Dormitory Authority

Gail H. Gordon, Chair
Thomas J. Murphy, Executive Director

March 23, 2000

The Honorable H. Carl McCall
State Comptroller
NYS Office of the State Comptroller
Alfred E. Smith State Office Building
Albany, NY 12236

Re: Dormitory Authority – State of New York
Contracting for Construction-Related Services
Report 98-S-23

Dear Comptroller McCall:

On December 28, 1999, the Comptroller released the final report "Contracting for Construction-Related Services", the result of an audit conducted at the Authority during 1998 and 1999. While the audit did not identify any material deficiencies in the Authority's construction contracting process, it noted that paper documentation of the process and compliance with procedures could be improved. In accordance with Section 170 of the Executive Law, within ninety days of the release of the final report, we are advising you of our progress to date with respect to the three recommendations contained in the report.

As previously noted in our response to the draft report, we have initiated regular meetings with our Project Managers to keep them informed of pertinent construction and project management issues. The most recent meetings were held on January 20 and 21, 2000. Along with other items on the agenda such as Safety, Training, Information Technology and Procurement, our Project Managers were educated as to the overall organizational benefits of well-documented procedures, and the specific newly-revised project management procedures relevant to this audit. On January 28, 2000, the Authority distributed updated procedures for the following construction contracting functions:

- Construction Contract Award
- Consultant Selection and Award
- New York State Contract Reporter Notice
- Change Orders
- Amendments

Corporate Headquarters
515 Broadway
Albany, New York 12207-2964
Tel: 518-257-3000
Fax: 518-257-3100

New York Office
One Penn Plaza, 52nd Floor
New York, New York 10119-0098
Tel: 212-273-5000
Fax: 212-273-5121

Buffalo Office
539 Franklin Street
Buffalo, New York 14202-1109
Tel: 716-884-9780
Fax: 716-884-9787

Web
www.dasny.org

Recommendation 3:

Formally require that any additional work authorized by a contract change order or an amendment must relate to the scope of the original contract. Ensure compliance with this requirement.

Status:

Implemented. The revised procedures state that one of the factors that should be considered when determining the necessity for an amendment or change order work is "if the proposed work is related to the original scope of the work". As we move forward we will encourage and monitor compliance with this requirement. Additionally, we are developing procedures to offer project managers more specific guidance when awarding work in emergency and critical situations.

Process analyses and improvements have always been integral components in the Authority's success, and we appreciate the Comptrollers assistance in evaluating our operations. In the future we will continue to identify and implement process improvements in our construction contracting function so as to better serve our clients and the citizens of New York State.

Sincerely,

Thomas J. Murphy
Executive Director

Gail H. Gordon
Chair

enc. Project Management Procedures
Contract Checklists

cc: Philip W. Wood, Deputy Executive Director
Douglas Van Vleck, Managing Director, Construction
Karen Graber, Director, Procurement
Jerry Barber, Audit Director, OSC

	Office of Construction Policies and Procedures	Office of Project Management Construction Contract Award (01/26/00)

Purpose

This procedure provides project managers and field staff with a detailed description of the required processes for awarding construction contracts. It is essential for all contracts to be awarded in compliance with the Authority's Procurement Guidelines (accessible online in folders: Authority-wide Information/ Policies, Procedures and Guidelines/ Board Policies/ Administration). The Procurement Guidelines and the internal procedures established by the Office of Contracts and Cost Control provide for a well structured and documented process in compliance with State law.

Units Involved

Project Management (PM)
Contracts and Cost Control Unit (CCU)
Office of Opportunity Programs (OOP)

Procedure

1) PM and the consultant may hold a pre-bid meeting to answer questions from prospective bidders.

2) PM may attend the bid opening if appropriate.

3) The Project Manager reviews the bid tabulation listing prepared by CCU.

4) If the Project Manager determines it is necessary, the Project Manager or a designated DASNY representative will conduct a pre-award meeting with the apparent low bidder to determine if the bid is the lowest, most qualified bid. In order to facilitate this assessment, the Project Manager or designee may review the contractor's UCQ, trade payment breakdown vs. the consultant's project estimate, listing of proposed subcontractors, past experience on DASNY projects, M/WBE plan, references and other relevant information.

5) The Project Manager determines the lowest responsible bidder, assembles a recommendation to award package consisting of the following information and transmits it to CCU for review, approval and preparation of the Letter of Intent and the contract(s).

   - A memorandum from the Project Manager describing the bid review and evaluation process and the rationale for proceeding with the contract award. Topics that may be included in this memorandum are comparison of the contractor's trade payment breakdown to the consultant's project estimate, confirmation of the contractor's understanding of the contract scope and schedule, experience on projects of similar size, scope and complexity and other pertinent issues related to the contractor's ability to perform the requirements of the contract.
   - A supporting letter of recommendation from the consultant and/or construction manager.

- A list of the specifications and drawings that apply to the project.
- Executive Order 170.1 checklist (Guidelines for Responsibility Determinations)
- Funding verification
- Copy of the Construction Permit
- Approval from OOP of the contractor's M/WBE plan

6) When a decision to award a contract is made, designated CCU staff assemble all post bid and pre-award information. A Letter of Intent signed by the Managing Director is sent to the contractor along with a contract and bond forms for execution.

7) The contract signed by the contractor is circulated, along with other supporting information such as the insurance certificates, through Risk Management, Counsel's Office and the Managing Director for review and execution internally. An executed copy of the contract is returned to the contractor and PM.

Instructions

- Project Managers should familiarize themselves with the requirements of the Authority's Procurement Guidelines, New York State Contract Reporter Notice and related FMS Procedures.
- PM creates a Construction Bid Record and log in Change Management in FMS.
- The Project Manager, in conjunction with CCU, reviews and completes Executive Order 170.1 - Uniform Guidelines for Responsibility Determinations. The Project Manager is responsible for completing items 1, 3, 9, 11, 12, 13 and 14. The Project Manager may, on a discretionary basis, also consider other items on the checklist. Items on the checklist not considered by the Project Manager must be marked N/A.

Purpose

The Authority seeks to employ consultants to provide services to meet the objectives of the Authority and the client with regard to design and/or construction support services for a project(s). The cost of services provided, and the construction resulting from those services, shall remain within the final established budget. Consultants include, but are not limited to, architectural, engineering, construction managers, construction consultants, printing, materials testing, cost estimating, asbestos monitoring and testing and artist work.

The selection process must:

- comply with the Authority Procurement Guidelines and New York State Laws and Regulations;
- be competitive (except as provided for special situations - see the Procurement Guidelines);
- provide for participation of client representatives, if desired, where the selection process is controlled by the Authority;
- be conducted in an organized, thorough and well documented manner; and
- result in the selection of the highest qualified professional firm at a fee determined by the Authority to be fair and reasonable.

Units Involved

Project Management (PM)
Contracts and Cost Control Unit (CCU)
Managing Director of Construction
Office of Opportunity Programs (OOP)
Engineering Services Unit (as applicable) (ESU)

Procedures — Consultant Selection Process

1) PM receives and reviews the client request for consultant services.

2) PM requests the CCU to place a notice in the NYS Contract Reporter describing the project and requesting expressions of interest from prospective consultants. This is also known as a Request for Qualifications (RFQ).

3) PM may commence development of the Request for Proposal (RFP) package which will include the following:

   - Sample DASNY Agreement, including Consultant Utilization Plan, insurance requirements and NYS Uniform Contracting Questionnaire forms.
   - Appendix "A" - Scope of Services, which details the scope of work and extent of design, bid and construction phase services, as appropriate for the specific project.
   - Cover letter outlining instructions for submittal of both the technical and the fee proposal, date for pre-proposal meeting (if applicable), submission of proposals, request for multiplier breakdown and any other relevant project information.
   - Staffing utilization spreadsheet (fee breakdown).

4) Submit the draft RFP to CCU for review, and to the Engineering Services Unit if they were involved in program development.

5) PM describes the consultant review/selection process to the client.

6) PM receives and reviews the responses to RFQ and establishes the long list.

7) PM forms committee and establishes the short list of prospective consultants and prepares a matrix (Exhibit 1) showing the basis for the compilation of the short list of candidates. The selection matrix is available on-line as a template.

8) Submit the long list, recommended short list and matrix to the Managing Director of Construction. The Managing Director of Construction signifies his approval by sending an e-mail to PM.

9) PM transmits the RFP package to the selected firms and sends a copy of RFP package to CCU and OOP. The RFP should direct the consultant to submit its proposal in two parts. Part One - Technical/Qualifications Proposal should be submitted to the Project Manager and Part Two - Cost Proposal, NYS Uniform Contractors Questionnaire (UCQ), etc. should be submitted to the Director of the Contracts and Cost Control Unit (Exhibit 2).

10) PM may conduct a pre-proposal meeting at the site.

11) Upon receipt of the RFP's, PM requests the CCU to review and issue a determination (via e-mail) of the acceptability of the UCQs.

12) PM, after reviewing the RFPs, advises the selection committee of the date, time and location of the interview sessions. PM and the selection committee may conduct interview/presentation sessions and select the most qualified consultant.

13) Proposals are evaluated on the service contractors:
- Technical qualifications
- Financial stability
- Past performance for DASNY
- Staff availability
- Experience
- Possible conflicts of interest
- Fee

14) PM creates a prioritized list of the selected firms. PM provides the OOP with a copy of the list and the name, address, phone number, contact person and the Consultant Utilization Plan of the recommended consultant.

Consultant Contract Award

1) PM obtains the fee proposal of all firms from CCU and reviews the hours, rates and total cost proposed by the selected consultant.

2) PM, in conjunction with CCU, negotiates a mutually acceptable fee for the work. This process includes distribution of total hours for each phase of the work, agreement on hourly rates for each classification of personnel, agreement on the consultant multiplier, amount and types of reimbursable expenses and any other issues affecting the value of the contract.

3) Concurrent with contract negotiations PM prepares the Request for Agreement (RFA) package. Upon completion of negotiations, the PM inserts the agreed contract amount on the RFA form (Exhibit 3) and forwards the RFA package to CCU.

4) The RFA package shall include the following items:

- Completed RFA form with the firm's legal name, the name of a corporate officer and Federal ID number. This form serves as the transmittal and must be the top sheet of the entire package.
- PM provides a copy of the request for and approval of the short list, written recommendation to award including the rationale for selection, evaluation of each firm, cost analysis, notes from the negotiation and any other pertinent information related to the selection.
- Most current version of Appendix "A" - Scope of Services transmitted electronically.
- Copy of the Job Status Inquiry screen for the project as a verification of available budget funds.
- Certificates of insurance and W-9 form for the selected firm.
- OOP approval of consultant's Consultant Utilization Plan or PM's assurance that follow-up for same will take place.

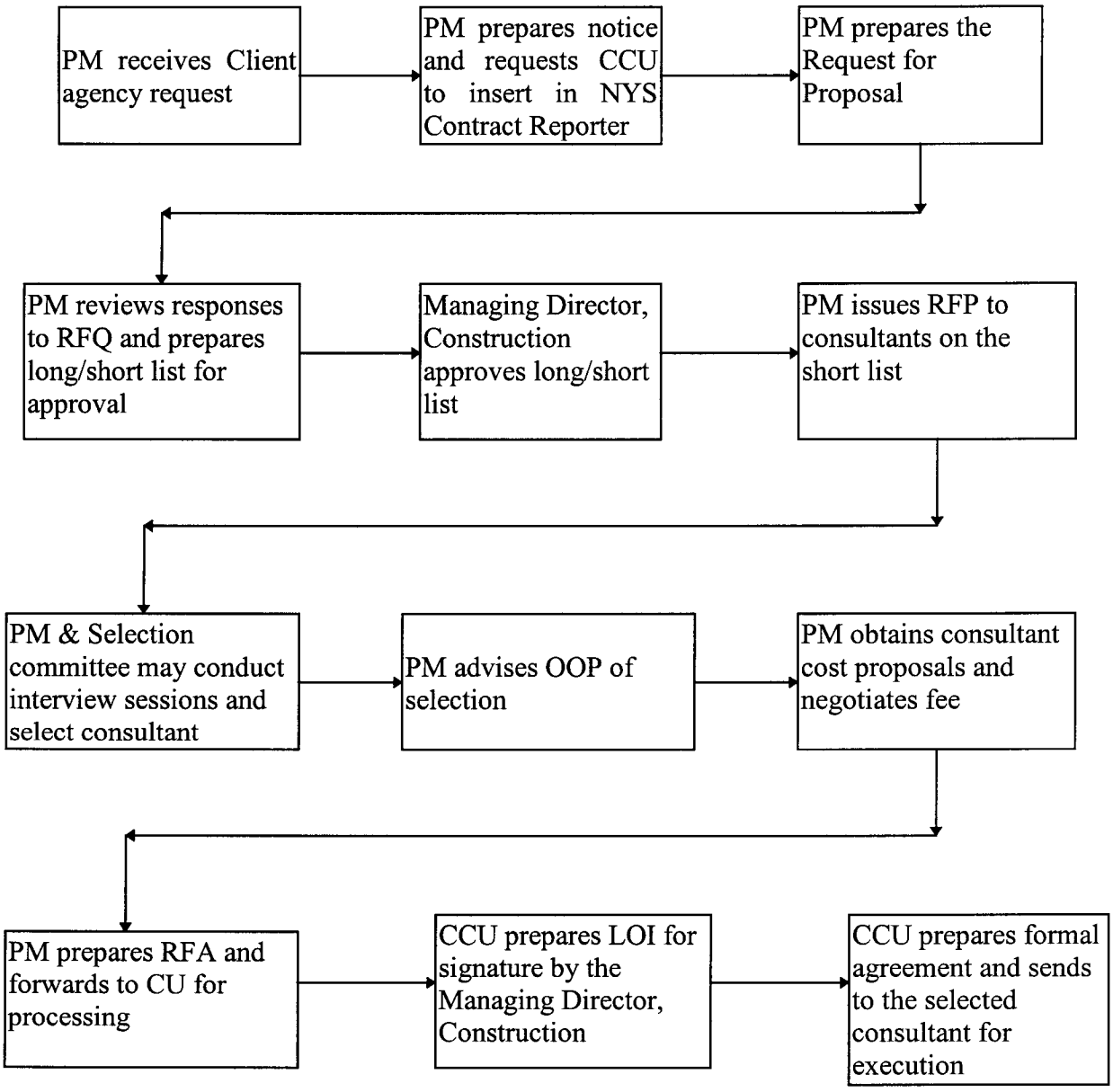
5) Upon receipt of the RFA, CCU prepares the consultant design contract and provides the PM with a copy for comment purposes.

6) CCU will prepare the Letter of Intent for signature by the Managing Director of Construction. The formal consultant design contract will be prepared by the CCU and forwarded to the consultant for signature.

Instructions

- Project Managers should familiarize themselves with the requirements of the Authority's Procurement Guidelines and Scope and Budget Confirmation Procedure.
- PM must create RFP record and log in change management in FMS.

Consultant Selection Procedure
FLOW CHART



Selection Matrix

Exhibit 1

SELECTION MATRIX

Selection Committee:
Client Agency
Field Rep.
Project Manager

Institution
Description
DASNY Project #

Requirements Key
5 - Most Desireable
1 - Least Desireable

Consultant Responses to NYS Contract Reporter Advertisement

						JOB SPECIFIC REQUIREMENTS				
#	Firm	DASNY Experience	Similar Project Experience	Composition of Design Team	Distance from Site				Total	Comments

Note: The criteria for selection outlined on the matrix are required factors and are not subject to change. There are also three blank job specific requirements which may be completed at the discretion of the project manager.

Selection Matrix.dot

Rev. 1/24/00

RFP Transmittal Letter

Exhibit 2 p. 1-2

April 29, 1998

Mr. Richard J. Jones AIA
ABC Associates
111 Someplace St.
Anywhere, New York 12987

Re: Facility
Project title
Project No.

Dear Mr. Jones

The Dormitory Authority of the State of New York will engage a consulting firm to provide design and construction services for the referenced project. Your firm, along with two others, has been selected to submit a proposal to provide professional services for this project.

The attached Appendix "A", Scope of Services and Capital Budget Request (scope of work), will serve to define the character, nature and extent of services to be rendered. A "sample" DASNY consultant agreement is also attached for your review. Please note the insurance requirements contained in Article X, as well as changes to Articles I, V, XIII and new Article XV. This Agreement, combined with the Appendices, will constitute the formal contract.

If you wish to visit the site prior to submitting your proposal, please contact Mr. Field Rep at (716) 123-4567. Mr. Field Rep is the Authority's Field Representative at this facility.

Your proposal is to be submitted in two parts as follows:

Part 1 - Technical/Qualifications Proposal

a) Provide descriptive information demonstrating your firm's qualifications for completing this project.

b) This information is to be presented in the following order:

1) A statement as to why your firm should be selected.

2) Your design team make-up, including subconsultants if applicable. Please include standard forms 254/255 and resumes of key personnel to be assigned to this project.

3) Recent relevant project experience.

4) Three (3) recent client contacts for reference purposes, excluding DASNY and OMH employees. Please provide name, title, address, phone number and a summary of the services that your firm provided.

5) A preliminary project schedule.

April 29, 1998
Page 2

6) Consultant's Utilization Plan; per Appendix D, Item 17 (9% MBE, 6% WBE, 10% EEO). Please be sure to complete pages 1-5 of the form. If you require assistance in complying with these goals, you should contact Olivia Peck in our NYC offices at (212) 273-5114.

7) Any other material which your firm may wish to submit.

c) **Submit Part 1 to my attention at 515 Broadway, Albany, NY 12207, no later than Monday, May 11, 1998.**

Part 2 - Cost Proposal

a) Provide estimated manpower requirements and costs associated with performing the identified Scope of Services. Attached is a Consultant Project Cost Proposal worksheet for your use. Please make changes as necessary to fully account for all phases of the work and that of your subconsultants. Be sure to break out all extra services and reimbursable expenses as separate line items.

b) Provide documentation indicating your firm's Overhead & Profit Multiplier and that of your subconsultants (if any). The calculation should include all direct labor expenses, indirect & operating expenses and proposed profit (note: the Authority only allows profit on direct labor expenses). Please provide a certified payroll statement to support the unloaded salary/rates of your employees.

c) Provide completed NYS Uniform Contracting Questionnaire (copy enclosed).

d) Certificates of Insurance per Article X of the Agreement.

e) **Submit Part 2 to Dormitory Authority State of New York, Director of Contracts and Cost Control, 515 Broadway, Albany NY 12207, no later than Monday, May 11, 1998.**

If you should have any questions, do not hesitate to give me a call at (518) 123-4567.

Sincerely,

Project Manager

Enclosures
cc: Facility Rep
PM's Supervisor
Client Agency Rep.
Director CCU
DASNY Field Rep.

Request for Agreement

Exhibit 3 p. 1-2

DORMITORY AUTHORITY — STATE OF NEW YORK
REQUEST FOR AGREEMENT, AMENDMENT, OR CLOSE AGREEMENT

TO: William W. Roe, Director of Contracts and Cost Control
FROM: _____ DATE: _____

PROJECT DESCRIPTION

Client: _____ Facility: _____
Address: _____
JD Edwards Project No.: _____
JD Edwards Contract No.: _____
JD Edwards Change Request No: _____ Budget Category No.: _____ (See Reverse)

REQUEST FOR:
Agreement: ☐ Original Agreement: _____
Amendment: ☐
Close: ☐ Agreement: _____
Taxpayer ID or Social Security No.: _____
Firm Name: _____ JD Edwards Supplier #: _____
Address: _____ Procurement Agreement Designation Code: (See Reverse) _____
_____
Phone No.: _____ Fax No.: _____
Corporate Officer/Title: _____
BUSINESS DESIGNATION:
PLEASE CHECK ONE: Minority ☐ Small Business ☐ Women-Owned ☐ Other ☐

REASON FOR REQUEST AND BACKUP MATERIAL:

COMPLETION DATE: _____ FUNDING SOURCE #: _____
TYPE AND AMOUNT OF PAYMENT: TOTAL AMOUNT REQUESTED:
Lump Sum $ _____ $ _____
NTE: $ _____

Project Manager: _____ Date: _____
(Signature)
Director of Contracts and Cost Control: _____ Date: _____
(Signature)

FOR OFFICE USE ONLY

Date Received: _____ Sequence Number Assigned: _____

Request for Agreement

Exhibit 3 p. 2-2

Budget Categories for Project Budgeting
And Inquiries In JD Edwards

Category 1: Cost of Issuance	**Category 2: Site/Land Acquisition** Real Estate Fees Fixtures Relocation Costs (Property Management, Eviction, etc.) Real Estate Counsel Title Insurance Surveys (Damage Maps and others) Special Consultants for acquisitions Photography and Video Tape Documentation
Category 3: Design Consultants Architects and Engineers Site Surveys, Test Borings Master Planners, traffic, Program and Soils Consultants Document Reproduction Services Construction Manager for the Design Phase Litigation Counsel	**Category 4: Construction Consultants** Construction Manager for the Construction Phase Testing and Controlled Inspections NYBFU Inspections Litigation Counsel Special Elevator Inspections
Category 5: Construction Costs (Contracts) General Construction, Plumbing, HVAC and Electrical Contracts Asbestos Removal and other Specialty Construction Contracts	**Category 6: Other Project Costs** General Conditions under Construction Manager Contract Site Security Utility Costs Temporary Services Permits, Fees, etc. Field Representatives Miscellaneous Costs (Messenger, Mail, meetings, etc.)
Category 71: Furniture & Equipment (for Clients) Regular F and E purchase for client institutions Fine Arts purchases Special Consultants (Telecommunications, Data Processing, etc.) F and E Field Representatives and Coordinates Construction Change Orders funded from F and E Funds (requires a special process for handling)	**Category 79: Fine Art (CUNY & NYC projects only)**
Category 8: Contingency	**Category 9: DASNY Labor (not in use yet)**

PROCUREMENT DESIGNATION CODE

A-2	Competitive proposals obtained.
A-2E	Competitive proposals obtained, exemption from advertising in the Contract Reporter approved by Executive Director.
C	Agreement with personal service provider entered into on behalf of the client, where selection is controlled by the client.
E	Exempt from competition and advertising due to emergency or unique nature of work, with approval by Executive Director.
EC	Completion Agreement written to complete the work of a Contractor or Consultant who could not meet the requirements of the contracts, and which has been approved by the Executive Director.

Note: All Amendments should be designated with the same code as the original agreement.

	Office of Construction Office of Project Management	Procedures New York State Contract Reporter Notice (01/26/00)

Purpose

In order to comply with New York State Law, the Authority must place a notice of bidding opportunities in a Procurement Opportunities Newsletter, commonly known as the New York State Contract Reporter, published weekly by the New York State Department of Economic Development. The Contract Reporter publishes information on bidding opportunities of $5,000 and above by the Authority. The purpose of the Contract Reporter is to foster business development and competition by serving as a central information source on bidding opportunities for businesses that want to participate in State procurement.

There are certain exemptions to this advertising requirement, most notably emergency contracts (health, life, safety or threat to State property requiring immediate action).

Project Managers should familiarize themselves with the requirements for using the Contract Reporter and the exemptions described in the Authority's Procurement Contract Guidelines (available in the Authority-wide Information Directory). Questions concerning the Contract Reporter requirements and/or exemptions should be directed to the Contracts and Cost Control Unit.

Units Involved

Project Management (PM)
Contracts and Cost Control Unit (CCU)
Office of Opportunity Programs (OOP)

Procedure

1) Complete a New York State Contract Reporter Insertion Form (Exhibit 1).

- Personal Services - at the time PM receives a request for design service procurement, has an understanding of the scope of work and services required and has confirmed the availability of funds, PM should complete the insertion form.

- Construction contracts - at the time a Pre-Bid Summary has been approved by the Engineering Services Unit (ESU), PM should complete the insertion form and attach a copy of the Pre-Bid Summary that was approved by ESU.

- Special circumstances which require the NYS Contract Reporter insertion process to be accelerated must be discussed by the Project Manager with their supervisor and the Director of Contracts and Cost Control.

2) In CCU, the Contract Administrator or Claims Analyst will:

- Revise and edit the insertion form as necessary.
- Fax the insertion form to the NYS Department of Economic Development and e-mail a copy to PM, Office of Opportunity Programs and the Office of Communications and Marketing.

- Place a copy of the insertion form, fax confirmation and approved Pre-Bid Summary form in the contract file.
- After publication, download a copy of the notice and place in the contract file.

Instructions

The Contract Reporter insertion form is accessible as a template by entering Exchange, click on Public Folders, click on All Public Folders, click on DASNY Templates, click on the Construction folder, click on the Project Management folder and then click on Contract Reporter Insertion form. When the template is opened it should be saved with the appropriate project designation before being completed.

The first blocked section of the insertion form is completed by the CCU. Of specific importance (and noted on the form - upper right hand corner) is the midnight Monday deadline for submission. Forms received after that time will appear in the next weekly issue. Issues are published on Monday.

Contract Category Number - This information is obtained from the Contract Reporter and will be inserted in the form by CCU.

Contract ID number - This is the number that has been assigned to the project in FMS.

Contract Project Title - Title assigned to the project in FMS. If the scope of work of the project includes asbestos abatement work the project title must include the word "ASBESTOS."

Description of goods or services that are to be bid - Brief description of the scope of work of the project. The scope of work may pertain to individual contracts, multiple contracts, projects or to entire programs. For construction contracts and personal services contracts, the description should include a range for the estimated construction cost of the work.

Eligibility/Qualifications Requirements/Preferences - Information advising the consultant/contractor of insurance, MWBE, bid bond and other requirements.

Subcontracting provisions - PM contacts OOP for applicable project requirements.

Proposal Due Date - This is either the date for the expression of interest or the date bids are due. PM should check Contract Reporter insertion form schedule to obtain the earliest proposal/bid date. The lead time from the point that the CCU receives the insertion form and the proposal/bid due date is approximately 5 weeks.

Contract Term - This is the estimated completion date for the service being requested.

Location where goods are to be delivered or performed - This is the project address. It is important to be as specific as possible with locations and campus names in order to avoid confusion on the part of the prospective provider of the services.

Contact information block - This section provides information about the project contact person.

Submit to block - For construction bids the information in this section will generally be determined by the office location (Albany or New York City) of the Project Manager: DASNY Contracts Unit, 515 Broadway, Albany NY, 12207-2964 or DASNY Contracts Unit, One Penn Plaza, 52nd Floor, New York, NY 10119-0098.

Instructions:

PM sends the completed form via E-mail to the CCU.

New York State Contract Reporter Insertion Form — Exhibit 1

NEW YORK STATE CONTRACT REPORTER INSERTION FORM

Agency: Office: Sent via: ☐ FAX Page of	Contact: Phone: Date: **FORMS RECEIVED AFTER MIDNIGHT MONDAY WILL GO INTO THE NEXT ISSUE**

INSTRUCTIONS

- The information above must be completed but will not appear in the **Contract Reporter**. The information below will appear in the **Contract Reporter.**
- The law requires you to complete this form in full. The form must be typewritten. Please use upper/lower case—not all caps.
- Fit all copy in space provided. For sections not applicable, type "N/A".
- No fax cover sheet required. For multiple insertions submitted at one time, complete box (above) in full for page 1 and number following sheets "Page 2 of X," etc.

Contract Category Number	**Contract ID Number**	**Contract/Project Title**
Description of Goods or Services to Be Bid **These goods or services have been purchased from an out-of-state/foreign vendor within the past 3 years:** ☐		
Eligibility/Qualifications Requirements/Preferences		
Subcontracting Provisions **Minority business sub-contracting goal: ____%** **Women-owned business sub-contracting goal: ____% EEO Goal ____%**		
Proposal Due Date:	**Contract Term:**	
Location Where Goods to be Delivered or Service Performed		

Contact	**Submit To (if different from Contact)**
Name & Title: Department: Agency: Address: City/State/ZIP: Phone/Fax:	

Submit this form to **BOTH**:

Ad-Vantage Printing & Graphics, Inc. **AND**
P.O. Box 4452
Utica, NY 13504
FAX: (315) 797-2300
PHONE: (315) 797-2331

NYS Department of Economic Development
One Commerce Plaza
Albany, NY 12245
FAX: (518) 473-6928
For Inquiries: (518) 486-4141

Contract Reporter Insertion Form — Revised 10/96

	Office of Construction Office of Project Management	Procedures Change Orders (1/26/00)

Purpose

The purpose of this procedure is to provide guidance for the proper processing of change orders for construction contracts. Proper care in the handling of change orders is necessary for a number of reasons. Change orders, including program change orders, can have a significant impact on project budgets and schedules. Improperly processed change orders can impact a project schedule and may result in disputes/claims. Since work covered by change orders is incidental to the original contract, it is not covered by public bidding law requirements and, therefore, it is important to ensure that there is an adequately documented audit trail.

The factors that should be considered when determining the necessity of change order work are:

- the proposed work is not, in fact, part of the original contract work;
- the dollar amount of increase as related to the original contract amount; and
- if the proposed work is related to the original scope of work.

Additional work that is determined to be beyond the scope of the original contract represents a new undertaking and must be bid, unless it is emergency work or pertains to another exemption type.

Units Involved

Project Management (PM)
Cost Control Unit (CCU)
Client

Procedure

1) DASNY representative requires contractors to submit wage rate breakdowns for labor classifications performing work on the project. The wage rate breakdowns are submitted to CCU for review and approval.

2) A request for additional work can be initiated by the client, contractor, consultant or DASNY. If the request has merit, PM will create a Change Request Record and tracking log in FMS Change Management (Exhibit 1). The required data to be entered includes:
   - Scope of work of the change order (include in description: open text box, hit F15 - Shift F3)
   - Reason for the change order (include in description)
   - Impact on the project schedule (include in description)
   - "TYPE" of change order (see definitions in the Instructions section that follows)
   - Budget code
   - Budget estimate (anticipated amount)

3) PM should verify the availability of funding to cover the anticipated amount (review the Job Status Inquiry screen). If the funding is available, PM will print a Change Request Summary (hit F21 - Shift F9) from the Change Request Record in FMS Change Management (Exhibit 2) and obtain the necessary approvals.
   - Changes with an estimated cost of less than $50,000 - signature of Program Director.

- Changes with an estimated cost of $50,000 to $150,000 - add signature of Director of Project Management.
- Changes with an estimated cost in excess of $150,000 - add signature of Managing Director of Construction

4) DASNY Representative sends a request to the contractor to submit a cost proposal (update Change Request Log), including subcontractor/supplier costs on company letter head, which supports the costs of the proposed work.

5) DASNY Representative receives and reviews the contractor's proposal (update Change Request Log) and negotiates a reasonable cost. The DASNY Representative may consult with CCU on the reasonableness of the cost proposed by the contractor.

6) DASNY Representative prepares the change order document (Exhibit 3A and 3B Health Services projects) and obtains the signatures of the architect and/or CM and the contractor. If the operating MOU requires the client signature the DASNY Representative will obtain same.
   - **All** change orders for the Health Services program are prepared using the change order document Exhibit 3B.

7) DASNY Representative completes a Change Order Cost Review Certification form (Exhibit 4) as evidence that specific required change order review steps have been accomplished.

8) The PM assembles the change order package consisting at a minimum of the following information:
   - Change Request Summary report with approvals
   - Change order
   - Change Order Cost Review Certification
   - Contractor's proposal
   - Wage rate classification breakdowns that apply to the work
   - PM updates Change Request Log in FMS

9) The Project Manager submits the completed change order package to the Program Director for review. If the value of the change order is less than $50,000, the Program Director signs the change order and forwards it to CCU for approval. If the value of the change order exceeds $50,000, the Program Director (update Change Request Log) forwards the change order package to CCU for approval and subsequent sign-off by the Director of Project Management or the Managing Director, as applicable.

10) CCU reviews and approves the change order (by stamping "Approved" and initialing). If revisions to the change order are required CCU will notify the appropriate Program Director. If the change order package is incomplete (for ex. no change request), CCU will send an e-mail indicating the problem to the Project Manager and a copy to the Director of Project Management and the Program Director. CCU forwards the approved change order to the designated staff in the Project Management Unit.

    - Change orders with a value of less than $50,000 skip to step no. 11.

The designated staff in Project Management will obtain signatures for change orders of $50,000 or more as follows:

- Change orders with a value of $50,000 to $150,000 require the signature of the Director of Project Management (update Change Request Log).

- Change orders with a value in excess of $150,000 require the signature of the Managing Director of Construction (update Change Request Log).

11) The designated staff in the Project Management Unit completes the posting process in FMS and forwards the original change order package (except for Health Services change orders over $25,000) to Central Files.

12) With the exception of Health Services change orders over $25,000, the designated staff in the Project Management Unit forwards a copy of the change order face-sheet and a copy of the budget edit report to the Project Manager as evidence the change order is approved.

13) For Health Services change orders over $25,000, the designated Project Management staff forwards the original change order package to the Health Services Unit. The Health Services Unit forwards the change order to the Office of the State Comptroller (OSC) for approval. After OSC approval, the Health Services Unit forwards a copy of the face-sheet and a copy of the budget edit report to the Project Manager as evidence the change order is approved and sends the original change order package to Central Files.

14) Designated Project Management staff will advise the contractor that the change order is approved.

Instructions

- Detail procedures related to the processing of change orders in the Financial Management System (FMS) are covered in the FMS sections of this manual.

- The change order cost should be broken down by type and by labor and material cost.

- The change order types are defined as follows:

  ALT ... Alternate -- A change order issued to increase/decrease the contract amount for items of work identified as a component of the bid but not accepted at time of award.

  BAC... Backcharge -- A change order issued to increase/decrease the contract due to backcharges against a specific contract. For example the General Contractor fails to do clean up in accordance with the plans and specs. A change order is issued to another prime contractor to do the work and the GC's contract is backcharged.

BND... Bond/Insurance -- A change order issued to a contract for the increased cost related to bonding and/or insurance.

CLA ... Claim Settlement -- A change order issued to settle a claim.

CLO ... Close Out – A change order issued to a contractor to close-out an allowance or an item of work that was not performed.

COM ... Completion Contract -- A change order issued to a prime contractor to complete work that was included in another contract that was terminated and the Surety failed to perform.

COR ... Coordination -- A change order issued to a prime contractor for additional work related to the failure of the Architect/Engineer/Construction Manager to properly coordinate the installation of the work by the various contracts.

DE ... Design Error -- A change order for work that is required to be performed by the contractor that results from improperly installed work that resulted from design defects.

DO ... Design Omission –Change order work resulting from defects in the design that are discovered prior to the contractor incurring any costs for the improperly described work.

EMR ... Emergency Work -- A change order issued due to an unanticipated situation that results in a life safety/threatening condition.

FLD ... Field Conditions -- A change order issued related to conditions that could not have reasonably been anticipated by the consultant during the design of the project.

INF ... Informational --A change order issued for an extension of time.

INS ... Insurance Settlement - A change order issued to cover work performed due to act of God, fire, flood, hurricane, tornado, etc.

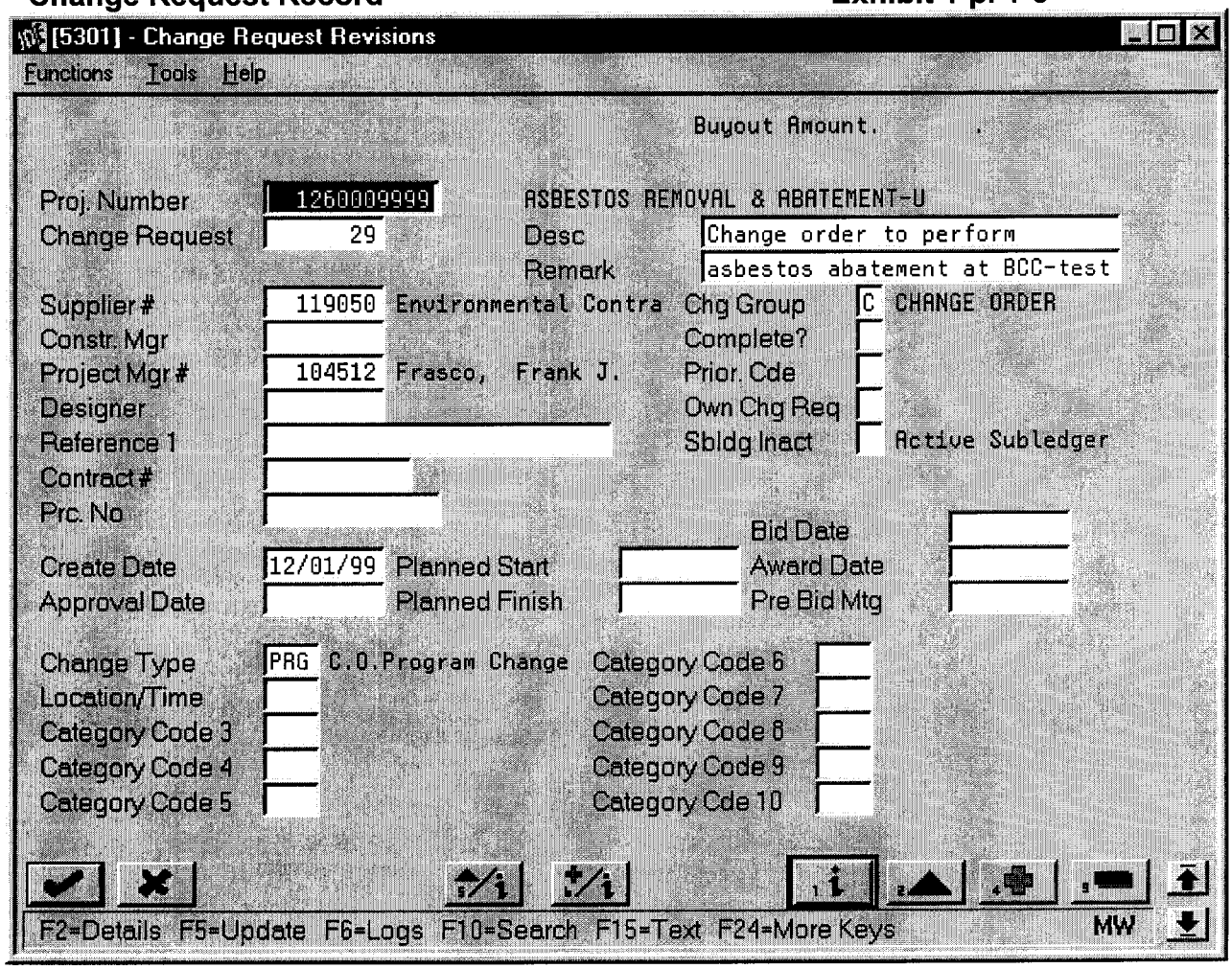
MAT SUB ...Material Substitution - A change order that results from a request to substitute a different material/equipment from the original specifications.

OFS ... Off-site Storage -- A change order issued for material stored off site.

PRG ... Program Change – A change order that results from a request by the client to change or increase the scope of work of the project.

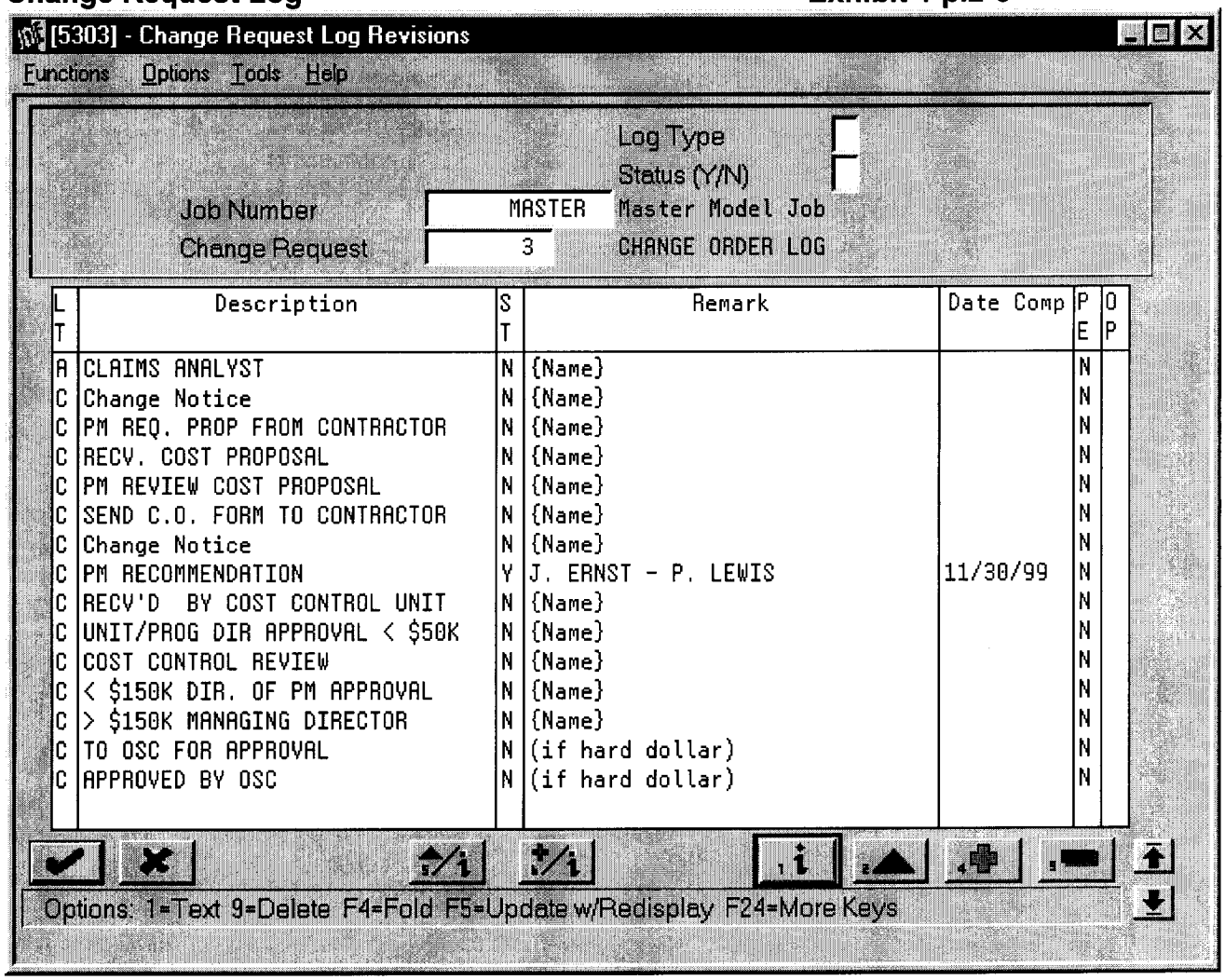
Change Request Record

Exhibit 1 p. 1-3



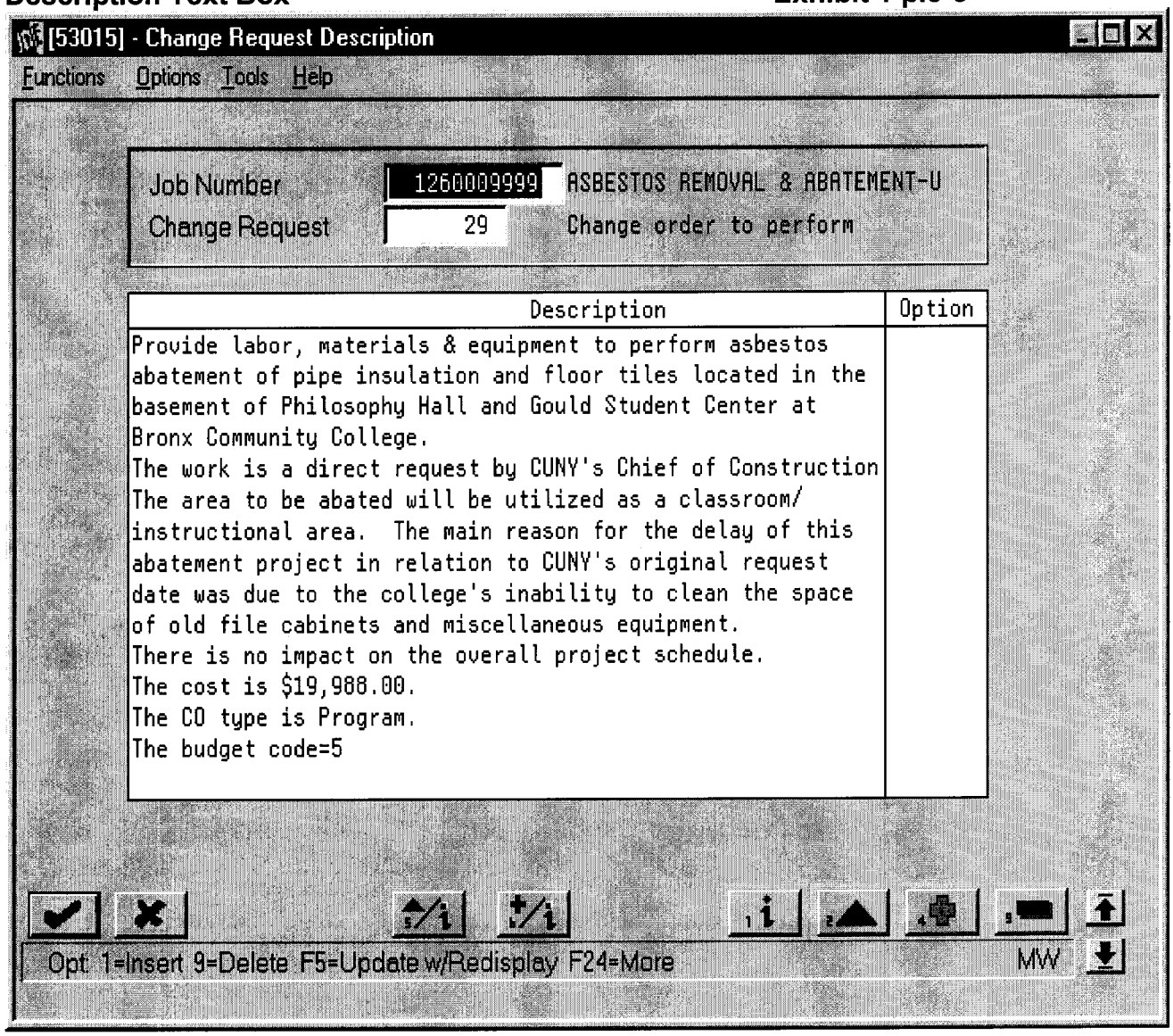
Change Request Log

Exhibit 1 p.2-3



Description Text Box

Exhibit 1 p.3-3



Change Request Summary

Exhibit 2 p. 1-2

5301P

DORMITORY AUTHORITY OF NYS
Print Change Request Summary

Page - 1
Date - 12/01/99

Job Number . . . . 1260009999 ASBESTOS REMOVAL & ABATEM
Change Number. . . 29
Description. . . . Change order to perform
Supplier # . . . . 119050 Environmental Contractors
Responsible Mgr. . 104512 Frasco, Frank J.
Orig. Date 12/01/99
Approval Date. . .
Initiated By . . . PRG C.O.Program Change

Chg Group . . . . C CHANGE ORDER
Priority Code. . .
Complete?. . . . .
Ref. Number. . . .
Owner Change Reqd.
Cost Code . . . .
Area . . . . . .

CHANGE REQUEST DESCRIPTION

Provide labor, materials & equipment to perform asbestos abatement of pipe insulation and floor tiles located in the basement of Philosophy Hall and Gould Student Center at Bronx Community College.
The work is a direct request by CUNY's Chief of Construction
The area to be abated will be utilized as a classroom/ instructional area. The main reason for the delay of this abatement project in relation to CUNY's original request date was due to the college's inability to clean the space of old file cabinets and miscellaneous equipment.
There is no impact on the overall project schedule.
Cost: $19,988.00
CO Type: Program
Budget Code=5

"Dates Expired" field contains default information. This field is not relevant to the processing of a change order.

CHANGE REQUEST LOG DETAIL

LT	Description	ST	Explanation	Dates. Issue	Expired	Required	P E	Cat CD1	Cat CD2
A	CLAIMS ANALYST Test to see text field	Y	McEvilly		12/31/30	11/30/99	N		
C	PROGRAM CHANGE-CLIENT REQUEST	N	(Name)		12/31/30		N		
C	PM REQ. PROP FROM CONTRACTOR	N			12/31/30		N		
C	RECV. COST PROPOSAL	N			12/31/30		N		
C	PM REVIEW COST PROPOSAL	N			12/31/30		N		

Required approvals:

- **Less than $50,000 - signature of Program Director**
- **$50,000 to $150,000 - add signature of Director of Project Management**
- **In excess of $150,000 - add signature of Managing Director of Construction**

Change Request Summary

Exhibit 2 p. 2-2

5301P — DORMITORY AUTHORITY OF NYS — Page - 2
Print Change Request Summary — Date - 12/01/99

CHANGE REQUEST DESCRIPTION

CHANGE REQUEST LOG DETAIL

LT	Description	ST	Explanation	Dates Issue	Expired	Required	P E	Cat CD1	Cat CD2
C	SEND C.O. FORM TO CONTRACTOR	N			12/31/30		N		
C	REC. C.O. FORM FROM CONTRACTOR	N			12/31/30		N		
C	PM RECOMMENDATION	Y	Frank Frasco		12/31/30	10/18/99	N		
C	RECV'D BY COST CONTROL UNIT	Y	Dimura		12/31/30	11/23/99	N		
C	UNIT CHIEF APPROVAL	N			01/01/93		N		
C	COST CONTROL REVIEW	N			12/31/30		N		
C	< $100 DIR. OF PM APPROVAL	N			12/31/30		N		
C	> $100 DEP. EXEC. DIRECTOR	N			01/01/93		N		

CHANGE REQUEST DETAIL

Description	Cost Amount	ST	LT	Revenue Amount	ST	LT	Buyout Amount	ST
co#1-test							19,988.00	A
Qty/UM/Unit Price							.0000	
Account								
Sbl/Type/Date . .								

Change Order — Exhibit 3A

DORMITORY AUTHORITY — STATE OF NEW YORK
515 Broadway, Albany, New York 12207-2964

CHANGE ORDER

TO: Contractor: _____
Street: _____
City State Zip: _____

JD Edwards Contract No: _____
Change Order No: _____
JD Edwards Project No: _____
JD Edwards Change Request No: _____

Original Contract Date: _____
Original Contract Amount: _____
Total Approved Change Orders: _____
Current Contract Amount: _____

You are hereby directed to perform all labor and to provide all materials necessary to carry out the work described below:

Project Name and Location:

Description of Work:

Full consideration for this change order shall be an INCREASE/DECREASE of the original contract amount by:

	Dollars
Labor =	
Material =	
Total =	

INCREASE/DECREASE of the original schedule by _____ days. In accepting and executing this change order the contractor, its heirs, executors, administrators, successors, and assigns hereby release and forever discharge the Dormitory Authority of the State of New York, its successors, and assigns from any and all actions, causes of action, claims and demands whatsoever in law or in equity which the contractor ever had, now has or may have against the Dormitory Authority of the State of New York in any way arising out of this change.

Recommended by:

CONSTRUCTION MANAGER OR ARCHITECT

_____
Name

By: _____ _____
Date

Accepted by:

CONTRACTOR

_____
Name

By: _____ _____
Date

INSTITUTION (WHERE REQUIRED)

_____
Name

By: _____ _____
Date

Approved by: DORMITORY AUTHORITY

By: _____ _____
Date

_____
Title

Health Services Change Order — Exhibit 3B

DORMITORY AUTHORITY — STATE OF NEW YORK
515 Broadway, Albany, New York 12207-2964

CHANGE ORDER

TO: Contractor: _____
Street: _____
City State Zip: _____

JD Edwards Contract No: _____
Change Order No: _____
JD Edwards Project No: _____
JD Edwards Change Request No: _____

Original Contract Date: _____
Original Contract Amount: _____
Total Approved Change Orders: _____
Current Contract Amount: _____

You are hereby directed to perform all labor and to provide all materials necessary to carry out the work described below:

Project Name and Location:

Description of Work:

Full consideration for this change order shall be an INCREASE/DECREASE of the original contract amount by:

	Dollars
Labor =	
Material =	
Total =	

INCREASE/DECREASE of the original schedule by _____ days. In accepting and executing this change order the contractor, its heirs, executors, administrators, successors, and assigns hereby release and forever discharge the Dormitory Authority of the State of New York, its successors, and assigns from any and all actions, causes of action, claims and demands whatsoever in law or in equity which the contractor ever had, now has or may have against the Dormitory Authority of the State of New York in any way arising out of this change. This Change Order is not finalized and executed until signed by the State Comptroller when the amount exceeds $25,000.

Recommended by:

CONSTRUCTION MANAGER OR ARCHITECT

_____
Name

By: _____ _____
Date

Accepted by:

CONTRACTOR

_____
Name

By: _____ _____
Date

Approved by: STATE COMPTROLLER
Health Services Change Orders over $25,000

By: _____ _____
Date

_____
Title

Approved by: DORMITORY AUTHORITY

By: _____ _____
Date

_____
Title

Change Order Cost Review Certification Form — Exhibit 4

DORMITORY AUTHORITY — STATE OF NEW YORK
515 BROADWAY, ALBANY, NY 12207-2964

CHANGE ORDER COST REVIEW CERTIFICATION

PROJECT: _____

Contractor Filing Claim: _____

Change Order No: _____ Original Contract No: _____

Description of Change Order Work:

_____

_____

_____

This is to certify that the following applicable reviews have been made relative to the contractor's cost calculations for the above change order.

	Yes	No
1. Unit rates from construction contract applied (where applicable)	_____	_____
2. Wage rate correct / Man hours reasonable	_____	_____
3. Material prices verified and reasonable	_____	_____
4. Rental rates verified and reasonable	_____	_____
5. Percentage mark-ups applied properly as per General Conditions	_____	_____

Based on the above review, the following recommendation is hereby made to the Dormitory Authority regarding the disposition of said Change Order.

1. Change Order should be approved	_____	_____
2. Change Order should be deferred for approval subject to the following modifications	_____	_____

_____

_____

_____

_____

The cost review completed by: _____

Representing the: Architect: _____

Construction Manager: _____

Other: _____

Signature of Project Manager: _____

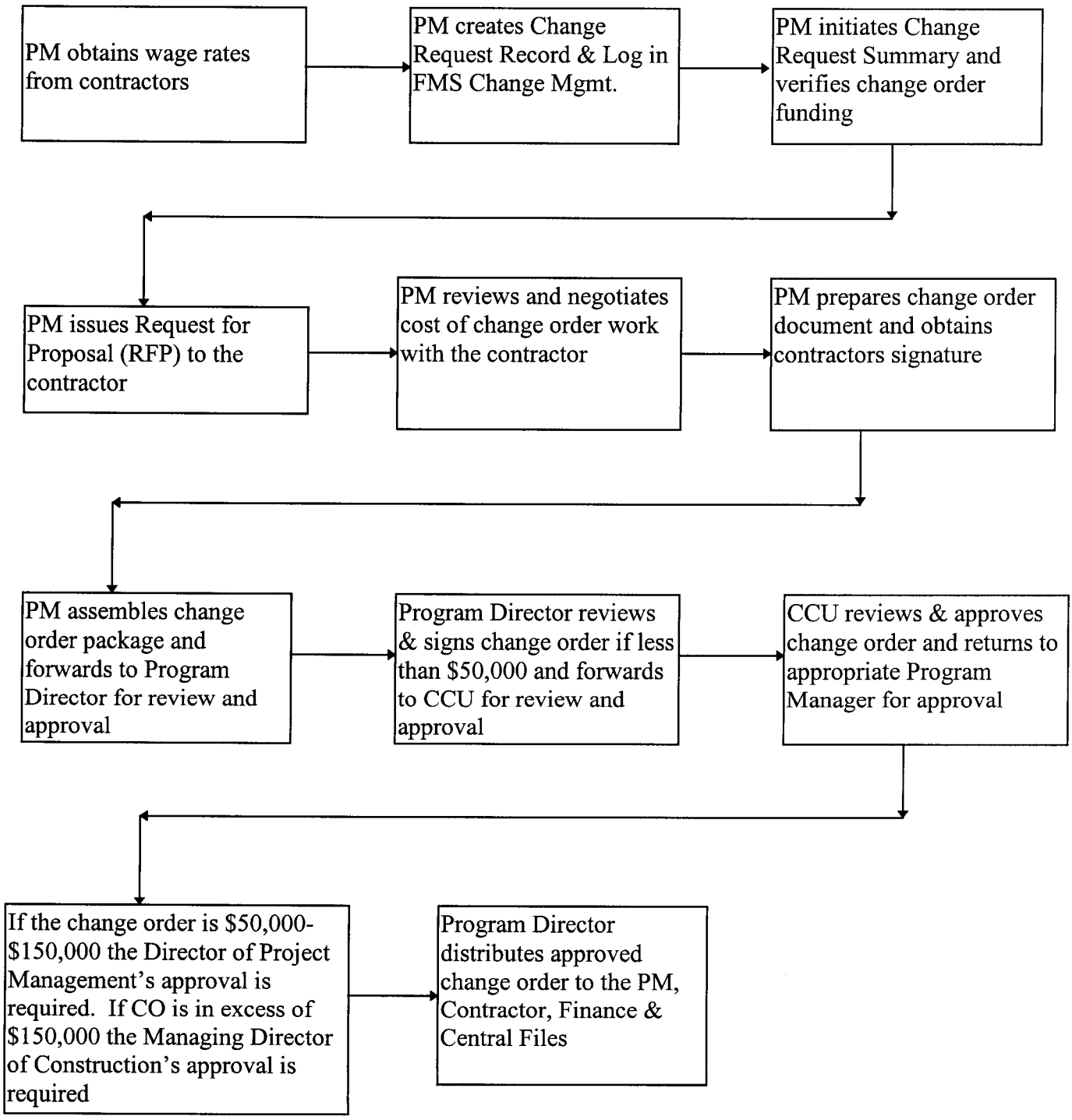
Acknowledged by Dormitory Authority:: _____

Date: _____ Disposition: Approved: _____ Deferred: _____

CO Cost Review Cert.dot (Rev. 9/99)

12/01/99

CHANGE ORDER FLOW CHART



	Office of Construction Office of Project Management	Procedures Amendments (01/26/00)

Purpose

The purpose of this procedure is to provide guidance for the proper handling of amendments to contracts for personal services related to construction projects which includes architectural services, construction managers, engineering services, surveying, testing, boring and technical printing services. Amendments can have a significant impact on project budgets and schedules. Personal services work covered by an amendment must be incidental to the original contract, it is not covered by competitive procurement requirements and, therefore, it is important to ensure that there is an adequately documented audit trail.

The factors to be considered when determining the necessity for an amendment are:
- the proposed work is not, in fact, part of the original scope of work; and
- if the proposed work is related to the original scope of work.

Additional work that is determined to be beyond the scope of the original agreement represents a new undertaking and must be awarded through a separate competitive process, unless it is emergency work or pertains to another exemption type.

Units Involved

Project Management (PM)
Contracts and Cost Control Unit (CCU)

Procedure

1) A request for additional personal services work can be initiated by either the client, the consultant or DASNY. If the request has merit, PM will create a Change Request Record and tracking log in FMS Change Management (Exhibit 1). The required data to be entered includes:
   - Scope of additional personal services work (include in description: open text box, hit F15 - Shift F3)
   - Reason for the amendment (include in description)
   - Impact on the project schedule (include in description)
   - Type of change - "AMD" for amendment
   - Budget code
   - Budget estimate (anticipated amount)

2) DASNY Representative prepares a Request for Proposal (RFP) and sends it to the consultant to submit a cost proposal.

3) DASNY Representative receives and reviews the consultant's scope of work and cost proposal and negotiates a reasonable fee. The DASNY Representative will consult with the CCU and may consult with the Engineering Services Unit regarding the proposed services and the proposed fee.

4) PM should verify the availability of funding to cover the anticipated amount (review the Job Status Inquiry screen). If funding is available, PM prints a Change Request Summary (Exhibit 2) (hit F21 - Shift F9) from the Change Request Record and obtains the necessary approvals.
   - Amendments with an estimated cost of less than $50,000 - signature of Program Director.
   - Amendments with an estimated cost of $50,000 to $150,000 - add signature of Director of Project Management.
   - Amendments with an estimated cost in excess of $150,000 - add signature of Managing Director of Construction.

5) DASNY Representative prepares the Request for Agreement, Amendment or Close Agreement form (RFA) (Exhibit 3) upon completion of negotiation with the consultant. The RFA form and supporting documentation is forwarded to the CCU.

6) The RFA package shall include the following items:
   - Completed RFA form - serves as the transmittal, must be complete, signed by the Project Manager and must be the top sheet of the entire package.
   - PM provides a written recommendation to support the amendment including the reason for the amendment, a description of the work and the reasonableness of the cost proposal.
   - The consultant's proposal (the scope of work and cost estimate including the number of staff, rates and hours).
   - Change Request Summary screen with approvals.
   - Copy of the Job Status Inquiry screen for the project as a verification of available budget funds.

7) Upon receipt, review and approval of the RFA, CCU prepares the amendment to the consultant contract and sends the amendment to the consultant for execution.

8) After receiving the signed amendment returned by the consultant, the Contracts Unit routes the amendment internally for review (Risk Management, Counsel's Office and the Managing Director of Construction).

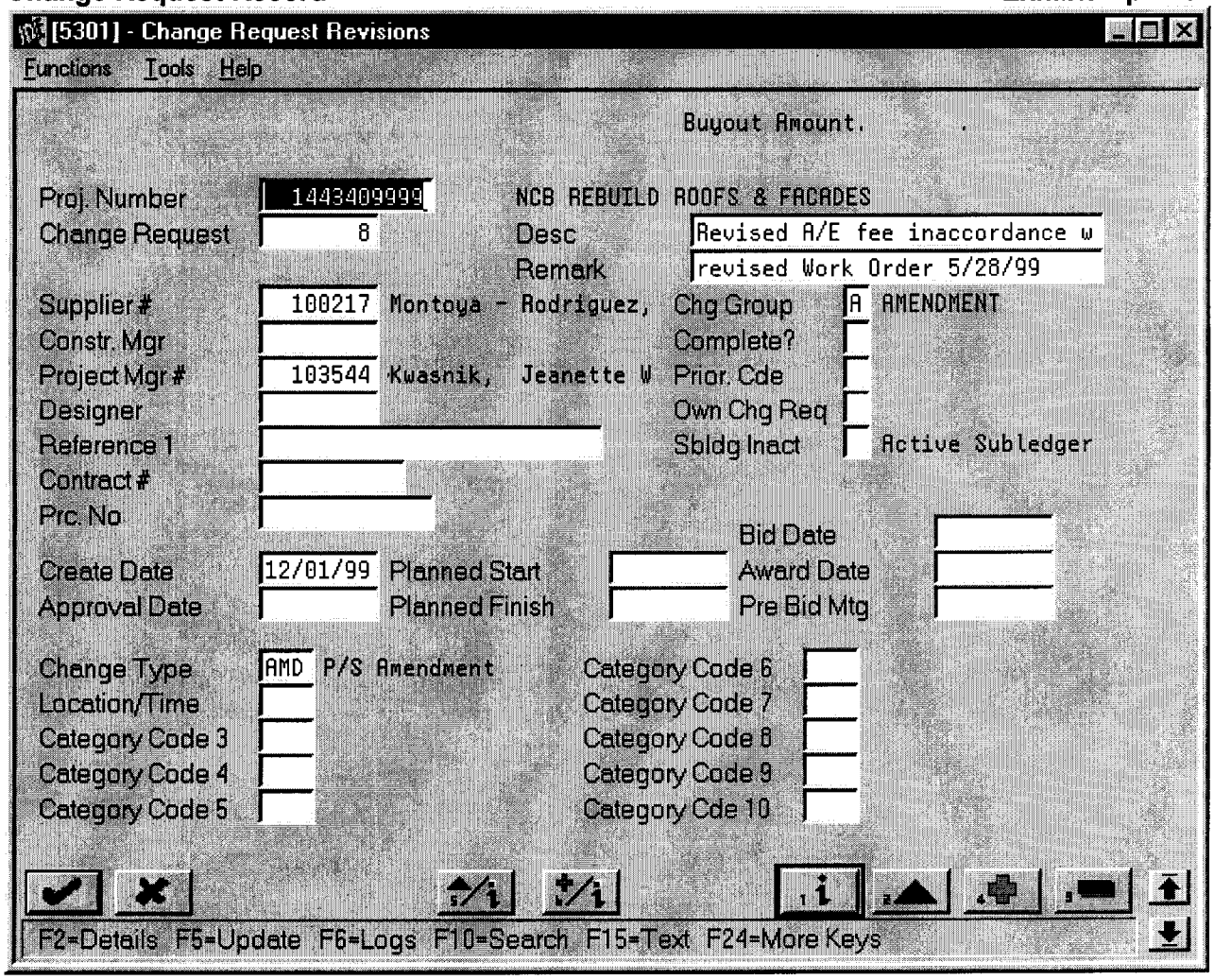
9) The Managing Director of Construction signs the amendment and returns it to CCU.

10) CCU:
   - Completes FMS processing - posting and payment line.
   - Sends a copy of the executed amendment to the consultant.
   - Files the RFA package and the amendment in CCU.

Instructions

- Detail procedures for the processing of amendments in the Financial Management System (FMS) are covered in the FMS sections of this manual.

Change Request Record **Exhibit 1 p. 1-3**



Change Request Log

Exhibit 1 p. 2-3

[5303] - Change Request Log Revisions

Functions Options Tools Help

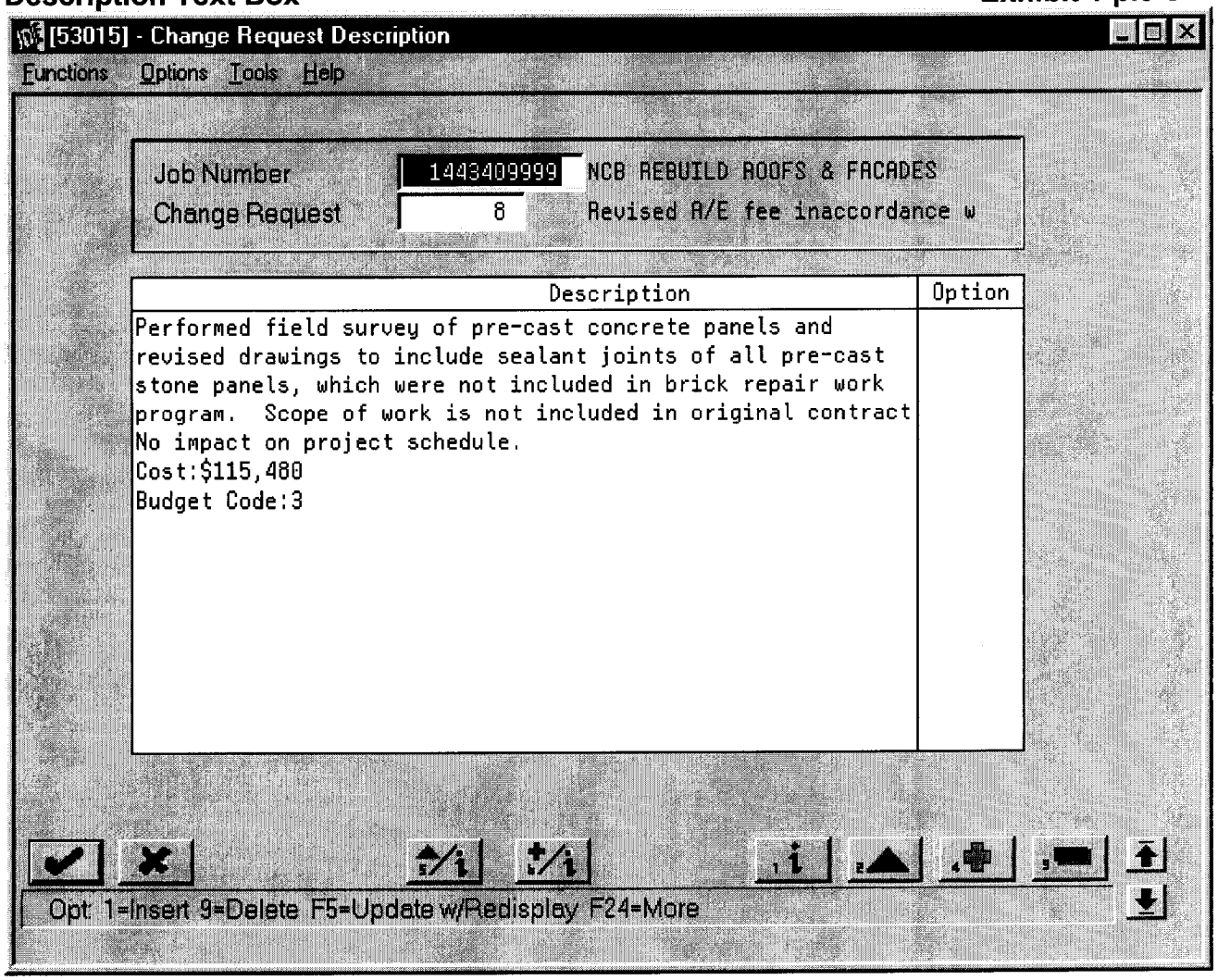
Log Type
Status (Y/N)
Job Number MASTER Master Model Job
Change Request 4 P/S AMENDMENT LOG

LT	Description	ST	Remark	Date Comp	PE	OP
R	CONTRACT ADMINISTRATOR	N	{Name}		N	
R	PROJECT MANAGER	N	{Name}		N	
R	AMENDMENT REQUEST REC'VD	N			N	
R	AMENDMENT MAILED TO CONSULTANT	N	FOR SIGNATURE		N	
R	SIGNED AMENDMENT RECEIVED	N	FROM CONSULTANT		N	
R	ROUTED BY CONTRACTS UNIT	N	Dept. Review/Budget Edit 1		N	
R	INSURANCE APPROVAL	N	REVIEW BY INSURANCE		Y	
R	LEGAL DEPT. APPROVAL	N	REVIEW BY LEGAL		Y	
R	MANAGING DIRECTOR	N	FOR APPROVAL		Y	
R	PAYMENT LINES ENTERED	N	BY CONTRACTS UNIT		Y	
R	CONTRACT UNIT APPROVAL	N	FUNDS COMMITTED-BUDGET EDIT 2		Y	
R	MAIL EXECUTED AMENDMENT	N	MAIL TO CONSULTANT		N	

Options: 1=Text 9=Delete F4=Fold F5=Update w/Redisplay F24=More Keys

Description Text Box

Exhibit 1 p.3-3



Change Request Summary

Exhibit 2

5301P — DORMITORY AUTHORITY OF NYS — Page - 1
Print Change Request Summary — Date - 12/01/99

Job Number . . . . 1443409999 NCB REBUILD ROOFS & FACAD
Change Number. . . 8
Description. . . . Revised A/E fee inaccordance w
Supplier # . . . . 100217 Montoya - Rodriguez, P.C.
Responsible Mgr. . 103544 Kwasnik, Jeanette W.
Orig. Date 12/01/99
Approval Date. . .
Initiated By . . . AMD P/S Amendment

Chg Group . . . . A AMENDMENT
Priority Code. . .
Complete?. . . . .
Ref. Number. . . .
Owner Change Reqd.
Cost Code . . . .
Area . . . . . .

CHANGE REQUEST DESCRIPTION

Performed field survey of pre-cast concrete panels and revised drawings to include sealant joints of all pre-cast stone panels, which were not included in brick repair work program. Scope of work is not included in original contract
No impact on project schedule.
Cost:$115,480
Budget Code:3

"Dates Expired" field contains default information. This field is not relevant to the processing of an amendment.

CHANGE REQUEST LOG DETAIL

LT	Description	ST	Explanation	Dates. Issue	Expired	Required	PE	Cat CD1	Cat CD2
A	CONTRACT ADMINISTRATOR	N	(NAME)		12/31/30		N		
A	PROJECT MANAGER	N	(NAME)		12/31/30		N		
R	AMENDMENT REQUEST REC'VD	N			12/31/30		N		
R	AMENDMENT MAILED TO CONSULTANT	N	FOR SIGNATURE		12/31/30		N		
R	SIGNED AMENDMENT RECEIVED	N	FROM CONSULTANT		12/31/30		N		
R	ROUTED BY CONTRACTS UNIT	N	Dept. Review/Budget Edit 1		12/31/30		N		
R	INSURANCE APPROVAL	N	REVIEW BY INSURANCE		01/01/93		Y		
R	LEGAL DEPT. APPROVAL	N	REVIEW BY LEGAL		01/01/93		Y		
R	DEP. EXEC. DIR.	N	FOR APPROVAL		01/01/93		Y		
R	PAYMENT LINES ENTERED	N	BY CONTRACTS UNIT		01/01/93		Y		
R	CONTRACT UNIT APPROVAL	N	FUNDS COMMITTED-BUDGET EDIT 2		01/01/93		Y		
R	MAIL EXECUTED AMENDMENT	N	MAIL TO CONSULTANT		12/31/30		N		

CHANGE REQUEST DETAIL

Description	Cost Amount	ST	LT	Revenue Amount	ST	LT	Buyout Amount	ST
test							115,480.00	A
Qty/UM/Unit Price							.0000	
Account . . .								
Sbl/Type/Date . .								

Required approvals:

- **Less than $50,000 - signature of Program Director**
- **$50,000 to $150,000 - add signature of Director of Project Management**
- **In excess of $150,000 - add signature of Managing Director of Construction**

Request for Agreement, Amendment and Close Agreement **Exhibit 3**

DORMITORY AUTHORITY — STATE OF NEW YORK
REQUEST FOR AGREEMENT, AMENDMENT, OR CLOSE AGREEMENT

TO: William W. Roe, Director of Contracts and Cost Control

FROM: _____ DATE: _____

PROJECT DESCRIPTION

Client: _____ Facility: _____

Address: _____

JD Edwards Project No.: _____

JD Edwards Contract No.: _____

JD Edwards Change Request No: _____ Budget Category No.: _____ (See Reverse)

REQUEST FOR:

Agreement: ☐ Original Agreement: _____

Amendment: ☐

Close: ☐ Agreement: _____

Taxpayer ID or Social Security No.: _____

Firm Name: _____ JD Edwards Supplier #: _____

Address: _____ Procurement Agreement Designation Code: (See Reverse)

_____

Phone No.: _____ Fax No.: _____

Corporate Officer/Title: _____

BUSINESS DESIGNATION:

PLEASE CHECK ONE: Minority ☐ Small Business ☐ Women-Owned ☐ Other ☐

REASON FOR REQUEST AND BACKUP MATERIAL:

COMPLETION DATE: _____ FUNDING SOURCE #: _____

TYPE AND AMOUNT OF PAYMENT:

Lump Sum $ _____

NTE: $ _____

TOTAL AMOUNT REQUESTED:

$ _____

Project Manager: _____ Date: _____
(Signature)

Director of Contracts and Cost Control: _____ Date: _____
(Signature)

FOR OFFICE USE ONLY

Date Received: _____ Sequence Number Assigned: _____

DOCUMENT CHECKLIST: CONSTRUCTION PRE-BID

*PROJECT NO.*_____ *CR#'s* _____
(one per trade)

A. LIST OF SPECS AND DRAWINGS from Architect ☐

B. LEGAL ADVERTISEMENT
1. Published legal notice (clipping) ☐
2. Transmittal to designer requesting specifications and drawings listings ☐
3. Transmittal to TU ☐
4. Notice to Bidders ☐
5. Supplement to Information for Bidders ☐

C. NYS CONTRACT REPORTER

1. Copy of ad (clipping) ☐
2. Fax confirmation(s) ☐
3. Insertion form ☐

D. PRE-BID SUMMARY signed by PM, ES, and Claims Analyst ☐

E. WAGE RATES

1. Wage Rates ☐
2. Fax confirmation from DOL ☐
3. Request to DOL ☐

F. FRONT END DOCUMENTS

1. Transmittal of updated documents to consultant (if applicable) ☐
2. Transmittal of front end documents to consultant ☐
3. Checklist of front end documents provided ☐
4. Original request for front end documents ☐

Signature _____/_____
Claims Analyst / Date

DOCUMENT CHECKLIST: CONSTRUCTION POST-BID/PRE-AWARD

A.	**PM RECOMMENDATION LETTER & BACK-UP**	☐ Route
B.	**BID TABULATION SHEETS**	
	1) OFF-LINE BID TAB SYSTEM BID TABULATION *and*	☐ Route
	2) ORIGINAL HAND-WRITTEN BID TAB *(PLANHOLDERS' LIST)*	☐ Route
C.	**PRE-AWARD CHECKLIST (SUBMITTALS)**	☐
D.	**PRE-AWARD SUBMITTAL LETTER**	☐
E.	**NYS UCQ REVIEW CHECKLIST**	☐ Route
F.	**CONTRACTOR'S UTILIZATION PLAN**	
	APPROVAL *or*	☐ Route
	WAIVER	☐ Route
G.	**NYS BUSINESS ENTERPRISE SOLICITATION &** **NYS STATE LABOR LETTER** (>$1 MILLION)	☐ Route
H.	**FOREIGN CONTRACTOR NOTIFICATION** (>$1 MILLION, NON-NYS CONTRACTOR)	☐ Route
I.	**SET-ASIDE PROJECT ADVERTISEMENT** (IF APPLICABLE)	☐ Route
J.	**BUILDING PERMIT (ALL NYS CONTRACTS)**	☐
K.	**RETURNED BID BOND LETTERS & ATTACHED BIDS**	☐
L.	**ALL PRE-AWARD SUBMITTALS AND CORRESPONDENCE PERTAINING TO REJECTED & WITHDRAWN BIDDERS**	☐
M.	**BUDGET EDIT 1**	☐ Route
N.	**INSURANCE CERTIFICATES**	☐ Route
O.	**LETTER OF INTENT**	☐ Route

_____

CHECKED BY / DATE

DOCUMENT CHECKLIST: CONSTRUCTION POST-AWARD

A. ROUTING SLIP ☐

B. ORIGINAL CONTRACTS & BONDS ☐
Bid and Bid Bond, Contract, Labor & Material Bond, Performance Bond

C. BUDGET EDIT 2 AND TRADE PAYMENT BREAKDOWN ☐

D. DISTRIBUTION LETTER FOR EXECUTED CONTRACT ☐

_____

CHECKED / DATE

DOCUMENT CHECKLIST
Personal Services Agreements

CONTRACT NO. _____

CONSULTANT _____

WORK _____

CONTRACT REPORTER ad or Executive Director's Exemption for Sole Source or Emergency ☐

Selection process
- RFP ☐
- Long list ☐
- Short list approved by Managing Dir., Construction ☐

Request for Agreement (signed by Sr. Contr. Admin., CCCU) ☐

PM's Memorandum of Recommendation
- W-9 ☐
- Insurance ☐
- reviewed by Sr. Contract Administrator, CCCU ☐

Consultants fee proposals (all proposers) ☐

Contract Administrator's notes of negotiations and analysis of fees ☐
- >$1 million: Consultant letter describing efforts to promote NYS business and NYS labor ☐
- >$1 million and foreign business enterprise: 15 day notice to DED prior to award ☐

Consultant submittals
- Approved NYS Uniform Contracting Questionnaire ☐
- Payroll register ☐
- AA Plan or waiver ☐

Letter of Intent ☐

/_____

Contract Administrator Date