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**Standard Operating Procedure**  
**for**  
**Facility Modification Requests**

**REVISION**

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2	DCN3656	Update email addresses	June 2024	H. Fariello	H. Fariello

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# 1 PURPOSE AND SCOPE

The purpose of this document is to detail the method of identifying whether a project involving a modification (e.g. alteration, construction or demolition) requires a Design Review / Final Inspection Checklist process or a Construction Permit process.

Section 381 of the Executive Law directs the Secretary of State to promulgate rules and regulations prescribing minimum standards for administration and enforcement of the New York State Uniform Fire Prevention and Building Code (Uniform Code). Section 1201.2(d) of this Title provides that the State shall be accountable for administration and enforcement of the Uniform Code with respect to buildings, premises, and equipment in the custody of, or activities related thereto undertaken by, a State agency.

All projects at the Albany Nanotech Complex (ANC) must be designed and implemented in a manner consistent with applicable codes, regulations and sound engineering practices and meet the standards outlined in the New York State Uniform Fire Prevention and Building Code (Uniform Code).

This process does not apply to:

- Renovations resulting from equipment installations or moves. The New Equipment, Equipment Modification or Change Procedure (EHS-16) and the Equipment Safety Sign-Off Process (EHS-00017) should be used in this case
- Small routine office moves where cubicles are switched

# 2 DEFINITIONS AND ACRONYMS

2.1 **Albany Nanotech Complex (ANC)** – The campus / buildings and grounds on Fuller Road in Albany, NY that house the partners, programs, cleanrooms, labs, classrooms, offices and other spaces of New York Center for Research Economic Advancement, Technology Engineering and Science (NY CREATES). Also, referred to as “Site”.

2.2 **Alteration** – Any change, new construction, demolition or installation of equipment not tool related (see **EHS-00017 – Equipment Commissioning Procedure**). Alterations do not have to be regulatory driven.

2.3 **Construction Permit** – Document required allow a person or entity to construct or modify a building Refer to **FEI-0025-F3**.

- 2.4 **Facility Design Review / Final Inspection Checklist** – Document required to allow a person or entity to construct or modify a building without a full Construction Permit Refer to **FEI-0025-F1 and FEI-0025-F2**.
- 2.5 **FEG** – Facilities Engineering Group
- 2.6 **Modification** – Capital improvement to meet operational changes or upgrades in response to regulatory requirements. Modifications do not include capacity expansion.
- 2.7 **RDP** – New York State (NYS) Registered Design Professional
- 2.8 **State Environmental Quality Review Act (SEQRA)** – Regulation (6 NYCRR 617) that provides a comprehensive assessment of proposed actions in order to mitigate significant adverse environmental impacts at the same time meeting the social and economic needs of a community
- 2.9 **Stormwater Notice of Intent and Stormwater Pollution Prevention Plan (NOI / SWPPP)** – The notice of intent is a request for coverage under the State Pollutant Discharge Elimination System (SPDES) General Permit for Stormwater Discharges from Construction Activities. The SWPPP is a site-specific document that details how the site will manage stormwater runoff.

### 3 RESPONSIBILITIES

#### 3.1 Contractor

The Contractor is responsible for completing **CFM-00004 – Obtaining Work Authorization Permits** process.

When a Construction Permit is required, the Contractor, in conjunction with a RDP, will submit a Construction Permit Application to the Site's Department of Code Administration.

#### 3.2 NY CREATES Environmental, Health and Safety (EHS)

EHS approves the modification / alteration once all environmental, health and safety issues have been addressed.

#### 3.3 Facilities Engineer(s)

Facilities Engineers are responsible for reviewing drawings to ensure plans meet facility requirements, and completing all punch list items derived from the design review and final inspection.

### 3.4 **Facilities Project Manager (PM)**

PM acts as a liaison / facility representative between NY CREATES and the Contractor or tenant performing the work.

### 3.5 **NY CREATES Autocad (CAD) Department**

The Autocad Department is responsible for providing NY CREATES CAD format to any contractor that will be making modifications to the facility.

They are also responsible for reviewing final CAD submissions to ensure they meet the site standards. The NY CREATES CAD Department will upload drawings to the proper folders.

### 3.6 **Project Initiator**

The Project Initiator is responsible for submitting FEI-00021-F1 – Facilities Engineering Project Request Form to [FEG\\_PROJ\\_REQ@ny-creates.org](mailto:FEG_PROJ_REQ@ny-creates.org). Upon authorization, the Project Initiator will submit all drawings and specifications to the assigned FEG Project Manager (PM).

### 3.7 **Safety Engineer**

The Safety Engineer reviews drawings, layouts, plans and designs for the project, approves the project (conditionally), and documents condition.

### 3.8 **Site Department of Code Administration**

This department reviews and confirms submittal completeness and that the necessary requirements have been met for the associated Construction Permit Application. They also issue a Construction Permit and Compliance Certificate, as appropriate.

## **4 ASSOCIATED DOCUMENTS**

4.1 Building Code of New York State

4.2 **CFM-0004** – Work Authorization Permit

4.3 **EHS 00017** – Equipment Safety Sign-Off Process

4.4 **EHS-00031** – TGMS Operation and Maintenance

4.5 **FEI-00021-F1** – FEG Project Request Form

4.6 **FEI-00023** – NY CREATES Vendor Drawing Submission Process Procedure

- 4.7 **FEI-00025-F1** – Design Review Checklist
- 4.8 **FEI-00025-F2** – Final Inspection Checklist
- 4.9 **FEI-00025-F3** – Construction Permit Application
- 4.10 **FEI-00025-F4** – Code Compliance Review Checklist, Part 1 and Part 2
- 4.11 **FEI-00025-F5** – WORKSHEET A - Structural Design
- 4.12 Fire Code of New York State
- 4.13 NFPA 101 National Fire Protection Association Life Safety Code
- 4.14 OSHA Safety and Health Standards (29 CFR 1910) U.S. Department of Labor, Occupational Safety and Health Administration

## 5 **PROCEDURE**

The Facility Modification request involves a cursory review of a project once a Facilities Engineering Project Request Form (**FEI-00021-F1**) is completed to determine if a Facility Design Review / Final Inspection Checklist process or Construction Permit process is needed. This review will take up to five business days. Upon completion of the review, the Requestor will receive an approval e-mail and will be assigned a PM or Field Construction Technician from FEG to act as a liaison / Facility representative.

### 5.1 **Facility Design Review / Final Inspection Checklist**

Must be completed if a project budget is less than \$20,000 and meets any of the following criteria:

- Modification alters an exit, exit access, exit discharge, or means of egress
- Modification alters hazard contents from low to high hazard contents
- Construction of a new facility, wall, office or structure
- Temporary disconnection and reconnection of any fire or gas alarm system component (horn, light, wire, etc.)

**Note:** Those who plan to add or delete system components to the toxic gas monitoring system (TGMS) need to comply with requirements set forth in **EHS-00031 – TGMS Operation and Maintenance**.

### 5.1.1 Checklist Generation

- The Facilities PM must generate the Facilities Modification Safety Sign-Off Checklist. The Design Review Checklist (FEI-00025-F1) and Final Inspection Checklist (FEI-00025-F2) are both required to be signed and dated by an EHS Safety Engineer or other assigned EHS representative when completed.
- The Facilities PM is responsible for filling out the Design Review Checklist and Final Inspection Checklist.

### 5.1.2 Safety Reviews

- The Facility PM shall review the project prior to scheduling all reviews with a Safety Engineer or other assigned EHS representative. The Safety Engineer or other assigned EHS representative shall never be the first person to review a modification.
- The Facility PM is responsible for the project's initial design review.
- The Facility PM shall schedule all design reviews with a Safety Engineer or other assigned EHS representative.
- Design review should be scheduled as early in the design process as possible. EHS is available for consultation prior to submitting design plans and should be consulted during the planning stages.
- The Design Review Checklist (FEI-00025-F1) is set up so only questions answered with a "yes" reply require EHS approval. Routine reviews and approvals occur on an as needed basis following weekly Facilities Operations meetings.

### 5.1.3 Final Inspection Checklist

- The Facility PM is responsible for the area once it passes the design review and project work starts. The Facility PM is responsible for ensuring that the area (modification) will pass the final safety inspection.
- Prior to the final safety inspection, the Facility PM will schedule a walk-through of the project area with the applicable FEG and FOG staff and subcontractors. Once the site walk is complete, the Facility Engineer will schedule the final safety inspection.

- The Facility PM shall review and complete the Final Inspection Checklist (FEI-00025-F2) prior to scheduling a review with a Safety Engineer or other assigned EHS representative.
- The Facilities PM is responsible for completing all punch list items derived from the design review and final inspection.
- Every punch list item shall be completed before permanent occupancy of the area occurs.
- The completed final inspection checklist must include the three signatures and be submitted to EHS.

## 5.2 Construction Permit

A Construction Permit must be obtained if a project budget is equal to or greater than \$20,000.

### 5.2.1 Construction Permit Process

- SEQRA Determination - All actions which may affect the environment are subject to review under SEQR. See NYS DEC SEQR Handbook for details on the SEQR process.
- SPDES / SWPPP NOI: Storm Water Notice of Intent and Storm Water Pollution Prevention Plan if required. Silt control is a requirement for design and construction even if DEC permit is not needed.
- Security system designs must qualify licensed contractors only.
- Provide verification of a short circuit study determining fault levels and coordination with over-current protective devices per NFPA70 110.9-10 for new electrical distribution.
- **FEI-00025-F4 – Construction Permit Application / Code Compliance Review Checklist (Part 1 & 2)** must be completed and submitted to the Department of Code Administration. The Code Compliance Manager will send the completed Construction Permit Application / Code Compliance Review Checklist (Part 1 & 2) to EHS.
- Complete Construction Documents, signed and stamped by a RDP, shall be submitted for review to determine that the intended work is in accordance with the requirements of the Uniform Fire and Building Code. Drawings must also be signed by the Site designee to confirm acceptance.

- Review - Department of Code Administration shall review the submission for issuance of the Construction Permit. The average time for reviewing a complete application is 10 business days.
- Demolition and construction cannot commence until a Construction Permit has been issued by the Department of Code Administration. If a Construction Permit has been issued directly by an alternative construction-permitting agency, construction cannot commence until a copy of the Construction Permit has been filed with the Department of Code Administration.
- Occupancy and use during construction is prohibited.

### 5.2.2 Requirements for Code Compliance Certificate

- Follow-up tests and inspections as specified on the Construction Permit may include abatement/demolition, underground utilities, mechanical, electrical, plumbing, fire systems, structural and silt control.
- Substantial Completion Certificate – acceptance by the RDP and acceptance documentation.

### 5.2.3 Compliance Certificate

Compliance Certificate is issued by the Code Compliance Manager.

Submit Requests and ALL INFORMATION to:

Department of Code Administration  
CESTM Building 251 Fuller Road, Albany, N.Y. 12203  
Matthew W. Mason, RA - Code Compliance Manager  
Phone: (518) 437-8625 Email: [mmason@ny-creates.org](mailto:mmason@ny-creates.org)

The Code Compliance Manager implements and enforces Executive Orders, Trustees Resolutions & Mandates that the university has adopted as a construction requirement. A partial list of requirements beyond the NY State Building Code suite is:

- **Governor's Executive Order 111** - Specific conservation measures for new construction and alterations affecting design, construction, commissioning, operations and maintenance. Conditionally requires USGBC LEED certification. LEED rating system | U.S. Green Building Council ([usgbc.org](http://usgbc.org))  
For OGS design Guide, see Table of Contents ([ny.gov](http://ny.gov))



- **SUNY Trustees Resolution** - The CAL 133 standard for flame resistance of upholstered furniture has been adopted by the Governor's Task Force on Campus Fire Safety and the Dormitory Authority of the State of New York. Verification of compliance with this standard shall be a laboratory test report, and shall be available to NY CREATES upon request.
- **Fire Alarm systems** in existing residences shall comply with retroactive Code requirements, when applicable.
- **Labor Law OSHA 10-hour Safety Training** mandated for state projects over \$250,000.

## 6 RECORDS

- 6.1 Upon completion of the project, the following records shall be sent to the assigned Facilities PM for filing:
- Construction Permit (if applicable)
  - All warranties for facility owned / maintained equipment
  - All Operations & Maintenance manuals
  - Completed Equipment List
- 6.2 Upon completion of the project, the following records shall be sent to the assigned CAD Department for filing:
- All drawing files associated with the project (dwg., rvt., rfa pdf, skp)