



The Dormitory Authority of the
State of New York

2021-2022

Procurement Report

Procurement Contract Annual Report
For the period commencing April 1, 2021 and ending March 31, 2022
Executive Summary

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Appendix A: Construction and Client Services Summary of Awards

I. Introduction

The Dormitory Authority of the State of New York (DASNY) is a public benefit corporation that was established in 1944 under the laws of the State of New York (the State) to finance and build dormitories at State teachers' colleges to house soldiers returning from World War II and attending college under the GI Bill.

DASNY works in financing and constructing infrastructure for a variety of clients, including New York State and certain non-profit healthcare and education institutions. It works on the behalf of public and private clients to issue low-cost, tax-exempt bonds that play a critical role in helping New York State, and its health care and higher education institutions meet their capital needs so they can expand their resources and focus their attention and resources on service delivery.

It also performs construction management for public sector clients for scientific, life sciences and medical laboratories, academic centers and residence halls, hospitals, and other types of projects. Its work helps foster economic growth and supports entities that strengthen communities and make New York a better place to live, work and learn.

This report, along with DASNY's report to the Authorities Budget Office on operations and accomplishments, provides information on the important work DASNY delivers every year on behalf of the People of the State of New York.

II. Scope

Section 2879 of the Public Authorities Law requires DASNY to annually prepare, approve and submit to DASNY's Board a report on procurement contracts, which shall include DASNY's Procurement Policy and Procurement Guidelines, with an explanation of any amendments thereto since the previous annual report (the "Report" or "DASNY's Procurement Contract Annual Report").

The Report includes all original procurements made by DASNY by contract, purchase order, or other written agreement, with a value of \$5,000 or more. This Report excludes certain non-contractual obligations of DASNY, including reimbursement of expenses paid to private institutions, grants, insurance settlements, fees paid to state regulatory agencies, land purchases and payroll and fringe benefits. This Report also excludes amendments and change orders to original procurements.

This Report covers the period commencing April 1, 2021 and ending March 31, 2022 (the "Reporting Period"). Unless otherwise specified, all figures presented in the Executive Summary are for the Reporting Period. The Report lists detailed information on all DASNY contracts existing on April 1 of the Reporting Period and those awarded during the Reporting Period. The Report also includes DASNY's Procurement Policy and Procurement Contract Guidelines.

The Procurement Policy and Procurement Contract Guidelines describe the policies and procedures of DASNY regarding the use, award, monitoring, and reporting of procurement contracts. The Procurement Policy and Procurement Contract Guidelines were last amended on December 11, 2019.

III. 2021-2022 Executive Procurement Summary

This Executive Summary presents DASNY's procurement activity in four broad areas:

Category	\$ Awarded	% of Total \$ Awarded	# of Awards	% of Total # of Awarded
Construction and Client Services	\$377,875,989	88.0%	1311	78.1%
Public Finance and Portfolio Monitoring, and Finance	\$33,871,797	7.9%	94	5.6%
Legal Services	\$5,695,720	1.3%	114	6.8%
Administration and Operation Services	\$11,999,439	2.8%	159	9.5%
Total	\$434,368,760	100%	1678	100%

The tables below further highlight activity in various procurement categories.

Note: Some of the table totals may not equal 100% due to rounding.

IV. Construction and Client Services Awards

Overview

DASNY's Construction Division is responsible for the largest amount of spending at DASNY. Because of the complex nature and scale of many DASNY projects, any project may require a numerous Procurement Contracts secured through a variety of procurement methodologies to provide planning, design, construction and equipment and furniture fit-out prior to completion.

Table 1. Construction and Client Services Awards by Procurement Method - Combined

Summary of Types of Contracts. Table 1 presents a summary of Procurement Contracts issued for Construction and Client Services that DASNY awarded during the Reporting Period.

Category	\$ Awarded	% of Total \$ Awarded	# of Awards	% of Total # of Awards
Design Bid Build Contracts	\$255,166,632	67.5%	103	7.9%
Professional Services Term Work Authorization	\$38,806,338	10.3%	523	39.9%
Job Order Contracting Work Orders	\$35,224,512	9.3%	168	12.8%
Professional Services Contracts	\$15,842,341	4.2%	7	0.5%
Purchase Orders	\$13,068,934	3.5%	231	17.6%
Centralized Contracts	\$9,928,974	2.6%	195	14.9%
Exempt/Sole/Single Source Contracts	\$6,743,948	1.8%	33	2.5%

General Contractor Minor Maintenance Work Orders	\$1,727,865	0.5%	30	2.3%
Board Exempt	\$661,839	0.2%	8	0.6%
Energy Performance Work Authorization	\$637,459	0.2%	11	0.8%
Preferred Source	\$67,147	0.0%	2	0.2%
Total	\$377,875,989	100%	1311	100%

Table 2. Construction and Client Services Awards by Scope of Service - Combined

Summary of Services. Table 2 presents a summary of services procured for all Construction and Client Services during the Reporting Period.

Category	\$ Awarded	% of Total \$ Awarded	# of Awards	% of Total # of Awards
General Construction	\$259,790,039	68.8%	191	14.6%
Construction Management	\$15,765,785	4.2%	42	3.2%
Architect	\$12,587,238	3.3%	119	9.1%
HVAC	\$11,222,361	3.0%	34	2.6%
Electrical	\$10,025,528	2.7%	22	1.7%
Technology Services & Equipment	\$7,907,559	2.1%	84	6.4%
Energy Consulting	\$7,867,326	2.1%	3	0.2%
Plumbing	\$6,526,516	1.7%	16	1.2%
Water Treatment	\$6,524,724	1.7%	1	0.1%
Engineering	\$5,985,248	1.6%	107	8.2%
Furniture	\$5,201,190	1.4%	162	12.4%
Commissioning	\$3,204,706	0.8%	30	2.3%
Other	\$25,267,768	6.7%	500	38.1%
Total	\$377,875,989	100%	1311	100%

Awards by Client Program

DASNY provides construction services to and makes purchases on behalf of a variety of clients statewide.

Table 3. Construction and Client Services Awards by Client Program

Table 3 summarizes, by client program, the dollar value of Professional Services Contracts, Construction Contracts, and Purchase Orders that DASNY awarded during the Reporting Period.

Program	\$ Awarded	% of Total \$ Awarded	# of Awards	% of Total # Awards
City University of New York	\$180,948,785	47.9%	632	48.2%
Office of Mental Health	\$102,968,177	27.2%	207	15.8%
State University of New York	\$37,999,589	10.1%	228	17.4%
Office for People with Developmental Disabilities	\$16,991,268	4.5%	149	11.4%
Office of Addiction Services and Supports	\$8,479,570	2.2%	24	1.8%
Other	\$30,488,600	8.1%	71	5.4%
Total	\$377,875,989	100%	1311	100%

Professional Services

Professional services are services of a consulting, technical, and professional nature and include such services as architecture, engineering, construction management, and construction manager and pre-construction services on (CM) at risk contracts, whereby the construction manager holds the construction contracts.

DASNY primarily uses two types of contracts to engage professional services providers:

1. Project-specific contracts

Project-specific, professional service contracts are procured and awarded through a qualification-based, request-for-proposal (RFP) process.

2. Professional Services Term Contracts

Professional Services Term Contracts are zero-dollar-based, competitively-procured, professional-services contracts issued for a specified period, usually a four-year term. The specific scope of work and location where the services are to be provided are added to the contract via a work authorization. Professional services provided under term contracts include architectural design, engineering, testing, asbestos abatement design, and other specialized professional services.

The term contracting structure allows DASNY to quickly mobilize consultants to advance design and construction projects, promoting DASNY's ability to efficiently deliver for its clients.

Table 4. Professional Service Project-Specific Awards by Type of Service

Table 4 summarizes, by broad service category, the dollar value and number of all project-specific professional service contracts DASNY awarded during the Reporting Period (i.e. excludes term contracts that are discussed in item 2 above).

Type of Service	Contract \$ Awarded	Number of Contracts Awarded
Construction Management	\$9,661,315	3
Architect	\$4,573,343	3
General Construction	\$1,607,683	1
Total	\$15,842,341	7

Table 5. Professional Services Term Contract Work Authorizations Issued by Type of Service

Table 5 summarizes, by broad service category, the dollar value and number of work authorizations DASNY issued against all open term contracts during the Reporting Period.

Type of Service	Work Authorization \$ Issued	# of Work Authorizations
Architecture / Architecture & Engineering	\$9,339,036	122
Energy Consulting	\$7,867,326	3
Construction Management	\$6,104,471	39
Engineering	\$5,985,248	107
Commissioning	\$3,204,706	30
Materials Testing & Inspection	\$2,679,044	99
Asbestos Consultant	\$1,584,966	87
Environmental Studies	\$1,017,196	11
Other	\$1,024,343	25
Total	\$38,806,338	523

Construction

Construction contracts are contracts for the phases of construction, such as site work, general construction, and the building trades (structural; plumbing; electrical and mechanical; and heating, ventilating, and cooling). DASNY’s expansive capabilities and broad project portfolio result in a wide array of awards.

DASNY primarily uses three types of contracts to engage construction contractors:

1. Project-specific contracts

Project-specific, construction contracts are generally awarded through a public, competitive-bidding process.

2. Job Order Contracts

Job Order Contracts are term contracts set up regionally by trade. The initial term is typically one year with three one-year renewal options. Contractors competitively bid two adjustment factors (normal work hours and other than normal work hours) that will be applied to the unit prices in the JOC construction price books. The project limits for JOCs use are generally \$500,000 upstate and \$1,000,000 downstate. The specific scope of work and location where the services are to be provided are added to the contract via a job order

JOCs are a critical and effective contracting tool used to help DASNY achieve its construction mission. JOCs enable DASNY to rapidly engage contractors to perform construction services for emergencies, critical maintenance, and small value projects.

3. General Contractor Minor Maintenance

General Contractor Minor Maintenance contracts are term contracts set up regionally. The initial term is typically two years with one two-year renewal option. The specific scope of work and location where the services are to be provided are added to the contract via a work order. Contractors competitively bid an agreed upon mark-up percentage. GC Minor Maintenance projects are typically a single scope of work ranging in value from \$10,000 - \$80,000.

Table 6. Construction Contracts Awarded by Type of Service

Table 6 summarizes, by broad service category, the dollar value and number of all project-specific construction contracts DASNY awarded during the Reporting Period (i.e. includes Design Bid Build, GC Minor Maintenance and Job Order Contracts).

Type of Service	\$ Awarded	# of Awards
General Construction	\$258,478,385	217
HVAC	\$11,128,423	33
Electrical	\$7,475,063	21
Water Treatment	\$6,524,724	1
Plumbing	\$6,351,516	15
Elevator Install & Maintenance	\$1,326,685	3
Asbestos Abatement	\$834,213	11
Total	\$292,119,009	301

Purchase Orders

Purchase orders are issued for the purchase of commodities of furniture and fixtures for buildings, such as residence hall and office furniture, medical equipment, computer equipment and laboratory equipment.

DASNY primarily uses one method to procure commodities:

1. Project-specific purchase orders

Project-specific purchase orders are generally awarded through competitive quoting and bidding processes or using centralized government contracts.

Table 7. Purchase Orders Awarded by Type of Service

Table 7 summarizes, by broad service categories, the dollar value and number of all project-specific purchase orders DASNY awarded during the Reporting Period.

Type of Service	Purchase Order \$ Awarded	Number of Purchase Orders Awarded
Technology Services & Equipment	\$5,081,202	34
Laboratory Equipment	\$2,326,506	45
Audio & Video Equipment	\$1,183,935	12
Furniture	\$1,164,659	54
Athletic Equipment	\$792,427	4
Telephony	\$507,345	2
Other	\$2,012,860	80
Total	\$13,068,934	231

Minority - and Women-Owned Business Enterprises (MWBEs)

MWBE contract participation is central to DASNY's mission to create inclusive communities. DASNY has taken steps to create new opportunities for MWBEs, both by ensuring that MWBE participation is part of every contract discussion and by providing training information and guidance to facilitate their continued access and growth.

For the Reporting Period, DASNY projects total MWBE participation expenditures, including subcontractors, equaled a rate of approximately 37.65% representing a value of approximately \$145.27 million. However, Table 8 represent only original awards to MWBEs and does not reflect the total amount of work performed on behalf of DASNY by MWBEs. In addition, DASNY strives to achieve service-disabled, veteran-owned business participation. Further information is available in DASNY's Operations and Accomplishments report to the Authorities Budget Office.

Table 8. Construction and Client Services Contracts Awarded to Prime MWBEs

Category	Contract \$ Value Awarded	Number of Contracts Awarded
Design Bid Build	\$48,967,678	35
Job Order Contracting	\$13,956,625	70
Professional Services Term Work Authorizations	\$4,104,819	118
Centralized (NYS/GSA)	\$2,262,710	83
Exempt/Sole/Single Source Contracts	\$1,417,191	7
Purchase Orders	\$1,150,394	43
Total	\$71,859,416	356

V. Public Finance and Portfolio Monitoring, and Finance

For purposes of this analysis, DASNY’s Public Finance and Portfolio Monitoring, and Finance Divisions are properly presented together because, in many instances, vendors and subject matter overlap. Most procurements relate to costs of issuance for DASNY’s financing process. Procurements primarily include underwriting/remarketing, financial consulting, trustee and custodian fees and printing.

Table 9. Summary of Expenditures Public Finance and Portfolio Monitoring, and Finance

Table 9 shows procurements by DASNY during the Reporting Period.

Category	\$ of Service Expenditures	% of Total \$ of Service Expenditures
Underwriter Discount	\$33,245,491	98.2%
Trustee/Custody	\$269,866	0.8%
Swap/Financial Advisor	\$177,500	0.5%
Environmental Studies	\$62,619	0.2%
Printing	\$54,454	0.2%
Other	\$61,867	0.2%
Total	\$33,871,797	100%

(*Underwriters are generally compensated by utilizing a discount on the purchase of bonds and the amount of that discount includes expenses incurred by the underwriter including underwriter’s counsel fee.)

VI. Legal Services

Table 10. Summary of Expenditures Legal Services

Table 10 shows procurements made by DASNY for legal services during the Reporting Period.

Category	\$ of Service Expenditure	% of Total \$ of Service Expenditures
Bond Counsel	\$4,037,366	70.9%
Personal Injury Counsel	\$943,293	16.6%
Labor Counsel	\$380,258	6.7%
Litigation Counsel	\$284,803	5.0%
Real Estate Counsel	\$50,000	0.9%
Total	\$5,695,720	100%

VII. Administration and Operations Services

DASNY's Administration and Operations Services includes costs incurred for the ongoing administration and operations of DASNY, such as occupancy, information services and telecommunications, and general operating expenses. These items are included within DASNY's operating budget or are paid from other program operating funds and have also been summarized by expenditures made during the period.

Table 11. Summary of Expenditures Administration and Operations

Table 11 summarizes Administration and Operations Services expenditures by DASNY by major category during the Reporting Period. Expenditures relate to DASNY operations only.

Category	\$ of Service Expenditure	% of Total \$ of Service Expenditures
Building Utilities	\$6,069,162	50.6%
Technology Services & Equipment	\$2,901,831	24.2%
Risk Management / Insurance	\$2,049,392	17.1%
Repair & Maintenance	\$503,122	4.2%
Vehicles	\$89,494	0.7%
Other	\$386,438	3.2%
Total	\$11,999,439	100%

VIII. Procurement Contract Policy and Guidelines

DASNY has a Procurement Contract Policy and Procurement Contract Guidelines that are reviewed and approved annually by the DASNY Board in accordance with Public Authorities Law Section 2879. Copies of the DASNY Procurement Policy and DASNY Procurement Contract Guidelines follow.

As part of its annual compliance obligations, Public Authorities Law Section 2879[7] requires that DASNY annually prepare and approve a report on procurement contracts, which shall include DASNY's Procurement Policy and Procurement Contract Guidelines, and an explanation of any amendments thereto since the last annual report.

No changes have been made to DASNY's Procurement Policy and Procurement Contract Guidelines during the Reporting Period.