

Chapter 4 – Submission Phase Guidelines

4.4 CONTRACT DOCUMENT PHASE

4.4.2 100% SUBMISSION PHASE

*What is the **PURPOSE** of the 100% Submission?*

The 100% Submission is a complete, coordinated set of contract documents with a cost estimate to be reviewed by the Client and OGS to verify that the submission meets the intent of the project and to comment on constructability, field conditions and any design errors and omissions. The 100% Submission forms the foundation for advancing the project out to bid by receiving Client approval and authorization to bid.

*What is the 100% Submission **STRUCTURE**?*

The OGS Business Unit and PM submit 100% Submission documents to the Client and to the Division of Construction's Pre-Construction Services Unit (PSU) for a constructability review. The PSU distributes two sets of the documents to the OGS Field Staff to perform a field check review and one set to the Regional Supervisor.

Best Practice Recommendation: For larger and more complex projects the PM should coordinate an on-site review meeting with the OGS Engineer-In-Charge (EIC). This meeting should also include the Client, facility staff, and the Consultant/Designers.

Best Practice Recommendation: Incomplete submissions should not be reviewed. Submissions with a large number of review comments may require a back check with resubmitted documents. When this occurs, Consultant/Designers will be required to resubmit all required hard copy sets at their expense unless an electronic set is acceptable by the PM, review team and Client. The PM shall provide a consultant evaluation noting unsatisfactory performance.

*What are the 100% Submission **FEATURES**?*

The 100% Submission is comprised of project manuals, drawings, estimates, checklists, code compliance form, special inspection forms, hazmat information, SOS and transmittal forms.

Consultant/Designer RESPONSIBILITIES

C1 Responses to Review Comments (Interim Submissions if any)

C1.1 The Consultant/Designer shall review comments made from last phase (interim submissions as applicable), respond to all review comments, and forward all responses to the PM. Most often, comments will be generated using [BDC 35.3 - Document Review Form](#). Incorporate comments into the construction documents. Discuss questionable comments and comments creating scope change with the PM.

Comments may be generated by the following sources:

- a. Client
- b. OGS Team Leader (TL)
- c. OGS Project Manager (PM)
- d. Design Reviewers
- e. Division of Construction
- f. Construction Manager (may be on-board for larger projects)

C2 Drawings

C2.1 Refer to the DPM Chapter 5 Technical Documents which includes Chapter 5.1 General Information and [Chapter 5.3 Project Drawings](#)

C2.2 Drawings must be complete and include all required information for a contractor to perform a bid take-off. Project scope must be clearly shown or indicated.

- a. OGS Title Sheet for large projects (may be omitted for small projects).
- b. OGS Border Sheet for all other drawings. Refer to the CADD requirements in Chapter 5.3.
- c. NYS Building Code and Energy Code compliance information per the instructions in the DPM Chapter 9.9 Codes Guide.
- d. Mark all drawing title blocks with "100% Submission." with the submission date.
- e. Drawings do not require a licensed Designer's professional stamp for this submission.

C2.3 Submit all electronic drawings in the following formats:

- a. Portable Document Format (pdf). The CAD documents shall be combined into a single electronic document in the same order as the submitted paper document. Organize by trade discipline and provide bookmarks for each drawing number and title.
- b. AutoCAD, current version when requested by the PM.
 - i. Every drawing sheet shall have its own separate electronic drawing file. Make sure to include all reference and resource files necessary for the plotted drawing to be reproduced.
 - ii. Drawing number and title description according to the sheet title and drawing index. Do not include other information such as initials, dates, etc. in the naming convention

C2.4 Provide hard copies as indicated in the Distribution List.

C3 Project Manual

- C3.1** Refer to the DPM Chapter 5 Technical Documents which includes Chapter 5.1 General Information and Chapter 5.2 Project Manuals
- C3.2** The Project Manual shall be complete and include all required information as if ready for a contractor to perform a detailed bid take-off. Project scope must be clearly indicated.
- a.** Edit Divisions 00 and 01 using track changes to be reviewed and approved by the PM. Include Division of Construction staff and/or the client's input to specification edits prior to the submission.
 - b.** Document 000101 Title Page (Cover) - marked "100% Submission Copy". Do not use track changes for these documents.
 - c.** Document 000105 Certification Page(s) – do not require a licensed Designer's professional stamp for this submission.
 - d.** Document 000110 Table of Contents - list ALL sections that will be included by the Consultant/Designer and by OGS in the Final Submission including Bidding Requirements, Contracting Requirements, and Appendix documents. Coordinate with the PM.
 - e.** Edit 013300 Submittals (use track changes).
 - f.** Complete set of fully edited technical sections (Divisions 01 thru 48).
 - g.** Coordinate the Project Manual Table of Contents with the OGS Master Specifications numbering and titles to ensure compatibility between project specifications and Electronic Contractor's Payments (ECP) database. The Consultant/Designer and PM shall align specification numbering and titles with our Master Specifications. Rarely, there is justification for adding a specification section that has no resemblance to our Master Specs. This allowance needs to be evaluated within each Business Unit. For consistency, new specification titles and numbers shall match AIA Master Format. Contact the Specification Manager if you have questions.
 - h.** Edited Documents for 003132 Geotechnical Data and 003126 Existing Hazardous Materials Information (when they are applicable).
 - i.** Documents NOT required in this submission include the following:
 - i.** Bidding Requirements - Advertisement, Instructions to Bidders, Supplementary Instructions to Bidders, Bid Form, Form of Bid Bond, Instructions for Completing DCA-3, Contractors Builders Risk Comparison
 - ii.** Contracting Requirements – General Conditions and Supplementary Conditions
 - iii.** Appendix Documents with the exception of the following:
 - 406.1 Statement of Special Inspections (when applicable – see Section 1700 Structural Tests and Special Inspections of the NYS Building Code for requirements). See section C6 Code Compliance.
 - Hazardous Materials Results / Report. It is recommended practice to include appendix HAZMAT report so that

reviewers can see and verify the presence and location of hazmat materials.

- C3.3** Consultant/Designers shall submit electronic documents in the following two formats:
- a.** Microsoft Word, current version: All the individual section files in electronic format to the PM. Submit electronic specifications using proper electronic file descriptions and numbering for each specification section according to the Table of Contents. Do not include naming information such as initials and dates. All highlighted yellow text should be deleted from the edited specification.
 - b.** Portable Document Format (pdf): Combine specification sections into a single electronic document in the same order as the Table of Contents and submitted paper documents. The document shall be separated into trade designations. The document shall be tabulated and contain bookmarks for each individual specification section number and title.
- C3.4** Provide hard copies as indicated in the Distribution List.
- C3.5** Include LEED Project Checklist (when applicable).

C4 Schedule of Submittals (SOS)

- C4.1** SOS's are required for all projects unless waived in writing by the Executive Director of Design and Construction.
- C4.2** One of the purposes of the SOS is to ensure that all items required by the work are included in the form. Therefore, the Consultant/Designer shall thoroughly edit the document to reflect the project specifications, add items not listed, and delete items that do not pertain to the project. Consultant/Designers (each trade) shall edit the SOS per their respective specification division and sections. The SOS form and instructions are available on the OGS Web Page under Design & Construction / Consultants: Master Specifications.
- C4.3** SOS's are required by OGS D&C to be used to populate the electronic Submittals Website. Therefore, the accuracy of this document is paramount in order to efficiently run the submittal process.
- C4.4** The Consultant/Designer shall indicate critical submittals using the appropriate SOS column. Critical submittals are those submittals considered vital to the timely progression of the contract schedule and include long lead items. D&C will allow the contractor to be paid for critical submittals after they have been approved. See [Long Lead Items](#) document that can be used as a tool to assist in the identification of critical submittals. The Consultant/Designer will need to contact vendors of materials and products to validate long lead times including submittal development, fabrication and delivery.
- C4.5** The Consultant/Designer shall coordinate with the PM/EIC's approval, which team members shall receive and review specific submittals using the Field (F) and Office (O) designations on the form. The EIC may have field staff resources available to review certain submittals.

C5 Estimate

- C5.1** Work Within Budget: All construction work and the cost estimate prepared by the Consultant shall be within the Maximum Construction Cost unless written direction is provided by the PM/TL.
- C5.2** The Client Agencies use the estimate to request Division of Budget authorization to advertise. Itemized quantities of materials and values based on the construction documents are required. Temporary services, phasing, hazardous materials abatement, alternates, field office trailers, temporary heating days, commissioning, shift work, sole source allowances, and all other known costs must be included in the estimate.
- C5.3** Refer to the DPM [Chapter 6 Cost Control](#).
- C5.4** Design Development Contingencies are reduced.
- C5.5** Estimate Forms:
- OGS in-house Designers shall use [BDC 50 - Request for Estimate](#) when requesting OGS Cost Control to provide the estimate.
 - Consultant/Designers shall use [BDC 178 - Consultant Estimate Forms](#). Provide this form in both Excel and PDF format. OGS Cost Control will review the consultant's estimate and prepare BDC 35.3 Document Review / Response Form at the PM's request.

C6 Code Compliance

- C6.1** [BDC 402.10 - Code Compliance Review Checklist](#) edited document.
- C6.2** [BDC 406 – Summary of Special Inspections](#) edited for all projects.
- C6.3** [BDC 406.1 Statement of Special Inspections](#) edited document when required by BDC 406.

C7 Construction Duration / Project Schedule

- C7.1** Provide input to the construction schedule that addresses long lead items, restricted work periods, restricted site access / work crews, phasing, work milestones, contractor work hours, construction duration, etc.
- C7.2** Be prepared to provide input and participate in a Project Construction Duration meeting with the Project Team which may include the following members: OGS PM, OGS Project Scheduler, OGS PM, OGS BUL, OGS TL, OGS Regional Supervisor, OGS Area Supervisor, OGS EIC, Construction Manager, Client Agency Facility Planner, and Facility Staff to review, discuss, and validate an agreed upon Project Construction Duration (reference the 011000 Summary Of The Work - Paragraph 1.04) with consideration given regarding the following:
- Reasonable and attainable Project Schedule
 - Project duration meets the needs of the Client Agency and facility; D&C maximum contract duration and fits within the Client's budget
 - Phasing and construction sequencing (project milestones)
 - Facility security coverage
 - Critical submittals
 - Key milestones

- g. Contractor work area(s) accessibility (occupied facilities, special events / activities – restricted work period, etc.)
- h. Contractor hours of work (regular, overtime, shift work, off-hours, etc.)
- i. Contractor manpower (allowable number of work crews)
- j. Seasonal impacts (geographical location, restricted work period, etc.)
- k. Temporary services (heat, power, water, security, communications, etc.)
- l. Long lead items (equipment, specialties, custom ancillaries, etc.)
- m. Infrastructure outages / disrupted services (utilities, access roads, security, communication, life safety, etc.)
- n. Utility company impact (NYSEG, Con Edison, National Grid, Verizon, AT&T, local municipalities, etc.)
- o. Environmental protection permits obtained from DEC, DOT, fire department, etc. (examples: watershed and wetlands)
- p. Commissioning

C8 Quality Review Certification

- C8.1 OGS requires a Quality Review Certification letter from Consultants that confirms they and their sub-consultants have complied with their firms QA/QC standards and process. Upon submission of the 100% Submission Phase, the Consultant/Designer shall certify to OGS, in writing on the Consultant's letterhead, that all Construction Documents have been thoroughly checked for constructability, for accuracy, for the coordination of all their parts and details, for conformity to all program requirements, and for conformity to all applicable laws, codes, and regulations. Where a sub-consultant firm has provided a portion of the work, the prime consultant shall obtain a similar certification letter from the sub consultant to be forwarded to OGS together with the prime consultant's certification letter. These certification letters shall be signed by a Principal of the firm and accompany the 100% Submission.
- C8.2 Ensure that the documents are in conformity with the DPM.
- C8.3 File this form in the 100Pct file folder (projects initiated after August 2015).

C9 Energy Efficiency (EO88) and Sustainable Design

- C9.1 See Chapter [9.5 Energy Efficiency \(EO88\) Sustainable Design](#).
- C9.2 Complete [LEED Project Checklist](#) (when applicable) or [Green Design Table for Small Projects](#).

C10 Agency Specific Standards and Requirements

- C10.1 Comply with DPM Chapter 9.7 Agency Specific Standards and Requirements. When necessary, discuss agency standards and compliance with the PM.

C11 Wicks Law

- C11.1** Comply with the Wicks Law. See DPM Chapter 9.3 Multiple Prime Contracts Guide. Discuss with the PM whether this project is a good candidate for Wicks Exemption.

C12 SWPPP (when applicable)

- C12.1** Prepare the SWPPP Construction and Maintenance Manual. Complete the Notice of Intent (NOI) and forward to the PM. See Chapter 9.11.2 SWPPP.

C13 Specific Allowance Justification Memo (when applicable)

- C13.1** The value of specific allowances is determined prior to bid between the vendor /manufacturer or the sub-contractor to perform the work and with the Consultant/Designer. It includes specific work that is spelled out in the contract documents. Specific allowances are a fixed amount of money included in the bid amount for specific reasons. Specific allowances remove a portion of the bid amount and should not be used without substantial justification.
- C13.2** Complete justification memos when specific allowances are required. The PM/TL will approve specific allowance requests prior to sending to CADM and OSC.
- C13.3** See Chapter 5.2 Project Manual 012100 Allowances for more information and samples of single source specific allowance justifications. Examples of specific allowances include fire alarms, switchgear programming, building management systems, utility work, etc.

C14 Quality in Construction

- C14.1 Mock-ups:** Determine if mock-ups and reviews should be provided for the project. Discuss mock-ups with the PM. Determine if mock-ups can be contained within a particular specification section and/or the mock-up can be a combination of specification sections such as a wall section that includes masonry, stud back-up, window unit, foundation pad and roofing components. This would require a stand-alone mock-up specification section. Mockups include the preparation, review of, and appropriate action of a sample of the work, outside normal sequence of installation that may combine several different trades and are completed, reviewed and approved before actual work begins. The work is performed by persons qualified to produce workmanship of the specified quality with approved materials. Mockups enable project personnel to catch mistakes before the first work is put in place. Mockups obtain early client and A/E approval of aesthetics, function, workmanship, materials and means & methods. The mock-up will be used to establish the standard of quality and performance by which the work will be judged. Best Practice: Use the BDC 384 Mock-up Inspections form when conducting the review.

- C14.2 Benchmarks:** Determine if benchmarks should be provided for the project. Discuss benchmarks with the PM and EIC. Benchmarks review the first of each work type, in the planned sequence of construction, designated by the Director's Representative to be reviewed and documented against the requirements, and is the base for judging that a Prime Contractor has met the project requirements. Once the work is approved at each benchmark, it will be the standard for this work through its completion. Best Practice: Use the BDC 381 Benchmark Inspections form when conducting the review.
- C14.3 Pre-installation Meetings:** Determine where pre-installation meetings will be required for the project. Discuss meetings with the PM and EIC. Pre-installation meetings are held prior to the start of actual work, for work requiring special coordination effort between Prime contractors and sub-contractors to understand how the work is to be performed, the sequence of work between Primes, and a review of special requirements of the work. Discussion items include: contract requirements; scope change; execution; deliveries; submittals; mockups; samples; schedules; weather limitations; manufacturers recommendations; compatibility of materials; quality assurance; temporary facilities and controls; space and access limitations; testing and inspection; protection of construction; personnel; safety; etc.

OGS Project Manager RESPONSIBILITIES

P1 Review Comments (Interim Submissions if any)

- P1.1** Coordinate all review comments received and forward them to the appropriate Consultant/Designers. The PM and Consultant/Designer shall review comments and determine whether comments are appropriate for incorporation into the 100% Submission documents.
- P1.2** Ensure that Consultant/Designer responses to all comments are received.
- P1.3** Forward responses to Clients comments when they are provided.
- P1.4** File the Consultant/Designer responses in the 39_ReviewComments / Interim folder.

P2 Drawings

- P2.1** Ensure that all electronic drawings (.pdf format) are received in the proper format and filed in the 100% Submission folder.

P3 Project Manual

- P3.1** Edit Division 00 and 01 sections or review Divisions 00 and 01 edited documents provided by the Consultant/Designer. The Consultant/Designer should be using track changes. Include Division of Construction staff and/or the client's input to specification edits prior to the submission.
- P3.2** Ensure that all electronic specifications (Word and .pdf format) are received in the proper format and filed in the 100% Submission folder.

- P3.3** Ensure Document 000110 Table of Contents - lists ALL sections that will be included in the Final Submission including Bidding Requirements, Contracting Requirements and Appendix documents
- P3.4** Ensure that BDC 406.1 Statement of Special Inspections (when required by BDC 406) are edited and included in the Project Manual Appendix.
- P3.5** Ensure that the specification numbering and titles align with the ECP System. This system streamlines the process of construction contractor payments, to reduce errors and to reduce the level of effort required by EIC's and OGS CADM. The ECP System shall be used for standard lump-sum 40,000 series, Q and M projects.
- P3.6** Ensure 013300 Submittals article 1.14 Review of Submittals actions/dispositions listed are used by the Consultant and sub-consultant team.

P4 Schedule of Submittals (SOS)

- P4.1** Ensure that the SOS has been properly edited and completed by the Consultant/Designers. Ensure that critical submittals and long lead items have been identified and marked accordingly on the SOS.
- P4.2** The PM/EIC shall review the SOS process prior to the award of contracts at the Design / Construction Pre-Construction Meeting.
- P4.3** The PM/TL will confirm critical submittals identified by the Consultant/Designer which will be incorporated into the contractor's approved detailed estimate. The PM or TL should discuss critical submittals with the EIC and contractor to ensure that the focus is on selecting submittals that will progress the work. The PM or TL should bring the critical submittals to the attention of Cost Control for inclusion in the detailed estimate. Critical submittals are those submittals considered vital to the timely progression of the contract schedule and include long lead items. D&C will allow the contractor to be paid for critical submittals after they have been approved.
- P4.4** Best Practice: Email the SOS(s) links to the EIC and the Area Supervisor.

P5 Estimate

- P5.1** Ensure all construction work and the cost estimate prepared by the Consultant is within the established Maximum Construction Cost unless written direction is provided otherwise by the PM/TL.
- P5.2** Check that the estimate includes the entire project scope and all contingency allowances.
- P5.3** Prior to sending to the Business Unit administration staff for processing and distribution of the submission, ensure that the Consultant has submitted the BDC 178 - Consultant Estimate Forms in Excel format for OGS Cost Control's review.

P6 Code Compliance

- P6.1** See DPM Chapter 9.9 Codes Guide for submission requirements.

P6.2 [BDC 402.10 - Code Compliance Review Checklist](#)

Ensure that it is submitted, complete for the project scope and reviewed.

- P6.3** Ensure that the BDC 406 Summary of Special Inspections and BDC 406.1 Statement of Special Inspections (when required by BDC 406) is properly edited and reviewed.

P7 Construction Duration / Project Schedule

- P7.1** Provide input to the construction schedule that addresses long lead items, restricted work periods, restricted site access / work crews, phasing, work milestones, contractor work hours, etc.
- P7.2** Consult with the Scheduling Unit and the AS/RS to determine the type of schedule specifications (013200 or 013113) that will be used for the project.
- P7.3** Ensure that the Project Construction Duration has input and buy-in by the Project Team prior to going out to bid. The best time for the meeting is after review comments have responses and when the CADM date can be predicted (no re-submissions or project delays anticipated). The PM shall coordinate a scheduling meeting with the Scheduling Unit and Project Team. The Scheduling Unit will facilitate the scheduling session. This invaluable planning tool and exercise will assist in establishing key milestones while reducing the State's exposure and set the stage for a successful deliverable and to defend or assert claims and damages.

P8 Quality Review Certification

- P8.1** Ensure that Consultant's and sub-consultant's QA/QC letters are submitted and are signed by the Principals of each firm. File letters in the 100% Submission folder.

P9 Energy Efficiency (EO88) Green Design

- P9.1** Ensure compliance with Chapter [9.5 Energy Efficiency \(EO88\) Sustainable Design](#).
- P9.2** Ensure that the [LEED Project Checklist](#) (when applicable) or [Green Design Table for Small Projects](#) has been completed.
- P9.3** Ensure that LEED Checklist is included in the Project Manual.

P10 Agency Specific Standards and Requirements

- P10.1** See DPM Chapter 9.7 Agency Specific Standards and Requirements Discuss agency standards and compliance with the Consultant/Designer.
- P10.2** Ensure all client requirements have been met and the project is in compliance with agency standards.
- P10.3** BDC 188 – Operating Impact Statement (DOCCS projects - when applicable) Ensure that BDC 188 is included when energy or water usage is impacted.

P11 Wicks Exemption

- P11.1** Determine if the project is a good candidate for Wicks exemption. See Chapter 9.3 Multiple Prime Contracts Guide for limitations.

P12 Storm Water Pollution Prevention Plan - SWPPP (when applicable)

- P12.1** Obtain the client's signature on the NOI and transmit the signed NOI to DEC. Insert a copy of the completed NOI and the DEC Acknowledgement Letter into the SWPPP Construction and Maintenance Manual. See Chapter 9.11.2 SWPPP for more information.

P13 Allowance Justification Memo (when applicable)

- P13.1** PM shall receive specific allowance cost and justifications from the Consultant/Designer and seek approval from OSC via CADM.

P14 Project Manager's QA/QC Tasks

- P14.1** Ensure that the project and construction documents are complete and satisfy the Client's scope.
- P14.2** Ensure that the documents are reviewed for code compliance and technical accuracy.
- P14.3** Ensure that project special requirements such as subsurface investigation, hazardous materials, codes and standards, EO88, environmental assessments and permits, commissioning, etc. are addressed.
- P14.4** Ensure that the documents are in conformity with the DPM.
- P14.5** Ensure that all Consultant/Designer responsibilities are satisfied.
- P14.6** Review unique or critical work with the EIC. Refer to Part 8 of the *BDC 324 Pre-Award Interview for Low Bidder.*

P15 BDC 35 100% Document Submission Transmittal

- P15.1** Ensure that the 100% Submission package is complete. Coordinate with Business Unit Administration. Complete BDC 35 form.

P16 Request for Approval Letter

- P16.1** Establish the anticipated construction phase project soft cost with the Regional Supervisor and Team Leader to be included in the form letter. Consideration should be given to the following variables:
- a.** Testing / Inspection: soil compaction, steel, concrete, asbestos (air samplings, project monitor), commissioning, SWPP, etc.
 - b.** Construction Management: administration and inspection of the construction contracts by OGS staff, task assignments or Construction Managers (number of CM staff x daily rate per person x construction duration in work days).

- c. Contract Administration: fees charged by OGS for CADM.
- d. Permit Fees.
- e. Design Support: fees for designers to perform construction phase services (submittal review, RFIs, IBs, meetings, site visits). If work Orders were previously established and funded by the client, they don't need to be included.
- f. The Division of Cost Management or the BUL is available to provide guidance.

P16.2 Copy those listed on the Distribution List.

P17 New Building Numbers

P17.1 Ensure that new buildings have a building number and this number is included in the project title (OGS Site Group provides building numbers).

P18 Consultant Evaluation

P18.1 Complete the required Consultant Evaluation in DCNet for this phase.

P19 Project Scope

P19.1 Ensure that the project title and scope are correct and coordinated in DCNet.

P19.2 The PM shall update DCNet project scope using language directed to the contractor community. The PM shall ensure all Clients' defined project scope has been included.

P20 Construction Acceleration Incentive - CAI (when applicable)

P20.1 Complete BDC 40 Construction Acceleration Incentive Approval. Need BUL, Cost Control and Director of Construction input and approvals. File completed form in the Estimate folder (projects initiated prior to August 2015) or in the 37_Estimates folder (projects initiated after August 2015).

P20.2 Include 007305 Supplementary Conditions – Construction Acceleration / Liquidated Damages and related backup material.

P20.3 Include CAI information in the Advertisement for Bids.

P21 MWBE Goals

P21.1 The PM shall discuss MWBE standard participation goals with the TL and Area Supervisor. When goals appear to be unachievable discuss with Cost Management.

P22 OGS Field Office

P22.1 Discuss whether a field trailer and/or equipment is required by Division of Construction.

P23 Distribution of the 100% Submission

P23.1 The PM will coordinate distribution with the BU Administration staff.

Business Unit Administration RESPONSIBILITIES
100% SUBMISSION DISTRIBUTION LIST

Item	Recipients					
	Client	DOC (Steyer)	OPC (Dyer)	Cost Control (Belden)	BUL / TL / PM	
Request for Approval Letter (E = signed & scanned)	H original	H 4 copies	E	E	E	bundled (pdf) *
Estimate (BDC 178 or BDC 177 In-house)	H	H 4 copies	E	E	E	
BDC 35 Transmittal Form		H 4 copies	E	E	E	
QA/QC Letter (consultant projects)			E	E	E	
LEED Checklist (when applicable)	H	H 4 copies	E	E	E	
100% Documents (drawings and specs) (reproduction of specs- Administration staff will coordinate with OGS print room for copies)	H 3 copies ^{1 2}	H 4 copies			H # copies ³	
BDC 402.1 Code Compliance Review Checklist		H 4 copies				
Special Inspections (BDC 406 all projects and BDC 406.1 when required by BDC 406)		H 4 copies				
Client Survey Card (BDC 54)	E					

E = electronic / H = hard copy

Exceptions: footnote ¹ - OGS requires 6 client copies

footnote ² - DOCCS projects require 4 client copies

footnote ³ - PM determines number of copies for trades distribution

and other members of the design team as deemed appropriate

BU 1, 3, 4 & 5 Administration Staff (Harrington; Volpi; Piazza; and Johnson):

1. Process and distribute the 100% Submission per the Distribution List.
2. Mail hard copies to client.
3. Contact R. Sheridan for distribution of hard copies to the field staff.
4. * Bundles documents in pdf and sends via email to OPC.
5. Confirms or files documents in the 100% Submission folder.
6. Checks and Balances:
 - a. Review and compare the number of construction days on the Request for Approval Letter, Specification 011000, BDC 35 and DCNet. Reviews with the TL if there are discrepancies.
 - b. Compare the total estimate amount on the BDC 177 with Request for Approval Letter, Specification 011000, BDC 35 and DCNet. Reviews with the TL if there are discrepancies.
 - c. Ensure drawings and project manuals are marked 100% Submission.
 - d. Ensure that the Consultant's QA/QC Letter is properly filed in the ConsultantContract project folder.

Office of Project Control (Dyer):

1. Files electronic documents (bundled pdf's) in the RecordCorrespondence folder.

Division of Construction (Clark):

1. Prepares hard copies for mail to field staff (EIC) and the constructability group. Copies are also sent to the Regional Supervisor.

What are the **COMMON ERRORS?**

1. Incomplete projects are submitted at the 100% Submission Phase.
2. Project Manuals and individual specification sections are not edited to match the specific work of the project.
3. Product terms used in the Specifications are different than the product terms used on the Drawings.
4. Division 01 common documents are incorrectly applied across all trades (C, H, P & E).
5. Project Manuals and Drawings are not separated by trade (C, H, P & E) per Wicks Law requirements. See DPM Chapter [9.3 Multiple Prime Contracts Guide](#) .
6. CADD backgrounds and/or border sheets are not coordinated per each prime contract (C, H, P & E).
7. Estimate requests are not done prior to 100% Submission and result in project schedule delays. Estimate is not in the OGS format.
8. The project title on the Drawings and Project Manual do not agree with the project title in the OGS DCNet database. The project scope in DCNet does not reflect the final scope of the project. Projects with new buildings require a building number to be included in the project title. The PM needs to coordinate these items.

9. Allowance justifications (when applicable) have not been finalized and forwarded to OSC for approval.
10. Consultant/Designer firm did not review the submission to their QA/QC standards.

What **TOOLS & RESOURCES** are available to me?

1. **Architectural Document Checklist**
2. **Structural Document Checklist** (reserved)
3. **Site Document Checklist** (reserved)
4. **Mechanical Document Checklist** (reserved)
5. **Electrical Document Checklist** (reserved)
6. **Document Checklist** (reserved)
7. [OGS Master Specifications](#) and [Table of Contents](#) with phantom notes
8. [Agency Specific Standards and Requirements](#)
9. Equipment Vendors / Manufacturers' Representatives
10. DPM Chapter 9.8 [Hazardous Materials Guide](#)
11. DPM Chapter 9.15 [Geotechnical Guide](#)
12. DPM Chapter 9.6 [State Records and Documentation Guide](#) OGS possesses various forms of information on many of the existing State facilities and properties.
13. **RESCheck** and **COMCheck** (when applicable)

What happens **NEXT**?

Submitting the 100% Submission documents to the Client is a stopping point for the Design.

Once submitted to the Client, the development of Final Documents is not pursued until the Client's approval letter and authorization to advertise are received. OPC forwards this documentation to the TL. The Client approval letter may indicate additional requirements, changes or modifications that will need to be addressed by the Consultant/Designer.

When applicable, the SEQR, DEC, and/or APA approval process should continue.

The Consultant/Designer shall be prepared to respond to comments [BDC 35.3 - Document Review Form](#) using the response portion of the form. Comments may be generated by the following:

- Client
- OGS Team Leader
- OGS Project Manager
- Design Reviewers
- Division of Construction
 - Pre-Construction Services Unit
 - Field staff (field check) [BDC 35.2 Field Check Review / Response Form](#)

Occasionally, OGS D&C may require larger, more complex, or high profile projects to include a Special Notice included in [The Empire Builder](#) on the OGS Web. The Special Notice should



be issued prior to the bidding phase to assist in marketing the project. The notice provides detailed project information that needs to be coordinated and approved by CADM. The PM should verify with the TL if a Special Notice is recommended. The [Special Notice Sample](#) link provides the Consultant/Designer with an example of a notice and its contents. OPC requests Prevailing Wage Rates from the Department of Labor.

Revision History:

Rev	Date	Description	Reviewed by:	Approved by:
0	05/08/13	Last revised date		
1	06/01/13	Clarified the 406 and 406.1 and added Revision History	Parnett	Larkin
2	08/05/13	Clarified Consultant/Designer and PM responsibilities. SOS's required for all projects.	Parnett	Dostie
3	09/04/13	Minor revisions	Parnett	Parnett
4	01/13/14	Schedule revisions	Parnett	Parnett
5	03/13/14	Revised Distribution List and Estimate requirements	Parnett	Parnett
6	05/9/14	Revised P21.1	Parnett	Parnett
7	07/8/14	Minor Revisions	Campas	Parnett
8	08/20/14	Added clarification for 013300 specification explanation	Parnett	Parnett
9	01/21/15	Revised P8.1	Parnett	Parnett
10	02/10/15	Added C7.2 and P7.3 Construction Schedule Duration meeting	Parnett	Parnett
11	04/08/15	Added P16.1 Project Soft Cost Projection. Added C5.1 MCC. Clarified C4.4 and P7.3	Parnett	Parnett
12	04/13/15	Item C3.3 revised "hidden text" vs "yellow highlighted text"	Parnett	Parnett
13	5/27/15	Modified item C3.2b	Parnett	Parnett
14	06/11/15	Modified C3.2a and P3.1	Parnett	Parnett
15	06/24/15	Clarified C3.3b	Parnett	Parnett
16	7/2/15	Clarification on number of sets of documents in paragraph two on page 1.	Parnett	Parnett
17	8/3/15	Distribution copies of paperwork to DOC	Parnett	BULs
18	8/6/15	Page 14 Changed BU5 to 2 and Clark to Steyer	Parnett	Parnett
19	9/3/15	Minor revisions to item C7.2	Parnett	Parnett
20	10/16/15	Minor Changes	Parnett	Parnett
21	12/04/15	Minor revision to C3.2 e	Parnett	Parnett