



Summary:

This Directive provides guidance and direction for preparing and submitting the Pre-Bid Phase submission.

Overview:

The Consultant's phase submission must satisfy all comments made on last approved phase report, and must include the Drawings, the Project Manual, a Final Construction Cost Estimate, and a Report containing the information required in this Directive. Do not submit a partial submission unless agreed to by the Fund's Coordinator.

Responsibility:

The Consultant is responsible for the completeness of the phase submission and the accuracy of its information.

Procedures

I. General

- A. As needed to complete the Phase design documents, provide options for significant decisions required by the Campus and/or Fund 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. Prepare for and 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.

- 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) For the PDF submission, prepare the document as follows:
 - a) Match the setup of the PDF sets to the printed sets, i.e., if the printed Drawings are bound in two volumes, set the PDF up in two identical volumes.
 - b) For submissions larger than 100 Drawing sheets, or for smaller sets if preferred by the Fund or Campus, create smaller Drawing sets, such as site/civil, architectural, mechanical, electrical, or separate Project Manual volumes.
 - c) Check the orientation of the documents, flatten all annotations, reduce the file size, and create the PDF using the native software to preserve text, hyperlinks, indexing and other information for easy navigation and searching.
- 4) Construction documents shall be comprehensive and complete, with the Drawings, the Fund's standard front end, and complete Specifications coordinated between all disciplines. Use the most current version of the Fund's standard Project Manual front end, including Section 01 00 00 General Requirements, as provided by the Fund's Coordinator. See Directive 1C-2 Specification of Materials.
- 5) The Consultant shall provide a certification that the Drawings and Specifications conform to all applicable codes. See below.
- 6) Alternates, unit prices, or allowances shall not be permitted without prior approval and review of their format, descriptions, dollar size, etc. by the Fund.
- 7) The Consultant shall apply online to the New York State Labor Department for wage rate schedules and incorporate the same into the Project Manual, in Section 00 73 43 Wage Rate Requirements. Refer to:

<http://www.labor.state.ny.us/workerprotection/publicwork/PWRegforOWS.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. Do not use generic wage rates for the County.

II. 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 (or applicable previous phase) comments with responses in an appendix. The response must clearly describe the action taken and fully address all questions raised; Reference the Drawing number or Specifications section where appropriate. Responses such as “will comply” are not acceptable – see Directive 1C-11 Project Meetings and Responses to Phase Comments
 - b) List all scope changes, if any, to building, site and equipment designs since the last submission.
 - c) Provide copies of the minutes of all Construction Document Phase meetings, including the Constructability Meeting, 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.

- 1) Unless otherwise approved by the Fund Coordinator, the principal members of the firm shall be those people named on the most recent “Subconsultant/MW/SDV Staffing List Form” approved by the Fund.
- 2) The principal member’s review includes confirmation that the submission was checked for interdisciplinary coordination among the Drawings, between the Drawings and Specifications, between Specifications and General Requirements, 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 Code Review and 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 Consultant who holds the Agreement with the Fund, and who is sealing the documents. See Directive 1B-1 Building Codes.
- 2) The Statement of Special Inspections Form, properly filled out, signed by the person who works for the Consultant who holds the Agreement with the Fund, or the

Structural Engineer of record, and who is sealing the documents. See the Statement of Special Inspections Instructions

- 3) The final copy of all Department of State approved variances (if any have been discussed with and approved by the Coordinator) and all attachments.
- 4) Prior to the phase submission, discuss the anticipated design delegation with the Coordinator and, if acceptable to the Coordinator, submit the letter per Directive 1C-13 Design Delegation. 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. Prior to submitting the letter, search the Specifications to identify all delegated design.

D. Program or Scope Modifications: The Consultant must provide a statement verifying that the contract documents include all functional and special requirements of the Program for the project and describe any significant scope changes, if any, made since the last submission. The Consultant shall:

- 1) Identify any changes or deviations that have or have not already been approved by the Fund at the last phase submission. Separately identify the construction costs for each scope change. See Directive 1C-8 Project Estimating.
- 2) Identify scope, if any, requiring additional decisions and information from the Campus or the Fund.
- 3) As applicable, the Consultant shall include the Building Area Summary by space. List Program Net Square Feet (NSF) figures for each space, the NSF shown in the final design and the variance, if any between the two figures. See the sample as follows:

SPACE #	NAME	PROGRAM NSF	DESIGNED NSF	VARIANCE
30	Eating Area	556	560	
31	Sheet Metal Shop	3,600	3,600	
	a) Foreman	120	130	+ 8%
	b) Storage	600	500	- 17%
TOTAL		48,500	50,010	+ 3%
Program Gross Sq. Ft. TOTAL		87,300	86,000	- 1.5%

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

- E. 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.
- F. Consultant shall provide draft recommendations to the Project Coordinator with respect to final schedule. This schedule information shall be the basis for escalation in the Final Cost Estimate and in the editing of the General Requirements, and include:
 - 1) Advertisement Date (Documents ready to print, revised for all comments)
 - 2) Bidding period (typically one month)

- 3) Bid Opening Date (Tuesday or Wednesday only)
- 4) Notice to Proceed Date (Start of Construction, approximately 75 calendar days after the bid opening, or other duration preferred by the Fund Coordinator)
- 5) Construction Duration: Consultant shall suggest a construction substantial 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 or academic phasing factors.
- 6) Milestone Completion Dates: Consultant shall provide interim completion dates within the schedule as necessary for major milestones within the overall schedules as necessary to address items such as phased occupancy, sitework, etc. Describe these phases in Section 01 32 13 Special Project Schedule/Phasing

Note the advertisement date may be delayed by the Fund, and the Bid Opening Date, Award Date, and Completion Date will be delayed a similar amount. The final schedule included in the bid documents shall be as listed in the Fund's Authorization to Advertise letter. See Directive 1A-7 Bid Phase Requirements.

- G. List of Potential Bidders and Related Information: Consultant is responsible for identifying potential bidders for the project by personal contact to ensure immediate response when advertisement is made. Having less than three bidders may result in re-bidding at no additional cost to the Fund.
- H. 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 Specification of Materials). 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 Section 01 26 43 Amendments (Section E) of the Technical Specifications, if approved by the Fund.
- I. 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 Excel version with all formulas shall be submitted electronically to the Design Coordinator.
 - 1) For new buildings, additions and renovation projects budgeted a more than \$5,000,00, 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).
 - 2) The purpose of the value management deductions is to facilitate timely decisions on scope and cost by providing a viable bid alternative, or scope reductions, in lieu of 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 all other projects, 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.

- J. 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. See Directive 2-4 Sedimentation and Erosion Control
- K. If not already completed, provide the SEQR information required by the Fund. Unless included in the lump sum fee or the Schedule B of the Consultant's Agreement, SEQR information may be provided through extra compensation when approved by the Fund.

III. Project Manual

- A. Complete Project Manual includes the Fund's Standard Documents and the Consultant's 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 and/or allowances unless previously discussed with and approved by the Project Coordinator.
- D. Division 1, 01 00 00 General Requirements should be based on the most recent electronic document version as provided by the Project Coordinator. Follow the instructions embedded in the document in blue text boxes. (Refer to Directive 1C-2 Specification of Materials).
- E. Section 01 11 00 Description of Work (Section A) should include a brief outline of the scope of work.
- F. Section 01 23 00 Alternates (Section B) should include a brief outline of Alternates if any are approved by the Fund. If none, then specify "none."
- G. The remainder of 01 00 00 General Requirements should include all special conditions and other general requirements discussed at the Constructability Meeting, and as agreed to with the Campus and the Coordinator.
- H. Where electronic backgrounds will be made available to the Contractor, the documents should state this, define the electronic format of such files, define any waivers that must be signed, and make them available at no cost.
- I. Section 01 26 43 Amendments (Section E) should be included as required and as approved by the Coordinator.

- J. Append to the Project Manual (in 01 00 00 General Requirement Reference Documents) 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 (Section 01 35 23 Safety and Protective Facilities) 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. Do not modify the bid day and post bid submission requirements shown in the Information for Bidders without approval by the Fund.
 - N. Update the sets of actual samples of significant interior and exterior materials on boards keyed to plans per Directive 1C-3 Material and Color Selections.
 - O. Provide the applicable items below if changed significantly from the previous submission.
 - 1) Update your confirmation that available utilities have sufficient capacity to support the work.
 - 2) Update the geotechnical engineer's confirmation that that the design complies with the geotechnical recommendations.
 - 3) Append air permit modifications and/or preconstruction approvals per Directive 1D-8 Air Permits NYS and EPA Permitting Requirements for Air Contamination Sources.
 - 4) If applicable, update the LEED checklist per Directive 1B-7 Energy Sustainability LEED and Executive Orders.
 - 5) Compare the work areas shown in the Prebid submission against the work areas that were covered by the asbestos survey, identify any enlargement or changes in work areas, and propose additional sampling and testing if needed. See the Asbestos Checklist and Directive 1D-6 Asbestos Abatement.
- IV. 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, dates of all Drawings and project manual will 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 NYS Registration No. Date
sealed these Drawings

- C. Terms used on the Drawings to identify materials and equipment shall precisely match terms used in the Specifications. Do not use names or labels items on the Drawings that contradict the Specifications. The Consultant must use consistent terminology in the Drawings and Specifications.

- D. Tolerances: In general, work should be shown and detailed to allow for industry standard tolerances.

- 1) Where existing work is to remain, the existing tolerances should not be assumed to meet industry standard tolerances for new work. If existing tolerances cannot be verified through measurement and survey prior to publishing the final Specifications, then the Consultant should make reasonable but worst case assumptions, and show the additional materials needed to make new work fit into existing conditions.
- 2) The details should show leveling materials, shims, infill materials for voids/gaps between shims, trim to close gaps, sealants and other materials needed for weather tightness, acoustical performance, and/or for proper fit and closure.
- 3) For example, Illustration A below shows a detail drawn without consideration for tolerances and Illustration B below shows how it was revised to consider tolerances.

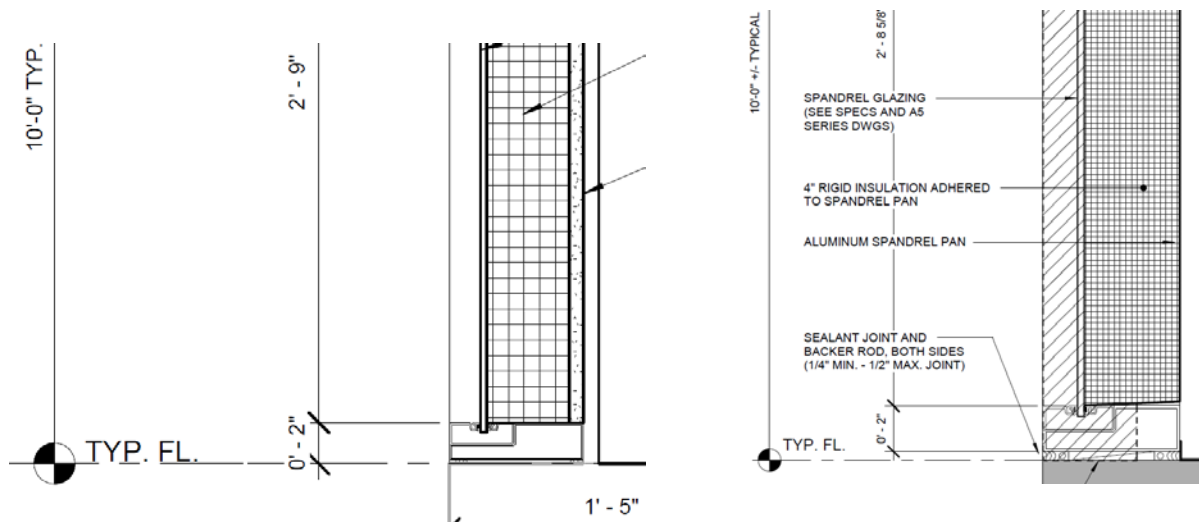


Illustration A

Illustration B

- 4) For compliance with Americans with Disabilities Act (ADA), follow the suggested best practices for architects and other design professionals in the “Dimensional Tolerances in Construction and for Surface Accessibility” report published by the United States Access Board.
- V. Completion of the Pre-Bid 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.
