DIRECTIVE 1A-6

CONSTRUCTION DOCUMENT (PRE-BID) PHASE

1. General

a. Provide options for significant decisions required by the client during the Construction Document Phase. Present drafts of options and revise each to reflect comments made by the Fund and the campus. Present revised drafts of options and revise the selected option to reflect comments made. Present the revised, selected option to the Fund and the campus for approval.

(1) To assist the campus in reaching a consensus on decisions required to complete the Construction Document Phase, develop a summary of each issue using an iterative process to incorporate campus and Fund input. Use the format preferred by the campus and list factors, benefits, detriments and impacts applicable to the issue.

(2) Provide analyses of the options to determine whether the possible options fit the funds available for the project.

(3) Consider constructability issues continuously throughout the design effort and make recommendations concerning the impact of the contractor's work on Campus operations. Participate in the Constructability meeting required by Directive 1A-8.

(4) Provide analyses of project execution and the potential construction contract options to determine the desirable option(s) for sequencing the work in phases that fit the capabilities of the available bidders, the potential need to defer construction of portions of the project due to funding restrictions, the availability of work areas and other factors requested by the Fund and campus.

b. The phase submission must satisfy all comments made on last phase report. Response to previous review comments is required. The response must clearly describe the action taken and fully address all questions raised; Reference the drawing number or specification section where appropriate.
(1) The construction documents shall be advanced, detailed, coordinated, and developed in sufficient detail as to be deemed 100 percent complete.

(2) Unless a greater number is required, submit six (6) sets of Pre-bid documents for review and approval, four (4) to the Project coordinator and two (2) sets to the Campus.

(3) Construction documents shall be comprehensive and complete, with design plans, front end and complete technical specifications coordinated between all disciplines.

(4) The Consultant shall provide a certification that the drawings and specifications conform to all applicable codes.

(5) Alternates, unit process, or allowances shall not be permitted without prior approval.

(6) The Consultant shall apply online to the New York State Labor Department for wage rate schedules and incorporate the same into the Project Manual, under Section C, Special Conditions. Refer to:

http://www.labor.state.ny.us/workerprotection/publicwork/PWReqforOWS.shtm

The Bureau of Public Work will then provide an Original Wage Schedule containing a project-specific Prevailing Rate Case (PRC) number and additional information.

2. Pre-bid Report
   a. General:
      (1) Cover page contains the Project No., Project Name, Campus, Architect and other Consultants.
      (2) Contents page has a table of contents and all pages are numbered.
      (3) Confirm that the submission incorporates all comments made during reviews by the Fund and campus.
(a) Provide copies of all Design Manual comments with responses in an appendix.
(b) List all changes, if any, to building, site and equipment designs.
(c) Provide copies of Construction Document Phase meeting minutes in an appendix.

b. The Consultant and each subconsultant shall provide a letter on company letterhead, signed by a principal member of the firm registered in New York State, that certifies that the quality and completeness of the documents has passed his/her review and the documents submitted meet the requirements of the Fund. This review includes a check of the documents for interdisciplinary coordination among the drawings, between the drawings and specifications, between specifications and General Conditions, and between the Contract Documents of each phase of construction if more than one construction phase.

c. Code Compliance: In addition to resubmitting all of the items required for the Design Manual submission, updated as necessary, also provide:

1. The Building Code Review / Construction Permit Application Form filled out in its entirety; one for each building involved in the project, and signed by the person who works for the firm who holds the Agreement with the Fund and who is sealing the documents.

2. The Statement of Special Inspections Form, properly filled out, signed by the person who works for the firm who holds the Agreement with the Fund or the Structural Engineer of record, and who is sealing the documents.

3. The final copy of all Department of State approved variances (if any) and all attachments.

4. Submit the anticipated design delegation letter per Directive 1C-13. (The Consultant shall not delegate any portion of the design to an engineer, architect or other professional employed by the Contractor unless such delegation is requested by the Consultant and approved by the Fund.)
b. Program Modifications: The Consultant must provide a statement verifying that the contract documents include all functional and special requirements of the Program for the project. The Consultant shall:

(1) Identify any deviations that have or have not already been approved by the Fund.

(2) Identify areas requiring additional detailing and information.

(3) As applicable, the consultant shall include the Building Area Summary (with add-on Designed Net figures for comparison) sample as follows:

<table>
<thead>
<tr>
<th>FACILITY</th>
<th>NET SQ. FEET</th>
<th>DESIGNED NET</th>
</tr>
</thead>
<tbody>
<tr>
<td>30 Eating Area</td>
<td>556</td>
<td>560</td>
</tr>
<tr>
<td>31 Sheet Metal Shop</td>
<td>3,600</td>
<td>3,600</td>
</tr>
<tr>
<td>a) Foreman</td>
<td>120</td>
<td>130</td>
</tr>
<tr>
<td>b) Storage</td>
<td>600</td>
<td>500</td>
</tr>
<tr>
<td>TOTAL</td>
<td>48,500</td>
<td>50,010</td>
</tr>
<tr>
<td>Program Gross Sq. Ft. TOTAL</td>
<td>87,300</td>
<td>86,000</td>
</tr>
</tbody>
</table>

(An editable version of the above shall be submitted electronically to the Design Coordinator.)

c. Provide design criteria and calculations of structural, mechanical, electrical, and site utilities systems, if modified from previous submissions. For the structural systems, indicate final live and dead loads on the structural drawings.

d. Consultant shall provide recommendations to the Project Coordinator with respect to final schedule, including:

(1) Advertisement Date
(2) Prebid Walk Through Date
(3) Bid Opening Date
(4) Award Date
(5) Completion Date: Consultant shall set the final construction completion date generally using the same construction duration included in the program schedule issued by the Fund. However, a longer schedule may be recommended because of seasonal phasing factors.
(6) Milestone Completion Dates: Consultant shall provide interim completion dates within the schedule as necessary to major milestones.
within the overall schedules as necessary to address items such as phased occupancy, sitework, etc.

Note if the advertisement date is delayed, the Bid Opening Date, Award Date, and Completion Date shall be delayed a similar amount. The final schedule included in the bid documents shall be as listed in the Fund's Pre-Bid Approval letter.

e. List of Potential Bidders and Related Information: Consultant is responsible for securing potential bidders for the project by personal contact to ensure immediate response when advertisement is made.

f. All projects must be advertised one time only in the Albany Times Union and one local paper, as noted in the Fund’s Pre-Bid Approval letter. The Fund will make all arrangements required to advertise in the New York State Contract Reporter.

g. If the Specifications include any proprietary items, provide an explanation as to why multiple manufacturers cannot be listed in each case. (Refer to Directive 1C-2). This is required for mechanical/electrical items as well as architectural trades. Alert the Coordinator about any amendments or known conflicts to the Fund's Standard Documents. All details of such amendments should be included in Division 1, Section E of the Technical Specifications, if approved by the Fund.

h. Final Cost Estimate shall be prepared in accordance with the formats as shown in the Fund’s publications, "Project Cost Reporting" and Directive 1C-8. Provide a comparison of any changes from the last approved estimate. An editable version shall be submitted electronically to the Design Coordinator.

   1) For new buildings, additions and Alteration Level 3 projects, provide a list of viable value management deductions equal to at least 10% of the total construction cost estimate (or other percentage, when approved by the Fund, that is more appropriate to the project size, type, the level of design completion, etc.)

   2) The purpose of the value management deductions is to facilitate timely decisions on scope and cost by providing a viable alternative to adding funds to the budget. Viable value management deductions are ones that can be realistically implemented in terms of the level of design completion, program constraints, operational
constraints, schedule constraints, code compliance, constructability and other factors requested by the campus and the Fund.

3) For other projects not covered by 2h(a) above, when requested by the Fund or when the estimate exceeds the budget, provide a list of viable value management deductions, if any, that can be realistically implemented when considering the project scope.

i. If applicable, update and finalize the Storm Water Pollution Prevention Plan (SWPPP) to reflect the design approved in this phase. Provide a complete “Notice of Intent for Stormwater Discharges Associated with Construction Activity under State Pollutant Discharge Elimination System General Permit” for the Fund to sign and submit to the New York State Department of Environmental Conservation. Unless included in the lump sum fee or the Schedule B of the Consultant’s Agreement, the SWPPP may be provided through extra compensation when approved by the Fund.

j. If not already completed, provide a complete Full Environmental Assessment Form (EAF) with parts 2 and 3 completed. Modify the form to suit Fund comments and sign as preparer. Unless included in the lump sum fee or the Schedule B of the Consultant’s Agreement, the EAF may be provided through extra compensation when approved by the Fund.

3. Project Manual

a. Complete Project Manual includes the Fund’s Standard Documents and Technical Specifications. Follow Fund’s “SUCF Instructions for the Preparation of a Project Manual” available electronically from the Project Coordinator. Consultant shall complete all sections as they will appear in final form. The Project Manual shall be sealed by the applicable licensed professionals.

b. The Notice to Bidders shall be used for bid advertisement by the Consultant. Submit to the Fund Design Coordinator for approval prior to issuance.

c. The Proposal should not have any unit prices, allowances unless previously discussed with and approved by the Project Coordinator.

d. Division I, “General Requirements” of technical specification should be based on the most recent electronic version as provided by the Project Coordinator. Follow the instructions embedded in the document.
e. Section A should include a brief outline of the scope of work.

f. Section B should include a brief outline of Alternates if any are approved by the Fund. If none, then include “none.”

g. Section C should include all Special Conditions to SUCF Standard Documents.

h. Section D, "Supplementary Special Conditions", should be added. Where electronic backgrounds will be made available to the Contractor, the documents should state this and define the electronic format of such files.

i. Section E, “Amendments”, should be included if required and as approved by the Project Coordinator.

j. Append to the Project Manual the applicable surveys and reports for topographical, utility, asbestos, and hazardous material data, borings and geo-technical studies, as built/field measured drawings and other data required for complete construction documents, as applicable.

k. Append to the Project Manual copies of typical campus hot work permits, other documents that may be developed by the Campus Fire Prevention Program Superintendent, the Statement of Special Inspections and other special conditions approved by the Fund.

l. Insert into the Project Manual commissioning requirements per Directive 15H-9 to the Project Manual, as applicable.

m. For each technical specification section for major equipment, materials and systems, confirm that a review by the specified manufacturers to confirm compliance with their recommendations and requirements has occurred.

n. In the technical specifications, do not require submission of qualifications or other information with the bid. Do not modify the bid day and post bid submission requirements shown in the Information for Bidders without approval by the Fund.

o. Update the sets of actual samples of significant interior and exterior materials on boards keyed to plans per Directive 1C-3.
p. Provide the applicable items below if changed significantly from the previous submission. Unless included in the lump sum fee or the Schedule B of the Consultant’s Agreement, the items below may be provided through extra compensation when approved by the Fund.

1) Updates confirmation that available utilities have sufficient capacity to support the work.
2) Updates geotechnical engineer’s confirmation that the design complies with the geotechnical recommendations.
3) Append air permit modifications preconstruction approvals per Directive 1D-8.
4) Update the LEED checklist per Directive 1B-7.

4. Drawings:
   a. Drawings are to be 100% complete. All drawings are to be listed in the Table of Contents of the Contract Documents by drawing number, title and date. For convenience, date of drawings and project manual should be the same.

   b. The Title Sheet and all drawings shall be sealed by the applicable licensed professionals. The cover drawing shall also contain the following, signed and dated:

   “To the best of my knowledge, information, and belief, the construction documents for this project are in conformance with the Building Code of New York State and all other applicable Federal and State laws and regulations, all as currently amended.

   ____________________________ ______________ _________
   Name of Registered Professional who sealed these drawings
   NYS Registration No.           Date

5. Completion of the PreBid Phase: Based on the Fund’s approval of the Construction Document submission, provide a complete set of Bidding and Contract Documents that properly incorporate all changes and revisions caused by the comments transmitted to the Consultant by the Fund at the time of approval of the Construction Document Submission unless the Fund rescinds a comment in writing, based on consultation with the Campus and Consultant.

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