DESIGN AND CONSTRUCTION GROUP
THE GOVERNOR NELSON A. ROCKEFELLER
EMPIRE STATE PLAZA
ALBANY, NY 12242

ADDENDUM NO. 1 TO PROJECT NO. 45251

CONSTRUCTION WORK, HVAC WORK, PLUMBING WORK & ELECTRIC WORK
PROVIDE LOCKER ROOM, RESTROOMS & IMPROVEMENTS
NYS DOT REGION 4, WAYNE COUNTY
1140 EAST UNION STREET
NEWARK, NY

February 4, 2016

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

COMMON DIVISION 1 SECTION

1. Section 013300 SUBMITTALS: Delete this Section in its entirety, and replace with attached Section (pages 013300-1 thru 013300-9) and noted "REVISED 10/19/2015."

Margaret F. Larkin
Executive Director
Design and Construction

END OF ADDENDUM

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. Summary of the Work: Section 011000.

C. Administrative Requirements: Section 013000.

D. 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.

B. Acceptable Manufacturer, Company or Product: A manufacturer, company or product capable of achieving the requirements established in the Contract Documents and demonstrating compliance.

C. Portable Document Format (PDF): An open standard file format used for representing documents in a device-independent and display resolution-independent fixed layout document format.

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) accessible 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 Submittal Exchange® for information only.

1.06 ADMINISTRATIVE REQUIREMENTS

A. Participate in the OGS's hosted web-based collaboration service (Submittal Exchange® at www.submittalexchange.com) to transmit and track Contractor provided project related documents.

B. Identify 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.

C. 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.

D. 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.

E. 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 instructions for partial submittals are required in a specific specification section requiring sequential submissions.
3. Submit action submittals and informational submittals required by the same specification section as separate packages under separate transmittals.
4. Coordinate transmittals of different types of submittals for related parts of the Work so processing will not be delayed because of need to review submittals concurrently for coordination.
    a. The Director's Representative reserves the right to withhold action on a submittal requiring coordination with other submittals until related submittals are received.

F. Processing Time: Allow time for submittal review, including time for resubmittals, as follows. Time for review shall commence on uploading the submittal to Submittal Exchange®. No extension of the project schedule will be authorized because of failure to transmit submittals enough in advance of the Work to permit processing, including resubmittals.
1. Initial Review: Allow time for the initial review of each submittal. Allow additional time if coordination with subsequent submittals is required. The Designer of Record will advise the Director's Representative when a submittal being processed must be delayed for coordination.
2. Resubmittal Review: Allow time for review of each resubmittal.
3. Sequential Review: Where sequential review of submittals by the project team is necessary for coordination, allow time for review.

1.07 SUBMITTALS

A. Schedule of Submittals acknowledgement: Provide written acknowledgement that the Schedule of Submittals has been received and reviewed with Critical Submittals identified and Contractor's Projected Dates (three dates inserted into each column) are entered for each specification item.

1.08 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 a Submittal or Submittal Package submission that was returned for failure to comply with the submittal requirements relative to completeness, content or format.

1.09 ELECTRONIC SUBMITTALS

A. Submittal Exchange® is used to provide an on-line database and repository which shall be used to transmit and track project related documents. The intent for using this service 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 PDF to Submittal Exchange®, where it will be tracked and stored for retrieval for review. After the submittal is reviewed it is uploaded back to Submittal Exchange® 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 submittals in PDF. The Contractor may use the following options:
1. Subcontractors and suppliers provide electronic submittals in PDF to the Contractor through Submittal Exchange®.
2. Subcontractors and suppliers provide paper submittals to the Contractor, who electronically scans and converts them to PDF.
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. It will be the Contractor's responsibility to transmit the scanned submittals to Submittal Exchange®.

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 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. Submittal web-based collaboration training and support shall be available, free of charge from Submittal Exchange®, for project participants using the submittals website.

2. Training schedule will be coordinated through the Director's Representative.

G. Paper prints (hardcopies) of reviewed submittals:

1. Record Copy: Each Contractor shall provide one paper copy of each submittal they are responsible for to the Director's Representative within 14 days of receipt of a released submittal (i.e. marked "Approved", "Approved As Noted", or other implied acceptance of a submittal), or meeting the requirements of Waiver Of Certain Submittal Requirements Article of this specification section.
   a. Exception: Paper copies are not required for a submittal that is disapproved or requiring resubmission.
   b. Paper copies shall be printed in a size format equal to the original document.
   c. Scaled Shop Drawings shall be printed to the scale noted on the drawings.
   d. The resolution of the printed copy shall be equal to that of the PDF file that it is being printed from.
   e. 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 under Section 017716 Contract Closeout.
2. Use for Construction: Retain complete copies of submittals on project site. The Contractor shall not commence work for related activities until the appropriate submittals are approved and the corresponding record copies are delivered to the Director's Representative.
3. Distribution: The Contractor will furnish copies of final submittals to manufacturers, subcontractors, suppliers, fabricators, installers, authorities having jurisdiction, and others as necessary for performance of construction activities. Maintain transmittal forms indicating distribution of submittals.

1.10 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. Electronic copies of CAD Drawings of the Contract Drawings will not be provided by the Director's Representative for Contractor's use in preparing submittals.

C. 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.

D. Submit the shop drawings through Submittal Exchange®. The shop drawings will be reviewed and the review results will be posted on Submittal Exchange®. 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.

1.11 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 Submittal Exchange®. The product data will be reviewed and the review results will be posted on Submittal Exchange®. 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.

C. Comply with applicable federal and State of New York Right-to-Know Law provisions. Provide Safety Data Sheets (SDS) documents for products that have SDS data prior to use on the project site.
   1. Upload and maintain electronic SDS documents on the Submittal Exchange® SDS tab.
   2. SDS tab is organized by prime contracts. To be readily identified, name products with SDS by specification section number and product name.
   3. Supply and maintain one hard copy of the appropriate SDS on the project site and one hard copy with the Facility’s Right-to-Know Information Officer.

1.12 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 Submittal Exchange®. The quality assurance information will be reviewed and the review results will be

posted on Submittal Exchange®. 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.

1.13 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 Submittal Exchange®.

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 Submittal Exchange®. Contractor will receive email notice of completed review.

1.14 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:
   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:
   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:
   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:
   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.

1.15 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 (S.O.S.):
      a. Follow the Instructions to the Contractor in the S.O.S (cover page of the Microsoft Excel form supplied by the State).
      b. Confirm submittal items listed and indicate in the spaces following each item, the date the item will be submitted (Projected Transmittal Date).
      c. Confirm critical submittals and long lead items identified by the Architect / Engineer. Identify and mark with “X” additional submittals deemed as critical or having long lead times. In addition to the date each item will be submitted, include the date approval is required (allow at least 3 weeks), and the date delivery of the material or equipment is necessary for timely completion of the Work in accordance with the Project Schedule.
      d. Notify the Director’s Representative of modifications and/or additional submittals necessary for the project prior to requesting revisions with Submittal Exchange®.
   2. SUBMITTALS WEBSITE LOG:
      a. The submittal website log will be populated by Submittal Exchange® by means of the S.O.S.
      b. Review the log and verify that all long lead items and critical submittals are properly indicated according to the latest version of the S.O.S. For each item to be submitted indicate the following:
         i. In the “Date Expected” column insert the date the item will be submitted for review and approval (this is the same date as the S.O.S “Projected Transmittal Date”).
         ii. In the “Date Requested on Site” column insert the date the item will be delivered to the project site (this is the same date as the S.O.S “Projected Delivery Date”).
      c. 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.

1.16 TRANSMITTALS

A. Submittal Transmittal (Form BDC 42) accessible from the OGS Web Site:
   1. Furnish separate Form BDC 42 for each submitted item sent to Submittal Exchange® 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 Submittal Exchange®.

PART 2 PRODUCTS (Not Used)

PART 3 EXECUTION (Not Used)

END OF SECTION