



**Dormitory Authority**  
**State of New York**

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# **Design Professional's Guide**

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**Rev. 01/04/08**

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## I. General Information:

### A. Introduction and Intent

The Dormitory Authority of the State of New York (“DASNY” or “Authority”) endeavors to form positive relationships with its Design Professionals (consultants and subconsultants that provide design and other professional services to DASNY) that are mutually beneficial to the consulting community and its clients. In the development of DASNY’s Design Professional’s Guide, we have attempted to explain how to do business with the Authority. The intention is to stay in the mainstream of construction industry standards for consulting services while meeting DASNY’s established design and construction goal of LEED Silver rating. This document is intended to be used as a guideline for Design Professionals working on DASNY projects where the Authority provides full project management services to its clients. For full project management service projects, DASNY holds the design and construction contracts and provides all design, bidding, construction administration and code permitting services. DASNY also provides basic and modified services on its projects. For basic and modified service projects, contact the DASNY Project Manager for instructions.

This document is also intended to address questions frequently asked by Design Professionals. The specific requirements for each project are defined by the Professional Services Contract between DASNY and the Design Professional. This guideline should be reviewed with the assigned DASNY Project Manager prior to each submission. Each project and project site may have its own special conditions that require variance from these guidelines. Design Professionals are encouraged to obtain a sample set of Bid Documents from the DASNY Project Manager for reference. Contact the assigned DASNY Project Manager for any further clarification or questions.

### B. Ethics

DASNY expects its members, officers, employees, and the many contractors, bankers, bond counsels, consultants, Design Professionals and vendors with whom the Authority interacts -- its Working Partners -- to adhere to the highest ethical standards. DASNY has implemented a [Corporate Integrity Program](#), including preparing and distributing a “[Code of Business Ethics](#)” that details expected standards of conduct by persons and entities transacting business with DASNY.

DASNY encourages and supports a fair, open and honest business relationship with its Working Partners. DASNY believes that this objective can be achieved only if all participants adhere to ethical business practices.

### C. Use of DASNY’s Project Management System

The Design Professional shall record all project related information in DASNY’s Project Management System (Primavera Expedition™) in accordance with the [DASNY Expedition User Guide Manual](#). The Design Professional agrees to request user accounts to DASNY’s Project Management System for each employee who will be working on the project. The Design Professional further agrees to have their employees attend training in the use of DASNY’s Project Management System, and to utilize the DASNY Expedition User Guide Manual to perform necessary tasks. Training will be provided by the DASNY.

## II. DASNY:

### A. The Dormitory Authority of the State of New York

DASNY is a public benefit corporation of the State of New York empowered by Titles 4 and 4-B of the Public Authorities Law (the “Act”), to provide design and project management services to, and to issue its bonds, notes and other obligations, for not-for-profit institutions for public purposes. Under the Act, DASNY provides services in connection with the design, construction and financing of capital facilities for the State University of New York, including dormitories and educational facilities; the City University of New York Senior Colleges; Community Colleges; Boards of Cooperative Educational Services; Cities and Counties with respect to Court Facilities and combined occupancy structures, as defined by law; the New York State Departments of Health, Education and Mental Hygiene with respect to certain facilities under their jurisdiction; other State and local governmental entities; independent colleges and universities; facilities for the aged; certain not-for-profit hospitals and nursing homes, as well as other not-for-profit organizations specifically described in the Act.

The Authority provides a variety of services to its clients, including project planning, design and construction monitoring, advising on methods of construction, construction contract packaging and bidding, and purchasing of furnishings and equipment for projects.

For further information on DASNY’s clients, refer to [DASNY Eligible Organizations](#).

## **B. DASNY Project Manager**

The Project Manager is the primary contact for the Design Professional and the client. The Project Manager is responsible for the management of the Design Professional's contract, authorizing amendments to the contract, and approving payments. All correspondence directed to DASNY relating to the project shall be addressed to the assigned Project Manager.

The Project Manager is the liaison between the Design Professional, the Client, and/or the Client Central Office. The Design Professional and all subconsultants are to report only to the Project Manager. [See the functional relationship chart.](#)

The Project Manager is responsible for providing guidance to the Design Professional and to monitor its performance. The Project Manager will also provide sustainability input and guidance. It is the responsibility of the Design Professional to provide adequate supervision of its staff. Under no circumstances shall the Project Manager directly supervise the staff of the Design Professional.

If a Design Professional or a subconsultant is contacted by the client Central Office or the facility, whether by written or verbal communication, they are to relay all information to the Project Manager immediately. The Design Professional must phone the Project Manager and e-mail or fax a copy of the information. This action will keep the Project Manager advised at all times so the Project Manager can effectively maintain the working liaison relationship throughout the project.

## **C. Quality Assurance Department**

The Quality Assurance (QA) Department is comprised of architects, engineers, code administrators, environmental specialists and support staff. The QA Department houses DASNY's design review, field observation and code enforcement functions. In addition, the QA Department manages DASNY's Materials Testing Program, as well as provides environmental technical support to Project Management staff and our clients. The QA Department can be viewed as a resource to the Project Manager and the Design Professional's team, offering technical expertise in many areas of design and construction. The QA Department is not intended to replace the Design Professional's quality functions.

DASNY's code permitting functions are housed within the QA Department. For projects where DASNY is the Construction Permitting Agency, the design review staff functions as the design reviewer as well as the plans examiner. DASNY issues construction permits, based on its review of the project documents and knowledge of the project. For those projects where DASNY is the Construction Permitting Agency, permits are issued via the Code Compliance Unit within QA. DASNY, in its function as the Construction Permitting Agency, enforces the New York State Uniform Fire Prevention and Building Code as well as any ancillary codes, standards, rules and regulatory requirements.

## **D. Procurement Department**

The Procurement Department administers the procurement for the Authority's construction projects. The department is organized into three functional areas: Professional Services Contracts, Construction Contracts, and Purchasing and Interior Design. Professional Services Contracts administers a centralized Request for Proposal process to procure architectural, engineering and other professional services through project-specific contracts and term contracts. Construction Contracts manages the public bid and award process for the Authority's capital projects, and administers the work order process for the Job Order Contracting term construction contract program. Purchasing and Interior Design administers the procurement of all furniture, fixtures and equipment, and coordinates the provision of interior design services on the Authority's construction projects.

## **E. Construction Support Services Department**

The Construction Support Services Department is an extension of the former Construction Administration group. The Department was expanded to concentrate on both internal and external customer specific issues, including project closeout, project and program reporting, and Construction Division procedures and training. The Department consists of four Units: Construction Reporting, Construction Technology, Facility Management, and Project Administration. The focus of the Construction Reporting Unit is internal and external project report generation and delivery, and program and capital project accounting, funding and reporting. The Construction Technology Unit provides systems implementation, support and training services to project management, as well as report and application development, project management and construction tools analysis and recommendations. The Facility Management Unit delivers services including software implementation, support and training, surveying and cataloging space, commissioning, certificate of occupancy and term consultant management to Authority clients. Project Administration assists with the administration of change orders, fee management and project tracking, developing and maintaining Construction Division procedures, as well as

evaluating and streamlining the project setup and closeout process, developing a project management training program, and developing and delivering risk and performance metrics.

## **F. Affirmative Action Program**

All Design Professionals on full service DASNY projects are required to abide by DASNY's Affirmative Action program for the utilization of Minority and Women-owned Business Enterprises (M/WBE's) as subconsultants, subcontractors and suppliers.

Prior to the award of a Contract or work authorization of \$50,000 or more, DASNY's Office of Opportunity Programs receives the Design Professional's proposed M/WBE Utilization Plan, Permanent Employee Distribution Report, and Affirmative Action Policy Statement for review and approval. If a Design Professional is experiencing problems with identifying NYS Certified M/WBE's to utilize as subconsultants or material suppliers, the Office of Opportunity Programs can provide a list of NYS Certified firms. The Design Professional should document its best efforts to solicit and attain M/WBE participation goals according to the [Good Faith Efforts Guide](#).

If the Design Professional is unable to achieve the required M/WBE participation, a waiver request including the Design Professional's documented Good Faith Efforts should be submitted to the Office of Opportunity Programs for review.

## **III. Project Delivery:**

### **A. Multiple Prime Contracts (Wick's Law)**

General Municipal Law and State Finance Law requires DASNY to prepare specifications to permit separate and independent bidding for three subdivisions of work for some of its clients when the entire cost of construction or alteration exceeds fifty thousand dollars. These requirements apply to many DASNY programs, including its public clients and some private clients (Wick's Law). Most private clients and projects performed by DASNY for the State University of New York generally are not bound by the requirements, although locally sponsored community colleges are subject to Wick's Law. The Design Professional shall review the requirements for multiple prime contracts with the Project Manager and the Chief, Construction Contracts.

When a project is subject to the Wick's Law, the Design Professional must prepare separate but coordinated Bid Documents using the General Requirements for Multiple Prime Contracts.

The three required trades are:

- heating, ventilating and air conditioning (HVAC)
- plumbing
- electrical

A construction contract may also be required. On public work projects subject to Wick's Law, the construction contractor cannot be assigned responsibility for coordination of the separate prime contracts. Coordination among the prime contracts is the responsibility of DASNY, who may delegate it to the Design Professional or construction manager.

DASNY may require the Design Professional to prepare Bid Documents for more than four prime contractors, depending on the size, scope and complexity of the project.

### **B. Other Project Delivery Methods**

In addition to a design-bid-build multiple prime Wick's Law project, DASNY may undertake a project using other project delivery methods that may affect the Design Professional's scope of services. Such methods may include Construction Manager at Risk, CM-Build, Single Prime Contracting, Design-Build, and Job Order Contracting (JOC).

The actual method used by DASNY is dependent upon the client for whom the work is being performed and the legislative authority governing DASNY's relationship with the client. The Design Professional will be informed of the delivery method being employed either as part of the selection process or based on information from the Project Manager.

### **C. Job Order Contracting (JOC) Program**

Under its Job Order Contracting (JOC) Program, the Dormitory Authority has awarded competitively bid contracts to construction, HVAC, plumbing, electrical, and asbestos abatement contractors to provide

construction services throughout the state at pre-determined unit prices. When appropriate, JOC work is identified and approved, DASNY then issues a contract ("job order") for a lump sum amount based on pre-determined unit prices multiplied by quantity and by the JOC contractor's adjustment factor. The Procurement Department administers the JOC Program with the assistance of its consultant.

Except in the case of emergencies, the design for a JOC project must be reviewed and approved by the Quality Assurance Unit before DASNY authorizes the contractor to begin work. The number of design submissions will be commensurate with the scope of the project. As little as one submission may be required, or a full set of 30%, 60%, and 100% documents may be required. Contact the Project Manager to determine the appropriate requirements. The documents required for review will differ for each job order, and can range from a single stamped drawing to a complete set of drawings and specifications. The Project Manager will initiate a request for design review services and for coordinating with QA to determine the required documents.

## IV. Pre-Design Phase:

### A. Selection of the Design Professional

A project starts with a request from one of DASNY's clients. The project is assigned to a Project Manager and the consulting opportunity is advertised in the NYS Contract Reporter. Design Professionals responding to the NYS Contract Reporter advertisement constitute a long list of firms to be considered. Based upon criteria in the NYS Contract Reporter notice and established by a selection committee, a short list of Design Professionals is selected and approved to receive the Request for Proposal (RFP). The RFP will define the scope of the project, proposal requirements, and the Design Professional selection process. The selection of Design Professionals is a Qualifications Based Selection (QBS). Following the selection of the Design Professional, a fee is negotiated and a contract is executed.

For projects with a construction value of less than \$5.0 million, DASNY may select a Design Professional from an approved list of term Design Professionals who were awarded contracts via the advertisement/RFP process. The Project Manager follows internal procedures for assigning a specific project to a Term Design Professional. Project fees are determined on either a fee schedule basis ([DASNY Term Contract Consultant Fee Schedule](#)) or on a negotiated basis. Term Design Professionals' contracts, assignments, performance and workload are reviewed periodically and new Term Design Professional solicitations are initiated in the NYS Contract Reporter as appropriate.

DASNY's RFP typically requires the Design Professional to submit Standard Form SF 330. Electronic copies are available at the [GSA](#) web site.

The Design Professional must continue to provide DASNY with proof of valid insurance throughout the life of the contract. Failure to do so may be grounds for termination.

### B. Scope, Budget and Schedule Confirmation

Key to the success of any project is having a complete scope of work and a sufficient budget. The client develops a preliminary project scope and budget, with or without professional assistance. The Scope, Budget and Schedule Confirmation process is used to confirm that the requested scope of work is adequate to satisfy the objective of the project, including established sustainability goals, and that the approved funds are sufficient to support this initiative. Confirmation of the scope and budget is also a requirement of many of the Project Management Agreements (PMA) between DASNY and its clients and is a requirement of the contract between DASNY and the Design Professional. The executed [Scope, Budget and Schedule Confirmation form](#) will also serve to determine the design phase schedule for the project and provide a construction completion date. As a means of further developing the scope, budget and schedule, DASNY may elect to authorize the Design Professional to proceed only through the initial phases of design prior to contracting for the full scope of services.

### C. Project Budget

The Project Budget is established based on the intended project scope and the available funding of the project. Key to the success of a DASNY project is managing the design within the "Approved Construction Budget" as established by the Project Manager. It is the responsibility of the Design Professional to manage the project design within the "Approved Construction Budget" for the Design Professional's scope of services.

The "Approved Construction Budget" as used in the Scope, Budget and Schedule Confirmation form, refers to the amount of the project budget that will be expended in constructing the project and for which the design professional is providing services. The "Approved Construction Budget" does not include design fees, land acquisition, or other project costs for which the Design Professional is not providing services. Furniture, fixture

and equipment (FF&E) costs, change order, and contingency costs may be included in the "Approved Construction Budget", as appropriate, as determined by the Project Manager.

## **V. Design Phase:**

### **A. Design Quality**

The quality of the documents developed by the Design Professional is of paramount importance to DASNY and its clients. The Contract Documents establish the contractual obligations between DASNY and the Contractors. The Contract Documents must have all trade disciplines coordinated, and must be sufficiently detailed to ensure competitive bidding, installation compatibility, and systems operation commensurate with the requirements of the project scope in accordance with the project schedule and within the project budget.

Regardless of any periodic or final review DASNY or its clients may make of the design, the Design Professional must take professional responsibility for the correctness and completeness of the Contract Documents and for conformance with applicable zoning requirements, codes, and laws. This includes coordination between the Design Professional and sub-consultants, which is the contractual responsibility of the Design Professional.

The periodic reviews conducted by the QA staff do not take the place of the Design Professional's quality control and quality assurance programs. The Design Professional shall be responsible for a fully coordinated, technically correct, and code compliant set of documents. The Design Professional may be required to have a formal, written quality program. DASNY, at its discretion, may require the Design Professional to provide a copy of this program for DASNY's review.

QA staff will provide written design review comments for each design submission provided by the Design Professional. The comments are typically forwarded from the reviewer to the Project Manager, to be forwarded to the Design Professional. The Design Professional is to respond in writing to these comments. The responses are to be forwarded to the Project Manager who in turn will forward them to the reviewer. The Design Professional and its subconsultants are encouraged to contact the reviewer to discuss and clarify the review comments prior to responding and incorporating review comments.

Prior to the bidding phase, the project must be released for bidding by the QA Department. The project will only be released when all comments have been answered to the satisfaction of the QA Department.

### **B. Design Professional Payments**

The Design Professional may submit for payment after contract execution and the provision of acceptable deliverables. Payment requisitions must be made on the Professional Services Contract Payment Requisition form as provided by the Project Manager. Appropriate supporting documentation, such as timecards, receipts for reimbursable items, and M/WBE utilization monthly compliance reports must be attached. Submit two copies with original signatures to the Project Manager. Payment requisitions should be submitted monthly or as project milestones are completed, but in all cases project billings should be current. For additional information, review the [Professional Services Payment Procedure Outline](#).

Design Professionals are normally paid once per month on one of two payment dates based a pre-established payment cycle. The check dates are normally mid-month and end of month. Checks are typically issued within 30 calendar days of a properly submitted Contract Payment Requisition.

The Design Professional may submit a final application for payment upon completion of all its services. This normally will be at the point that final applications for payment have been submitted by the contractors and no further services are required of the Design Professional (except possibly warranty inspections).

### **C. Design Professional Evaluation Process**

The Project Manager will perform an evaluation of the Design Professional at the completion of the project. Additionally, interim evaluations may be performed at the discretion of the Project Manager. The evaluations include input from the QA Department. The Design Professional evaluation addresses such areas as timeliness, completeness of design, E&O change orders, and cooperation. Prior performance on DASNY projects may be considered in the selection of Design Professionals for future assignments.

### **D. Design Kickoff**

The design phase begins with a design kickoff or orientation meeting. This will be scheduled by the Project Manager at or about the time that the contract with the Design Professional is executed and approved, depending upon the project. Attendees at the design kickoff meeting generally include all participants with an interest in the project, including the entire design team, energy modeler, commissioning agent, and cost

estimator. The agenda generally includes introduction of personnel involved in the project, discussion of administrative procedures, discussion of project scope, budget and schedule, and a site visit and walk-through. Contact the Project Manager regarding additional agenda items. The Design Professional will be required to record attendance and prepare and distribute an agenda and minutes of the design kickoff meeting. The Design Professional will also be required to prepare a project directory of all participants, including name, title, address, phone, fax, and e-mail address.

## **E. Code Requirements**

In accordance with Part 1204 of Title 19 of the Official Compilation of Codes, Rules and Regulations of the State of New York, the Authority is designated as a Construction Permitting Agency and is responsible for the administration and enforcement of the New York State Uniform Fire Prevention and Building Code (Uniform Code) with respect to certain construction activities it undertakes. The QA Code Compliance Unit is responsible for administration of the Construction Permitting Program. Projects in the following New York State programs (State operated facilities) are subject to the Construction Permitting Program:

- Department of Health (DOH)
- Office of Alcohol and Substance Abuse Services (OASAS) (state operated facilities only)
- Office of Mental Health (OMH)
- Office of Mental Retardation and Developmental Disabilities (OMRDD)
- State Education Department (SED)
- State University of New York (SUNY)

There may be extenuating circumstances requiring certain other projects be included in the Construction Permitting Program. In such cases, determination will be coordinated with the QA Code Compliance Unit.

When DASNY is the Code Permitting Agency, the design review process is integrated with the Code Permitting process. All outstanding design review comments must be resolved to the satisfaction of the QA Department prior to issuing a Construction Permit. The Design Professional shall prepare and submit the [DASNY Construction Permit Application](#) provided by the Project Manager.

Where the Authority participates in the construction of a new building or in the conversion, alteration, addition, or repair of an existing building and where upon its completion such building will be in the custody of an entity other than a state agency, administration and enforcement of the Uniform Code or other applicable code will be the responsibility of the code enforcement agency generally performing those functions at the location of the work.

The New York City Department of Buildings (NYC DOB) governs construction and use of buildings within the five boroughs with the exception of State owned and operated facilities. NYC DOB enforces the standards for construction, alteration, repair, demolition, removal and maintenance of buildings. Projects in the following programs are subject to NYC DOB construction permitting and code enforcement:

- City University of New York (CUNY)
- Health and Hospitals Corporation (HHC)
- NYC Office of the Chief Medical Examiner (OCME)
- Office of Alcohol and Substance Abuse Services (OASAS), non-state operated facilities only
- NYC Court Facilities

## **F. Sustainable Design**

The Dormitory Authority is committed to being a leader in promoting sustainable design in the projects it designs, constructs and manages for its clients and to achieving the goal of LEED Silver rating for all of its applicable projects. Many of the Dormitory Authority's clients are mandated by law or Executive Order to provide elements of sustainable design in their projects. Contrary to popular belief, sustainable design features do not always increase the project first cost and, when they do, provide a payback after construction due to decreased energy consumption or maintenance and operating costs.

There are many ways to integrate sustainable (or green) design features into projects. General strategies include utilizing environmentally responsible site development, minimizing water use, minimizing energy consumption (specifically fossil fuel and electrical power consumption), utilizing recycled, recyclable, local, and environmentally sustainable materials, reusing existing materials and/or buildings, and providing improved air quality and comfort for building occupants.

The Dormitory Authority encourages its clients and Design Professionals to explore all options to ensure the best outcome for each project and supports innovative design solutions. Specific strategies that have been successfully used on previous construction include:

- Highly energy-efficient heating and cooling systems.
- Building management systems to provide increased controllability of building systems.
- High performance glazing systems that minimize heat gain/loss and result in reductions in the sizing of HVAC systems.
- Daylighting principles to maximize light for occupants while minimizing energy consumption for artificial lighting.
- Energy-efficient fixtures, devices, appliances, and equipment.
- Light-colored roofing systems to minimize heat gain during the cooling season.
- Indigenous vegetation to minimize water use and provide building shading during the cooling season.
- Locally produced materials.
- Recycled materials.
- Locating projects on bus routes to minimize parking and vehicle use by occupants.

As DASNY is requiring that LEED be used to guide the project, the LEED checklist shall be provided by the Design Professional along with other documentation and information at each design submission as required by the [Design Submittal Requirements](#).

The State University of New York University at Buffalo, the Dormitory Authority, the State University Construction Fund (SUCF), and the New York State Energy Research and Development Authority (NYSERDA) participated in the development of a comprehensive set of guidelines for compliance with Executive Order 111 and producing the next generation of high performance buildings. These guidelines can be viewed at <http://wings.buffalo.edu/ubgreen/guidelines.html>.

## **G. Executive Order No. 111**

The Design Professional shall follow guidelines for the construction of "Green Buildings," including guidelines set forth in State Tax Law §19, which created the Green Buildings Tax Credit, and the United States Green Building Council's LEED™ (Leadership in Energy and Environmental Design) rating system, in all buildings subject to the requirements of New York State Executive Order No. 111, issued June 10, 2001. If the Design Professional is uncertain as to whether or not Executive Order No. 111 applies to the project, it is the Design Professional's responsibility to ascertain from DASNY whether Executive Order No. 111 applies.

The Design Professional shall be required to demonstrate compliance with the New York State Executive Order No. 111 requirement that new buildings achieve at least a twenty (20) percent improvement in energy efficiency performance relative to levels required by the State's Energy Conservation Construction Code, as amended. For substantial renovation of existing buildings, the buildings shall achieve at least a ten (10) percent improvement in energy performance.

The Authority recognizes computer based modeling, utilizing software described in State Tax Law §19, as the only acceptable method of substantiating improvements in energy efficiency. Projects subject to Executive Order No. 111 require computer modeling as part of the Design Professional's base services.

The Design Professional shall incorporate energy-efficient criteria consistent with ENERGY STAR® and any other energy efficiency levels as may be designated by the New York State Energy Research and Development Authority (NYSERDA) into all specifications developed for new construction and renovation. The Design Professional shall investigate the use of the services of a Technical Assistance Provider approved by NYSEERDA, and discuss with the Project Manager. The Technical Assistance Provider shall assist the Design Professional in analyzing the design and providing recommendations to maximize energy efficiency and to promote the eligibility of the capital cost incentives included in NYSEERDA's New Construction Program. For further information on [Executive Order No. 111](#), refer to [NYSEERDA's website](#).

The Design Professional shall investigate and ascertain available credits, incentives, and grants available from NYSEERDA, DOE, EPA, NYS DEC and other state and federal agencies. These credits, incentives, grants shall be detailed in the schematic report, with the potential dollar value savings associated with each identified, along with capital costs and simple payback associated with each.

Commissioning is required on New York State buildings by Executive Order No. 111. The Design Professional shall provide services as specified in the Contract scope of services and shall be in accordance with the Authority's [Building Commissioning Guidelines](#).

## H. Design Submittal Requirements

The minimum requirements for design submissions shall be as described in the [Design Professional's Submission Requirements](#). The Design Professional shall review the Design Submittal Requirements for each project and comply with those requirements as appropriate for the project scope. The Design Professional shall advise the Project Manager of any requirements that they believe are not applicable to a specific project prior to preparation of the initial submission. DASNY shall make the final determination as to how the Design Submittal Requirements are applied to a specific project.

Design submissions include drawings, specifications, a Project Manual, and other technical, code, cost, and administrative information. Electronic copies of the DASNY logo and standard [Project Manual cover sheet](#), [drawing title sheet](#), and [title blocks](#) are available from the Project Manager upon request. The Procurement Department will also provide a sample Project Manual cover sheet when the Project Manager requests boilerplate documents for the project, near the completion of design.

### Drawings:

The drawings should generally be "D" size (24" X 36"), and generally no larger than "E" size (36" X 48"). In order to facilitate reproduction, the minimum drawing dimension should not exceed 36 inches. Depending upon the size and scope of the project, drawings may be sketches bound within the Project Manual. Drawing sizes should be reviewed with the Project Manager prior to drawing production.

The Design Professional should provide the Project Manager with a copy of the proposed title block prior to drawing production. The drawing title block must include the DASNY name, address, and logo, Design Professional name and address, client name, project location, project title, project number, sheet name, sheet date, sheet number, drawing scale, graphic scale, revision block, and block for seal and signature.

Drawings are to be prepared in AutoCAD format using layer conventions generally accepted in the industry. Standard industry layer conventions, such as those published by the American Institute of Architects or the National CAD Standard, shall be acceptable.

### Project Manual:

The Project Manual evolves from the design documents submitted at various stages to DASNY for review into the complete collection of documents on which contractors bid and which are subsequently incorporated into the Contract.

Each design submission should include a Project Manual cover sheet with the following information:

- DASNY logo
- DASNY addresses & telephone numbers
- Client name and logo (optional)
- Project title
- DASNY project number
- Design Professional Contact
- Submission level (i.e., 30%, 100%, etc.)
- Submission date

### Technical Specifications

The technical specifications shall be included in the Project Manual and should in no case be written only on the drawings. The specifications must be typewritten and utilize Construction Specifications Institute 3-part format. Starting January 2007, specifications shall utilize CSI Master Format, 2004 Edition.

The Design Professional shall coordinate the technical specifications with the General Requirements and Supplemental General Requirements, neither repeating nor conflicting with those documents. The technical specifications must be edited to suit the project. Related sections must be carefully coordinated, and only pertinent sections included; extraneous and inapplicable sections should be deleted.

In preparing technical specifications, the Design Professional shall include a header on every page containing the project name, DASNY project number, and trade or other identifying information. The Design Professional

shall date each section to distinguish subsequent revisions, provides the section title, starts the numbering of each section with page number one, and marks the end of each section.

The make and model number of the product or system upon which a specification is based should be cited. At least three (3) manufacturers of equivalent products shall also be listed, to facilitate compliance with public bidding laws. The Design Professional must specify the features or attributes of the specified product or system that will be used to evaluate equivalents proposed by a bidder. The specification of proprietary products must be pre-approved by DASNY's Executive Director; the Design Professional should contact the Project Manager for instructions.

The Design Professional should consult with the Project Manager if the use of performance-based specifications is being considered.

If a project involves hazardous material remediation or asbestos abatement, the Design Professional shall use DASNY's standard specifications edited to reflect the project specific conditions and requirements:

- [DASNY Standard Asbestos Removal Specification](#)
- [DASNY Standard Mold Remediation Specification](#)
- [DASNY Standard Lead Abatement Specification](#)
- [DASNY Standard Fluorescent Lamp Disposal Specification](#)
- [DASNY Standard Hazardous Waste Disposal Specification](#)

The technical specifications shall also include the [DASNY Standard Roofing Warranty](#) on projects involving roof replacement and installation.

## **I. Submission Review Requirements**

In an effort to ensure that Authority projects are code compliant, are technically sound, and that Contract Documents are clear and understandable, DASNY reviews all design submissions. This process is designed to protect bond holders, minimize errors and omissions, and comply with statutory requirements.

The Project Manager will establish the process for the review of submissions and the timeframe required/allowed.

Design submissions generally consist of Schematic Design (30%), Design Development (60%), and Construction Documents (100%). The number and levels of submissions shall be as defined by the contract between DASNY and the Design Professional. On smaller projects, or projects with a well-defined scope, submissions may be combined. Pre-schematic submissions and additional interim submissions may be required when warranted by the project scope and as directed by the Project Manager. Contact the Project Manager for clarification and to determine the number of copies and distribution required for each submission.

Depending upon the nature and extent of DASNY's comments on the 100% design submission, a 100% design re-submission may be required and an additional full review cycle conducted before the project may proceed to the Bid Documents Phase. Alternatively, if the 100% design submission comments are minimal or minor, the project may proceed to the Bid Documents Phase without a re-submission if approved by the Project Manager.

The QA Department provides written comments for each design submission. These comments are electronically prepared using Microsoft® Word. They are forwarded to the Project Manager electronically and subsequently to the Design Professional. The Design Professional is required to prepare typewritten or electronically generated responses to the comments provided by the QA Department. Submissions received without responses to previously provided design review comments will be returned to the Design Professional until responses have been provided.

The Design Professional is encouraged to discuss all questions and comments from design reviews directly with QA staff. Reviewer contact information is included on all design reviews for this purpose. Where discussions with QA staff lead to potential changes in project scope, the Design Professional shall discuss those changes with the Project Manager before implementing them.

## **J. Cost Estimates**

Cost estimates (**Consultant Cost Estimating Workbook**) are prepared by the Design Professional and provide the basis for decisions regarding the project scope. Accurate cost estimates are paramount to a successful project. The cost estimate shall be prepared at various stages of design as specified by the Design Professional Contract for Professional Services. The cost estimate format will evolve such that it will be presented in the form

of the Contractor's Trade Payment Breakdown, itemized by CSI specification section and summarized by primary and secondary CSI division codes.

The cost estimates shall include and identify the appropriate design contingency, bidding contingency, contractor's overhead and profit, controlled inspection and testing costs, escalation, change order contingency and general conditions specified by the Workbook and appropriate to the scale and type of project. Upon prior written approval of the Authority, the Design Professional may prepare the estimate in an alternative format provided the estimate includes at a minimum, all information contained in the DASNY supplied format.

The Design Professional will be required to compare its cost estimate to the bid breakdown of the low bidder after receipt of the bids. The cost estimate must be prepared to reflect the cost of the bidder to which the contract is awarded. Cost estimates which are prepared to reflect the average of the bids, match the budget, or follow any other methodology that will result in inaccurate cost estimates are discouraged.

## **VI. Bid Phase:**

### **A. Project Manual**

The Design Professional assembles the final Project Manual (the bid set) using boilerplate documents provided by DASNY, supplemental documents prepared for the project by DASNY, supplemental documents prepared for the project by the Design Professional, the approved design documents including technical specifications and drawings, and wage rates.

Prior to sending it out for duplication, the Design Professional or Project Manager must submit the bid set to the Construction Contracts Unit project Claims Analyst for review and approval. The Claims Analyst checks that the bid set includes the current version of each DASNY boilerplate document, and if necessary, provides the current version for substitution in the bid set.

At the time of bid, the Project Manual will consist of the following documents in this order:

- Cover sheet
- Table of Contents
- Notice to Bidders
- Information for Bidders
- Supplement to Information for Bidders
- Form of Bid, including placeholder pages for alternates and allowances
- Form of Bid Bond
- Contract
- Labor and Material Payment Bond
- Performance Bond
- General Conditions, including the NYS Uniform Contracting Questionnaire, DASNY affirmative action forms, DASNY's change order form, and sample insurance certificates
- Supplemental General Conditions, if any
- Contractor's payment breakdown
- New York State Prevailing Wage Rates
- General Requirements
- Supplemental General Requirements, if any
- Project Schedule
- Contractor's Submittal Schedule
- List of Technical Specifications and Drawings
- Technical Specifications
- Drawings
- Appendices, if any

DASNY prepares and advertises the Notice to Bidders. DASNY also prepares the Supplement to Information for Bidders, addressing project-specific requirements such as subcontractor limits, bid security, affirmative action goals, the date, time and place of the bid opening, the time of completion and liquidated damages, any pre-award requirements, and other information relevant to the bid. DASNY prepares the Supplemental General Conditions, if any, typically to require additional types of insurance and/or to modify insurance limits. All other documents not prepared by the Design Professional are prepared or supplied by DASNY.

The Design Professional prepares the following:

- Cover sheet
- Table of contents
- Contractor's [Schedule of Values](#): The form must include C.S.I. numbers, work items, and units of measure, in Microsoft Excel, in sufficient detail to compare bids and to evaluate the percentage of work complete when authorizing payments. Include a line item for LEED related submittals. The Project Manager can provide a sample [Schedule of Values](#).
- [Contractor's Submittal Schedule](#): The Design Professional specifies the submittal items that are required to be reviewed to confirm that the design intent will be met, and the close-out items (record drawings, special warranties, etc.) required for the project. The [Contractor's Submittal Schedule](#) report is printed from DASNY's Project Management System and included in the Contract Documents.
- Supplemental General Requirements (if any): see below
- Project schedule
- List of technical specifications and drawings: The Design Professional must identify each specification and drawing included in the Contract Documents, updating the list during design development.
- Technical specifications
- Appendices: The Design Professional may include other information for use in bidding or administering the project, such as soil borings, test reports, permits and applications, or other special instructions to contractors. Any appendices must be listed in the table of contents, dated and attributed, and preceded by a title page in the Project Manual.

### **Supplemental General Requirements**

The General Requirements address conduct of the construction project, describing work under the contract, alternates and allowances, and many project-specific topics such as access to the site, working hours, security, temporary facilities, heat during construction, storage and protection of material and equipment, project close-out, project record documents, and warranties, guarantees, and bonds. DASNY maintains versions of the General Requirements for single prime contracts and for multiple prime contracts.

The Design Professional may be required to prepare the Supplemental General Requirements, coordinating them with the General Requirements and the technical specifications as well as with the client's requirements. The Project Manager can provide a sample document with formatting. The Design Professional, in turn, provides an electronic version of the final document, in Microsoft Word, to the Project Manager.

### **B. Alternates**

Alternates are additional items or project enhancements desired by the client that are not part of the base project program. A list of add alternates, ordered by priority, is developed collectively by the client, the Design Professional and DASNY. In certain circumstances, DASNY may instruct the Design Professional to include a deduct alternate; otherwise, deduct alternates are not permitted. If bids come in under budget, the client may accept alternates that, when added to the base bids, do not exceed the authorized construction budget. To maintain the integrity of the competitive bidding process, alternates accepted by the client must be awarded in the order of priority stated in the Bid Documents.

The Design Professional is required to design a completely functional project without the inclusion of alternates, providing separate estimates for the base project and each alternate. Alternates, if any, should be fully described in the technical specifications, and/or on the drawings, as appropriate, and in the Supplemental General Requirements Section 01030 - Alternates.

DASNY's standard Form of Bid includes a placeholder page and DASNY will provide [Form of Bid Alternate Form](#) as required. The Form of Bid is supplied with other Contract Documents to the Design Professional by the Procurement Department.

## **C. Allowances**

Allowances are stipulated amounts that contractors are instructed to include in their base bids for items of required Work that cannot be completely described in the Contract Documents. Allowances provide a means of controlling the cost of such Work; if the entire allowance is not used, DASNY takes a credit for the unused portion.

Occasionally, allowances are used to procure proprietary products or services if pre-approved by DASNY's Executive Director. The Project Manager is responsible for securing the required approval to specify proprietary products or services.

Allowances should be fully described in the technical specifications, and/or on the drawings, as appropriate, and in the Supplemental General Requirements Section 01020 - Allowances.

DASNY's standard Form of Bid includes a placeholder page and DASNY will provide [Form of Bid Allowance](#) form, if required, on which any allowances are itemized with the amount to be included in the contractor's base bid. The Form of Bid is supplied with other Contract Documents to the Design Professional by the Procurement Department.

## **D. Unit Prices**

The use of unit prices is generally not acceptable, except on projects where this method of measurement and basis of payment is suitable, such as site work or roadwork. In some situations the establishment of unit prices for additional work at the time of bid may be appropriate. If unit prices are being considered, contact the Project Manager and Chief, Construction Contracts, for instructions.

## **E. Bid Documents**

The result of the design phase is the production of the Bid Documents. The Bid Documents establish the contractual obligations between DASNY and the Contractors, and upon execution of a contract between DASNY and the Contractor, become the Contract Documents.

Upon satisfactorily addressing the review comments, the Project Manager will prepare the DASNY Pre-Bid Summary. The DASNY Pre-Bid Summary documents the project description, project budget, project estimate, trades to be bid, bid date, pre-bid meeting date, publications for advertisement, and verification by the Project Manager that all project and permitting requirements have been met. The DASNY Pre-Bid Summary is signed by the Project Manager and the Director of the Quality Assurance Unit, and forwarded to the Construction Contracts Unit. Upon execution of the DASNY Pre-Bid Summary, the Construction Contracts Unit develops and issues the Notice to Bidders and Supplement to Information for Bidders. At this time, the Project Manager will also prepare the NYS Contract Reporter Advertisement, and forward it to the Construction Contracts Unit for publication in the NYS Contract Reporter and on the DASNY web site.

The Notice to Bidders, Supplement to Information for Bidders, and any special bid form requirements are inserted into the Project Manual, the documents are given a final check, and transmitted to the designated printer for printing. DASNY maintains printing contracts with several printers throughout the State. This may be done by the Project Manager or the Design Professional, depending upon the project. Contact the Project Manager for instructions.

The Design Professional must seal and sign the Project Manual cover sheet and all plans, including title sheets.

The Notice to Bidders and Supplement to Information for Bidders are transmitted directly to the Design Professional by the Construction Contracts Unit, along with a partial list of personnel and locations where the Bid Documents are to be sent. Contact the Project Manager for a complete list of locations and personnel that are to receive Bid Documents. These include plan rooms, builders' exchanges, Dodge Reports, Brown's Letters, DASNY staff, client agency staff, facility staff, Design Professional and subconsultant staff, and any other personnel which require documents, other than contractors bidding on the project. This is referred to as the pre-bid distribution, and can number 20+ sets of documents. These documents may be sent directly from the printer, or transmitted to the Design Professional for distribution, as directed by the Project Manager.

As directed by the Project Manager, the Design Professional will either receive sets of documents from the printer for distribution to prospective bidders, or relay the names and addresses of contractors who have satisfactorily submitted planholder deposits to the printer for distribution of the documents to the contractor by the printer. If additional sets of Bid Documents are required for distribution, notify the Project Manager prior to requesting additional sets of Bid Documents from the printer. At the conclusion of the bid phase, ten (10) sets of documents are typically required to be turned over to each contractor who is awarded a contract.

The transmittal of the Notice to Bidders and Supplement to Information for Bidders from the Construction Contracts Unit will also include a blank [planholders list](#). The list is to be maintained by the Design Professional as documents are issued to contractors. The Project Manager will set the amount of the plan deposit. The plan deposit is non-refundable, and must be made by the contractor in the form of a certified check or money order made out to the "Dormitory Authority". If the contractor provides a deposit of any other kind, contact the Project Manager for instructions. (Typical errors include providing a standard check, or making the check out to the Design Professional.).

The day before the bids are due, the Design Professional must transmit a copy of the [planholders list](#), completed with the names of the contractors which were sent Bid Documents. This must be transmitted both to the Project Manager and the Construction Contracts Unit. On the day that bids are received, forward the planholder deposits along with a copy of the [planholders list](#) to the Project Manager.

## **F. Pre-Bid Meeting**

The Pre-Bid Meeting is scheduled by the Project Manager prior to the project being advertised for bid, when the Pre-Bid Summary is prepared. The date, time, and location must be coordinated with the facility or institution. The timeframe for conducting the Pre-Bid is at least two weeks after the project has been advertised for bidding, and at least two weeks prior to the bid date. This will generally allow sufficient timeframes for prospective bidders to obtain plans prior to the Pre-Bid Meeting, and for the prospective bidders to receive any addenda which may be issued as a result of the Pre-Bid Meeting. If a shorter timeframe is required, this must be reviewed with the DASNY Construction Contracts Administrator. Additionally, the scheduling of the Pre-Bid Meeting should take into consideration and not conflict with holidays or other observances. Contact the Project Manager for instructions.

The Pre-Bid Meeting is conducted by the Project Manager or designee. The Design Professional's participation is required. The purpose of the Pre-Bid Meeting is to allow the prospective bidders to visit the project site, ask questions regarding the project, and to allow DASNY and the Design Professional to present and explain any special features regarding the project, project requirements (including LEED and related reporting and submittal requirements), or the bid process. Attendance at the Pre-Bid Meeting by prospective bidders is highly encouraged, but generally not mandatory. If mandatory attendance at the Pre-Bid Meeting is required by prospective bidders, this must be reviewed by the Construction Contracts Administrator. Contact the Project Manager for instructions.

The Design Professional is to be represented at the Pre-Bid Meeting by the Design Professional's project manager, and appropriate designers and subconsultants, depending upon the project size, scope, and complexity, or as directed by the DASNY Project Manager. The Design Professional should provide the Project Manager with a list of plan holders as of the date of the Pre-Bid Meeting. The Design Professional will obtain a sign-in list of Pre-Bid Meeting attendees and provide the list to the Project Manager. Minutes of the Pre-Bid Meeting will generally not be required. The Design Professional will issue addenda as required as a result of the Pre-Bid Meeting. Contact the Project Manager for instructions.

## **G. Addenda**

The Design Professional is responsible for preparing and distributing all addenda. Addenda are to be reviewed and approved by the Project Manager, the QA Department and the Construction Contracts Unit. The Project Manager can provide a [sample Addenda](#) with the proper language and format. The Design Professional must issue addenda to all plan holders as well as to those firms on the Notice to Bidders distribution list. Addenda may be faxed, mailed (regular or certified), or express service. Contact the Project Manager to determine the appropriate method.

## **H. Bids**

Bids are due at the time and location specified in the Notice to Bidders. Bids are generally received on Tuesday, Wednesday or Thursday at 2 p.m. at the Authority's Albany office.

DASNY's Procurement Department will receive, open, record and issue the bid tabulation. Bid results are available on the DASNY bid results line, 1-800-662-3676, extension 3330, after 4 p.m. on the date of the bid opening. They will also be available on DASNY's website one day after the bid opening.

## **I. Post Bid Requirements**

After receipt of the bids, the Design Professional will be required to perform post bid phase services, including the comparison of its estimate to the bid breakdown of the low bidder and providing a recommendation on award of the contract. The recommendation to award should generally be completed within three weeks of the bid date, in order to insure that the contract is fully executed within the contract award period.

The Project Manager or its designee, with assistance from the Design Professional, will generally review the background and qualifications of the low bidder. Items reviewed generally include general experience with the contractor, experience of the contractor with the scope of work of the project, NYSDOL, OSHA, or other regulatory agency violations, workforce qualifications, management capabilities, project personnel, proposed subcontractors, and reference checks. If the Design Professional has any prior experience or knowledge of the low bidder that DASNY should consider in evaluating the low bidder, the Design Professional should advise the Project Manager. The Project Manager or its designee may conduct a Pre-Award Meeting with the contractor to assess these items. Participation by the Design Professional may be required; contact the Project Manager.

## **VII. Construction & Closeout:**

### **A. Construction Phase**

The construction phase begins with a construction kickoff meeting. This will be scheduled by the Project Manager at or about the time the contract with the contractor is executed and approved, depending upon the project. Attendees at the construction kickoff meeting generally include the Project Manager, DASNY Field Representative, Quality Assurance, Design Professional, Construction Manager (if applicable), Contractor(s), and appropriate facility and client agency personnel. The agenda, provided by the Project Manager, generally includes introduction of personnel, project overview, facility rules and regulations, security, temporary facilities, DASNY forms, shop drawings and submittals, M/WBE requirements, subcontractors and suppliers, insurance, safety, [Contractor's Schedule of Values](#), [contractor's labor rate breakdowns](#), [payment application process](#), [change order process](#), project communications, construction schedule, and a site visit and walk-through. Contact the Project Manager regarding additional agenda items. The Design Professional will be required to prepare and distribute minutes of the construction kickoff meeting.

During construction, the Design Professional will be required to provide construction phase services as required by the Contract. These services generally include

- Review and approval or disapproval of all shop drawings, submittals, and mock-ups
- Review and approval or disapproval of all LEED related submittals and documentation
- Providing interpretations of the Contract Documents
- Review of field orders and change orders
- Attendance at regular job progress meetings and issuing meeting minutes
- Performing periodic and special inspections of the work in progress
- Preparing and issuing punch lists
- Conducting final and warranty inspections to review the project for compliance with the requirements of the Contract Documents

During the course of construction the Design Professional shall verify the Contractor is maintaining an up to date record of construction variances from the Design Professional's drawings issued in the bid set. At the conclusion of construction, the Design Professional shall incorporate all changes to create a set of record drawings representing all construction work performed under this scope of work. Record Drawings shall be submitted to DASNY in AutoCAD. Standard industry layer conventions, such as those published by the AIA or the National CAD Standards shall be acceptable. Drawing files will be submitted in a compatible format with DASNY and client PC-based computer systems on media acceptable to the Project Manager.

### **B. Project Close-Out**

At the conclusion of the project, punch lists are prepared by the Design Professional and completed by the Contractors. At the final inspection, a DASNY Notification of Construction Completion (NOCC) will be executed by the Institution/Facility, Design Professional, and DASNY. Upon completion by the Contractors of the outstanding items noted on the NOCC, the Contractors may submit their final applications for payment.

Concurrently, the Design Professional shall prepare the project close-out documents required by the Contract, generally consisting of the following:

- Reproducible set of record drawings
- Electronic record drawings
- Operations and Maintenance Manuals (O&M Manuals)

The Design Professional may also be required to provide the services necessary to obtain a Certificate of Occupancy.

After final applications for payment have been submitted by the contractors, the Design Professional has provided all of the services required by its Contract, and no further services are required of the Design Professional, the Design Professional may submit its final application for payment.

## **VIII. Additional Information:**

Common forms and samples of documents are available on the DASNY website at [www.dasny.org](http://www.dasny.org). Click on Consultants and Forms.

Procedures and information is also available on the DASNY website at [www.dasny.org](http://www.dasny.org). Click on Consultants and Procedures & Information.

Project-specific requirements are also included in the Professional Services Contract and the Request for Proposal.

Contact the DASNY Project Manager for additional information, as required.

**Functional Relationship Chart:  
The Design Professional, DASNY, and the Client Agency**

