <i>(Project Title, Facility Name and Address)</i>			Client Agency:	
IB No.:	Trades:	Spec. Section:		Drawing No.:
Brief Description:				
Issue Date:	Issued By:		Affiliation:	
Detailed Description:				
Justification:				
Estimated Cost Impact: <input type="checkbox"/> Additional Cost <input type="checkbox"/> No Change <input type="checkbox"/> Credit			Estimated Time Impact: <input type="checkbox"/> YES <input type="checkbox"/> NO	
Attached Document Description:				