



Department of  
Design and  
Construction

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# Design Consultant Guide

Bill de Blasio, Mayor  
Dr. Feniosky Peña-Mora, Commissioner



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## LETTER FROM THE COMMISSIONER

Dear Colleagues,

Joining in Mayor Bill de Blasio's vision for a sustainable, healthy and equitable city, built to last for all New Yorkers, the design and construction excellence priorities of the NYC Department of Design and Construction are elucidated in the new and updated Design Consultant Guide. The Guide constitutes a roadmap to the creation and expansion of the public buildings and related infrastructure that will support New York City's multi-generational vibrancy and cultural diversity, its environmental sustainability and protection against extreme weather conditions and intentional disasters.

DDC adds to the community capital by creating civic structures, from libraries and neighborhood-based cultural institutions to emergency medical stations and health clinics. Our expanding role includes leading the East Side Coastal Resiliency project, as well our expansion of the City's Build-it-Back program which will help NYC residents affected by the devastations of Hurricane Sandy.

DDC is committed to building an inclusive city for all, where the definition of equity goes beyond facility location and diversity of consultants and contractors to address basic principles of fairness, respect and representation in public building programs, policies and project development. We are at the forefront of creating business possibilities for Minority and Women-Owned Business Enterprises (MWBE) and partner with the Department of Small Business Services on procurement counseling and training seminars.

The majority of the design work of DDC's Division of Public Buildings is issued under Design Excellence Requirement Contracts used for all projects up to \$50 million in construction value. These are complemented by additional term contracts for building system upgrades and for specialty work, including façade restoration and the historic preservation of our City's built legacy. The new generation of Design Excellence Requirement Contracts will create many additional opportunities for small and emerging design offices as well as larger, more established firms.

The key objectives of the Department of Design and Construction are to ensure that projects are completed in a timely and cost-effective manner while we strive, together, to achieve the highest degree of excellence in design and construction. In his introduction to *One City, Built to Last: Transforming New York City's Buildings for a Low-Carbon Future*, Mayor de Blasio challenged the most-skilled architects, engineers, landscape architects, contractors and construction managers – all of us who build the City's future – to address global climate change and realize a vision for 80% carbon reduction below 2005 standards by the year 2050. The Mayor noted that “the change will come building by building, block by block, neighborhood by neighborhood” and “will require new technologies and innovative thinking.”

We hope that the Design Consultant Guide will be a useful reference and tool to achieve, together, our shared goals of making New York City a better place to live, work, learn and succeed.

Sincerely,



Dr. Feniosky Peña-Mora  
Commissioner

# INTRODUCTION

## A. THE DEPARTMENT OF DESIGN AND CONSTRUCTION

The New York City Department of Design + Construction (DDC) was established in 1996 to act as New York City's primary project manager for the majority of capital construction projects through its two Divisions: Public Buildings and Infrastructure. As the City's primary capital construction management entity, DDC renovates existing and constructs new buildings and infrastructure.

The purpose of the Department of Design and Construction is to enhance the public domain with the highest quality public buildings and infrastructure, which are designed and constructed safely, expeditiously and economically. Consistent with the aspirations and goals of OneNYC, DDC strives to create and maintain progressively designed projects that support current and future generations, and which foster the key municipal goals of growth, equity, sustainability, resiliency and healthy living.

## B. DESIGN AND CONSTRUCTION EXCELLENCE 2.0

DDC seeks Consultants and Contractors who consistently demonstrate design and construction excellence together with the management skills necessary to complete the work within the schedule and budget. A hallmark of DDC's procurement of design services is Qualification Based Selection (QBS), allowing the City to hire firms based on their capability and established quality of work. Partnerships with the most creative and experienced design and construction professionals in the world have enabled DDC to make tangible improvements to the public realm, encouraging thriving neighborhoods, economic growth and job creation. Overall, the D+CE goals of DDC's Public Buildings Division aim to improve the procurement, design and construction of public projects by all consultants and to provide high-quality community based resources.

Design and Construction Excellence 2.0 is at the core of our vision for how all New Yorkers are connected to our City and to each other. For the Division of Public Buildings and the Infrastructure Division, the unwavering commitment to outstanding design and construction is guided by the principles of equity, sustainability, resiliency and healthy living, which reflect the spirit of the time. Our commitment is to deliver new buildings, major renovation projects and system upgrades to meet community needs and clients' goals, which embody the vision of Design and Construction Excellence 2.0. The Office of the Chief Architect assures that commitment to design quality in our growing city is focused on:

### **EQUITY**

DDC designs and builds a wide variety of project types throughout the five boroughs, supporting and contributing to the City's ability to create a built environment that makes public facilities more fairly available to all. This Design Consultant Guide will have clear and palpable impact on each of the buildings and public places shaped by the design professionals contracted to work with DDC. The Guide brings a sense of urgency to the discussion about how peoples' lives and access to municipal

services are influenced by built projects. Equitable design contributes towards thriving communities in this multi-generational and culturally-diverse metropolis.

### **SUSTAINABILITY**

After two decades of putting resource and energy conservation at the forefront of its public building and infrastructure projects, DDC is updating its sustainability goals. Many NYC capital projects are currently required to comply with Local Law 86 of 2005, the “green buildings” law, which requires a minimum level of LEED certification and energy cost reduction. Under Design and Construction Excellence 2.0, all NYC projects will strive to match the Mayor’s commitment to 80x50 - to reduce NYC’s greenhouse gas emissions 80% by 2050, relative to 2005 levels. Consultants will be encouraged to explore cost-effective enhanced energy design alternatives that exceed the minimum requirements of the NYC Energy Code or Local Law 86. DDC will work with consultants to consider the standards and strategies of LEED version 4, Passive House, Net Zero, and on-site renewable energy as applied to the unique requirements of municipal occupancies. A comprehensive Energy Master Plan process will guide incremental upgrades to existing buildings and systems. Public buildings will continue to lead the way, reducing operating costs and adding value to the City’s assets while helping to protect the health and environment of every citizen.

### **RESILIENCY**

DDC is using updated standards, construction practices and innovative design to enhance NYC’s resiliency and resistance to extreme weather, sea level change, and other emergent threats. Street and sewer projects are using “green” infrastructure to divert stormwater and reduce neighborhood flooding. Waterfront projects are being designed to absorb the impacts of storm surges while creating new space for recreation and new habitat for indigenous wildlife. Targeted buildings in at-risk locations are being replaced or upgraded to withstand extreme events and may serve as emergency shelters. Together, these efforts will strengthen and protect the legacy and character of our City’s neighborhoods.

### **DESIGN FOR HEALTHY LIVING**

Growing out of DDC’s authorship and implementation of the NYC Active Design Guidelines, DDC will be extending its healthy living guiding principles to match the Mayor’s commitment to create a built environment that adds to a sense of physical and mental well-being for individuals, families and our neighborhoods. Projects designed and built by DDC help create the conditions by which New Yorkers of all ages can live, work, learn and play in neighborhoods that promote an active and healthy lifestyle.

## **C. THE DIVISION OF PUBLIC BUILDINGS**

Design opportunities throughout DDC’s Division of Public Buildings range from major new public buildings to retrofits and upgrades of existing buildings. Regardless of scale or scope, every project represents an opportunity to enhance the public realm and achieve the highest quality of design and construction for the City’s public buildings and spaces. The design process is conducted as a collaborative effort between the Consultants, DDC staff, the Client Agencies and regulatory agencies. The design team fully explores programmatic requirements, site conditions, context, budget, and other factors to develop a creative, responsible, and functional design in full compliance with all applicable

codes, local laws, industry standards, and project objectives.

DDC projects include cultural institutions, libraries, government offices, laboratories, sanitation facilities, emergency shelters, transportation facilities, firehouses, health clinics, senior centers, child care centers, courts, correctional facilities, police precincts, and emergency medical stations. Client Agencies currently include: Cultural Affairs (DCLA), Department of Parks and Recreation (DPR), Brooklyn Public Library (BPL), New York Public Library (NYPL), Queens Library (QL), Department of Environmental Protection (DEP), Department of Health and Mental Hygiene (DOHMH), Office of the Chief Medical Examiner (OCME), Department for the Aging (DFTA), Department of Youth and Community Development (DYCD), Administration for Children's Services (ACS), Agency for Childhood Development (ACD), Department of Citywide Administrative Services (DCAS), Department of Homeless Services (DHS), Department of Consumer Affairs (DCA), Human Resources Administration (HRA), New York State Office of Court Administration (NYSOCA), Department of Transportation (DOT), Taxi and Limousine Commission (TLC), Department of Sanitation (DSNY), Department of Correction (DOC), Fire Department (FDNY), Police Department (NYPD), and the Office of Emergency Management (OEM).

The specific project goals of each Client Agency are served by individual DDC Program Units. The Program Units comprise the principal organizational framework of the Public Buildings Division, and are supported by the technical, budget, and contract processing resources within DDC. The Program Units are directly responsible for managing projects from the initial program requests by the Client Agency through design, construction, completion, and acceptance for occupancy. Each Program Unit is headed by a Program Director whose primary responsibilities are to guide and oversee the implementation of a Client Agency's capital construction program. Project Managers in the Program Units lead individual projects. They are supported by project teams from the Architecture and Engineering Unit (A&E) which provide specific services on an as-needed basis including architecture, engineering, landscape architecture, urban planning, historic preservation, sustainable design, cost estimating, building code and permitting, and building condition assessment. Tasks include project scoping and design review, budget development, cost estimating, and pre-award bid analysis. The coordination of support services is assured through the designation of a Team Leader from A&E, who works closely with the Project Manager. The Office of the Chief Architect helps focus attention on key design principles and on design strategic initiatives integrated with DDC's priorities. When required, a DDC Design Liaison working in the Office of the Chief Architect stewards the project through the Public Design Commission review process.

## D. THE DESIGN CONSULTANT GUIDE

Given the wide variety of project types undertaken by DDC in support of its Client Agencies, each project is unique, making the standardization of project delivery methods a challenge. This Design Consultant Guide serves to outline qualitative expectations, and to describe broad requirements that pertain to all projects. Descriptions of services and deliverables are intended to help the Consultant, DDC and Client Agencies understand expectations and evaluate the acceptability of completed tasks.

The Guide describes how achieving high quality design relates to the greater issues of equity, sustainability, resiliency, and healthy living. The Appendix is a companion document that clarifies design requirements and format. In addition to the overarching priorities, the following elements of civic design should be incorporated:

1. Intent  
The design of public projects requires carefully considered strategies to equitably support longevity and the possibility of adaptive reuse or change over time. Designs must be guided by a civic consciousness and social responsibility in order to provide dignified spaces that exemplify transparent municipal government and inspire pride in the City of New York.
2. Clarity  
The design must reflect a clear understanding of the Client Agency's mission and programmatic goals, and provide users with coherent contextual and spatial relationships.
3. Value  
The design of public facilities requires a cost effective process and product, which includes a commitment to schedule priorities, and incorporates a life-cycle analysis approach in the specification of durable and simply maintained materials and systems. The systems must perform to standards of comfort and efficiency, meet energy requirements and operate as designed.
4. Innovation  
A creative balance must be achieved between design innovation and the realities of public operating and maintenance practices.
5. Collaboration  
One key success of Design Excellence is our Consultants' recognition that public architecture is about team building and collaboration. The Consultant must be willing to go beyond the creation of Contract Documents to also serve as facilitator, mediator, and interpreter between all stakeholders involved throughout the life of the project.

Also vital are the following:

6. Health, Safety and Welfare  
Public safety is a primary goal for the design of municipal buildings which must meet or preferably exceed minimum code requirements.
7. Universal Design  
DDC is committed to supporting the principles of Universal Design in all projects. This means surpassing the minimum considerations of the ADA to provide a truly accessible environment.
8. Constructibility and Specifications  
The completeness, accuracy, and integrity of Contract Documents must be assured. Documents must be comprehensive, clearly detailed, and well-coordinated across multiple disciplines. Specifications must be strictly coordinated with related drawings and material schedules for the particular requirements of each project.
9. Building Information Modeling  
DDC considers Building Information Modeling (BIM) to be both technology and process, and an improvement in how we interact with and use information. Cooperation is promoted between all

project participants, including Design Consultants, construction management firms, contractors, sub-contractors, fabricators and suppliers. In addition to this Guide, adherence to the latest version of the DDC BIM Guidelines for all BIM-designated projects is required.

#### **10. Percent for Art**

The Percent for Art program is overseen by the Department of Cultural Affairs (DCLA) and allows for a fixed percentage of the capital project funding to be used to create or purchase artwork for qualifying building and site projects. DDC actively supports the integration of artwork within the design process and community involvement in artist selection and implementation. The Consultant works with the Artist to facilitate that integration.

The Design Consultant's contract with DDC consists of three documents; the Agreement, the Task Order, and this Guide. The Agreement and the Task Order define contractual responsibilities and describe the specific nature of the work required for the particular project. Many of DDC's design projects are initiated through Requirements Contracts for design services. The Requirements Contract is necessarily generic with regard to specific project scopes, since the projects to be undertaken are not known at the time of contract initiation. The Task Order shall be considered to be an elaboration of the Contract. All tasks shall be carried out as directed in this Guide unless the Task Order or other written documentation from DDC explicitly states otherwise. The Guide describes the design criteria of the agency, the goals, services, and deliverables expected, and necessary approvals and procedures. Should there be any conflict among these documents the following order of priority shall prevail:

1. Agreement
2. Task Order, including the Project Objectives (scope of work)
3. Design Consultant Guide and Appendix.

In addition to this Guide and its Appendix, Consultants should familiarize themselves with Client Agency design guides, requirements, or standards. These should be reviewed to ascertain any potential conflicting goals or objectives. The resolution of conflicts is the responsibility of all parties involved.

# OVERVIEW OF THE DESIGN PROCESS

There are four stages in the delivery of capital projects from initiation to the completion of construction. Over the duration of the project various DDC team members will be involved. The four stages are:

1. Project Objectives Preparation and Design Consultant Selection/Contract Registration
2. Design, including Pre-Schematic, Schematic Design, Design Development and Construction Documents
3. Bid, Award, and Registration of Construction Contracts
4. Construction

## PROCESS CHART

There are four categories of DDC Division of Public Buildings projects: simple projects and building components done with in-house design resources, system upgrade projects, building renovations, and new construction/major additions. The chart below is a general illustration of requirements for each project in the Division of Public Buildings. The Project Objectives describe project-specific requirements, and obligations of the design professionals.

To expedite small projects with limited scope, the Project Objectives may direct the Consultant to combine phases or skip interim milestones. For example, following Schematic Design, the Project Objectives may direct the Consultant to proceed directly to Construction Documents, or to omit the 50% interim submission.

Project Type	Relative Complexity Scale	Phases								
		Pre-SD	SD	Design Review	DD	Design Review	50% CD	Design Review	100% CD	Compliance & Bid Packaging
In-House Design	1  10	○	●	●	○	○	○	○	●	● *
System Upgrades		○	●	●	○	○	○	○	●	● *
Renovations		○	●	●	●	●	○	○	●	● *
New Construction & Additions		○	●	●	●	●	●	●	●	●

Legend: Required ● Optional ○ \* Not Required for JOCS Projects

## A. PROFESSIONAL RESPONSIBILITY

At all times throughout the design process, it is the Consultant's professional responsibility to maintain the project schedule and adhere to the approved project budget. During the early phases of design, it is understood that the scope of work may not be fully defined or may evolve as a result of the Consultant's investigations. If Consultants believe the project is underfunded, they shall advise DDC in writing. If the scope of work is to be modified, DDC will advise the Consultant in writing. The Consultant shall study the implications of such changes, and advise DDC in writing of resulting impacts on the project budget and schedule. If the Consultant is directed to proceed with the modified scope, the budget and schedule will be adjusted accordingly. Notwithstanding the above, it is the Consultant's obligation to provide a design that is within the budget of the project. If at any point the cost estimate exceeds the budget, it is the Consultant's responsibility to bring the design within the budget at no additional cost to DDC.

Excellence in design means little without excellence in construction. The City's ability to successfully bid, award, and build the Consultant's work is contingent upon a commitment to produce clear and complete bid documents. Drawings and Specifications must conform to DDC's standards, many of which are legally prescribed. The Consultant shall take particular care in the preparation of specifications. **Specifications will not be accepted if incomplete or uncoordinated, if they contain sections not specific to the project, or contain language not in conformance with DDC requirements.** The Consultant is advised to clarify these requirements as necessary with its specification writers, to review the specifications carefully, and to expeditiously deliver all required specification revisions to the DDC Project Manager.

## B. SCOPE PREPARATION AND CONSULTANT SELECTION / CONTRACT REGISTRATION

1. The Client Agency submits a Capital Project Initiation request to the DDC Division of Public Buildings, which includes a general description of the project, a summary of the required work, and funding information. The Program Director of the respective Program Unit assigns a Design Project Manager. Later at the start of the Bid/Award Phase, a Construction Project Manager, known as the Resident Engineer, will be assigned to the team.
2. The Program Unit reviews the program and transmits it to the DDC Strategy Board, where the project is discussed in detail and the various regulatory pathways and design service procurement options are considered and chosen based upon project scope and construction budget. The Strategy Board determines the project's required level of compliance with Local Law 86 (the Green Buildings law), design for healthy living, and Percent for Art. The applicability of BIM or other design standards, and the need for an Energy Master Plan and enhanced energy design to meet the 80x50 mandate are also finalized in the Strategy Board meeting.
3. The Architecture and Engineering Unit (A&E) will assign a Design Review Team Leader who will in turn request Design Review Team members for all applicable disciplines. The Project Manager will arrange a site visit for the Design Review Team who will develop a detailed scope of work, known as the Project Objectives, for the project.
4. Based on the design service procurement method chosen, either the Project Manager will request

a design proposal from a specialty consultant under a requirements contract with DDC, or the Design Liaison working in the Office of the Chief Architect will issue an RFP to the firms on the Design Excellence Requirement Contract lists. In some cases, when the project is very large or complicated, DDC will administer a project-specific contract. The prospective Consultants are invited to attend a site walkthrough to become familiar with the project site and scope of work.

5. When an RFP is issued, the Proposers' responses are evaluated by the Consultant Selection Committee (led by the Design Liaison of the DDC Chief Architect's Office, and including representatives from the Client Agency, the Program Unit, A&E, and other DDC personnel), and a Consultant is selected. In some cases a short list of Proposers is created, and these firms are interviewed prior to selection.
6. DDC notifies the selected Consultant, requests a fee proposal, if required in accordance with the Contract, and commences the contract award process. Upon approval by the necessary oversight agencies, including registration of the Consultant Contract or Task Order by the Office of the Comptroller, DDC awards the design contract and establishes the kick-off date.

## C. DESIGN

1. The design process is divided into several design phases, including Pre-Schematic Design (if required), Schematic Design, Design Development, and Construction Documents. Most design contracts begin with Schematic Design; the Pre-Schematic Design phase is typically used when the Design Consultant is requested to provide space programming, existing conditions drawings, or other services normally provided by DDC or the Client Agency.
2. All phases will commence with a kick-off meeting to outline the expectations for that phase. Periodic progress meetings shall be conducted throughout the phase. These meetings are expected to be constructive exchanges of information and ideas.
3. Each of the phases requires a submission of drawings, data, reports, and material samples along with other relevant documents. The requirements for each phase are noted in this Guide and the DDC BIM Guide, supplemented by either the Task Order or the Project Objectives.
4. The submitted materials will be reviewed by the Project Manager, A&E Design Review Team, Cost Estimating, A&E Constructibility Review, DDC Legal Department, as well as the Client Agency. Written comments will be generated by the review team(s) within three weeks and submitted via the Project Manager to the Consultant.

**SUBMISSION AND REVIEW BY PHASE**

Review	Pre-SD	SD	DD	50% CD's	100% CD's	Final Acceptance
<b>DDC:</b>						
Project Manager	√	√	√	√	√	√
Design Review	√	√	√	√	√*	
Cost Estimating	√	√	√	√	√	
Constructibility Review			√*	√	√	
Legal Review						√
<b>Client Agency</b>	√	√	√	√	√	√

\* As necessary for project scope.

5. The Consultant is required to respond to the review comments in writing within two weeks. If directed, the response shall be in the form of a partial or complete resubmission of the documents. DDC will review the responses and determine acceptability. Acceptance of the submission is required in order for the project to proceed to each subsequent design phase.
6. Throughout the design phases, the Consultant will participate in the Percent for Art Program where applicable. Initiated in 1982 by Local Law 65, Percent for Art typically requires that 1% of the capital budget be spent on art. Works of art shall be provided for each designated capital project which involves the construction or the substantial reconstruction of a City-owned public building or structure. The art allocation must be used for the commissioning or purchase of artwork, or for the direct costs incurred in the relocation and/or restoration of an artwork owned by the City to be installed at an eligible project site.
7. If the scope includes significant mechanical, electrical, or plumbing work, DDC will engage a firm under its Commissioning Requirements Contract during Design Development to perform design review, construction commissioning, and measurement and verification.
8. The Construction Documents will undergo constructibility and bid packaging review at the 50% and 100% Construction Documents Phases. Based on the review of the 100% Construction Documents phase submission, the Constructibility Unit will issue the final review comments. The Consultant will revise the drawings accordingly and resubmit drawings in compliance with the comments. If the 100% Construction Documents submitted are deemed to be unacceptable for bidding, the Consultant will revise the documents as necessary and resubmit.
9. Upon final acceptance of the Construction Documents, the Consultant shall issue a set of bid documents in a reproducible format as directed by DDC. The Consultant will revise documentation deemed unacceptable by the DDC Legal Department.
10. The Consultant is required to obtain approvals from all government agencies having jurisdiction. These include but are not limited to Department of Buildings, Public Design Commission, Landmarks Preservation Commission, and the Department of Environmental Protection. The Consultant and/or sub-consultant shall sign and seal all necessary drawings and forms, and file with the appropriate regulatory agencies. The Consultant shall forward approvals to the DDC Project Manager.

## D. BID, AWARD, AND REGISTRATION OF CONSTRUCTION CONTRACTS

1. DDC will reproduce the bid documents, unless the Consultant is directed to perform this task.
2. Bid documents will be made available for purchase by the prospective bidders. A bid opening date will be established and the contracts will be advertised.
3. The Consultant shall interpret plans and specifications and respond to inquiries and RFI's from the prospective bidders.
4. The Consultant shall prepare and issue all necessary addenda, amendments, and drawings required for the clarification of the bid documents. All documents shall pass through the DDC Project Manager and the Constructibility Unit.
5. The Consultant shall attend pre-bid meetings to answer questions from bidders and to assure that all parties understand the intent of the bid documents. Pre-bid meetings for complex projects are held at the site to ensure that all bidders become familiar with the existing conditions. The Consultant shall prepare an agenda listing elements of the project that require special attention, coordination, or experience. If the discussion results in a change to the bid documents, the Consultant is responsible for the preparation and issuance of Addenda.
6. The bidders will submit their bids to DDC. The Consultant shall attend the formal bid opening.
7. The Consultant shall assist in the analysis and evaluation of the bids. Written recommendations and reports on the disposition of bids and the award of contracts shall be required within three days of the bid opening. The Consultant shall also assist in the review and evaluation of Special Experience Qualifications submitted by the Contractor and or subcontractors.
8. The Consultant shall attend pre-award meetings to answer questions and to assure that all parties understand the intent of the bid documents.
9. DDC shall award contracts to the lowest responsive and responsible bidders following review by the appropriate oversight agencies.
10. The NYC Comptroller registers the contracts.
11. DDC establishes a construction kick-off date.

## E. CONSTRUCTION

1. The DDC Resident Engineer/Construction Project Manager oversees the work of the Contractors. When a Construction Manager (CM) is retained for a project, the Resident Engineer monitors the CM's performance.
2. The Contractors shall develop detailed cost estimate breakdowns, progress schedules,

coordinated construction working drawings, shop drawings, and any plans required to fulfill all local regulations relative to sustainable design or construction practices, such as plans for Erosion and Sedimentation Control, Stormwater Pollution Prevention, Construction Waste Management, or Indoor Air Quality During Construction. The Resident Engineer reviews and accepts these documents with input from the Consultant and, if appropriate, the DDC Office of Sustainable Design.

3. Contractors perform the construction work to completion with supervision by the Resident Engineer. The Consultant provides services during construction as required by their contract, including attending regular construction meetings and sustainability review meetings, responding to RFI's, shop drawing and submittal review, periodic site visits and observation reports, design clarification, tracking of LEED metrics, and punchlist.
4. Special Inspections are the responsibility of DDC and/or the Construction Manager and will be performed through a separate contract. In rare instances the Consultant may be directed to provide Special Inspections as an additional service.
5. Throughout the construction phase, if necessary, the Resident Engineer will initiate and prepare change orders to the construction contract. Upon approval, the Consultant or Contractor will perform the necessary change order work.
6. At Substantial Completion, the Consultant, DDC, and the Construction Manager prepare punchlists for resolution by the Contractor.
7. The Consultant is expected to provide documentation identified by DDC to close-out all applications with regulatory agencies and the USGBC, if applicable.

## PRE-SCHEMATIC DESIGN

### A. PRE-SCHEMATIC DESIGN GOALS

If further investigation is necessary in order to clarify the programming requirements, design goals, or project scope, the Consultant may be directed to perform Pre-Schematic Design work. This may include an existing conditions survey and documentation, programming, basic sustainable design strategy, and/or master planning and urban design that evaluate opportunities for equity, sustainability, resiliency, and design for healthy living. When Pre-Schematic Design services are requested in the Task Order or Project Objectives, the Consultant shall evaluate the program, the existing conditions, and the design parameters and produce studies, drawings, or reports as needed. Studies shall be accompanied by associated cost estimates. The ultimate goal of Pre-Schematic Design is to establish a defined scope of work and/or program acceptable to all stakeholders in order to transition into Schematic Design without ambiguity related to the basis of design.

### B. PRE-SCHEMATIC DESIGN PROCESS

#### 1. Pre-Schematic Design Kick-Off Meeting

The Kick-Off Meeting shall be held at the start of the project and is attended by the Consultant, sub-consultants, DDC Project Manager, Client Agency representatives, DDC Design Review Team Leader, and additional DDC team members as may be required. At this meeting all important project requirements shall be discussed, including but not limited to:

- a. Requirements of the Contract, including the Agreement, the Task Order or the Project Objectives, and this Guide.
- b. Identification of responsibilities, expectations, contact information, and establishment of protocols for all stakeholders.
- c. Identification of opportunities for equity, sustainability, resiliency, and healthy living.
- d. Project Intent and Goals, including LEED certification level and sustainability targets from Building Code, Local Laws (including LL86) and NYC sustainability initiatives.
- e. Project Scope
- f. Client Agency standards and user needs
- g. Budget
- h. Site Data, including information about site surveys and borings

- i. Hazardous Material Testing
  - j. The Consultant shall present a schedule for approval by DDC for the entire project duration. This includes, without limitation, a complete activities checklist with milestone due dates for all submittals, and the approximate construction duration.
  - k. Identification of approvals required from other agencies, authorities, stakeholders, or entities.
  - l. Review of Submission Requirements for this phase and coordination with overall project scope and expectations. The project team will review the items listed below under Pre-Schematic Design Deliverables and make a determination as to which items shall be required. The Project Manager will confirm any deviation from the requirement of this Guide in writing.
  - m. Outline of criteria for Progress Meetings.
2. Progress Meetings
- The DDC Project Manager schedules progress meetings, in which the Consultant attends, participates, and brings necessary materials to ensure a productive meeting. The attendees shall vary based upon the individual meeting agenda. These meetings shall be recorded by the Consultant in meeting minutes. Criteria for minutes appear in Appendix A-3 under “Meetings”.
3. Review Comments & Consultant Response
- At the end of each phase the Design Review Team shall generate comments in response to the Consultant submissions. The Consultant is required to respond in writing to these comments. Responses should be submitted within ten business days and shall answer all review comments, addressing the spirit of the comments as well as the specific issues. The A&E Project review form contains a column for the consultant to respond to the individual comments; Consultant responses will only be accepted on this form. The Consultant is also expected to respond to the client agency’s review comments within the same period.
4. Acceptance
- The project proceeds with written sign-off from the Project Manager.

## C. PRE-SCHEMATIC DESIGN TASKS

Pre-Schematic Design Phase tasks may include any or all of the following:

1. **Existing Conditions Survey and Documentation**
- The Consultant shall prepare drawings showing the existing conditions for all trades as necessary for the scope of work. These drawings shall be labeled, titled, dimensioned, and comprehensively relate to the context for design and program assumptions. The Consultant is responsible for all required field measurements of existing buildings or structures including their structural and MEP systems. DDC will provide site surveys of the project location indicating, at a minimum: property lines, surface topographical data, overall exterior dimensions of built structures, site utility data, finish floor elevation at all entry points, landscape features, and street data. Where BIM is used for the project, the Consultant will produce an existing conditions BIM model in lieu of drawings.

## 2. Space Programming

The Consultant shall meet with the Client Agency representatives as necessary to establish programmatic space requirements for the project. No client meetings are to occur without DDC representation. The program will: identify all major rooms and spaces required for the project; identify each space by function, use, or occupant; indicate net square footage requirements for each space; and list all required furniture and equipment required to be located within each space. The Consultant shall develop grossing factors to account for all circulation, egress, MEP equipment spaces, and other spaces required for the project but not specifically listed in the program. The Consultant shall develop additional grossing factors to account for exterior and interior wall construction and other building structure. The Consultant shall identify critical functional adjacencies for each space, and indicate any other special requirements, such as environmental factors, security, and functional requirements. Services include:

### a. Inventory of Existing Spaces

Survey and prepare an inventory of existing spaces for the functions included in the scope of the program. Provide a detailed analysis of the functional and area requirements of each of these activities. Compare the net existing area space with that of the proposed space.

### b. Anticipated Growth or Diminishment

Study and analyze spatial requirements based on anticipated growth or diminishment. Time periods for projecting future needs shall be approved by DDC and the Client Agency.

### c. Individual Work Space Standards

Establish or confirm individual work space standards for each category of personnel to ensure equitable treatment and efficient space use.

### d. Adjacency and Work Flow

Determine adjacency requirements and work patterns during normal and peak use periods.

### e. Special Purpose Areas

Develop space requirements for special purpose or limited duration areas.

### f. Design for healthy living

Identify needs and opportunities to improve the health and well-being of building occupants and the surrounding community.

### g. Building Service Areas

Develop requirements for building service areas, to allow for proper operation and building maintenance. These include supply and storage areas and spaces allocated for waste disposal and delivery systems

### h. Service Requirements

Establish requirements for building structural, mechanical, plumbing, electrical power and lighting, fire alarm, security, data and telecommunications systems, and acoustical treatment. For each type of program space, identify environmental parameters such as ambient temperature, humidity, air exchange rate, light levels, access to daylight and views, and

acoustics.

- i. **Engineering Requirements**  
Spaces shall be programmed for equipment of sufficient capacity to fulfill the parameters listed above providing the facility with heating, ventilation, air conditioning, electrical, fire protection, plumbing, data, and telecommunications, in conformance with applicable energy and water conservation requirements.
- j. **Note:** This service shall be provided during the Schematic Design Phase for projects lacking this data and not utilizing the Pre-Schematic Design Phase.

### **3. Zoning Analysis**

- a. The Consultant shall provide a Zoning Analysis identifying all relevant issues including the appropriateness of the project with regard to site, use, bulk, set-backs, height limitations, and the need for any required variances.
- b. Provide massing diagrams showing all height, set-back, and sky exposure plane requirements.
- c. **Note:** This service shall be provided during the Schematic Design Phase for projects not utilizing the Pre-Schematic Design Phase.

### **4. Building Code and Regulatory Analysis**

- a. The Consultant shall identify all applicable codes and local laws relevant to the project.
- b. The Consultant shall identify building and space occupancy groups, construction classifications, egress requirements, fire separation requirements, energy code and other applicable code requirements.
- c. The Consultant shall identify code requirements for live loads, ventilation, fire protection, light levels, emergency lighting & power, plumbing fixtures, environmental noise levels, etc.
- d. The Consultant shall identify the applicability of local, state and federal environmental and regulatory processes and permits. See Appendix A-2.
- e. **Note:** This service shall be provided during the Schematic Design Phase for projects not utilizing the Pre-Schematic Design Phase.

### **5. Sustainable Design**

- a. For all projects, the Consultant shall participate in a meeting with the Project Manager, Design Review Team, Client Agency, and Sustainable Design staff to discuss the project's approach to compliance with Local Law 86 or, if LL86 is not applicable, with other required or recommended sustainable design standards. For projects of very limited scope, the purpose of the meeting shall be to identify individual sustainable design and construction measures and goals which may be applicable to the project.

- b. Regardless of the applicable sustainable design standard, for projects of sufficient scope, the Consultant shall develop a preliminary LEED scorecard, using the appropriate and current New Construction, Core and Shell, Commercial Interior, or other LEED rating system, in order to help set sustainable design parameters for the project.
- c. For projects required to produce an Energy Master Plan, the Consultant shall, if directed, perform an ASHRAE Level II Energy Audit. For projects of limited scope, the Energy Master Plan will be assigned to a firm under DDC's Commissioning Requirements Contract. For all projects, an initial performance target will be identified by DDC as the basis for an Enhanced Energy Design alternate to the minimum code- or LL86-compliant design.
- d. Note: This service shall be provided during the Schematic Design Phase for projects not utilizing the Pre-Schematic Design Phase.

#### **6. Master Planning and Urban Design**

If DDC and the Client Agency determine that a project requires long-term phasing or multiple-year funding, the project may be designated a Master Plan. Master Plans may include planning for a single site or multiple sites, phased development, new construction, exterior or interior restoration of a building or buildings, or any combination thereof. Master Planning may require all previously described Pre-Schematic services, but shall demonstrate the depth and complexity of research appropriate to a multi-year large scale project.

- a. **Scope of Study:** A Master Plan may encompass not only building design and construction, but also environmental, ecological, regional, land use, economic development, traffic, and community issues as well.
- b. **Multi-disciplinary Approach**  
Because of the comprehensive, long-term nature of a Master Plan's scope, the approach to and implementation of the Master Planning process must be multidisciplinary throughout its duration. In addition to the standard design professionals, Master Planning may require sub-consultants from such specialized fields as historic preservation, demography, sociology, traffic and transportation, urban planning, environmental planning, and economic development.
- c. **Inventory and Analysis**  
Master Plans shall examine a project's ecological, microclimatological, urban design, historical, zoning, and regulatory characteristics, as well as the concerns of pertinent community-based groups and jurisdictional entities as they relate to the project site and any existing or proposed structures. Beyond these requirements, Master Planning requires broad data collection and evaluation to assess the long-term impacts such data would have upon the ultimate planning and design recommendations to be generated. Master Planners shall conduct their inventory to best synthesize data into planning and design issues. These issues must then be prioritized to guide recommended development options.
- d. **Programming**

The Master Plan will investigate the known and anticipated growth needs of the Client Agency in the years to be covered by the Master Plan.

**e. Phase One Program**

After inventory, analyses, issue identification and prioritization, and the development of various proposals, the Consultant, the Client Agency, and DDC will choose to pursue one recommended option. This option will be developed to document every phase of the multi-year plan, and will include a program for Phase One and possibly Phase Two of the plan, based on available funding.

**f. Public Design Commission Conceptual Review**

The Consultant will submit all non-landmarked City-owned projects requiring exterior work to the Public Design Commission (PDC) for conceptual approval. The extent and format for the presentation or submission is outlined on the PDC website and will be confirmed by the DDC Public Design Commission Liaison.

## D. PRE-SCHEMATIC DESIGN DELIVERABLES

**1. Progress Meeting Minutes**

The Consultant shall prepare minutes, following the DDC format, within three working days of each Progress Meeting. Criteria for these minutes appear in Appendix A-3 under "Meetings". The Consultant shall transmit the minutes to the DDC Project Manager for distribution to all attendees. Minutes shall summarize:

- a. List of attendees
- b. Decisions made and by whom
- c. Open issues, identifying the persons responsible for resolution, with due dates.

**2. Pre-Schematic Design Report**

The Pre-Schematic Design Report shall contain descriptive data and graphics in support of recommendations made concerning the project. The Report will serve as a public record in support of future building program decisions. The Report shall contain:

- a. Summary of Requirements  
Consists of accumulated data and a full description of the recommendations, which can be used as an architectural program.
- b. Graphic and Descriptive Documentation  
By activity, for current and future space needs
- c. Site Analysis  
Indicates assets and constraints of the site, including those determined by physical, ecological and historical characteristics. The report must identify all trees (through the services of an arborist) and plant specimens within the site perimeter that are known to be host species for invasive pests. Identify invasive pests. Identify invasive plant species, existing street trees, and requirements for new plantings.

- d. Appropriate Space Standards**  
For each applicable activity for current and future personnel
- e. Space Requirements**  
Determination and listing of space requirements for all program spaces including special uses, common use functions, and building services.
- f. Individual Work Space Standards**
- g. Adjacencies and Flow Diagrams**  
Indicate the required circulation patterns and physical relationships of both internal and external activities.
- h. Project Space Program**  
Note the functions, space allocations, occupancy, staff, visitors, and size of new facilities. The report shall list usable net area and gross area tabulations, complete for each of the functional requirements of the proposed project. The net area tabulations shall be indicated for all distinct program spaces.
- i. Programmatic Inventory and Use**  
Of all existing spaces, indicating anticipated growth or diminishment of use, adjacency of work space requirements, special purpose areas, facilities to be shared, support areas, and building service requirements.
- j. Environmental Program Matrix**  
Prepare a matrix describing preferred environmental conditions for each major type of space in the program. The conditions shall at minimum include access to daylight, orientation, views, acoustic needs, temperature and humidity control, air quality, and lighting quality. See sample matrix on <http://www.nyc.gov/html/ddc/downloads/pdf/matrix.pdf>.
- k. Sustainable Design**  
For Local Law 86 projects, provide solar diagram, analysis of applicable sustainable design standards, LEED workshop meeting minutes, and preliminary LEED scorecard.
- l. Energy Master Plan**  
If directed, provide an ASHRAE Level II Energy Audit with a prioritized list of potential energy conservation measures, or incorporate into the report the audit provided independently by the assigned commissioning firm. Identify all NYC Energy Conservation Code requirements applicable to the project.
- m. Design for healthy living**  
Provide analysis of opportunities to utilize design for healthy living strategies.
- n. Pre-Schematic Cost Estimate**

Provide a cost estimate for each option, alternative, phase or component of the project. Estimates should reflect an appropriate level of detail for each component. Provide a summation of construction cost for each trade in the estimates, with an added design contingency of 10%. Add general conditions at 10%, overhead and profit at 15%, escalation to the mid-point of construction, and a construction contingency of 10%.

**o. Schedule**

The Consultant shall present a schedule for approval by DDC for the entire project duration. This includes, but is not limited to, a complete activities checklist with milestones, due dates for all submittals, and the construction duration. Include a phasing plan for construction if applicable.

**p. Master Plan Report**

The Report shall be illustrated with sketches, plans, photographs, flowcharts, photographs of models, or computer simulations, drawings, and any additional materials that clarify the conclusions, proposals, and presentation. The report shall be titled, summarized, indexed, and shall be organized in sequence with section headings. The Master Plan Report shall include an executive summary, existing conditions inventory, analysis of inventoried data, identification of planning and design issues, prioritization of planning and design issues, planning and design options, a recommended planning and design option, development phasing, and phased costs. The Report shall provide a recommended and approved Scope of Work and cost estimate for Phase One of the project.

**i. Appendices**

The Master Plan may require appendices documenting interviews, space planning standards, detailed description of existing site and building systems, detailed cost estimates, rejected alternate development proposals (including reason for rejection), summaries of previous reports, and records of research. Sources for all information shall be identified.

**ii. Drawings**

The Master Plan shall include rendered perspective drawings of the site showing all proposed work. It shall also include drawings of each phase of the plan, as well as any pertinent resource inventory and maps. These drawings and maps shall be reproduced in the body of the report and at an appropriate presentation size.

**iii. Phase One Description**

The Consultant shall include a description of the first phase of work to be completed in the accepted plan. A description of the second phase may also be required.

**3. Report Format Requirements**

The Consultant shall prepare and submit six copies of the required report to DDC unless otherwise specified in the Task Order or Project Objectives. The report shall also be submitted as a PDF digital file. Pre-Schematic reports shall be:

**a. Organized with a table of contents**

**b. Summarized, containing an executive summary, descriptive text, implementation schedule, design calculations, cost estimates, and include a log of meeting minutes**

**c. Illustrated with drawings to appropriate scale and photographs, as required.**



# SCHEMATIC DESIGN

## A. SCHEMATIC DESIGN GOALS

In the Schematic Design Phase, the Consultant shall investigate issues and evaluate options for meeting the Client Agency's programmatic needs in a built form that addresses site conditions, context, regulatory requirements, sustainability targets, and budgetary constraints. The goal of this phase is to establish a strong design direction, achieve consensus on site planning and operational issues, and establish the general layout of rooms and spaces. Clear and comprehensive approaches towards sustainability and energy code compliance, resiliency and design for healthy living must be identified. The Consultant begins the design process by investigating existing conditions, identifying opportunities and constraints inherent in the site, the program, or the building type, and establishing design parameters in dialog with the Client Agency and DDC. The Consultant explores spatial and material responses to the Project Objectives. By the mid-point of the phase, the Consultant shall present no fewer than three concept options, or as many as may be required to fully explore applicable design alternatives. The Consultant shall lead a presentation of these options for the stakeholders, from which a general consensus toward a preferred scheme should emerge. The preferred scheme shall then be developed more fully for the final Schematic Design submission.

## B. SCHEMATIC DESIGN PROCESS

The Schematic Design process includes:

### 1. Schematic Design Kick-Off Meeting

This meeting of the Consultant, the Client Agency, DDC Project Manager, DDC Team Leader, and other DDC team members as required shall occur at the start of the phase. Project requirements shall be reviewed and project information shall be distributed, including:

- a. Requirements of the Contract  
Including: the Agreement, the Task Order, the Project Objectives, and this Guide
- b. Identification of responsibilities, expectations, contact information, and establishment of protocols for all stakeholders.
- c. Identification of opportunities for equity, sustainability, resiliency, and design for healthy living.
- d. LEED certification level, Enhanced Energy Design, or other targets required by Building Codes, Local Laws (LL86), or other NYC sustainability initiatives. The parameters of the Energy Master Plan, if required, shall be included in this assessment.
- e. Project Scope
- f. Client Agency standards and user needs
- g. Budget
- h. Site Data, including information as required about metes and bounds surveys, topographical surveys, borings, geotechnical data, etc.

- i. Outline of criteria for Progress or Review Meetings
  - j. Schedule  
The Consultant shall present a draft schedule for approval by DDC for the entire project duration. This includes, but is not limited to, a complete activities list with milestones, due dates for all submittals, contract bid, award, registration, and the construction duration.
  - k. Identification of approvals required from other agencies, authorities, stakeholders, or entities including the Public Design Commission or the Landmarks Preservation Commission, and identification of responsible parties.
  - l. Review of Submission Requirements for this phase in coordination with overall project scope and expectations. The project team will review the items listed below under Schematic Design Tasks and Schematic Design Deliverables and make a determination as to which items shall be required. The Project Manager will confirm any deviation from the requirements of this Guide in writing.
- 2. Progress or Review Meetings**  
The DDC Project Manager schedules progress meetings. The Consultant shall attend and bring the necessary materials to ensure a productive meeting. It is the intent that these meetings be active work sessions with all stakeholders participating in the process. The meetings shall be recorded by the Consultant in meeting minutes. Criteria for these minutes appear in Appendix A-3 under "Meetings". The Consultant shall provide an agenda to DDC at least three days prior to each meeting. A list of typical topic subjects in chronological order follows in the tasks and deliverables sections of this chapter.
- 3. On-Board Reviews**  
For projects with accelerated delivery schedules, the DDC Project Manager may request that the Consultant and DDC Review Team participate in on-board reviews. On-board review consists of a review of documents at the time of submission by DDC staff in the presence of the Consultant and all pertinent sub-consultants. Such reviews may take place at DDC or in the Consultant's office. The Consultant shall record all comments made by the reviewers as part of the meeting minutes, and submit said minutes for review.
- 4. Presentation of Design Options**  
At the approximate mid-point of the phase, the Consultant shall present design options to the project team for review. One of these options may be selected by consensus as the preferred scheme, or a preferred scheme may emerge from a combination of elements from several options. Each schematic option must be accompanied by a cost estimate, at the same level of development, as well as zoning and code analyses demonstrating compliance. Strategies for equity, sustainable design, resilient design and design for healthy living should be presented.
- 5. Presentation of the Preferred Schematic Design**  
At the conclusion of the phase, the Consultant shall present the preferred schematic design scheme to DDC and the Client Agency. The Consultant should submit complete zoning and code analyses, cost estimate, and room inventory demonstrating compliance with the approved space program. The Consultant shall also provide descriptive narratives of the existing and/or proposed structural, mechanical, electrical, and plumbing systems, life-cycle analyses of the mechanical systems, LEED checklist, and other documents as required to demonstrate compliance with all regulatory requirements and the requirements of the Project Objectives.
- 6. Commissioning**  
Commissioning (Cx) is the process whereby the installation, calibration, and performance of

building systems and assemblies are verified with the Owner's Project Requirements (OPR), Basis of Design (BOD), and the construction documents. Consultants on projects where Commissioning is required shall prepare preliminary drafts of the OPR and BOD once a Preferred Schematic Design has been selected.

**7. Regulatory Approvals**

The Consultant shall meet with regulatory agencies as necessary and shall cooperate in obtaining all required approvals. The Consultant shall submit documents to all applicable regulatory agencies or authorities as directed by DDC.

**8. Design Review**

The Consultant shall submit documents for design review to DDC and the Client Agency, who will issue written comments to the Consultant. The Consultant will in turn submit written responses to each comment. Responses should be submitted within ten business days, shall address all review comments, and shall address the spirit of the comment as well as the specific issue. Consultant's response should be submitted on the same form indicating the design review comments. A meeting to discuss the comments will be conducted if the Consultant responses are not acceptable or if otherwise needed. If so directed, the Consultant shall resubmit all or portions of the Schematic Design submission to the satisfaction of the reviewers.

**9. Approvals to Proceed**

Upon approval of the submission, DDC shall issue a Notice to Proceed to the Consultant to commence the next phase of the work.

## C. SCHEMATIC DESIGN TASKS

Consultants for projects including a Pre-Schematic Design Phase may have already initiated many of the following tasks. In that case, the findings submitted during the Pre-Schematic Design Phase shall be updated and elaborated upon in greater detail, with the express intent of informing the Schematic Design. For each project, as applicable, the project team should organize the work in the Schematic Design Phase to follow the general outline below:

Note: See Appendix A-1 for DDC Design Criteria.

**1. Phase 1: Investigation**

- a.** Site and/or existing building conditions analysis. The Consultant shall study the site and the surrounding areas to determine the suitability of the existing site conditions for the proposed work. At minimum, the Consultant shall prepare an inventory of site plantings, subsoil conditions and soil bearing capacities, off-site and on-site views, existing site amenities, and constraints for site development. The Consultant shall identify the types, functions, and uses of other facilities proximate to the site and identify any potential conflicts or areas of concern. The Consultant shall identify all means of site access, including pedestrian, vehicular, parking, service, etc. and note the location, type, and distance to all forms of public transportation. The Consultant should also note any issues or concerns relative to handicapped accessibility.
- b.** Building code and zoning analysis. Identification of the possible need for building code clarification or determination, zoning override, or special review with regulatory agencies or authorities.
- c.** Program and operational analyses. Review of precedents, opportunities, constraints, adjacencies, operations, and maintenance.

- d. Identify any phasing or staging requirements for the project, based on the Client Agency's schedule for occupancy, including options for swing space and other needs.
- e. Sustainable Design. See Pre-Schematic Design for typical tasks. In addition: Develop an appropriate energy analysis methodology, and propose alternative energy efficiency measures and HVAC options to be analyzed. Research and document occupancy schedule and applicable energy rates. If pursuing LEED certification under Local Law 86, register the project with the USGBC.
- f. LEED or Sustainable Design Workshop
- g. The Consultant and the sub-consultants shall conduct a meeting in which required and recommended environmental design features will be reviewed and discussed. Sustainable design goals for the project will be established.
- h. Resilient Design
  - i. The Consultant shall develop requirements for maintaining functionality in changing conditions or emergencies.
  - ii. The Consultant shall identify criteria for durability, including the ability of the exterior envelope to withstand severe weather or unexpected environmental changes.
  - iii. The Consultant shall develop parameters for properly locating critical building equipment and explore options for redundancy and on-site renewable energy.
- i. Design for healthy living  
The Consultant shall identify needs and opportunities to improve the health and well-being of building occupants and the surrounding community, to be explored in different design schemes.
- j. This phase culminates in the delivery of the findings in an Investigation Interim Report.

## 2. Phase 2: Schematic Options

- a. Blocking and stacking, massing, site planning, and identifying key relationships, efficiencies, design opportunities, and constraints.
- b. Evaluation of program and preparation of schematic design options.  
The consultant shall prepare as many alternative design options as necessary to explore the full range of opportunities, with a minimum of three. Each scheme shall demonstrate compliance with the code and zoning analyses and shall include outline plans, elevations, and sections. The Consultant shall prepare comparative engineering narratives, life cycle costs, and preliminary cost estimates clearly identifying the differences between each scheme.
- c. This phase culminates in the presentation of multiple schemes to the project team. The project team will evaluate each scheme, and make a recommendation for a preferred scheme. The Consultant shall submit all schemes in an Options Interim Report. The DDC Project Manager

and Team Leader may indicate that the scope does not warrant multiple solutions and may relieve the Consultant of this requirement.

### **3. Phase 3: Preferred Scheme**

- a.** Preferred scheme development and validation. The preferred scheme may combine elements from the options presented earlier. All engineering systems shall be validated by preliminary analyses and findings.
- b.** Presentation of preferred scheme including all sub-consultant specialties. Following this presentation, the Schematic Design deliverable package shall be submitted for review.

### **4. Design Considerations**

- a.** Siting and orientation
- b.** Utilities and infrastructure
- c.** Urban design and contextual relationships
- d.** Design for Equity
- e.** Sustainable design, LEED conformance, and enhanced energy design, meeting and exceeding Building Codes, Local Laws (including LL86) and other NYC sustainability initiatives.
- f.** Resilient design
- g.** Design for healthy living
- h.** Percent for Art (if not already performed in a Pre-Schematic Phase):  
Under its contract with the City of New York, when applicable, the Consultant is required to retain services of an artist for the design, fabrication, and installation of Artwork. After a project is deemed eligible for artwork, DDC asks the Consultant to participate in a brainstorm meeting considering the project's art opportunities. The Consultant may recommend general locations for the artwork, a concept (i.e. media site, style, materials), and/or artists to be considered. On occasion a charrette may be held with the community where the Consultant will prepare and present the art component within the context of the project. The Consultant shall gather feedback about the site, art opportunities, and parameters.
- i.** Configuration and massing
- j.** Program function
- k.** Adjacencies and circulation
- l.** Maintenance and Operation
- m.** Initial and Life-cycle Cost

- n. Building materials
- o. Structural systems
- p. Mechanical systems & fire protection
- q. Electrical & fire alarm systems
- r. Plumbing systems
- s. Data and telecommunications systems
- t. Security needs

#### **5. Zoning Analysis**

- a. The Consultant shall provide a Zoning Analysis identifying all relevant issues including the appropriateness of the project with regard to site, use, bulk, set-backs, height limitations, and the need for any required variances.
- b. Provide massing diagrams showing all height, set-back, and sky exposure plane requirements.
- c. Note: If this design service was included in a Pre-Schematic Design Phase, the findings shall be updated during the Schematic Design Phase.

#### **6. Building Code Analysis**

- a. The Consultant shall identify all applicable codes and local laws relevant to the project.
- b. The Consultant shall identify building and space occupancy groups, construction classifications, egress requirements, fire separation requirements, energy code requirements, any other applicable code requirements.
- c. The Consultant shall identify code requirements for live loads, ventilation, fire protection, light levels, emergency lighting and power, plumbing fixtures, environmental noise levels, etc.
- d. Note: if this design service was included in a Pre-Schematic Design Phase, the findings shall be updated during the Schematic Design Phase.

#### **7. Design for Equity**

The Consultant shall assure that the project is designed to equally welcome diverse populations with distinct and diverse cultural backgrounds.

#### **8. Sustainable Design and Enhanced Energy Design Alternate**

Subsequent to approval of the preferred schematic design by DDC, the Consultant shall analyze the proposed design in accordance with the Energy Analysis Plan developed during the investigation phase. The Energy Analysis must show compliance with the requirements of Local Law 86, enhanced energy design, or other standard as directed by the Project Objectives, as well as the NYC Energy Conservation Code. Each proposed energy efficiency measure shall be analyzed separately and compared to the baseline model for energy cost and greenhouse gas emissions. The analysis shall be submitted in report form. If LL86 applies the SD report shall incorporate energy conservation measures and other LEED strategies.

#### **9. Commissioning Agent**

If the project is intended to qualify for the Enhanced Commissioning credit under the LEED rating system, the Commissioning Agent's involvement in the design process must begin during this stage.

#### **10. Energy Analysis**

Subsequent to approval of the preferred schematic design by DDC, the Consultant shall perform a computerized analysis of the proposed HVAC central plant and distribution options in accordance with the approved Energy Analysis Plan developed during the investigation phase of Schematic Design. The Energy Analysis must show compliance with Local Law 86, energy cost reduction requirements, or other required standard. Each proposed energy efficiency measure shall be analyzed separately and compared to the baseline model in order to determine its payback period. The analysis shall be submitted in report form.

#### **11. Resilient Design**

The Consultant shall develop requirement for maintaining functionality in changing conditions or emergencies and identify criteria for durability, including the ability of the exterior envelope to withstand severe weather or unexpected environmental changes. The Consultant shall develop parameters for properly locating critical building equipment and explore options for redundancy and on-site renewable energy.

#### **12. Design for healthy living**

The Consultant shall identify health needs and opportunities based on an analysis of building occupants and the surrounding community, and outline strategies to promote physical as well as mental health using the design of the building and/or site. The Consultant should rely on the Active Design Guidelines and DDC's Guiding Principles on design for healthy living in developing the analysis and identifying the design strategies.

#### **13. Public Design Commission and Landmarks Preservation Commission**

The Consultant will submit all City-owned projects requiring exterior work to the Public Design Commission (PDC) as part of basic services at two phases of development: Conceptual, if required and not part of a pre-schematic phase, and Preliminary. The extent and format for the presentation or submission is outlined on the PDC website and will be confirmed by the Public Design Commission Liaison. Projects accurately described as "replacement in kind" have minimal requirements, but are required to be submitted for review nonetheless.

#### **14. Value Engineering**

If requested by the Office of Management and Budget (OMB), a Value Engineering (VE) Study may occur before final acceptance of the Schematic Design Submission. Participation by the Consultant, if not explicitly stated in the Task Order or Project Objectives, will be considered an

additional service.

#### **15. Percent for Art Artist Selection**

Under its contract with the City of New York, when applicable, the Consultant is required to retain services of an Artist for the design, fabrication, and installation of Artwork. After a project is deemed eligible for artwork, DDC asks the Consultant to participate in a brainstorm meeting considering the project's art opportunities. The Consultant may recommend general locations for the artwork, a concept (i.e. media, site, style, materials), and/or artists to be considered. On occasion, a charrette may be held with the community where the Consultant will prepare and present the art component within the context of the proposed project. The Consultant shall gather feedback about the site, art opportunities, and parameters.

##### **a. Panel 1 - Artist Selection Meeting**

The Consultant will present a brief overview of the project and art opportunities to the Artist Selection Jury. Presentation includes: project scope, site designs, art opportunities, budget, schedule, and other considerations meaningful to the client, context, and community. The Consultant shall participate in the artist selection as an advisor to the jury.

##### **b. Artist Orientation Meeting**

The Consultant shall brief finalist artist candidates about the project site, location, and community context. The Consultant shall present and distribute digital file copies of the current design materials to the artist finalists. The materials will include: a project narrative that includes project history, mission, vision, and scope; a design description that includes site map, existing site photos, proposed plans, and renderings or other visuals that will inform the artist about the project, site, and opportunities; community profile; drawings of identified art opportunity locations; project sponsor information. The Consultant should be available to respond to email correspondence from the artists moderated by the City.

##### **c. Panel 2 - Finalist Artist Interviews Meeting**

The Consultant is required to present a brief overview of the current project to the Artist Selection Panel.

##### **d. Artist Selection**

Upon selection, the Consultant shall retain the Artist. The Artist's fees are a reimbursable expense.

## **D. SCHEMATIC DESIGN DELIVERABLES**

### **1. Meeting Minutes**

The Consultant shall prepare minutes, following the DDC format, within three working days of all Meetings. Criteria for these minutes appear in Appendix A-3 under "Meetings". The Consultant shall transmit the minutes to the DDC Project Manager for distribution to all attendees. Minutes shall summarize:

#### **a. List of attendees**

- b. Decisions made and by whom
- c. Open issues and the schedule and persons responsible for resolution

## **2. Schematic Design Interim Submission I: Investigations Phase**

- a. Site and or existing building analysis
- b. Zoning Analysis  
Demonstration of compliance with NYC Zoning Resolution, including set-backs, height limitations, and identification of any required or recommended variances.
- c. Building Code Analysis  
Demonstration of compliance with NYC Building Code including Building Classification, Construction Classification, Occupancy, Egress Compliance, Fire Separation, Energy use, etc.
- d. Summation of opportunities, constraints, adjacencies, operation, and maintenance.
- e. Environmental Program Matrix  
Prepare a matrix describing preferred environmental conditions for each major type of space in the program. The conditions shall at minimum include access to daylight, orientation, views, acoustic needs, temperature and humidity control, air quality, and lighting quality. See sample matrix on <http://www.nyc.gov/html/ddc/downloads/pdf/matrix.pdf>.
- f. Sustainable Design  
Describe required level of Local Law 86 compliance, or compliance with other standard if appropriate. Provide solar diagram, environmental programming matrix, and minutes of sustainable design workshop. Include the latest LEED scorecard, annotated with descriptions of the project's specific sustainable design strategies.
- g. Energy Master Plan  
If directed, provide an ASHRAE Level II Energy Audit with a prioritized list of potential energy conservation measures, or incorporate into the report the audit provided independently by the assigned commissioning firm. Identify all NYC Energy Conservation Code requirements applicable to the project.
- h. Resilient Design  
Describe requirements and strategies for creating a facility with access to services during emergencies or interruptions.

## **3. Schematic Design Interim Submission II: Options**

- a. Blocking and stacking, massing, and site planning diagrams for each option.
- b. Outline plans, elevations, and sections for each option.

- c. Engineering narratives for each system proposed including usage, concepts, materials requirements, noise control, and life cycle costs. (Note: These may be applicable to multiple options.)
- d. Preliminary project cost estimates for each option.
- e. Describe the impacts of each option on Local Law 86 compliance or on enhanced energy design goals, indicating which energy conservation measures apply to each option.
- f. Describe requirements and strategies for creating a resilient facility with access to services during emergencies or service interruption.
- g. Design for healthy living  
Needs analysis and identification of design strategies to promote physical and mental health.

#### 4. Schematic Design Final Report

(The report shall include the documentation of the previously submitted Investigation and Options Interim Reports as appendices.)

- a. Statement of project objectives
- b. Existing Conditions  
Review and documentation of existing conditions, including MEP systems
- c. Program Requirements  
Review and documentation of program requirements.
- d. Preferred Scheme  
Presentation of the recommended design, including analysis of architectural and engineering concepts and suitability to program requirements.
- e. Site Design  
Provide description of site concept plan. In addition, for projects with no Pre-Schematic phase, (through the services of an arborist) identify all trees and plant specimens known to be host species of invasive pests, identify invasive plant species, and requirements for street trees.
- f. Circulation Study  
A diagrammatic circulation study showing horizontal and vertical circulation is required. The circulation study will include a vertical transportation analysis and recommendations for the number of elevators, or escalators, type of elevator systems, and control systems.
- g. Design for healthy living  
Needs analysis and identification of design strategies to promote physical and mental health.
- h. Resiliency Study  
Needs analysis and identification of design strategies to promote access to services during

emergencies and interruptions.

**i. Sustainable Design**

Update and assemble the sustainable design deliverables from the interim reports into a comprehensive final report including, if appropriate, the Energy Audit or Energy Analysis as described below. Confirm status of LEED registration with USGBC if applicable, and invite DDC Sustainable Design Project Director to LEED online record.

**j. Energy Analysis**

Where required by NYC Energy Conservation Code, LL86 compliance, or enhanced energy design goals, provide a complete energy analysis of the preferred schematic design. The analysis shall include a description of the methodology and computer software used, a description of the building model used, and documentation of the building occupancy schedule, source of weather data, and source of energy rates used; a breakdown of energy consumption by end uses; a summary comparison of energy consumption between the proposed building and baseline building on a monthly and yearly basis; and a summary comparison of energy cost and greenhouse gas emissions on a yearly basis. Summary figures shall be broken down by energy source (gas, electricity, etc.). The analysis shall provide the energy consumption, greenhouse gas emissions, and energy cost savings for each energy efficiency measures compared to the baseline, indicating the payback period for each measure.

**k. Energy Master Plan and Enhanced Energy Design Alternate**

- i. System Upgrade: Identify opportunities for the system design to surpass code minimum energy performance by the amount specified in the Project Objectives or the building's existing Energy Master Plan.
- ii. Renovation (multiple system upgrades and some interior and/or exterior renovation): Provide an Energy Master Plan consisting of a building-wide ASHRAE Level II Energy Audit that identifies opportunities for energy conservation measures, including future opportunities beyond the current project scope. Provide a conceptual enhanced energy design alternate for the current scope to surpass code minimum energy performance by the amount specified in the Project Objectives.
- iii. New Construction (includes gut renovations and other Local Law 86 eligible projects): Provide a conceptual enhanced energy design alternate for the current scope to surpass Local Law 86 minimum energy performance by the amount specified in the Project Objectives. For each energy conservation measure proposed under the alternate, compare the first cost, energy and GHG emissions savings, and operating and maintenance impacts to the LL86-compliant base design.

**l. Meeting Minutes**

**m. Structural, HVAC, Fire Protection, Electrical and Fire Alarm, and Plumbing**

- i. Narrative descriptions of the following; existing site infrastructure, building structural system and condition, electrical, mechanical, and plumbing systems, fire alarm and/or fire protection systems, and security systems. Code requirements shall be outlined. Tabular listing of desired foot candle levels for all spaces.
- ii. New service requirements shall be described. Connection or service upgrade requests to utilities shall be submitted (including load letters and preferred point of entry for new utilities).

- iii. The Consultant must determine if acoustical design is required, including supplemental acoustical testing report and analysis as indicated in the HVAC Design Criteria.
  - iv. Evaluation of Alternative Schemes  
The Consultant shall analyze the advantages, disadvantages, annual owning and operating costs for each alternative design scheme, including one that will eliminate the need for licensed operating personnel and one that incorporates a building energy management system. The report will include requirements, restrictions, costs, advantages, and disadvantages of each scheme. Recommendations shall be made to DDC and the Client Agency for review and approval.
  - v. Analysis of Automatic Controls Systems  
Provide definitive analysis of the automatic controls systems, and proposals for all necessary modifications, upgrading and new systems.
  - vi. Fuel Tanks  
A separate report shall be included regarding the existence of all underground fuel tanks, for heating oil, diesel fuel, and gasoline, describing their condition, age, and the code requirements for testing. The report shall provide recommendation for removal and or replacement of tanks and contaminated soil.
- n. Schedule**  
The Consultant shall present a schedule for approval by DDC for the entire project duration. This includes, but is not limited to, a complete activities checklist with milestones, due dates for all submittals, and the construction duration.
- o. Phasing of Construction**  
The Consultant shall provide a narrative description and diagrams for proposed phasing and staging.

## **5. Drawings**

Schematic Design documents shall illustrate the resolution of the program requirements and shall be dimensioned and scaled, showing floor-to-floor heights, and room sizes. The Consultant shall demonstrate the design's appropriateness in terms of economic, functional, and aesthetic factors.

- a. Site Plan:** As required by the nature of the project, a site plan shall indicate materials, physical features and site furnishings, major grading, utilities, property or project limit, easements, buildings or structures on and adjacent to the project, and plantings.
- b. Floor Plans:** Floor plans shall be prepared for all occupied floors within the scope of the project. Floor plans shall indicate all program spaces. Corridors, stairs, elevators, exits, mechanical chases, and compliance with accessibility requirements shall be evident.
- c. Roof Plan:** Roof plans shall be prepared indicating the storm water drainage features, all roof-mounted equipment, and skylights.
- d. Exterior Elevations and Sections:** Exterior elevations and building sections will be prepared indicating fenestration, entry, access, site features, and materials.

- e. **Engineering Drawings:** Engineering drawings shall indicate structural, HVAC, fire protection, electrical and fire alarm system, and plumbing systems, indicating path of services, locations of stacks and risers, and equipment service room space requirements. Drawings shall indicate point of entry for utility company services and connections to available services on site. In addition HVAC/Fire Protection engineering drawings shall indicate the following:
  - i. System types, capacities, and zoning
  - ii. Location and spatial layout of major equipment
  - iii. Main ductwork routing
  
- f. **Existing Conditions Drawings**  
Existing conditions shall be surveyed by the Consultant. Drawings for all affected areas within the project scope shall show areas and elements requiring demolition, salvage, protection, impact upon design, and integration with proposed design.
  
- g. **Key Plans:** Key plans shall adequately describe project location and orientation.
  
- h. **Axonometric Drawing and Perspectives**  
Axonometric drawings and perspectives and other sketches, shall be prepared as necessary to fully illustrate and document all major elements of the design and massing.

## **6. Study Models**

Study models will show three-dimensional volumes and proportions and, when necessary, the contextual relationship to surrounding buildings and streetscape. Study models are of particular importance in the design and evaluation of new buildings and building additions.

## **7. Submission Requirements**

After the approval of the Schematic Design, five copies of the drawings of the selected scheme, with an additional half-sized set, and six copies of the report are required for A&E review unless noted otherwise in the Task Order or Project Objectives. Full size drawings shall be no larger than 24" x 36" unless otherwise approved by DDC. All materials shall also be submitted as PDF digital files. Schematic reports shall be formatted as follows:

- a. Bound – with front and back cover sheets
  
- b. Organized with a table of contents
  
- c. Include a project fact sheet with information including net and gross area, block and lot number, zoning district, Community Board, Council District, and street address. List all applicable codes, design guidelines, or other standards.
  
- d. Summarized, containing an executive summary, descriptive text, implementation schedule, design calculations, cost estimates, and a log of meeting minutes
  
- e. Illustrated with drawings to appropriate scale and photographs, as required

## **8. Cost Estimate**

The Consultant is responsible for submitting a design scheme whose estimate meets the allocated construction budget. If all stakeholders are in agreement that the project scope cannot be reduced to meet the current budget, and agree that additional funding is necessary, the responsibility to

secure such additional funds rests with the Client Agency. The Consultant and DDC staff will support the Client Agency as necessary by providing technical information and scope verification. Provide a summation of construction costs for each division per Construction Specifications Institute (CSI) format in the estimate, as appropriate to the project, with an added design contingency of 10%. Add general conditions at 10%, overhead and profit at 15%, escalation to the mid-point of construction. The Schematic Design cost estimate shall reflect NYC Prevailing Wage Rates. Sales tax shall not be included in the estimate.

## 9. Specifications and Identification of Proprietary Items

- a. Specifications must conform to all DDC requirements for format, content, and completeness. Guidelines issued to the Consultant, and included in the Appendix to this Guide, pertaining to legally proscribed language must be followed precisely. DDC's technical and legal teams will review the specifications thoroughly; revisions required by either team must be prepared and submitted expeditiously. Failure to do so on the part of the Consultant may delay the City's ability to initiate the bid phase. **The Consultant's commitment to responding to all such requests with urgency is both required and expected.**
- b. In conformance with the City's Procurement Policy Board Rules, the Consultant shall specify at least three manufacturers or fabricators for an item, followed by the words "or approved equal". The specifications shall also include a description of the key functional criteria for the item, in order to establish a standard by which a potential substitution can be evaluated. These requirements are designed to permit competition.
- c. If it is not feasible to list three manufacturers or fabricators, DDC may, in rare circumstances give the Consultant approval to list fewer than three manufacturers or fabricators. The words "or approved equal" must be included, as well as a description of the key functional criteria for the item.
- d. Under normal circumstances, proprietary items are not permitted. If no alternate items exist such that a proprietary item must be specified, the Consultant shall submit a statement to that effect. The statement shall demonstrate the need for any such proprietary item and the lack of acceptable alternatives.

## 10. Presentation Documents

Various presentation documents are required by the PDC and other regulatory agencies. The presentation materials, intended for regulatory review or for use at public meetings, may be retained by DDC. In addition, presentation materials needed to resolve open design issues, including models and sketches, may be requested by the DDC Project Manager. Photographs of models and presentation materials will be submitted to DDC upon request.

## 11. Design Review Comments Response

The Consultant is required to respond in writing to comments from the DDC review teams. The Project review form contains a column for the Consultant to respond to the individual comments. Consultant's responses will only be accepted on this form. The Consultant shall revise the documents to reflect the comments or explain in writing why a revision should not be done.

## 12. Comment Review Meeting

The Consultant shall attend a Comment Review Meeting to facilitate the communication of measures or actions taken to respond to or resolve design issues and comments. The Consultant may present additional drawings, specifications, or data as required for clarification or resolution of outstanding design issues and comments.

## DESIGN DEVELOPMENT

### A. DESIGN DEVELOPMENT GOALS

In the Design Development Phase, the Consultant shall continue the design process, advancing the design presented at the final stage of the Schematic Design Phase. Given the importance of projects relating to the City's overarching priorities of equity, sustainability, resiliency, and healthy living, the Consultant is expected to validate, develop, and refine the project, including all design elements, building systems, materials, details, equipment, maintenance and operational requirements, and both initial and life-cycle costs. Any open issues regarding zoning or code compliances should be resolved during the DD phase. If determinations from DOB are required, the consultant must obtain written responses prior to final submission. The Consultant shall modify the design as required to remain within the project budget. The Consultant shall notify DDC if they believe that the project scope cannot be achieved within the approved budget, but this does not relieve the Consultant of their responsibility to deliver project that adheres to the budget. At the end of the Design Development Phase, all major design decisions are made final.

### B. DESIGN DEVELOPMENT PROCESS

The Design Development process includes:

#### 1. Design Development Kick-Off Meeting

This meeting of the Consultant, the Client Agency, DDC Project Manager, DDC Team Leader, and other team members as required shall be held at the start of the phase.

Project requirements shall be reviewed and reconfirmed as necessary, including:

- a. Project Schedule  
Review the updated project schedule
- b. Project Decisions  
Review all significant project decisions
- c. Review Resolutions of the Previous Phase  
Assure that all parties clearly understand the resolution of issues as indicated by the approved Schematic Design documents, so that Design Development may proceed.

#### 2. Progress or Review Meetings

The DDC Project Manager schedules progress meetings. The Consultant shall attend and bring the necessary materials to ensure a productive meeting. It is the intent that these meetings be active design work sessions with all stakeholders participating in the process. The meetings shall be recorded by the Consultant in meeting minutes. Criteria for these minutes appear in Appendix A-3 under "Meetings". The Consultant shall present the project through the use of drawings, renderings, material samples and cut sheets, estimates, and design calculations. The Consultant

shall prepare an agenda at least three days prior to each meeting. Design Development discussions shall at a minimum involve the following topics:

- a. Code compliance and design approach
- b. Fulfillment of programmatic spatial and adjacency requirements
- c. Appropriateness of proposed structural and engineering systems
- d. Efficiency of proposed design and systems
- e. Review, coordination, and integration of equity design goals
- f. Review, coordination, and integration of sustainable design strategies and energy efficiency measures into the base NYC Energy Conservation Code- or Local Law 86-compliant design and the Enhanced Energy Design alternate
- g. Review, coordination, and integration of sustainable design goals
- h. Review, coordination, and integration of resilient design goals
- i. Employment of design for healthy living principles
- j. Material selection
- k. Furniture layout
- l. Hazardous material identification and removal
- m. Cost Estimate
- n. Proprietary Items and approval process
- o. Special experience requirements and approvals

### **3. On-Board Reviews**

For projects with accelerated delivery schedules, the DDC Project Manager may request that the Consultant and DDC Review Team participate in On-Board reviews. On-board review consists of a review of documents at the time of submission by DDC review staff in the presence of the Consultant and all pertinent sub-consultants. Such reviews may take place at DDC or in the Consultant's office. The Consultant shall record all comments made by the reviewers as part of the meeting minutes, and submit said minutes for review.

### **4. Presentation and Acceptance**

At the conclusion of the phase, the Consultant shall make a presentation of the Design Development materials to DDC and the Client Agency. Public presentations may also be required. The Consultant shall coordinate with the DDC Project Manager and Team Leader concerning all materials and information to be included in the presentation documents.

### **5. Regulatory Approvals**

The Consultant shall meet with regulatory agencies as necessary and shall cooperate in obtaining all required approvals. The Consultant shall submit documents to all applicable regulatory agencies or authorities as directed by DDC.

#### **6. Design Review**

The Consultant shall submit documents for design review to DDC and the Client Agency, who will issue written comments to the Consultant. The Consultant will in turn submit written responses to each comment. Responses should be submitted within ten business days, responding to all comments, and shall address the spirit of the comment as well as the specific issue. A meeting to discuss the comments will be conducted if the Consultant responses are not acceptable. If so directed, the Consultant shall resubmit all or portions of the Design Development submission to the satisfaction of the reviewers.

#### **7. Approval to Proceed**

Upon approval of the submission, DDC shall issue a Notice to Proceed to the Consultant to commence the next phase of the work.

### **C. DESIGN DEVELOPMENT TASKS**

During Design Development the Consultant shall prepare the following documents or analyses as necessary:

Note: See Appendix A-1 for DDC Design Criteria.

#### **1. Required Materials**

- a.** Zoning and Building Code analysis and Egress and Life Safety plans updated to reflect current design
- b.** Site Plan, including plantings, surface materials, site furnishings, and grading
- c.** Floor Plans of all occupied floors
- d.** Roof Plan
- e.** Reflected Ceiling Plans
- f.** Elevations
- g.** Sections
- h.** Typical roof and wall sections
- i.** Utility layouts

- j. Materials selection
- k. Furniture selection
- l. Vertical transportation systems
- m. Structural system and foundations
- n. Mechanical systems and equipment
- o. Plumbing systems
- p. Lighting layouts
- q. Electrical systems and equipment
- r. Data and telecommunications systems
- s. NYCECC energy analysis
- t. Additional documents listed in the Task Order or Project Objectives

**2. Sustainable Design**

Finalize and incorporate into all documents the sustainable design strategies employed to comply with performance requirements and achieve goals identified in Schematic Design. If LL86 applies, update the LEED plan. If required by NYC Energy Conservation Code, LL86 compliance, or enhanced energy design goals, update the Energy Analysis after confirming all occupancy and operations assumptions with the client. The analysis will also serve as the back-up documentation for reporting to the Mayor's Office.

**3. Energy Master Plan and Enhanced Energy Design Alternate**

If directed, the Consultant or, for System Upgrade projects, the designated independent Commissioning firm shall submit a refined Energy Master Plan for review. The Consultant shall submit the Enhanced Energy Design alternate, which will be reviewed in the context of the refined Energy Master Plan. If directed, the Consultant shall participate in a meeting of project stakeholders to determine the final energy performance target for the project.

**4. Resilient Design**

The Consultant shall develop requirements for maintaining functionality in changing conditions or emergencies and identify criteria for durability, including the ability of the exterior envelope to withstand severe weather or unexpected environmental changes. The Consultant shall develop parameters for properly locating critical building equipment and explore options for redundancy and on-site renewable energy.

**5. Design for healthy living**

Projects shall incorporate relevant design strategies identified in the Schematic Design Phase in the design of the building and/or site.

**6. Budget and Scope Tracking**

The Consultant shall monitor costs during Design Development and modify the design as required to stay within the budget. If scope changes are requested by DDC and the Client Agency, the Consultant shall document requests in writing for approval. The Consultant shall be available to provide technical information pertinent to scope questions.

#### **7. Cost Estimating**

A cost estimate in Construction Specification Institute (CSI) format must be submitted. For each item or combination of items in the cost estimate, identify the quantity required, the unit of measurement, the unit cost, and the total cost. Provide a summation of construction cost for each trade in the estimate, with an added design contingency of 10%. Add general conditions at 10%, overhead and profit at 15%, escalation to the mid-point of construction, and a construction contingency of 10%. NYC Prevailing Wage Rates shall be incorporated when applicable. Sales tax shall not be included.

#### **8. Hazardous Materials Survey**

DDC's Bureau of Environmental and Geotechnical Services (BEGS) typically performs hazardous material surveys and testing based upon the areas of work identified by the Consultant. BEGS will provide a report and abatement documents. The Consultant is required to incorporate these materials into the contract documents. On jobs on which BEGS is not handling hazardous materials, the Consultant shall identify hazardous materials that may be affected by the proposed work and shall prepare a report.

#### **9. Multiple Construction Contracts**

The DDC Project Manager and Team Leader will establish with the Consultant if the project shall be prepared as multiple-prime contracts or a single contract. For multiple prime contracts, or where applicable, adherence to Wick's Law requires that the Consultant prepare separate sets of drawings and specifications for four or more contracts. The documents shall typically be organized as follows:

- a. Contract No. 1  
General Construction work, including site work and vertical transportation
- b. Plumbing work, including standpipe system, if required
- c. Contract No. 3  
Heating, Ventilating, Air Conditioning, and Fire Protection work, including sprinkler systems, as well as combined standpipe system, if required

Note: The sprinkler system work, which is part of Contract No. 3, shall be shown and detailed on drawings separate from all other work within that contract.

- d. Contract No. 4  
Electrical work, fire alarm, data & telecommunications systems, A/V systems.
- e. Other Contracts

May include, if necessary, separate packages for such specialties as fuel tanks, curtain walls or foundations

## 10. Percent for Art

### a. Core Review Group

Upon selection and contracting with the Artist, the Consultant becomes part of the Core Review Group (CRG). The CRG acts as the client to the Artist and is made up of the Consultant, client representatives, DDC Percent for Art Office, and the Department of Cultural Affairs (DCLA).

### b. Artwork Conceptual Design

The Consultant shall make available to the Artist or request that the design and sponsor agencies make available background information on the project and the site that may be relevant to the conceptual development and eventual installation of the artwork. This shall include a detailed description of conditions applicable to that portion of the site where the artwork will be located.

Upon the Artist's submission of the Conceptual design to the Consultant, the Consultant shall arrange for review of the Conceptual design by the CRG. The Artist shall make such revisions to the Conceptual Design as may be requested by the CRG pursuant to the foregoing review. During Design Development, the Artist and Consultant shall work together to integrate the artwork into the project design.

### c. Artist Contract and Payments

A Contract between the Artist and the Consultant will be adapted for each project from a standard form. The Consultant reviews and executes the Artist and Consultant Contract. Standard contract types used are; Design/Build, Design Only, and Artwork Acquisition. The Consultant will be responsible for the following: 1) monitoring compliance, and acting as liaison, with the Artist with regard to certain procedures as set forth in the Agreement; 2) making payments to the Artist for services performed; 3) integrating the artwork created with the design of the underlying project, advising the Artist of all applicable statutes, ordinances, and regulations of any governmental regulatory body, whether federal, state, or city, having jurisdiction over the project.

The Consultant shall review requisitions for payments promptly upon submission and within ten business days shall submit the requisition to DDC for payment or notify the Artist as to the reasons why the requisition cannot be processed. DDC will support off-cycle billing for Percent for Art related invoices. The Consultant shall pay the Artist for work performed under this Agreement no later than ten business days after receipt of payment to the Consultant by the City. The Consultant shall be solely responsible for making payments to the Artist.

### d. Community Board

The Artist is required to present the artwork to the Community Board prior to going to the PDC. The scheduling of such presentation will be coordinated by the Client Agency.

### e. Public Design Commission - Artwork Conceptual Design Review

Following presentation of the conceptual design to the Community Board or, if no such presentation is made, after the conceptual design is approved, the DDC and DCLA Percent for Art staff shall submit the Conceptual design to the Public Design Commission for review. During the period in which the Design Commission is considering the Conceptual design, the

Artist and the Consultant shall be available to meet with the Design and Sponsor Agency, the Percent for Art Program, and the Public Design Commission to discuss the Conceptual design.

**f. Budget Procedure**

Final Art Allocation shall be determined at the completion of the Design Development Phase.

**11. Commissioning**

For projects where commissioning is required, coordinate with the commissioning agent, prepare required documents, and respond to commissioning comments on the Design Development submission.

**D. DESIGN DEVELOPMENT DELIVERABLES**

Deliverables for Design Development shall be organized in accordance with DDC requirements for Single or Multiple Construction Contracts. Drawings must be coordinated between disciplines and organized according to trade. They must include developed site plans, floor plans, elevations, building and wall sections, material selections and finishes. Outline Specifications and a Cost Estimate shall be included. The Consultant shall submit documents for design review by DDC, the Client Agency, and all regulatory agencies. Design Development deliverables include the following:

**1. Progress Meeting Minutes**

The Consultant shall prepare Minutes, following the DDC format, within three working days of Progress Meetings. Criteria for these minutes appear in Appendix A-3 under "Meetings". The Consultant shall transmit the minutes to the DDC Project Manager for distribution to all attendees. Minutes summarize:

- a.** List of attendees
- b.** Decisions made and by whom
- c.** Open issues and the schedule and persons responsible for resolution

**2. Design Development Submission**

**a.** Letter of Transmittal

Include signatures of Consultants, including a description of the building and site with comments and description of significant design features. The letter of transmittal shall explain and reconcile any differences between the scope of work described in the Task Order or Project Objectives and the submitted design.

**b.** Design Development Reports shall have:

- i.** Covers – front and back with continuous edge binding
- ii.** Table of contents – organized and with all pages numbered

- iii. Project fact sheet with information including net and gross area, block and lot number, zoning district, Community Board, Council District, and street address. List all applicable codes, design guidelines, or other standards.
  - iv. Executive summary, descriptive text, implementation schedule, design calculations, design criteria and a log of meeting minutes.
  - v. Zoning and building code analysis updated as required to reflect design development.
  - vi. Drawings to appropriate scale and photographs, as required
  - vii. Outline Specifications carefully coordinated with project scope and intent, as well as design criteria for all trades
  - viii. Cost Estimate in CSI format
  - ix. Renderings or Perspectives - or photographs of renderings and models, when required by the Task Order or Project Objectives.
- c. Drawing Requirements**
- i. Title sheet - information and content per DDC standards, unless directed otherwise by the DDC Project Manager.
  - ii. Six copies of all submittal materials are required for A&E review; an additional three copies are required for the DDC Project Manager and Client Agency unless otherwise noted in the Task Order or Project Objectives. Full-size drawings shall be 24" x 36" unless otherwise approved by DDC.

### **3. Identifications**

Indications on each drawing, as relevant, shall include:

- a.** Title block  
For information and content, see the DDC website. The format must conform to DOB "B-Scan" standards.
- b.** Scale shall be appropriate to convey the required information. A graphic scale shall be included on all sheets.
- c.** North Arrow on all plans.
- d.** Key Plan showing location and orientation.
- e.** Legend for all symbols.
- f.** General Notes
- g.** Room Designations in all spaces, using the same names, room numbers, and column designations indicated on all architectural and engineering drawings.

### **4. Updated Building Code and Zoning Analysis**

- a.** Zoning Data including diagrammatic resolution of urban design requirements.
- b.** Historic district including location within and limits of the district, as applicable.
- c.** Narrative and drawings

- d. Egress and or fire separation diagrams, vertical and horizontal

#### 5. Site Plan

Site plan shall include:

- a. Current topographic and boring survey performed by DDC based on the approved boring plan generated by the Consultant.
- b. Site Layout Drawing shall describe the entire site within the property lines, as well as sidewalks and other access ways outside of the lot lines as established by DDC. It shall be based on a surveyed point of beginning.
- c. Project Limit Line, indicating the extents of the work area, and all areas outside the project boundary.
- d. Engineering Scale shall be 1"=20'-0" unless otherwise approved by the DDC Project Manager.

#### 6. Architectural Floor Plans

The architectural floor plans shall include:

- a. Dimensions including room sizes, clearances, and room areas.
- b. Building Lines, property lines and column indication grids.
- c. Functional Units as programmed in the Task Order or Project Objectives, or as approved in the Pre-schematic or Schematic Design Phases.
- d. Material Indications as per conventional graphic standards indicating all new construction. New construction should be graphically distinct from existing construction to remain.
- e. Built-in Furniture and Equipment shall be indicated on all plans.
- f. Finished Floor Elevations shall be indicated at every location where the floor elevation changes, such as at top and bottom of stairs, landings, and ramps. Floor elevations shall also be indicated for the floor level in general.
- g. Integration of artwork if participating in Percent for Art.
- h. Fire Ratings of walls, partitions, ceilings, shafts, roofs, and structural elements such as columns and slabs.

#### 7. Area Calculations

Calculations for area and building volume shall be prepared in accordance with DDC definitions of net and gross area below. Net square feet, gross square feet, floor to floor height, and gross cubic feet shall be indicated for each program space and subtotaled for each floor. Building totals shall

also be included for each category.

- a. Gross Area measured to the outside of the building walls, in square feet.
- b. Net Area is the cumulative usable space within the partitions of each programmatic area. Not included are access and service spaces, shafts, wall thicknesses and structural elements.

**8. Architectural Reflected Ceiling Plans**

Architectural reflected ceiling plans shall include as applicable:

- a. Light Fixtures at ceilings and walls
- b. Air Supply Diffusers and Return Grilles
- c. Ceiling Heights at every location where the ceiling elevation changes.
- d. Materials
- e. Keying in of all building section and construction detail markers.

**9. Architectural Exterior Elevations and Building Sections**

Architectural exterior elevations and building sections shall include:

- a. Exterior Elevations of all vertical exterior surfaces.
- b. Longitudinal and transverse Building Sections.
- c. Site Features such as walls, fences, trees, artwork, street furniture, and adjacent structures.
- d. Materials, fully annotated.
- e. Finish Floor Elevations on building sections and elevations in coordination with plans.
- f. Floor-to-Floor Heights on building sections.
- g. Finished Grades on all elevations and building sections in coordination.

**10. Outline Specifications**

Outline specifications must conform to all DDC requirements for format, content, and completeness. Guidelines issued to the Consultant, and included in the Appendix to this Guide, pertaining to legally proscribed language must be followed precisely. DDC's technical and legal teams will review the specifications thoroughly; revisions required by either team must be prepared and submitted expeditiously. Failure to do so on the part of the Consultant may delay the City's ability to initiate the bid phase. **The Consultant's commitment to responding to all such requests with urgency is both required and expected.**

Outline Specifications shall provide a written description of the materials and systems proposed for all disciplines within the scope of work, in narrative form, to further explain the design intent. The Outline Specification at the Design Development phase shall be an outline format that includes comprehensive materials and systems description. Specifications shall incorporate requirements for construction and demolition waste management, high recycled content, and low toxicity materials. Commissioning specifications shall be included where

applicable.

Outline Specifications shall be:

- a. Coordinated with the drawings and cost estimate.
- b. Follow the latest CSI Master Format divisions, section numbers, and titles for each trade and material.
- c. Organized by contract or trade with a Table of Contents. Indicate each division and its related section number and title.

#### **11. Partition Type and Schedule**

Keyed to floor plan

#### **12. Interior Elevations**

Interior elevations or perspectives and axonometric illustrations shall include:

- a. Interior Elevations, developed, if requested, into one-point perspective sketches to illustrate how all the elements and surfaces are coordinated, and how the ceiling, walls, and floor interface.
- b. Axonometric Illustrations, if requested, will detail sections through complicated connections and material intersections.
- c. Materials including trim, window treatment, registers, controls, textures, and colors.
- d. Built-in Furniture and Equipment indicating layout, configuration, and material.
- e. Room Designations
- f. Vertical Dimensions, floor elevations, and floor-to-ceiling heights.

#### **13. Interior Design Drawings**

Interior design drawings shall indicate the following:

- a. Floor Plans fully dimensioned with component systems, furniture layouts, and equipment layouts.
- b. Laboratory Equipment
- c. Kitchen Equipment
- d. Material Presentation Boards  
Self-explanatory presentation boards are required at the end of Design Development. These boards shall display all significant materials and finishes. Include catalogue cuts of

the light fixtures, grille-work, window treatments, plumbing fixtures and trim, hardware, kick plates, push plates, and all colors, keyed to plans and elevations, with an accompanying written explanation of the concept and rationale of the chosen scheme.

#### **14. Preliminary Door Schedule**

At a minimum indicating dimensions, operation, fire rating, and material.

#### **15. Furniture and Equipment**

When directed in the Task Order, Project Objectives, or by the DDC Project Manager, the Consultant shall be responsible for various tasks regarding the selection of furniture, as listed below. Only the preliminary layout of furniture is included in basic services; all other tasks listed below are supplemental:

**a. Preliminary Layout Drawings**

The Consultant shall prepare preliminary furniture layout plans to illustrate a conceptual understanding of the function of each room as per Client Agency requirements. Layouts for systems furniture shall be prepared with manufacturer's templates. The plans shall incorporate all loose furniture, systems furniture, built-ins, and equipment.

**b. Furniture Cost Estimate**

The Consultant shall provide a preliminary cost estimate for all furniture. The estimate shall identify the vendor, item description, order number, quantity, and the costs.

Note: See Design Criteria Appendix A-1 for format of estimate.

**c. Furniture Selection**

The Consultant is responsible for selection of furniture to be purchased by the Client Agency through requirements contracts held by DCAS.

**d. Coordination of Not-in Contract (NIC) Items**

The Client Agency is responsible for specifying and purchasing equipment such as photocopy machines, fax machines, and computers. It is the responsibility of the Consultant, however, to verify that all such equipment fits within the designated space, and to provide for mechanical, electrical, telephone service, and any other physical need for the operation of these items. Such items should be labeled NIC in the drawings.

**e. Procurement Procedures**

The Consultant shall meet with the DDC Project Manager to discuss the procurement process. Considerations include requirements contracts, vendor requirements, specifications, procurement forms, and the bidding process.

#### **16. Vertical Transportation Drawings**

**a. Key Plans indicating all areas of work**

**b. Floor Plan of elevator machine room showing all elevator control equipment, power equipment, and mechanical equipment**

**c. Lobby and machine room plans**

- d. Riser Diagram indicating elevator installation, floors, elevator travel, and openings.
- e. Elevations and Sections of elevator cab
- f. Sketches for controls such as call buttons
- g. Indicate compliance with ADA accessibility

#### **17. Models**

A presentation model is required for all new buildings and additions if indicated in the Task Order or Project Objectives.

- a. Models shall be complete in scope, detail, and color selection
- b. Models shall be titled with the names of the project, the Consultant, the Client Agency, and DDC

#### **18. Renderings**

The Consultant shall submit, if required by the Task Order or Project Objectives, perspective renderings and other presentation materials suitable for reproduction. These renderings and other presentation materials shall belong to DDC and shall be used at public meetings, in publication, and on the DDC website without additional permission or release from the Consultant. Publication in journals or periodicals may require formal release of rights on the part of the Consultant.

- a. Renderings shall be titled with the name of the project, the name of the Client Agency, and DDC Division of Public Buildings
- b. Digital files are also required and may be transmitted electronically
- c. A signed release form shall accompany all renderings and photographs

#### **19. Material Boards**

- a. Exterior Materials  
As required by DDC and the LPC. Boards shall clearly show the relation of all new and existing exterior materials and finishes.
- b. Interior Materials  
As required by DDC and the LPC. Boards shall clearly show the relation of all new and existing interior materials and finishes.

#### **20. Landscape Architectural/Civil Engineering Drawings**

Landscape architecture drawings and urban design and site development plans shall include:

- a.** Site removals and demolition plan identifying materials for reuse or recycling. Any invasive pest host species plants requiring pruning or removal must be indicated. Disposal protocols are mandated by New York State Department of Agriculture Markets (NYSDAM). Removal of invasive plant species may also be required.
- b.** Exterior paving including sidewalks, driveways, yards, curbs, and curb cuts.
- c.** Adjacent structures including walls, fences, railings, and buildings, including number of stories.
- d.** Landscaping including plantings and street trees. When street trees are in pavement include tree pit material, ground cover, and planting.
- e.** Grades to show the surface flow characteristics of the site. Indicate spot grades at entrances, property lines, walls, stairs, drain inlets, and major changes in site slope.
- f.** For new and Existing Buildings, indicate number of stories, clearance from building lines, finish floor elevations, building footprint, and overhangs.
- g.** Encroachments on site and all easements.
- h.** Show all basic surface and subsurface utilities, including drainage, lighting, electrical, water, irrigation, site utility systems, equipment, fixtures, controls, and any subsurface structures.
- i.** Integration of artwork as applicable.
- j.** A full planting list with Latin botanical names, common names, sizes and root containment types, assets, and constraints. This plant schedule must be in compliance with the most current recommendations from the NYSDAM and NYCDPR regarding invasive pests and species or hosts.
- k.** All proposed site-related details, including site related structures and furnishings, their footings, foundations, and reinforcement. Include pertinent drainage structures, pavements, lighting, signage, and other relevant materials, and all dimensions and finishes.
- l.** Sections and elevations of such key elements as fences, walls, gates, site furnishings, and significant new plantings. These must be coordinated with the appropriate architectural drawings. Buildings shall be represented only with their volumes, windows, doors, and lacking details unnecessary to site design.
- m.** Builders Pavement Plan shall be initiated at this phase if required.
- n.** Stormwater Management design calculations and drawings.
- o.** Erosion and Sedimentation Control Plan shall be included to prevent soil erosion, sedimentation of sewer systems, and airborne dust pollution during construction. For sites

over one acre or for LEED projects, the plan shall conform to applicable state and federal regulations for stormwater discharges from construction activities.

## 21. Structural Engineering Submission

The design documents shall consist of the following information:

### a. Calculations

- i. The Consultant shall submit a comprehensive set of structural design calculations, arranged in a logical sequence, with sheets properly numbered, labeled and indexed, clearly explaining all assumptions made and references to codes where applicable. Include any working drawings that may be required for proper documentation, showing detailed stress analysis of critical component parts of the foundations and the superstructure members. The set shall consist of the original design notes, or a suitable reproduction thereof, made by the structural engineer.
- ii. For any computer-generated results, submit the input data and the results together with all pertinent program materials required to understand the output. A narrative of the input and results for computer-generated calculations for the recommended structural concept should be contained in the calculations as well.

### b. Narrative

- i. Consultant shall provide a list of all applicable codes, design guidelines or other accepted standards, and the geotechnical report prepared by the Consultant (including soil investigation data and foundation recommendations).
- ii. Provide a written description of the structural systems to be used on the project (including foundations, substructure, superstructure, lateral force resisting systems, exterior cladding support etc.). Provide sufficient technical detail and information to fully describe these systems for engineering review purposes.
- iii. Material Information:
  1. Concrete: Provide basic material properties for concrete to be used for all the structural elements. Include compressive strength, entrained air content, maximum aggregate size, allowable w/c ratios, unit weight or aggregate type, and anticipated admixtures, etc. Pozzolans shall be used to substitute for cement to the maximum extent possible.
  2. Reinforcement: Provide the ASTM material designations for the type of rebar to be used. Provide the type and dosage of structural synthetic fibers to be used for shrinkage and temperature stresses.
  3. Joints: Provide information on the type and spacing of all expansion, contraction and construction joints.
  4. Masonry: Provide ASTM designations for the types of masonry units and mortar to be used on the project, such as bricks, CMU, etc.
  5. Steel: Provide the ASTM material designations for the steel to be used on the project. Itemize by the AISC shape as applicable, including material types, grades and sizes.
  6. Steel Deck: Provide basic information for the type of deck to be used, including profile and depth, ASTM material designation, span conditions, and coatings, and

method of attachment. Indicate areas where shoring of the metal deck will be required.

7. Wood and Engineered Wood Products: Provide the grade and species for all products in addition to their design requirements, spacing, and any special treatments required (pressure treated, fire resistance, etc.). Identify the type of sheet goods (OSB, plywood, etc.) in addition to their thicknesses and locations for use.

iv. Structural Loading Information:

The following information and its source shall be provided in an easy to understand tabular format.

1. Dead and live loads for all floors and roof.
2. Snow load including: Flat roof snow load (Pf), snow exposure factor (Ce), snow load importance factor (I) and thermal factor (Ct).
3. Wind loads: Basic wind speed, wind importance factor (I), wind exposure (C), internal pressure coefficient (GCpi) and wind pressures for components and cladding.
4. Earthquake loads: Seismic importance factor, occupancy category, mapped spectral response accelerations (Ss and S<sub>1</sub>), site class, spectral response coefficients (Sds, Sd<sub>1</sub>), seismic design category, basic seismic force resisting system, response modification factor (R), system over strength factor ( ), deflection amplification factor (cd), redundancy coefficient ( ) and analysis procedure used for design.

v. Building Performance Basis of Design:

1. Maximum allowable drift criteria.
2. Maximum floor and roof live load deflections
3. Floor flatness and levelness numbers.
4. Maximum allowable horizontal and vertical deflection for members supporting exterior cladding and materials.
5. Floor vibration criteria.

vi. Proposed methods of corrosion protection, if applicable.

vii. The fire rating assumed for design of structural components.

viii. Special reports such as Geotechnical, Geological Hazard, and Blast Design reports and analyses, if applicable.

ix. Outline Specifications for concrete, structural steel, metal deck and earthwork shall be submitted.

x. A description of any deviations from the structural systems as approved in the Schematic Phase.

c. Drawings

The drawings submitted shall consist of a set that is developed from the approved scheme submitted at the Schematic Phase. The design and the structural systems shall have been developed and defined in accordance with the following:

- i. The design shall have been completed for the loads tabulated in the loading data.
- ii. For rehabilitation projects, all structural work shall be shown on separate structural framing plans and detail drawings independent of architectural drawings.
- iii. At the minimum, the drawings shall include the following information:
  1. Demolition drawings, along with support of adjacent structures, as applicable.
  2. Foundation Plans indicating:
    - a. All footings and/or pile caps with major sections and details referenced.

- b. The allowable soil bearing pressure for footings and the acceptable bearing strata for deep foundations.
  - c. Footing/pile cap elevations.
  - d. Major foundation sections and details indicating type, size, reinforcement and pertinent waterproofing details. Provide footing schedules with representation for grade beam and pile cap details, as applicable.
  - e. All structural slabs and slabs on grades to be detailed with proper subgrade compaction and necessary waterproofing details.
  - f. All necessary supports for cladding (such as brick shelf, embedded plates, anchors, etc.), as applicable.
  - g. Typical elevator and sump pit details.
  - h. Slab-on-grade construction and contraction joints shall be shown in a separate plan.
3. Drawings shall clearly indicate the new members and the existing to remain and/or to be modified.
  4. Framing Plans shall indicate the following:
    - a. Building expansion joints.
    - b. Elevations, sizes, thickness and layout of all structural components (such as slabs, beams, columns, trusses, etc.)
    - c. All slab edges, opening and penetrations shall be located and dimensioned.
    - d. Lateral load resistance system shall be clearly defined. Elevations of the lateral system shall indicate all applicable forces acting on the lateral system.
    - e. Column schedule.
    - f. Weights and locations of major mechanical equipment and their supporting systems.
  5. Consultant shall provide major typical details for structural components and their connections.

## 22. HVAC and Fire Protection Submission

The design documents shall consist of the following:

- a. Calculations and Energy Analysis
  - i. Updated heating and cooling load calculations.
  - ii. Breakdown of individual peak space loads and ventilation loads.
  - iii. A summary of simultaneous peak loads for equipment selection.
  - iv. Psychrometric calculations for HVAC systems at full and partial loads (partial loads at 25%, 50%, and unoccupied periods).
  - v. Updated energy consumption calculations and analysis.
  - vi. Water consumption calculations and analysis of make-up water for HVAC systems.
  - vii. Fire protection water supply calculations, including water supply flow testing data.
  - viii. Fire pump calculations, where applicable.
  - ix. Preliminary hydraulic calculations.
  - x. Water reserve calculations for sprinkler system.
  - xi. Smoke control calculations, where applicable.
  - xii. Stairway pressurization calculations, where applicable.

xiii. Updated fuel consumption estimates.

**b. Narrative**

A written narrative describing the mechanical system and equipment selection including:

- i. Indoor and outdoor design conditions for all spaces under occupied, 24-hour, and unoccupied conditions.
- ii. Temperature and humidity level to be maintained in each space.
- iii. Provide a dew point analysis at design conditions.
- iv. Ventilation rates, dehumidification, and pressurization criteria for all spaces under occupied, 24-hour, and unoccupied conditions.
- v. Equipment capacities, weights, sizes, sound power, and power requirements.
- vi. Catalog cuts of major equipment to be used on the project.
- vii. Description of the air-side and water-side systems and the associated components including operating characteristics, ranges, and capacities, spaces served, and special features.
- viii. Description of control strategy and sequence of operations for all spaces under occupied, 24-hour, and unoccupied conditions.
- ix. Noise control evaluation for projects that incorporate new or replacement of exterior mechanical/electrical equipment, as required to comply with NYC noise control requirements.
- x. Corrosion protection for underground metallic piping, if required by the Geotechnical Report.
- xi. Updated fuel and utility requirements.
- xii. Building fire suppression systems.
- xiii. Smoke control system(s), where applicable.
- xiv. Fire pump selection and ancillary equipment.
- xv. Special fire protection systems (e.g., kitchen extinguishing system), where applicable.
- xvi. Fire resistance rating of building structural elements.
- xvii. A description of any deviations from the HVAC and fire protection systems as approved in the Schematic Phase.
- xviii. Outline Specifications.

**c. Drawings**

Note: Drawings submitted (site plan, floor plans, flow diagram and control diagrams) shall indicate new systems and existing systems to remain and/or to be modified.

The drawings submitted shall consist of:

- i. Demolition drawings, as applicable.
- ii. Site Plan
- iii. HVAC Floor Plan(s):
  1. Single line piping and ductwork schematic layout -- with preliminary sizes indicated.
  2. Vertical risers, shafts, stacks and chimneys.
  3. Show interior zone terminal air units.
  4. Show perimeter zone terminal units.
  5. Zoning
- iv. Quarter-inch scale drawings of mechanical equipment room(s) showing all mechanical equipment, ductwork, and piping, including equipment access and service requirements in plans, elevations, and sections.
- v. Roof plan showing all roof-mounted equipment and access to roof.

- vi. Single line schematic flow and riser diagram(s):
  - 1. Air, water, and steam riser diagrams
  - 2. Airflow quantities and balancing devices for all heating/cooling equipment.
  - 3. Flow/energy measuring devices for water and air systems for all cooling, heating, and terminal equipment. Flow diagrams shall be provided for new systems and existing systems being modified.
- vii. Automatic control diagram(s):
  - 1. Control flow diagrams showing all sensors, valves, and controllers (analog and digital).
  - 2. Sequence of operations for all systems that describes the control sequences during occupied, 24-hour operations, and unoccupied conditions.
  - 3. Control diagrams shall be provided for new BMS systems and for new and existing systems when inter-phasing with new BMS system.
- viii. Schedules:

Provide schedules of major equipment that includes chillers, boilers, pumps, air handling units, terminal units, cooling towers, and all equipment required for 24-hour operation.
- ix. Air terminal devices.
- x. Air balance relationships between spaces.
- xi. Fire protection floor plan(s) showing:
  - 1. Equipment spaces for fire protection systems (e.g. fire pump, fire command center).
  - 2. Fire protection water supply lines and fire hydrant locations.
  - 3. Standpipes and sprinkler risers.
  - 4. Zoning.
  - 5. Location of special fire protection requirements (kitchens, computer rooms, etc.)
  - 6. Existing equipment.
- xii. Riser diagrams for sprinkler system.

### 23. Electrical Engineering Submission

The design documents shall consist of the following information:

- a. Calculations:
  - i. Load calculations.
  - ii. Calculations for lighting, power, and equipment summary.
  - iii. Power density analysis for lighting in each area.
  - iv. Pertinent design calculations.
  - v. Emergency power design calculations, if applicable.
  - vi. Life-cycle cost analysis of luminaire/lamp system and associated controls.
- b. Narrative

A written narrative describing the electrical and low voltage systems and equipment selection including:

  - i. Description of alternative power distribution schemes:

Compare the advantages of each approach. Include the source of power, most economical voltage and metering.

- ii. Proposed power distribution scheme:  
Provide a detailed description and justification for the selected scheme. Address special power and reliability requirements, including emergency power and UPS systems, as applicable.
  - iii. Proposed lighting systems:
    1. Describe typical lighting system features, including fixture type, layout, and type of controls.
    2. Describe special spaces, such as lobbies, auditoriums, dining rooms, and conference rooms.
    3. Describe exterior lighting scheme.
    4. Describe lighting control scheme and daylighting.
    5. Describe the energy usage of the lighting system.
    6. Describe interface with BMS system, if applicable.
    7. Methods proposed for energy conservation and integration with BMS system, if applicable.
    8. Engineering analysis for demand limit controls.
  - iv. Utility company available short circuit at the service entry point.
  - v. Fire Alarm System:
    1. Describe building fire alarm systems.
    2. Interface of fire alarm system with BMS and security systems.
    3. Review of building for compliance with life safety requirements and building security requirements.
  - vi. Description of each proposed signal system:
    1. Description of proposed security systems' features and intended mode of operation.
    2. Proposed zone schedule.
    3. Proposed card access controls, CCTV assessment and intrusion protection system, if applicable.
  - vii. Proposed telecommunications infrastructure:  
Systems proposed for infrastructure and cabling to accommodate the communication systems.
  - viii. Code criteria
  - ix. A description of any deviations from the electrical systems as approved in the Schematic Phase.
  - x. Outline Specifications.
- c. Drawings**  
The drawings submitted shall consist of:
- i. Demolition drawings, if required.
  - ii. Drawings submitted (site plan, floor plans, single line diagram and riser diagrams) shall indicate new systems and existing systems to remain and/or to be modified.
  - iii. Electrical Service Room Plan and elevation of service entrance equipment and other electrical equipment, such as panel boards and fused switches.
  - iv. Site Plan:
    1. Proposed site distribution for power and communications, proposed service entrance and location of transformers, generators, and vaults, etc.
    2. Proposed location of electrical service room, telephone service, property lines, manholes, hand-holes, duct banks for power, telephone, and cable television. Coordinate electric service room location and anticipated points of entry.

- v. Floor Plans:
  - 1. Proposed major electrical distribution scheme and location of electrical rooms and closets and communications closets.
  - 2. Equipment spaces for fire alarm panels and fire command center.
  - 3. Proposed major routing of major electrical feeder runs, bus ducts, communication backbone systems, and security systems.
  - 4. Plan layouts of electrical rooms, showing locations of major equipment, including size variations by different manufacturers.
  - 5. Lighting layouts of typical rooms and spaces.
- vi. Single line diagram of the building power distribution system.
- vii. Motors and motor control center(s) locations.
- viii. Typical power wiring – lighting, power, and controls.
- ix. Site lighting and site electrical outlet systems, ISO foot-candle curves.
- x. Riser diagram for fire alarm system.
- xi. Single line diagram of signal system including telephone, data, security, public address, and others.
- xii. Security system site plan:  
Proposed locations for CCTV, duress alarm sensors, and access controls for parking lots.
- xiii. Security system floor plans:  
Proposed locations for access controls, intrusion detection devices, CCTV and local panels.
- xiv. Building grounding system.
- xv. Lightning protection system.

#### **24. Plumbing Engineering Submission**

The design documents shall consist of the following information:

- a. Calculations and water analysis.
  - i. Water consumption calculations and analysis, including make-up water for HVAC systems, domestic water consumption, and water consumption for irrigation.
- b. Narrative  
A written narrative describing the plumbing system and equipment selection including:
  - i. Updated description of plumbing system, including domestic cold and hot water, sanitary and storm drainage, and irrigation systems.
  - ii. Evaluation of alternate sources for reheating of domestic water (solar or heat recovery).
  - iii. A description of any deviations from the plumbing systems as approved in the Schematic Phase.
  - iv. Outline Specifications.
- c. Drawings  
The drawings submitted shall consist of:
  - i. Demolition drawings, if required.

- ii. Drawings submitted (site plan, floor plans, single line diagram and riser diagrams) shall indicate new systems and existing systems to remain and/or to be modified.
- iii. Site Plan:
  - 1. Outside services exiting or entering the building and means of storm water detention or retention.
  - 2. Related appurtenances, such as catch basins, inlets, manholes, and pipe routing.
  - 3. Fuel dispensers and fuel storage tanks, where applicable.
- iv. Plumbing floor plan(s):
  - 1. Proposed building zoning and major piping runs.
  - 2. Locations of proposed plumbing fixtures and equipment, including: tanks, sewage ejectors, sump pumps, interceptors, meters, backflow preventers, hose bibs, hydrants, water booster pumps, hot water heaters, hot water circulation pumps, storm water storage tanks with all required pumps and filters.
  - 3. Piping material and related equipment for the various systems.
  - 4. Roof and site drainage and all related penetrations, drains, water retention, and typical details.
- v. Systems schematics and flow diagrams.
- vi. Riser diagrams for the various systems.

## **25. Hazardous Materials Survey Documents**

The Consultant is responsible to provide documentation to DDC's BEGS unit that accurately defines the extent of project scope. DDC will provide the Consultant with an environmental survey and report with the following information:

### **a. Accessible Hazards**

A preliminary survey of the project site noting existing environmental conditions and properly defining the limits of accessible suspect hazards that may be disturbed, altered, demolished, or affected by the proposed work. Such environmental hazards may include, but are not limited to, asbestos building materials, lead-containing paints, PCBs from electrical transformers, underground storage tanks, and similar conditions.

### **b. Inaccessible Hazards**

Identification and location of any inaccessible suspect-hazards and arrangements for exploratory probes, physical penetrations, sample collection, and analytical tests to determine whether suspect-hazards are present within the boundaries of the scope of work.

### **c. Assessment**

A comprehensive environmental survey and hazard assessment, with a subsequent formal report, to determine the presence and location of hazardous materials and/or environmental conditions. The survey report will document the materials and conditions found and expected to be impacted by the scope of construction. The report shall include the following information:

- i. A brief discussion of the services provided.
- ii. An inventory of environmental hazards including, but not limited to, asbestos, lead, soil contamination, PCBs, mold and biological hazards, or similar environmental concerns.
- iii. A written assessment of all hazards including cost of abatement or remedial work.
- iv. Drawings or sketches showing approximate locations where samples were collected.
- v. An estimate of the quantities and conditions of the hazards identified in the survey.

- vi. A summary of all samples, analyses, chains of custody, and laboratory certifications.
- vii. Diagrams, photographs, sketches, drawings, etc., as necessary to document the conditions.

## **26. Identification of Proprietary Items**

- a. Under normal circumstances, proprietary items are not permitted. If no alternate items exist such that a proprietary item must be specified, the Consultant shall submit a statement to that effect. The Consultant shall be required to demonstrate the need for any such proprietary item and the lack of acceptable alternatives.
- b. In conformance with the City's Procurement Policy Board Rules, the Consultant shall specify at least three manufacturers or fabricators for an item, followed by the words "or approved equal". The specifications shall also include a description of the key functional criteria for the item, in order to establish a standard by which a potential substitution can be evaluated. These requirements are designed to permit competition.
- c. If it is not feasible to list three manufacturers or fabricators, DDC may, in rare circumstances give the Consultant approval to list fewer than three manufacturers or fabricators. The words "or approved equal" must be included, as well as a description of the key functional criteria for the item.

## **27. Catalogue Cuts**

The Consultant shall provide catalogue cuts of major or key manufactured products for all trades.

## **28. Detailed Cost Estimate**

The detailed cost estimate at the conclusion of Design Development conforms to standards described in section IV.C.5 and also includes:

- a. List of Project Parameters
- b. Reconciliation of cost differences between Schematic Design and Design Development.
- c. For each specification section, break out and itemize project elements in detail, by CSI code of titles and numbers as per the outline specification table of contents, for example:  
CSI 04/22/00 Concrete Masonry Units – 4", 8", & 12" units and special shapes  
CSI 05/10/00 Structural Steel Framing  
CSI 26/05/19.13 Electrical Wiring – THHN #8, THHN #12

## **29. Sustainable Design**

If Local Law 86 applies, provide a final LEED plan that shows how the required certification level will be attained or exceeded, including calculations for applicable credits or prerequisites, and identify responsible parties and actions to be completed. If required by NYC Energy Conservation Code, LL86 compliance, or enhanced energy design goals, provide a final Energy Analysis that evaluates the energy consumption, energy cost, and greenhouse gas

emissions reductions of each energy conservation measure included in the project. Energy Master Plan and Enhanced Energy Design Alternate If directed, the Consultant or designated independent Commissioning firm shall also analyze, prioritize, and sequence the energy conservation measures required to surpass code or Local Law 86 minimum energy performance by the amount specified in the Project Objectives and agreed to during Schematic Design. The Consultant shall provide a Life Cycle Cost Analysis, per the methods of an ASHRAE Level III Energy Audit, for those energy conservation measures proposed to be included the current project scope. This analysis shall be incorporated into the Energy Master Plan, which shall be presented at a meeting of project stakeholders to agree on the final project energy performance target. The Energy Master Plan shall be updated to indicate the outcome of the meeting.

### **30. Design Review Comments Response**

The Consultant is required to respond in writing to comments from the Architecture & Engineering and Technical Services review groups of DDC and, for applicable projects, the Commissioning Agent. Responses should be included for all comments, submitted within ten business days, and shall address the spirit of the comment as well as the specific issue. The A&E Project review form contains a column for the Consultant to respond to the individual comments. Consultant's responses will only be accepted on this form. The Consultant shall revise the documents to reflect the comments or explain in writing why a revision should not be done.

### **31. Comment Review Meeting**

The Consultant shall attend a Comment Review Meeting to facilitate the communication of measures or actions taken to respond or resolve design issues and comments. The Consultant may present additional drawings, specifications, or data as required for clarification or resolution of outstanding design issues and comments.

## CONSTRUCTION DOCUMENTS

### A. CONSTRUCTION DOCUMENTS GOALS

During this phase the Consultant prepares final Construction Documents, including drawings and specifications, for regulatory approval and public bidding. Given the importance of projects relating to the City's overarching priorities of equity, sustainability, resiliency, and design for healthy living, goals during the Construction Documents phase include comprehensiveness and constructibility are critical to the Consultant's successful completion of this phase and DDC's acceptance of the bid documents for bidding and construction. There are three deliverables in this phase: 50% CD, 100% CD, and the Compliance/Bid Documents. Although both the 50% CD and 100% CD phases have similar requirements, the level of development at each submission is different.

1. In most instances, decisions related to materials and assemblies should be finalized in the 50% CD submission. Zoning, code, and design issues shall also be resolved at the 50% CD submission, either through compliance or determination by the regulating governmental agency. The 50% review period is not a stopping point in the development of the Construction Documents; it is expected that the Consultant will continue to further develop the documents while under review. The bid packaging process shall commence with the 50% CD submission.
2. The 100% CD submission should be a complete, coordinated, and checked set of construction documents fully communicating the Consultant's design intent.
3. Specifications must conform to all DDC requirements for format, content, and completeness. Guidelines issued to the Consultant, and included in the Appendix to this Guide, pertaining to legally proscribed language must be followed precisely. DDC's technical and legal teams will review the specifications thoroughly; revisions required by either team must be prepared and submitted expeditiously. Failure to do so on the part of the Consultant will delay the City's ability to initiate the bid phase. **The Consultant's commitment to responding to all such requests with urgency is both required and expected.**
4. The Compliance/Bid submission is a formal turnover of complete documents ready for bid. There is no review at this time.
5. A CSI format, detailed Cost Estimate is required at each submission stage.

### B. CONSTRUCTION DOCUMENTS PHASE PROCESS

Unless DDC determines otherwise, the DDC Constructibility Review Team shall perform constructibility review at the 50% CD and 100% CD phases for all projects. In conjunction, the A&E Design Review Team shall also perform design reviews to verify satisfaction of the project scope and confirm that outstanding design issues have been resolved. These comprehensive reviews will help

the Consultant achieve a final set of construction documents, including technical specifications, that are clear, fully coordinated, and as complete and error free as possible in order to procure qualified bids. As part of these reviews, DDC may recommend changes in the Construction Documents that it considers necessary or desirable in order to procure proper bidding conforming to NYC and DDC procurement requirements and assure unfettered construction. The Consultant shall respond to the review comments in writing. The Consultant shall revise the documents to reflect the comments or explain in writing why a revision should not be done. Unless otherwise determined, a meeting is scheduled after each review stage in order to resolve open issues. Upon the successful completion of the 100% CD Phase, the Consultant shall submit the final bid drawings to DDC for transfer to the ACCO Bid Unit. The requirements for the compliance submission and bid package are outlined in this chapter. The Constructibility Unit will verify that the package is complete and incorporates the recommendations and directions given at the end of the 100% Construction Document phase. This is only intended as a check for compliance with prior instructions; it is not a review phase.

### **1. Construction Documents Phase Kick-Off Meeting**

This meeting of the Consultant, the Client Agency, DDC Project Manager, DDC Team Leader, Constructibility Unit, and other team members as required shall be held at the start of the phase. Project requirements shall be reviewed and reconfirmed as necessary, including:

- a. Project Schedule  
Review the updated project schedule
- b. Project Decisions  
Review all significant project decisions
- c. Review Resolutions of the Previous Phases  
Assure that all parties clearly understand the resolution of issues as indicated by the approved Design Development documents, so that Construction Documents may proceed.

### **2. Progress Meetings**

The DDC Project Manager schedules progress meetings. The Consultant attends, and brings necessary materials to ensure a productive meeting. It is the intent that these meetings be active work sessions with all stakeholders participating in the process. The meetings shall be recorded by the Consultant in meeting minutes. Criteria for these minutes appear in Appendix A-3 under "Meetings". Attendees include the Consultant, Client Agency Representative, DDC Project Manager, Design Liaison, A&E Design Review Team and the DDC Hazardous Materials Unit (BEGS) as necessary. The Consultant shall prepare an agenda at least three days prior to each meeting. A list of typical topic subjects follows below. The Consultant shall present the project through the use of drawings, renderings, material samples and cut sheets, estimates, and design calculations. All decisions will involve aesthetic, technical merit, and economic considerations. At the end of the 50% Construction Documents Phase all design decisions are made final. The remainder of the Construction Document Phase is to develop detailed and complete construction documents. There should be no substantive changes to the project scope or design during the 100% Construction Documents Phase. Construction Document Phase discussions shall at a minimum involve the following topics:

- a. Resolution of design and regulatory agency requirements
- b. Identification of construction phasing, staging, or implementation criteria

- c. Appropriateness of proposed structural and engineering systems
- d. Coordination of specifications
- e. Efficiency of proposed design and systems
- f. Validation of design data required for LEED certification
- g. Material selection
- h. Furniture selection
- i. Hazardous material identification and removal
- j. Cost Estimate
- k. Proprietary Items

### **3. On-Board Reviews**

For projects with accelerated delivery schedules, the DDC Project Manager may request that the Consultant and DDC Review Team participate in On-board reviews. On-board review consists of a review of documents by DDC review staff in the presence of the Consultant. Such reviews may take place at DDC or in the Consultant's office. The Consultant shall record all comments made by the reviewers as part of the meeting minutes, and submit said minutes for review.

### **4. Presentation of Construction Documents**

At the conclusion of the 50% CD phase, the Consultant shall make a presentation of the design to DDC and the Client Agency. Public presentations may also be required. The Consultant shall coordinate with the DDC Project Manager and Team Leader concerning all materials and information to be included in the presentation documents.

### **5. Commissioning**

### **6. Regulatory Approvals**

### **7. Design Review**

The Consultant shall submit documents for Design and Constructibility Review to DDC and the Client Agency, who will issue written comments to the Consultant. The Consultant will in turn submit written responses to each comment. Responses should be submitted within two weeks, complete, and shall address the spirit of the comment as well as the specific issue. A meeting to discuss the comments will be conducted if the consultant responses are not acceptable. If so directed, the Consultant shall resubmit all or portions of the submission to the satisfaction of the reviewers.

### **8. Acceptance**

Construction Documents shall not be considered approved and acceptable for bid until DDC has so notified the Consultant in writing. Additional submissions of revised documents for review will be required until any and all outstanding issues are fully resolved in a manner acceptable to DDC. At the point of acceptance, the documents are considered to be “in compliance” with DDC’s requirements and ready for bid. When so directed by the project manager, the Consultant will submit the Final Bid Drawings to the Constructibility Unit who will deliver them to the ACCO Bid Unit.

**9. Bid Packaging**

Preparation of bid packaging documentation and review shall be by DDC. Refer to Appendix A-3 for further information.

**C. CONSTRUCTION DOCUMENTS PHASE TASKS  
(APPLICABLE TO BOTH 50% AND 100% CDS)**

**1. Construction Documents**

- a. Two phases, normally consisting of 50% and 100% Construction Documents.
- b. The drawings and specifications shall contain all pertinent information necessary to fulfill the stipulations of the Task Order or Project Objectives. They shall be prepared with construction details completely shown and dimensions given. Specifications shall be completely stated so as to enable prospective bidders to make accurate and reliable estimates of the quantities, quality, and character of the labor and materials required to complete the project and to install project equipment in a first class manner. Only items required for the project should be specified; generic specification sections are not acceptable.
- c. Fixed-in-Place Equipment: The Construction Documents shall include all fixtures, equipment, and/or appliances to be provided as part of the bid.
- d. Movable Equipment and Furniture: The Consultant shall plan for and provide adequate and proper space for all equipment and furniture to be provided by the City. The Consultant shall provide power, telecommunications, environmental, or other services required to support all such equipment.
- e. As the Construction Documents proceed, the Consultant shall keep track of the project construction cost, and advise DDC of any changes. If it appears that the construction cost limit may be exceeded, the Consultant shall review areas where economies can be achieved, and submit recommendations for approval to keep the construction costs within budget. The Consultant may be required to re-design, as directed by the DDC Project Manager.
- f. A detailed cost estimate (for each Contract) is required in the latest CSI format. Requirements are the same as for the Design Development Cost Estimate, except that the design contingency shall be reduced to 5% for the 50% CD estimate, and 0% for the 100% CD estimate. For multiple contracts, General Conditions and Overhead and Profit shall be applied individually to each contract. The Consultant shall inform the DDC Project Manager, in writing, of any adjustments to the last approved estimate of the total construction cost of the project.

The Consultant shall modify the design to comply with budget limitations at no additional design fee.

## 2. Single or Multiple Contracts

Construction Documents shall be assembled as single or multiple contracts as determined by DDC. For multiple construction contracts the documents must be prepared as follows:

- a. If multiple contracts were determined as the method of construction procurement in the Design development Phase, the Consultant shall prepare separate drawing sets and specifications for each contract. See description of Multiple Construction Contracts in the Design Development Tasks section of this guide. Fast track, CM/Build, or CM/Manage projects may require the preparation of multiple separate bid packages.
- b. **Sprinkler System Work**  
Sprinkler system work is part of the HVAC/Fire Protection Contract but shall be shown and detailed on drawings separate from all other work within that contract.
- c. **Vertical Transportation Work**  
Vertical transportation work is part of the General Construction Contract but shall be shown and detailed on drawings separate from all other work within that contract.
- d. **Coordination of Multiple Contracts**  
The Consultants shall coordinate each separate contract so as to clearly communicate the work of related trades, and preclude changes, adjustments, or extra work orders during construction.

## 3. Hazardous Materials Construction Documents

If required, the Consultant shall incorporate hazardous materials construction documents supplied by DDC BEGS, fully coordinated across all disciplines, including plans and specifications, procedures and protocols, phasing plans, regulatory filings, and a cost estimate. For projects involving the removal, handling, and disposal of hazardous materials, when DDC's BEGS team is not handling Hazmat, the Consultant shall prepare documents that include:

- a. **Environmental Specifications**  
Provide plans, drawings, and written design specifications to perform any remedial/ abatement work and provide for temporary re-insulation, weather protection, prevention of soil erosion, spill prevention, etc., that may be indicated. These documents must be in a format suitable for bidding and included with the final bid documents prepared by the Consultant for the overall project.
- b. **Standard Operating Procedures**  
The Consultant shall provide within the specifications the following procedures and protocols in compliance with NYC DEP and NYS Department of Labor standards, as necessary for the scope of the environmental work:
  - i. Special experience requirements for environmental abatement/remediation
  - ii. Emergency precautions and notifications

- iii. Quality assurance standards
- iv. Air-monitoring and/or bulk sampling requirements
- v. Removal/ remediation procedures
- vi. Decontamination procedures
- vii. Critical barriers and engineering controls
- viii. Waste handling and disposal
- ix. Reinstallation or replacement with non-hazardous materials
- x. Identification of products

The Consultant shall identify any and all products necessary for completion of the hazardous materials abatement, with performance specifications for those products, including, but not limited to, material handling devices, replace materials, specialized tools and equipment, cleaning materials, worker protection (respiratory protection and protective clothing), waste disposal materials, decontamination facilities, barriers, and air moving equipment.

**c. Hazardous Materials Cost Estimate**

The Consultant will be required to submit detailed cost estimates, construction phasing plans, CPM charts and regulatory filings. These filings, variances, work plans, and notifications may include the NYC DEP and DOB, NYS DOL and DEC, and any federal EPA, OSHA, or DOT that may be required due to the nature of the hazards within the project scope.

**4. Coordination**

**a.** It shall be the responsibility of the Consultant to coordinate the work of all subconsultants, trades, and/or disciplines so that interference is avoided. All subconsultants shall be responsible to coordinate their work with that of all other sub-consultants, trades, and/or disciplines.

**b.** The Consultant shall prepare composite sections, drawn to scale, showing the work of all trades in equipment rooms, corridors, plenum areas, and all other areas involving the work of more than one trade. These sections shall indicate means of equipment placement. Composite drawings shall be included as part of the Contract Documents for each trade in addition to the regular drawings with their own details and sections. Responsibilities for the work of each trade and in each contract shall be clearly labeled to avoid confusion during bid and construction.

**c.** Any interference between trades caused by inadequate design or coordination of the Contract Documents is the responsibility of the Consultant. The Consultant will be required to prepare, at no extra cost to the City, addenda or supplemental drawings as necessary to resolve any conflict found prior to or during the bid period or during construction. The means for resolving the conflict(s) shall be approved by the DDC Project Manager.

**5. Regulatory Approvals**

The Consultant shall file and prepare applications to DOB and other applicable governing agencies during the construction documents phase. Provide copies of all submitted regulatory agency applications. A complete set of construction documents shall be submitted at the 100% Construction Documents submission to DDC bearing the stamps of approval and be accompanied by all necessary applications, certificates, or permits of all utilities and NYC, NYS, and Federal Agencies having jurisdiction over any phase of the work, not limited to DOB. Where approvals

have been received and changes were subsequently made prior to bid affecting the work covered by the approvals, the Consultant shall resubmit and receive approval for the revised work.

- a. Landmarks Preservation Commission Approval  
The Consultant shall work with the DDC Office of Historic Preservation to obtain approval from the LPC when the construction documents are 75% complete.
- b. Public Design Commission Approval  
The Consultant shall work with the DDC Public Design Commission Liaison to obtain Final Approval from the PDC when the construction documents are 90% complete.

## 6. Bid Packaging

- a. Preparation of bid packaging will be conducted and submitted along with the construction documents and specifications in the 100% phase.
- b. Non-proprietary Items  
Specifications shall list a minimum of three manufacturers, and include “or approved equal” for each item specified. The Consultant shall write performance specifications describing the salient characteristics of the product for each item specified. Specifications assure quality control and should be strictly coordinated with project objectives and the requirements of the drawings and material schedules.
- c. Special Experience Requirements  
Quality assurance requirements exceeding three years and three projects are considered special experience. The Consultant shall inform the DDC Project Manager of all areas where special experience requirements are advisable for the project. Special experience requirements for performance need to be approved by DDC prior to the compliance/bid documents submission.

## 7. Sustainable Design

Provide all calculations, building details, and specifications necessary to ensure compliance with NYC Energy Conservation Code, project performance requirements, and sustainable design goals, including LEED certification and enhanced energy design if applicable. For Local Law 86 projects, prepare documentation for the LEED design credit submission as appropriate.

## 8. Resilient Design

The Consultant shall provide details and specifications that ensure project performance requirements related to resilient design goals are met.

## 9. Commissioning

The Consultant shall coordinate with the Commissioning Agent, update commissioning documentation as necessary, respond to issues raised by the commissioning design review, and incorporate commissioning specifications into the construction documents. The Commissioning Agent shall also prepare the draft commissioning plan to be reviewed by the Consultant.

## 10. Proprietary Items and Systems

Per NYC Procurement Policy Board rules, contract documents shall contain no proprietary systems or products without written approval from DDC. When written approval is issued, the selected manufacturer shall issue an affidavit, stating the unit price cost of the single-source item, and the period of time that the unit price will hold. The affidavit shall be included in the specifications at the discretion of the DDC Project Manager. All submissions and justifications are to be prepared by the requesting entity. The use of proprietary items is strongly discouraged and will only be considered for approval by DDC if the item warrants necessity

#### **11. Shop Drawing and Material Samples Schedule**

The Consultant shall prepare a log of all shop drawings for each trade pertinent to the project. In addition, the shop drawing log shall list all required samples, mock-ups, data sheets and catalogue cuts. The log shall be incorporated into the Consultant's Addendum to the General Conditions. Identifying information shall include specification reference number and listing of appropriate discipline.

#### **12. Percent for Art**

##### **a. Artwork Preliminary Design**

Within a reasonable amount of time after the PDC approval of the Artist's conceptual design, the Artist shall prepare and submit to the Consultant a detailed preliminary design for the artwork. The preliminary design submission specifies the materials, dimensions, weight, finish, and proposed site preparation requirements and proposed installation method, and any additional modifications to the site necessary to prepare it for the artwork. To assist the Artist in preparing the preliminary design following approval of the conceptual design, the Consultant shall furnish to or obtain for the artist all drawings, material samples, and similar documentation necessary to enable the Artist to prepare the Preliminary Design in compliance with any applicable legal requirements.

##### **b. Public Design Commission - Artwork Preliminary Design Review**

DDC shall submit the CRG-approved preliminary design to the PDC for review. During the period in which the PDC is considering the CRG-approved preliminary design, the Artist and the Consultant shall be available to meet with the design and sponsor agency, the Percent for Art Program, and the PDC to discuss the CRG approved preliminary design.

##### **c. Artwork Site Preparation**

The Consultant is responsible for coordinating the design of the selected site with the artwork, and engineering and detailing all resources to support the artwork; accommodating electrical, structural, landscaping, lighting, footings, plumbing, and any other loads imposed by the artwork, provided, however, that all such work shall have been fully outlined and approved in advance by the City as part of the approved design.

##### **d. Construction Documents**

The 50% CD's shall indicate the location of the artwork. The Consultant shall work with the Artist to detail the drawings and specification as they relate to preparing the site for the artwork. The Artist will be responsible for any special research of materials that is required for the artwork installation portion of the Construction Documents.

#### **13. Furniture Specification Book**

When directed by the Project Manager or the Task Order or Project Objectives, the Consultant is

required to provide a furniture specification book, which will be separated into three categories: “Requirement Contracts Furniture”, “Items for Public Bidding”, and “Inventoried Furniture and Equipment to be Re-used”. The specifications book will contain furniture catalogue cuts, specifications, literature, and photographs for all items in each category.

## D. 50% CONSTRUCTION DOCUMENT DELIVERABLES

### 1. Regulatory Approvals

All correspondence, applications, objections, approvals, findings, test results, etc. received to date shall be submitted with the documents for review. The Consultant shall submit a status report on all required submittals to the DDC Project Manager showing actual submittal dates, approvals received, and any unresolved issues including any objection issued by the regulatory agency.

### 2. Update of Code Analysis

Each design team discipline member must review the design to assure all code requirements are met.

### 3. General

All drawing submissions, including the work of all required disciplines, shall represent a minimum of 50% completion of the final Construction Documents set. The drawing set shall be coordinated with no room for unreasonable additional interpretation. The drawings indicated below represent DDC requirements for review, and do not constitute any limitation on the documentation required to properly contract for the construction of the project, or limit the Consultant’s liability for errors and omissions. The drawing submission shall meet the following requirements:

#### a. Architectural and Engineering Drawings

Drawings shall use appropriate drafting scales and include symbols, legends, dimensions, drafting conventions and abbreviations (see design criteria Appendix A-1 and the AIA website) following industry standards. For multiple contract construction projects the documents shall clearly indicate separation of contract work among the various contracts.

#### b. Use the same names, room numbers, gridlines and column designations throughout the construction drawings for all disciplines and specialties.

#### c. Standard Title Sheet and Title Block are available on the DDC web site for download.

#### d. Drawing and Specification Submission Requirements

Six copies, full or half-size drawings as directed by DDC, of all submittal materials for the design are required for Design and Constructibility Reviews. An additional three copies are required for the DDC Project Manager and Client Agency unless otherwise noted in the Task Order or Project Objectives. Full size drawings shall be 24” x 36” unless otherwise approved by DDC.

#### e. All Special Inspections and Progress Inspections shall be identified on the title sheet or sheets for all trades.

- f. The design shall meet the latest code provisions for resisting earthquakes. Specify or show details for anchoring and supporting equipment.
- g. Commissioning Specification  
For HVAC, Plumbing, and Electrical systems for projects to be commissioned.
- h. COMcheck energy analysis and calculations, updated as warranted from prior submissions.
- i. NYCECC energy analysis and supporting documentation per DOB requirements for all applicable work.

**4. Technical Specifications shall be developed to a 50% level of completion for every involved project discipline**

- a. Technical Specifications shall follow the latest CSI division and section structure, and shall meet, at minimum, the construction technology standards in the latest version of the CSI Manual of Practice. In addition, the Consultant shall use DDC standard specification sheet format, available on the DDC website.
- b. Technical Specifications shall be prepared and coordinated with the drawings in accordance with the Building Design and Construction sections of the latest AIA Handbook of Professional Practice.
- c. All specified items require proper identification of “or approved equal” requirements, including at least three product and manufacturer alternatives. Refer to item 9 of Construction Document Services for direction of proprietary items and systems. All Special Experience Requirements shall be coordinated with the DDC Project Manager for approval. Warranty Periods indicated in the Technical Specifications must exactly correspond to the data entered into the Addendum to the General Conditions.
- d. At 50% Construction Documents, the Consultant shall proofread and coordinate the entire specifications with all trades prior to submission for review. All specifications shall be edited for project specific scope of work. Generic specification is not acceptable. The use of proper reference to NYCDDC, and elimination of any and all references to “the Authority”, “the Corporation”, “the Client”, “the Architect”, “the State”, and other incorrect nomenclature is required.
- e. For projects to be commissioned, the Consultant shall review and incorporate commissioning specifications provided by the Commissioning Agent.
- f. Specify all equipment in complete detail. All systems in the contract are to be fully described.

**5. Architectural Documents**

The Architectural Documents, including Interior Design, shall include but not be limited to:

- a. General Notes Sheet include General Conditions and DOB notes, project scope, zoning, code analysis, including occupancy and construction classification data and egress plans as applicable.

- b. Phasing/Staging Plan as applicable
- c. Site Survey as provided by DDC to be incorporated in the Consultant's documents.
- d. Demolition and selective removals plans showing all required removals, extents, limits, and protection.
- e. Floor Plans
- f. Building sections and exterior and interior elevations as applicable, with materials shown
- g. Detailed Wall Sections and Details  
Detailed wall sections shall indicate all wall assemblies, building conditions, insulation materials, ratings, assemblies, and characteristics complete in all details. Indicate fire ratings of walls, partitions, ceilings, shafts, roofs, and structural elements such as columns and slabs
- h. Reflected Ceiling Plans showing all light fixtures, air supply diffusers and return grilles, sprinkler heads, and smoke detectors
- i. Door, Window, and Finish Schedules
- j. Vertical Transportation Plans layouts, details, and sections as applicable
- k. Furniture Layouts

## **6. Sustainable Design Documents**

- a. On LL86 projects, in addition to NYC building code requirements, the Consultant shall update the energy analysis report to reflect final design.
- b. The Consultant shall specify performance criteria such as high efficiency, low VOC, and high recycled content wherever feasible. Specifications for LEED projects shall include documentation and tracking requirements in relevant specifications as well as targeted criteria such as recycled content percentage and VOC limits. Specifications shall also include a LEED scorecard that outlines which credits are being pursued.
- c. The Consultant shall update the LEED plan and begin compiling documentation for design credit submission.
- d. All targeted LEED credits and/or reductions in energy consumption and potable water consumption should be fully validated by the contract documents and calculations.

## **7. Vertical Transportation Documents**

For projects involving vertical transportation, the documents shall include but not be limited to:

- a. Floor Plans  
Of all equipment such as controllers, main disconnect switches, motor generator sets, inter-communication equipment, ventilation, and air-conditioning equipment.
- b. Riser Diagrams  
Indicating elevator installation, floors covered, all stop distances, total travel distance, buffer, and door openings.
- c. Car Details  
Provide details for internal finishes, construction of car, emergency exits, lighting (including emergency lighting), handrail, exhaust fan, flooring, and all accessory equipment.
- d. Detail Drawings of hall buttons, lanterns, and car operating panel.
- e. Emergency Recall
- f. Shaft, footing, and structural calculations.
- g. Sections and Details for elevator shaft, elevator door head, sill, and jambs, etc.
- h. ADA compliance

**8. Landscape Architecture Documents**

Landscape Architecture Documents shall include but not be limited to:

- a. Site Plan with major grade elevations, land contours, materials, and dimensioned locations of primary site features.
- b. Builder's Pavement Plan
- c. Planting Plan
- d. Protection and Removals Plans
- e. Site Materials Plan
- f. Details of key site design elements
- g. Site demolition and removals plan
- h. Elevations of adjoining buildings and foundations
- i. Site grading shall indicate existing and new grade elevations and land contours, at appropriate intervals, adjacent to the building and around the site. Elevations shall be given in feet with decimals to the nearest 1/100th. Provide storm drainage plan.
- j. Site Lighting and Site Electrical Plan
- k. Site Irrigation Plan

- I. Civil Engineering as applicable

## 9. Structural Documents

The Structural Documents shall consist of the following information:

### a. Calculations

- i. The calculations as outlined in the Design Development (DD) Phase shall be updated and completed to 50% Construction Documents. Calculations shall reflect any changes, revisions, clarifications, or additional information as a result of DDC Design Review Comments and recommendations, and all regulatory agency approvals.
- ii. Whenever a figure is obtained from some other page of the calculations, refer to that page number in parentheses next to the figure used in the calculation.
- iii. Provide sketches showing framing plans with dimensions and grid lines, freebody/force diagrams in support of the calculations, refer to drawing numbers where the calculated items are shown on the drawing: for example, structural sizes, connection details, etc.
- iv. The structural calculations shall include, but not be limited to:
  - 1. Gravity loads
  - 2. Lateral loads
  - 3. Foundations
  - 4. Thermal loads, where significant
  - 5. Vibration propagation
  - 6. Progressive collapse
  - 7. Supports for non-structural elements, including mechanical and electrical equipment on the roof and in equipment rooms, louvers, and other penetrations.
  - 8. Steel connections
  - 9. Blast analysis

### b. Drawings

- i. Demolition or removal plans, where applicable.
- ii. Full set of structural construction drawings including, but not limited to:
  - 1. Drawings must be fully dimensioned, noted and detailed for bidding and construction.
  - 2. Basic wind speed, miles per hour, wind importance factor, building category, wind exposure, and the applicable internal pressure coefficient must be indicated.
  - 3. Foundation, Floor, and Roof Framing Plans
  - 4. Structural sections, details, and elevations
  - 5. Type and strength of all structural materials.
  - 6. Design Soil Bearing Value and pile type and capacity – soil bearing pressure and lateral earth pressure must be indicated.
  - 7. Bottom elevations of all footings, estimated pile lengths, and underpinning requirements.
  - 8. Joints  
Provide a plan clearly indicating and dimensioning all construction, control, and contraction joints.
  - 9. Design Live Load

Load criteria for all floor live loads, roof live load, roof snow load, wind load, earthquake design data, and special loads must be shown on drawings. Live load reduction of the uniformly distributed floor live loads, if used in design, must be indicated.

10. Required construction procedures
  11. Special shoring or bracing requirements
  12. Seismic design criteria, such as seismic use group, special response coefficients  $SD_s$  and  $SD_1$ , site class, basic seismic-force-resisting system, design base shear, and analytical procedure must be indicated, and any additional information required by NYC Building Code.
  13. Soil Boring Plan and soils analysis, provided by DDC and incorporated into the drawing set.
  14. Boring logs, provided by DDC and incorporated into the drawing set.
  15. Blast-resistant requirements, if applicable.
  16. Indicate the codes and standards used to develop the project
- iii. Schedules  
Schedules for foundations, columns, walls, beams, slabs, and decks, as applicable.
- iv. Structural Details  
All typical details must be shown on the drawings.
1. Sizes, locations, and details of major structural elements and their connections, including equipment supports and site structures, base plates and anchor bolts, camber, shear stud types, and lengths.
  2. Location and details of all construction, control, and expansion joints.
  3. Substructure waterproofing details – show extent of waterproofing and water-stop systems.
  4. Details for anchorage of building system equipment and non-structural building elements (may be shown on mechanical, electrical, or architectural drawings, as applicable).

## 10. HVAC and Fire Protection Documents

The HVAC/Fire Protection documents shall consist of the following information:

- a. Calculations and Energy Analysis
  - i. Heating and cooling load calculations.
  - ii. Systems pressure static analysis at peak and minimum block loads for occupied and unoccupied conditions.
  - iii. Building pressurization analysis for peak and minimum block loads for occupied and unoccupied conditions.
  - iv. Acoustical calculations for peak and minimum block loads for occupied conditions.
  - v. Sound level calculations.
  - vi. Flow and head calculations for pumping systems for peak and minimum block loads for occupied conditions.
  - vii. Final selection of equipment and cut sheets of selected equipment.
  - viii. Psychrometric calculations of the selected HVAC systems at full and partial loads (partial loads at 25%, 50%, and unoccupied periods).
  - ix. Energy consumption calculations and analysis.
  - x. Fuel consumption estimates.
  - xi. Sizing of fuel storage and distribution system.
  - xii. Sizing of vibration isolators for mechanical equipment.

- xiii. Water consumption calculations and analysis of make-up water for HVAC systems.
- xiv. For any fire modeling generated results, submit a copy of the input data and all pertinent program material and assumptions required to understand the output and the analysis. A narrative of the input and results must be part of the calculations.
- xv. Fire protection water supply calculations, including water supply flow testing data.
- xvi. Fire pump calculations, where applicable.
- xvii. Water reserve calculations for sprinkler system.
- xviii. Smoke control calculations, where applicable.
- xix. Stairway pressurization calculations, where applicable.
- xx. Fire modeling.

**b. Narrative**

A written narrative describing the final mechanical system and equipment selection including:

- i. Indoor and outdoor design conditions for all spaces under occupied, 24-hour, and unoccupied conditions.
- ii. Ventilation rates, dehumidification, and pressurization criteria for all spaces under occupied, 24-hour, and unoccupied conditions.
- iii. Equipment capacities, weights, sizes, sound power and power requirements.
- iv. Psychrometrics of HVAC systems.
- v. Catalog cuts of all equipment to be used on the project.
- vi. Description of the air-side and water-side systems and the associated components, including operating characteristics, ranges, and capacities, and spaces served and special features.
- vii. Description of the control strategy, specific operating and sequence of operations for all spaces under occupied, 24-hour, and unoccupied conditions, and required interlocking for each system.
- viii. Analysis report related to acoustic design compliance.
- ix. Noise control methods for projects that incorporate new or replacement of exterior mechanical/electrical equipment, as required to comply with Local Law 113 of 2005 (Noise Control Code).
- x. Fuel and utility requirements.
- xi. Description of any deviation from the HVAC and fire protection systems as approved in the Design Development Phase.

**c. Specifications**

Completely edited version of each specification section to be used on the project.

**d. Drawings**

The drawings submitted shall consist of the following:

- i. Demolition drawings, as applicable. Indicate all existing systems to be demolished.
- ii. HVAC Floor Plan(s) showing all components of all systems, including room-by-room duct distribution, diffuser, and register locations. Fully describe existing systems and/or integration of existing or new system:
  - 1. Double line piping and ductwork layout criteria.
  - 2. Show interior zone terminal air units.
  - 3. Show perimeter zone terminal units.

4. Show locations of automatic control sensors (e.g. temperature, relative humidity, CO<sub>2</sub>, etc.).
5. Refrigerant pipe routing to and from interconnected pieces of equipment shall be sized and shown on the HVAC plans. Indicate all filter dryers, solenoid valves, strainers, pressure relief valves, flexible connections, receivers, and sight glasses.
- iii. Roof Plan showing all roof-mounted equipment and access to roof.
- iv. Mechanical details:
  1. Quarter-inch scale drawings of mechanical equipment room(s) showing all mechanical equipment, ductwork, and piping, including equipment access and service requirements in plan, elevations, and sections.
  2. The Consultant shall clearly indicate the manufacturer's required access space or tube-pull space for all mechanical equipment criteria.
  3. Provide installation details of each equipment type used on the project.
  4. All valves must be shown. Indicate locations where temperature, pressure, flow, contaminant/ combustion gases, or vibration gauges are required, and if remote sensing is required.
  5. Mechanical room piping and ductwork layout must be double line. All ductwork and piping 3" diameter and larger located in mechanical equipment rooms are to be indicated to scale.
  6. Sections  
If the mechanical equipment room contains multiple pieces of equipment, provide at least two sections to show the elevations of all equipment, piping, ductwork, and structural supports. Scale for sections to be 1/4" = 1'-0" or larger. Ductwork to be shown in double line drawing.
  7. Mechanical Equipment Room
    - a. Additional sections  
Where mechanical equipment units, ductwork and piping are located in tight spaces, sufficient sections shall be developed to show elevations of all equipment, piping, ductwork, and structural support. All sections to be 1/4" = 1'-0" or larger.
    - b. Composite drawings  
For equipment rooms, congested corridors, and all areas involving the work of more than one trade, provide composite sections showing all new and existing equipment and conditions.
  8. All dampers – both fire dampers and volume control dampers – must be shown. Ductwork ahead of the distribution terminal must be indicated in true size (double line).
- v. Single line schematic flow and riser diagram(s):
  1. Water flow quantities and balancing devices for all heating/cooling equipment. Provide complete schematic flow diagrams for all systems, both new and existing to be modified, showing all necessary equipment and valves. Systems include steam, chilled water, condenser water, hot water, fire protection, and fuel oil.
  2. Airflow quantities and balancing devices for all heating/cooling equipment, air-handling, air-conditioning, and exhaust systems. The Consultant shall indicate all automatic controls, dampers, temperature sensors, control valves, return/relief air routing, and maximum and minimum air quantities for supply, return, and relief air. Provide control system legend.
  3. Show location of all flow/energy measuring devices for water and air systems for all cooling, heating, and terminal equipment, and their interface with the BMS.

4. Refrigerant piping schematic flow diagrams.
5. Flow and riser diagrams shall be provided for new systems and existing systems being modified.
- vi. Automatic control diagram(s):
  1. Control flow diagrams showing all sensors, valves, and controllers (analog and digital inputs for controllers, front end equipment, and system architecture).
  2. Diagrams to show control signal interfaces, complete with sequence of operation of all heating, ventilating, and cooling systems during occupied, 24-hour operations, and unoccupied conditions.
  3. Control diagrams shall be provided for new BMS systems and for new and existing systems when inter-phasing with new BMS system.
- vii. Schedules:
  1. Provide schedules of equipment that include chillers, boilers, pumps, air-handling units, terminal units, cooling towers, and all equipment required for 24-hour operations.
  2. The Consultant shall submit equipment schedules with basic equipment design parameters completed so as to indicate type, capacity, and zoning of systems.
  3. Air terminal devices
  4. Provide schedules for fire protection and other special systems.
- viii. Air balance relationships between spaces
- ix. Full set of fire protection construction drawings indicating branch sprinkler piping and head locations.
- x. Fire protection details (all typical details must be shown on the drawings).
  1. Life safety stairway pressurization fans
  2. Fire pump configuration
  3. Anchorage of underground fire protection water supply lines
  4. Standpipe riser
  5. Installations of waterflow switches and tamper switches
  6. Sprinkler floor control valves, sectional valves and test assembly
  7. Non-water-based fire extinguishing systems (e.g. wet chemical)
  8. Special fire protection systems (e.g. kitchens, computer rooms, etc.)
- xi. Riser diagrams for sprinkler system
- xii. Coordinate with electrical power requirement for HVAC equipment, requirements and location of duct smoke detectors, fire and smoke dampers, fire alarm, and fan shut-down.
- xiii. Identifications  
All air-handling units shall clearly identify all coil sections, filters, access locations, and the mixing plenum. The location and weight of all equipment shall be indicated. Indicate openings, penetrations, and support.
- xiv. Energy compliance drawings, COMcheck.

## 11. Electrical Documents

The Electrical documents shall consist of the following information:

- a. Calculations
  - i. Load calculations

- ii. Emergency power calculations, including generator calculations and starter loads, where applicable.
- iii. Illumination level and lighting power calculations
- iv. Lighting power densities
- v. Short circuit calculations  
Provide short circuit calculations for all affected points in the distribution system. Indicate AIC ratings of incoming service, panelboards and overcurrent protective devices. Indicate short circuit values on appropriate points of the single line diagram.
- vi. Provide voltage drop calculations for all affected points in the distribution system. Indicate voltage drop values on appropriate points of the single line diagram.
- vii. Where applicable, submit a protective device coordination study indicating selective coordination between the service switch or circuit breaker and the distribution switches and/or the switchboards, and downstream of the switchboard.
- viii. Arc Flash Study

**b. Specifications**

- i. Completely edited version of each specification section to be used on the project.
- ii. Lighting fixture schedules may be bound into the specifications.
- iii. Lighting fixture catalogue cuts may be bound into the specifications.
- iv. Lighting control schedules and zoning schedules may be bound into the specifications or shown on the drawings.

**c. Drawings**

All projects shall have separate electrical plans for demolition, lighting, power, and low voltage (including fire alarm, telecommunications, and data systems). The drawings submitted shall consist of:

- i. Demolition Plans, if required
- ii. Site Plan:  
Indicate service locations, manholes, hand-holes, duct banks for power, telephone, cable television, and site lighting.
- iii. Floor Plans:
  - 1. Show lighting and power distribution (both on normal and emergency power), communications raceway distribution, and locations of fire alarm devices and annunciator panels.
  - 2. Floor plans shall show detailed layout of major conduit runs to eliminate conflicts and interference with other trades.
  - 3. All home runs shall be shown and properly indexed as to number and size of conduit, wires and destination.
- iv. Riser diagrams and/or single line diagrams:
  - 1. Single line riser diagram of primary and secondary power distribution shall include: normal power, emergency power, and UPS. Single line power riser diagram shall include distribution panels and downstream panelboards, major mechanical equipment, emergency panels, and transformers.
  - 2. Single line diagram for fire alarm system
  - 3. Single line diagram of signal system including: telephone, intercom, data, security, public address, and other systems shown on the drawings.
- v. Lighting fixture details with details of construction and mounting support.
- vi. Control Wiring Diagram, where necessary
- vii. Details of underfloor distribution system

- viii. Layout of electrical equipment spaces drawn to scale
  - ix. Show all electrical equipment; include scaled detailed elevations of substation transformers, main switchboards, distribution panelboards, and disconnect switches within the electric service rooms.
  - x. Schedule for switchgear, switchboards, unit substations, motor control centers, and panelboards. Schedules shall include circuit destination, load in volt-amperes, overcurrent setting, load summary, connected, spare, and demand load.
  - xi. Grounding diagram
  - xii. Lightning protection system
  - xiii. Site lighting and site electrical outlet systems, ISO foot-candle curves
  - xiv. Drawings submitted (site plan, floor plans, single line diagram and riser diagrams) shall indicate new systems and existing systems to remain and/or to be modified.
  - xv. Complete phasing plan (if required) for additions and alterations
  - xvi. Security system site plan:  
Final locations for all security devices and conduit runs
  - xvii. Security system floor plans:  
Layout of all security system devices
  - xviii. Building grounding system
- d. Utility company letters (electric, telephone, CATV, etc.) and utility company responses, including service layouts
  - e. A description of any deviations from the electrical systems as approved in the Design Development Phase.

## 12. Plumbing Documents

The Plumbing documents shall consist of the following information:

- a. Calculations
  - i. Include entire building, including drainage calculations and hot water heating calculations.
  - ii. Water supply calculations, including pressure
  - iii. Sanitary waste sizing calculations
  - iv. Water consumption calculations and analysis, including make-up water for HVAC systems, domestic water consumption, and water consumption for irrigation.
- b. Narrative
  - i. Description of plumbing system, including domestic cold and hot water, sanitary and storm drainage, and irrigation systems.
  - ii. A final evaluation of alternate sources for preheating of domestic water (solar or heat recovery).
  - iii. A description of any deviations from the plumbing systems as approved in the Design Development Phase.
  - iv. Letters to respective utility company load letters, DEP site connection proposal, hydrant flow test results and any approval and/or utility room approved layouts.

- c. Specifications  
Completely edited version of each specification section to be used for the project.
- d. Drawings  
The drawings submitted shall consist of the following:
  - i. Demolition drawings, if required
  - ii. Drawings submitted (site plan, floor plans, single line diagram and riser diagrams) shall indicate new systems and existing systems to remain and/or to be modified.
  - iii. Site Plan:
    - 1. Connections  
Location of storm and sanitary sewers, connection to existing sewers, pertinent inverts, size and location of means for storm water detention or retention, water services, domestic and fire, and the location of gas service, integrated with existing systems, indicated on the site plan and coordinated with floor plans.
    - 2. Grade elevations  
Provide grade elevation of catch basins, manholes, and drains.
    - 3. Gasoline and diesel systems  
Fuel dispensers and fuel storage tanks, where applicable, including details and notes.
  - iv. Plumbing floor plan(s):
    - 1. Plumbing layout and fixtures, equipment and piping; large scale plans should be used where required for clarity.
    - 2. Location and size of all roof drains, standard or interior piping for storm, sanitary, cold water, hot water, circulating, gas, fire standpipe, or removed systems or elements indicated on separate plans.
    - 3. Size and capacity indicated for all oil separators, hot water storage tanks, sump pumps, sewage ejectors, and house pumps, circulating pumps, storm water detention tanks, suction tank, and storm water tanks.
  - v. Systems schematics and flow diagrams
  - vi. Riser diagrams for waste and vent lines
  - vii. Riser diagrams for domestic cold and hot water lines
  - viii. Riser diagrams for all other systems (gas, fuel, etc.)
  - ix. Schedule: Plumbing fixture schedule

### **13. Furniture and Equipment**

For projects involving Furniture and Equipment as part of the scope of work, the documents shall include but not be limited to the following. Unless explicitly stated otherwise in the Task Order or Project Objectives, all furniture tasks other than generic furniture layouts are a supplemental service.

- a. The Consultant shall provide complete furniture plans which shall be dimensioned, labeled, and keyed. Include all systems furniture, loose furniture, and built-in furniture and equipment. Illustrate points of entry for electrical outlets, telephone jacks, and computer locations at all furniture systems. Indicate all power and data outlets.
- b. Drawings for loose furniture and systems furniture shall indicate clearance or installation dimensions and room numbers and shall contain a furniture legend and keys to identify all items shown.

**c. Vendor Requirements**

System furniture plans must meet vendor requirements as to format, key, and installation guidelines.

**d. Systems Furniture**

Installation plans as required by the vendor consist of the complete set of component, panel, and electrical drawings.

**e. Furniture Specification Book**

The Consultant shall provide a complete furniture specifications book, with keys to cross reference individual items with the plans, prepared in three sections; Requirement Contract, Purchase Items, and Bid Items.

**f. Color and Sample Board**

The Consultant shall provide a complete set of color boards of the furniture design, showing furniture finishes and fabric selections complete with labeling and room locations. Boards shall be presented in conjunction with the building materials board.

**g. Cost Estimate**

The Consultant shall provide an updated final furniture and equipment budget, including required contingencies.

**h. Loose Furniture**

The Consultant shall provide installation plans for loose furniture and equipment and space system furniture. Space system furniture plans shall meet vendor requirements, which generally include fully dimensioned and labeled panel layouts, component layouts, and electrical layouts, including wall and floor entries and telephones and computer locations.

**14. Hazardous Materials Bid Documents**

Unless otherwise determined by DDC, all Hazmat removal design work required will be performed through DDC BEGS; documents will be provided to the Consultant. The Consultant shall be responsible to review and coordinate the Hazmat survey abatement scope with the project work scope and identify related or affected project scope items. The Consultant shall incorporate the documents within the construction documents and coordinate with other required work. All work incidental to Hazmat removals shall be documented in the contract documents. For projects involving the removal, handling, and disposal of hazardous materials, when DDC's BEGS team is not handling Hazmat, the Consultant shall prepare documents that include:

**a. Environmental Specifications**

Provide plans, drawings, and written design specifications

**b. Standard Operating Procedures**

The Consultant shall provide within the specification the procedures and protocols in compliance with NYC DEP and NYS Department of Labor standards, as necessary for the scope of the environmental work.

- c. Identification of Products  
The Consultant shall identify any and all products necessary for completion of the hazardous materials abatement.
- d. Hazardous Materials Cost Estimate  
The Consultant will be required to submit detailed cost estimates, construction phasing plans, CPM charts and regulatory filings.

## 15. Bid Packaging

- a. Format  
The Cost Estimate format (see Cost Estimate form at [www.nyc.gov/buildnyc](http://www.nyc.gov/buildnyc)) shall meet all DDC requirements. The Cost Estimate for all Contracts shall be in the same CSI format as the Design Development Cost estimate with the exception that design contingency is reduced to 5% at 50% CD and 0% at 100% CD. The estimate shall be done with a DDC approved computerized estimating program compatible with EXCEL.
- b. Addendum  
The Consultant shall prepare the Addendum to the General Conditions. The requirements for Single Contract Specifications are the same as those for Multiple Contracts except that the list for separate contracts is not included. Items to be inserted by the Consultant include but are not limited to the following:
  - i. Project Description
  - ii. Contracts for the Project
  - iii. Applicability of Articles, amended Articles, and additional Articles
  - iv. Schedule "A"- Shall indicate Contract duration, liquidated damages, and insurance, including coverage on Asbestos and insured parties
  - v. Schedule "B"- Listing all warranties corresponding to those in the Technical Specifications
  - vi. Schedule "C"- Complete list of Contract Drawings
  - vii. Schedule "D"- Indicating electrical motor control equipment
  - viii. Schedule "E"- Indicating separation of trades
  - ix. Schedule "F"- Shop Drawings and Materials Samples Schedule
  - x. Refer to Appendix A-3 for further information.
- c. Contractors Bid Break-down Form  
DDC shall prepare the Contractor Bid Break-down Form directly from the Consultant's final cost estimate.
- d. Unit Price Allowance Schedule  
Unit Price Allowance Schedule shall be included if applicable.

## 16. Review Comments Response

The Consultant is required to respond in writing to Design and Constructibility comments received from the technical review groups of DDC and/or the CM performing the Constructibility Review as well as from the Commissioning Agent when an agent is used. Response should be no more than two weeks from receipt of comments, and should address the spirit of the comments as well as the specific issues. Timely compliance with 50% Construction Document Design and Constructibility

review comments is expected. The Consultant shall continue to advance the work during the 50% CD review period.

## E. 100% CONSTRUCTION DOCUMENTS DELIVERABLES

### 1. Regulatory Approvals

At this stage of the project all submissions to DOB and other regulatory agencies and utility companies should be completed. All correspondence, approvals, findings, and test results shall be submitted with the documents for review and record. The Consultant shall submit a final status report on all required submittals to the DDC Project Manager showing actual submittal dates, approvals received, and any unresolved issues, including any objections issued by the regulatory agency.

### 2. General

All drawing submissions, including all required disciplines, shall show a minimum of one hundred (100%) percent completion and shall meet the following requirements:

**a. Commissioning Specification**

HVAC, Plumbing, and Electrical system specifications shall be provided for projects to be commissioned.

**b. Final NYCECC energy analysis, COMcheck, and Calculations**

**c. Bar Graph Construction Schedule**

Indicate all phasing and Client Agency requirements.

**d. Long Lead Time Items**

The Consultant shall prepare a separate list of all items that require early procurement. These long lead time items, which may significantly impact project duration and coordination, shall have previously been discussed during project design. Long lead time items shall also be highlighted on the Shop Drawing Log Form.

**e. Shop Drawing Log Form**

The Consultant shall submit the list of required shop drawings, samples and catalogue cuts (which has been previously prepared and incorporated into the Specifications) on the Shop Drawing Log form. The Shop Drawing Log in the approved format shall be presented to the project Contractors at the Construction Kick-off (Pre-Construction) Meeting.

### 3. Technical Specifications

Technical Specifications shall be developed as noted in the 50% CD phase to a 100% level of completion for every involved project discipline. The specifications shall reflect any changes, revisions, clarifications, or additional information as a result of DDC Design and Constructibility review comments and recommendations, and all regulatory agency approvals.

#### **4. Construction Documents**

The Construction Documents as outlined in 50% Construction Documents Deliverables shall be completed to 100%. Documents shall reflect any changes, revisions, clarifications, or additional information and/or details as a result of DDC Design and Constructibility review comments and recommendations, and all regulatory agency approvals.

#### **5. Sustainable Design Documents**

- a.** Energy Analysis - The Consultant shall update the energy analysis report as necessary for LL86 projects to reflect final design.
- b.** Specifications - For LEED projects, the Consultant shall highlight LEED submittal requirements for applicable materials on the Shop Drawing Log form.
- c.** LEED Documentation - The Consultant shall begin design credit submission after final design is complete.

#### **6. Commissioning**

The Consultant shall respond to comments prepared by the Commissioning Agent on the 100% CD submission.

#### **7. Hazardous Materials Bid Documents**

For projects involving the removal, handling and disposal of hazardous materials, when DDC's BEGS team is not handling Hazmat. The Consultant shall be responsible to review and coordinate abatement scope with the project work scope and identify related or affected project scope items. All work incidental to Hazmat removals shall be documented in the contract documents. The Consultant shall prepare documents that include:

- a.** Environmental Specifications  
Provide plans, drawings, and written design specifications to perform any remedial/abatement work and provide for temporary re-insulation, weather protection, prevention of soil erosion, spill prevention, etc., that may be indicated. These documents must be in a format suitable for bidding and included with the final bid documents prepared by the Consultant for the overall project.
- b.** Standard Operating Procedures  
The Consultant shall provide within the specification the following procedures and protocols in compliance with NYC DEP and NYS Department of Labor standards, as necessary for the scope of the environmental work:
  - i. Special experience requirements for environmental abatement/remediation
  - ii. Emergency precautions and notifications
  - iii. Quality assurance standards
  - iv. Air-monitoring and/or bulk sampling requirements
  - v. Removal/remediation procedures
  - vi. Decontamination procedures
  - vii. Critical barriers and engineering controls
  - viii. Waste handling and disposal
  - ix. Reinstallation or replacement with non-hazardous materials
  - x. Identification of products

The Consultant shall identify any and all products necessary for completion of the hazardous materials abatement, with performance specifications for those products, including, but not limited to, material handling devices, replace materials, specialized tools and equipment, cleaning materials, worker protection (respiratory protection and protective clothing), waste disposal materials, decontamination facilities, barriers, and air moving equipment.

**c. Hazardous Materials Cost Estimate**

The Consultant will be required to submit detailed cost estimates, construction phasing plans, CPM charts and regulatory filings. These filings, variances, work plans, and notifications may include the NYC DEP and DOB, NYS DOL and DEC, and any federal EPA, OSHA, or DOT that may be required due to the nature of the hazards within the project scope.

**8. Final Cost Estimate**

- a.** The Cost estimate (see Cost Estimate form at <http://www.nyc.gov/html/ddc/html/business/designfrm.shtml>) shall meet all DDC requirements.
- b.** The Cost Estimate for all Contracts shall be updated as needed, and in the same CSI format as earlier estimates with the exception that design contingency is no longer included.
- c.** The cost estimate shall be reconciled with all specifications. It shall include every specification number and title from the project specifications in numerical order.

**9. Addendum to General Conditions**

The Consultant shall insert project specific information in the DDC “Addendum to General Conditions”. At 100% CD deliverables, a revised “Addendum to the General Conditions” conforming to 50% CD Constructibility Review Comments shall be submitted in an electronic format. Please refer to Appendix A-3 for further instruction.

**10. Review Comments Response**

The Consultant is required to respond in writing to Design and Constructibility comments received from the technical review groups of DDC and/or the CM performing the Constructibility Review as well as from the Commissioning Agent when an agent is used. Response should be no more than two weeks from receipt of comments, and should address the spirit of the comments as well as the specific issues. Timely compliance with 100% Construction Document Constructibility Review Comments will accelerate the start of the bid process and construction.

## F. FINAL COMPLIANCE SUBMISSION / BID DOCUMENT DELIVERABLES

### Summary of Deliverables

After approval of the Construction Document drawings, Technical Specifications, and the Addendum to the General Conditions, the Consultant shall deliver the following to DDC. Submit electronic copies of

drawings, specifications, and estimates in DDC approved format for permanent DDC records with the bid document submissions.

**1. Construction Documents**

**a. Drawing Format**

Full size drawings shall be on reproducible media as directed by the Project Manager. They shall conform to the approved deliverables identified in the 100% Construction Documents.

**b. Conformity with Comments**

Drawings shall fully conform to 100% Construction Document Review Comments by DDC.

**c. Sign and Seal**

Include identification, professional seals and signatures of the Consultant and any sub-consultants on all drawings so as to meet the requirements of Article 27-157 of the New York City Administrative Code.

**d. Approvals**

Submit original of all drawings or documents bearing stamps of approval by each regulatory agency, including but not limited to DOB, LPC, and PDC.

**2. Specifications**

Shall be in clear legible form, typed doubled sided, and collated per DDC format, on 8 1/2" x 11" white bond paper, unbound without punched holes, collated, boxed for bid packaging and photocopying.

**3. Electronic file of final cost estimate in DDC approved format shall be submitted.**

## BID AND AWARD

### A. BID AND AWARD, AND REGISTRATION SERVICES

During the period of advertising, receipt, and analysis of bids, the Consultant shall:

**1. Interpret Plans and Specifications**

Interpret plans and specifications when requested by the DDC in response to inquiries by prospective bidders.

**2. Prepare and Issue Amendments and Drawings**

Prepare and issue all necessary addenda, amendments, and drawings required for the clarification of plans and specifications. Such documents shall be issued through DDC.

**3. Attend Pre-Bid Meetings**

Attend Pre-Bid Meetings to answer questions from bidders and to assure that all parties clearly understand the intent of the Contract Documents. A Pre-Bid Meeting is required with the Consultant, the Client Agency representative and the DDC project team. Pre-Bid Meetings are held at the site to ensure that all bidders become familiar with existing conditions. Agenda items include highlights of the contract emphasizing any unusual work. If any of the questions posed by the Contractors requires a change to the Contract Documents, the Consultant is responsible for the preparation and issuance of an Addendum.

**4. Assist in the Analysis and Evaluation of Bids**

Assist in the analysis and evaluation of bids and within three days of the bid opening make written recommendations and reports on the disposition of bids and the award of Contracts. Assist in the review and evaluation of special experience qualifications of the subcontractors proposed by the Prime Contractors.

**5. Attend Pre-Award Meetings**

Attend Pre-Award Meetings to answer questions and to provide additional support and analysis in the understanding of the intent of the Contract Documents. A Pre-Award Meeting for all prime contracts is required with the Consultant, the Contractor, the Client Agency representative and members of the DDC project team.

### B. BID AND AWARD DELIVERABLES

During the period of bid advertisement and analysis, the Consultant shall prepare the following, as necessary:

**1. Addenda**

Addenda drawing and specifications shall be produced by the Consultant as required in response to Contractor questions and requests for information arising during the Pre-Bid

Meeting or as otherwise necessary for the clarification of the Bid Documents. The Consultant shall submit all addenda, including drawings and specifications, to the DDC Project Manager and the DDC A & E Constructibility Unit for review and approval. The DDC Project Manager will inform the Consultant of all format requirements, including the specific addendum number.

**2. Filing and Signature**

The Consultant shall sign and seal all necessary drawings. Drawings which need to be filed with, or presented to, regulatory agencies, including, but not limited to, the NYC DOB, shall be prepared and filed by the Consultant. The Consultant shall send regulatory agency approvals to the DDC Project Manager. Changes that require approval by the Landmarks Preservation Commission will be filed by DDC. Changes that require approval by the Public Design Commission will be filed by the Consultant at the direction of the DDC Public Design Commission Liaison.

**3. Bid Tabulation Analysis**

The Consultant shall attend the Bid Opening and review the Bid Tabulation available at the conclusion of the Bid Opening to assist in discovering any bid anomalies.

## C. FURNITURE AND EQUIPMENT

For projects involving furniture and equipment specifically directed in the Task Order or Project Objectives the Consultant is responsible for:

**1. Requisition Forms and Purchases Orders**

Upon completion of the base building Contract Documents, the Consultant shall meet with the DDC Project Manager to receive prototypical requisition forms and purchase orders and to establish a schedule for their completion.

**2. Coordination**

Upon receipt of the completed forms, the DDC Project Manager shall forward the forms to the Division of Municipal Supplies of DCAS. The Consultant shall coordinate the delivery schedule with the various vendors holding Furniture Requirement Contracts at DCAS.

**3. Phasing of Furniture Acquisition**

If necessary, the Consultant shall prepare separate requisition forms for each floor and construction phase of the project.

# CONSTRUCTION ADMINISTRATION SERVICES

## A. BASIC SERVICES DURING CONSTRUCTION

The Consultant shall perform the basic services described below.

### 1. Monthly Site Visit and Field Inspection Reports

#### a. Consultant

The Consultant shall visit the site monthly for the purpose of preparing a Field Inspection Report. The Consultant shall report in writing all observations on issues to quality of ongoing inspected work or site conditions. Consultant Field Inspection Reports shall be on the approved DDC forms.

#### b. Sub consultants

The sub-consultants shall visit the site as directed by the Consultant when work affecting their respective area of responsibility is being performed, and shall report in writing on issues or quality of the inspected work or site conditions. Sub-consultant Field Inspection Reports shall be on the approved DDC forms and forwarded to DDC by the Consultant.

#### c. Content

The content of the Field Inspection Reports is essential to assuring the quality of the construction work being installed. Detailed observations on current work, field conditions, connections, clearances and Contractor capability will assist the DDC Resident Engineer in quality control efforts. The Field Inspection Report is the vehicle by which the Consultant is empowered to assure that ongoing construction work is in compliance with the design intent, details, and specifications, which form the basis of the Contract Documents.

#### d. Experience

The Field Inspection Reports are to be prepared by members of the Consultant team who are thoroughly familiar with the project.

#### e. Submittals

The Field Inspection Reports are to be submitted in writing to the DDC Resident Engineer within five working days of the site visit. This will enable the DDC Resident Engineer to address the issues identified in the reports at the next project site meeting.

#### f. Sign and Seal

The Field Inspection Reports shall be signed and sealed by the appropriate Registered Architect, Professional Engineer or Registered Landscape Architect.

### 2. Bi-Weekly Job Site Meetings and Minutes

- a. Consultant Meeting Attendance**  
To facilitate completion of the work according to the standards of quality and the schedule set by the Construction Documents, the Consultant is required to attend all project meetings. Sub consultants, as deemed necessary by the DDC Resident Engineer, are also required to participate in the relevant portions of such meetings. These include the Construction Kick-off (Pre-Construction) meeting, job site meetings held every two weeks, and all meetings relating to the design.
- b. Purpose of the Meetings**  
At the job site meetings the progress of the work is reviewed and the work coordinated between the various Prime Contractors. Attendees identify and confirm the next scheduled activities of work and eliminate, if possible, potential delays due to deliveries, field conditions, staffing or swing space conflicts.
- c. Shop Drawing Log**  
An additional agenda item at the project job site meetings is the review of the Shop Drawing Log, taking appropriate action to ensure that submittals deadlines and review turn-around periods are met.
- d. Requests for Information**  
A primary purpose of Consultant participation at the job site meetings is to be able to obtain or respond to any Requests for Information coming from the Prime Contractors.
- e. Prepare and Distribute the Meeting Minutes**  
Unless otherwise directed, the Consultant shall attend all bi-weekly job site meetings and prepare and distribute the bi-weekly job site meeting minutes within three working days of the meeting. Copies shall be distributed to all meeting attendants and others as identified by the DDC Resident Engineer. The DDC Construction Resident Engineer will prepare the meeting agenda and conduct the job site meetings.
- f. Format of Meeting Minutes**  
The bi-weekly job site meeting minutes shall be prepared in a format determined by DDC.

**3. Review of Shop Drawings, Samples, Cuts and Mock-Ups**

The Consultant shall receive shop drawings, samples, cuts, and mock-ups directly from the Contractor for review and approval. The Consultant shall review, approve, and distribute submittals per procedures described in the General Conditions.

- a. Shop Drawing Log Form**  
The Shop Drawing Log Form shall be presented to the Contractor at the Construction Kick-off (Pre-Construction) Meeting. Contractors shall be responsible for filling in the item submission dates and the delivery dates for approval by the DDC Resident Engineer.
- b. The Consultant shall receive copies of the Contractor prepared approved schedules for the submission of shop drawings, samples and catalogue cuts and shall review these lists every two weeks. The Consultant shall review and direct modifications if required. Updated copies shall be submitted to the DDC Resident Engineer.**

- c. The Consultant shall ensure that the updated copies of the approved schedules for shop drawings, samples and catalogue cuts shall include all information necessary to indicate progress on processing submitted to the DDC Resident Engineer.
  - d. Listed information shall include the names of subcontractors, the titles of shop drawings and the due dates in accordance with the approved schedules. These include dates of issue, receipt, checking, return for correction, resubmission and final acceptance, along with other pertinent information.
  - e. The Consultant shall act promptly and systematically to check all shop drawings, materials samples, catalogue cuts and items exhibited in mock-ups to determine if the submittals are in accordance with the Contract Documents and Specifications.
  - f. **Sheeting, Bracing and Underpinning**  
The Consultant shall review all necessary documentation for sheeting, bracing and underpinning.
  - g. **Indicate Necessary Changes**
    - i. The Consultant shall indicate in writing on all submittals the changes necessary to conform to the Contract Documents and Specifications within ten working days of the submittal. Responses by the Consultant shall be to both the submitter and the DDC Resident Engineer.
    - ii. The Consultant shall make no changes to the design or changes causing additional cost or project duration without prior written approval from DDC
  - h. **LEED Submittals**  
The Consultant shall review monthly reports prepared by the Contractor(s) to monitor progress towards LEED certification. Monthly progress reports shall cover erosion and sedimentation controls, construction waste recycling, indoor air quality during construction, and material tracking for recycled content, regional materials, and VOC limits. The Consultant shall review reporting requirements and format with the Contractor at construction kick-off, and schedule monthly meetings to discuss LEED status with DDC and the Contractor.
    - i. **Commissioning**  
The Consultant shall coordinate submittal distribution with the Commissioning Agent and incorporate relevant commissioning comments into their review.
- 4. Review of Schedules of Items and Costs**  
The Consultant shall promptly examine, recommend adjustments to, or indicate approval of, the schedules of items and costs submitted by the Contractor. This will allow DDC to establish a reasonable basis for subsequent partial payments to Contractors.
- 5. Recommendation of Subcontractor Qualifications**  
The Consultant shall review the credentials of the proposed subcontractors for compliance with the special experience requirements.
- 6. Interpretation of Contract Documents**

- a. Clarification**  
The Consultant shall interpret Contract Documents, provide clarifications, and make recommendations, by drawing and in writing, as required by DDC.
- b. Prepare Supplementary Drawings**  
The Consultant shall promptly prepare any supplementary drawings that may be necessary for clarifying the contract documents.
- c. Sealed and Signed**  
Supplementary drawings are to be sealed and signed by the Consultant or the Sub-consultant as appropriate.
- d. Obtain Required Approvals**  
The Consultant shall obtain any approvals for supplementary drawings as necessary from applicable regulatory agencies and utilities.

## **7. Review of Contractor Coordination Documents**

- a.** The Consultant shall review the Contractor's coordination documents and promptly report in writing to the DDC Resident Engineer on issues relating to meeting the project schedule and achieving the quality of work specified in the Contract Documents.
- b.** The Consultant shall systematically monitor the progress of all construction work scheduled and promptly report to DDC any conditions that may cause delays in the completion of the work.

## **8. Resolution of Design Errors or Omissions**

- a.** The Consultant shall promptly submit to DDC any necessary correspondence, supplementary or revised drawings, specifications, negotiated cost estimates and any other documentation or coordination material to resolve design errors or omissions.
- b.** Upon approval of the required changes in the contract documents by DDC, the Consultant shall promptly provide to the Contractors all the documentation necessary to execute the work as revised.

## **9. Change Orders**

- a. Compensation for Change Orders**  
Payment shall be made for the Consultant to prepare additional drawings or otherwise modify the Construction Documents due to Owner directed Change Orders during the construction period resulting from scope changes, administrative changes and field conditions that could not reasonably have been anticipated prior to the time of bids, and which require design modifications.
- b. Staffing Plan and Cost Proposal**  
Compensation shall be in accordance with the "Agreement," with the total amount shown on the staffing chart to constitute the maximum payable for the change order work. Within fourteen consecutive calendar days of any change order initiation, the Consultant shall

prepare a detailed staffing plan and cost proposal. The Consultant shall be fully prepared to negotiate the change order within this two week period in accordance with the “Agreement.”

**c. Staffing Chart**

The staffing chart must show the number of technical employee work hours and non-supervisory principal work hours that will be required for each Change Order. The technical employee work hours shall be broken down as to title, expected work hours, and average pay for each title in accordance with the “Agreement”.

**d. Furnish Further Documentation**

Following the Change Order negotiations, the Consultant shall furnish any and all further documentation requested by the DDC Resident Engineer to complete the Change Order package within seven consecutive calendar days.

**10. Installation of Furniture and Equipment**

**a. Site Visit**

The Consultant shall conduct a site visit to survey the conditions at the site along the full path of the delivery, two weeks prior to the scheduled delivery. The Consultant shall identify problems such as unfinished ceilings, unpainted walls, and missing electrical work.

**b. Efficient Furniture Installation**

DDC must be notified immediately by the Consultant if there are any conditions which will prevent efficient furniture installation.

**c. Room Furniture Layouts**

The Consultant shall provide copies of individual room furniture layouts. These shall be posted, prior to delivery, at each respective room entrance.

**d. Location of all Furniture and Equipment**

The Consultant shall verify that all furniture and equipment is placed in the correct room and in the proper location as per contract room plans.

**11. Construction Punch List**

At Substantial Completion the Consultant shall participate in the preparation of Construction Punch Lists. The Consultant shall submit a list of items for the Punch List to the DDC Resident Engineer within ten working days of the request of such a list. This list of items shall be based on a final site visit and Field Inspection Report, and on any unresolved problems that have been the subject of earlier reports or job site meetings. The Construction Punch Lists, prepared by the Consultant, the Contractor, and the DDC Resident Engineer, will be compiled at a job site meeting and shall be part of the minutes of that meeting.

**12. LEED Certification**

The Consultant shall coordinate with the Contractor and the Commissioning Agent as necessary after construction to finalize documentation of all outstanding LEED credits and shall submit the completed application to USGBC for review. Once USGBC concludes the final application review

and certifies the project, the Consultant shall provide DDC and the Client Agency with copies of the entire application and a summary report on credits earned and metrics associated with each credit, i.e. credit EAc1 achieved 20% energy savings. The Consultant shall also coordinate with the Client Agency on LEED project registration and certification materials, such as plaques and certificates.

## B. ADDITIONAL SERVICES DURING CONSTRUCTION

### 1. Definition

Additional services consist of any design services and project representation above and beyond the services called for under "Basic Construction Related Services". Additional services during the construction period may be defined in the project Specific Requirements or may be requested by the DDC Resident Engineer to assure the quality of the work being installed and general adherence to the construction schedule.

### 2. Compensation for Additional Services

Additional services shall be compensated on time card basis. Such services include but are not limited to:

- a. Design Changes not related to design error or omission  
Including related technical or administrative work.
- b. Site Observation  
Full-time job site observation.
- c. Site Visits  
Increased job site visits and Field Inspection Reports.
- d. Site Meetings  
Conducting job site meetings other than the bi-weekly and monthly meetings.
- e. Shop Visits  
Making shop visits to review fabrication processes and materials.
- f. Change Orders  
Prepare Change Orders on behalf of the Contractors.
- g. Monitoring As-Built Drawings  
Prepared by the Contractors.
- h. Substantial Completion Inspection  
Conducting Substantial Completion Inspection and reviewing readiness for Beneficial Occupancy.
- i. Information to defend Claims  
Preparing information to defend claims arising out of construction work.

### 3. Special Inspection Services

Special Inspections required by the DOB when performed by the Consultant are additional services:

- a. Retaining the services of a Professional Engineer and a testing laboratory to perform all tests and inspections required by regulatory agencies for items needing special inspection or certification.
- b. Submitting all Special Inspection Reports and Certification to regulatory agencies with copies to the DDC Project Manager.

#### 4. Plant Tagging and Field Services

Plant tagging by the Consultant is an additional service that includes the following:

- a. **Tagging of Plant Materials**  
The Consultant shall engage the services of a licensed Landscape Architect to select, tag with DDC seals, and supervise the planting of all plant materials. All individual plants shall be balled and burlapped or container-grown stock. Representative samples of ground cover grown in flats shall be inspected and tagged at the nursery before such plants are prepared for shipment. All plant materials shall be inspected for signs of invasive pest infestation prior to shipment. Any infestation must be immediately reported to the New York State Department of Agriculture and Markets (NYSDAM).
- b. **Inspections of All Plantings**  
In addition to supervising the planting operations, the Landscape Architect hired by the Consultant shall inspect the final planting and notify DDC when it is appropriate to accept the planting and initiate the guarantee. Inspections of all plantings shall be made by the Landscape Architect engaged by the Consultant throughout the maintenance and guarantee period, and sufficiently early that replacement plants may be planted in the appropriate planting season. The Landscape Architect is to identify for replacement all plants found to be unhealthy or infested by invasive pests. At the expiration of the guarantee period the Landscape Architect shall notify DDC as to whether or not the Contractor should be released from further obligation.
- c. **Preparing a Maintenance Report**  
The Landscape Architect shall prepare a report for the DDC indicating whether the Contractor is complying with the maintenance portion of the Contract and recommending actions required. Note that the planting acceptance and release are independent from acceptance of the general construction work. The report shall be prepared at a time appropriate to the planting installation, as determined by the DDC Resident Engineer.
- d. **Preparing a Maintenance Schedule**  
The Landscape Architect shall prepare a written and graphic maintenance schedule and manual for all final project planting materials. Upon the approval of the manual, the Consultant shall submit the original to the DDC Resident Engineer. For each type of plant, the schedules and manual shall identify the requirements for irrigation, fertilization, pruning,

weeding, cultivating mulching, lawn care, seasonal plantings, plant replacement, pest control and disease control.

**5. Revisions of Final Drawings**

Additional drawings prepared during the construction period necessitated by changes to the project design resulting from field conditions, scope changes, or other unavoidable situations will be considered as additional services. Any changes to the exterior design of a project, under the jurisdiction of the PDC, require the submission of explanatory documents for an amended final approval; these should be prepared and amended approval obtained prior to the work being done. The Consultant is required to prepare presentation and Contract Documents for DDC to file at the LPC. Preparation of the additional drawings necessary for the resubmissions at the PDC or the LPC is an additional service.

**6. Compensation for Sub-consultant Services**

The DDC Resident Engineer may request documentation from the Consultant demonstrating that adequate payments have been made to assure performance of required Sub-consultant for Basic and Additional Services including but not limited to Field Inspection Reports.

**7. Extended Construction Period**

If the construction period has been extended beyond the duration expected in the Task order or Project Objectives, additional compensation may be in order. If the extension has occurred through no fault of the Consultant, attending the on-site job meetings, preparing the minutes, and performing any of the other services listed in this section beyond the expected duration constitutes an additional service. Compensation is to be made on an hourly basis. The Consultant shall prepare a staffing plan and cost schedule in accordance with the Task Order or Project Objectives for DDC approval of any construction related services required by an extension of the duration of construction.

## REGULATORY APPROVALS

### A. REGULATORY APPROVAL SERVICES

The Consultant is responsible for the following services and activities relating to approvals and project close-out:

#### 1. Initial Application Procedures

The Consultant is responsible for verifying that all initial applications and procedures that may influence the design and schedule of the project have been completed. These may include the Uniform Land Use Review Procedure (ULURP), City Environmental Quality Review (CEQR), and Environmental Impact Statement (EIS).

#### 2. Approvals Report

The Approvals Report shall be scheduled and identified in the project schedule and on the project checklist or Approvals Report and shall be discussed at the Design Kickoff Meeting. In accordance with the services and deliverables of the Schematic Design, Design Development, and Construction Documents phases, and with the requirements of construction scheduling and phasing, the Consultant shall obtain approvals as early as project development allows.

#### 3. Service Requests

The Consultant shall file for utility service requests at the earliest possible time because review periods can be of considerable duration. Cost assumptions at utility service filings are based on budget estimates and may be revised by the Consultant with the concurrence of the DDC Project Manager for utility company purposes. Should preliminary cost assumptions be based on estimates, they can be subsequently revised. Where the same utility company provides electric, gas, and or steam service, requests for such services must be made at the same time. The Consultant shall include a plot plan of the proposed building, with the desired points of service entry measured from a fixed surveyed point. The Consultant will submit a copy of accepted service requests to the DDC Project Manager.

#### 4. Timely Applications

Immediately upon filing any application, the Consultant shall submit copies to the DDC Project Manager. The Consultant is required to file applications as early as possible. The Consultant must follow through to insure rapid handling and examination, so as to minimize time loss. The Consultant must notify the DDC Project Manager if any delays occur. Copies of responses from regulatory agencies and utilities must be submitted to the DDC Project Manager.

#### 5. Amendments

The Consultant shall arrange to file amendments and receive approvals for the revised work, where approvals have been received and changes are subsequently made which affect the work already covered. The Consultant shall advise the DDC Project Manager of any developments in the Construction Drawings which conflict with submittals under review or submittals previously approved by regulatory agencies.

## B. REGULATORY APPROVAL DELIVERABLES

Requirements for deliverables by the Consultant include:

### 1. **Approvals Report**

The Consultant must complete the DDC Approvals Report Form PA-1, adding the heading, checking the required items, and adding needed regulatory agency approvals. The Consultant shall submit the completed form as a requirement for the initial design fee payment in Schematic Design. The Approvals Report Form must be revised whenever there is a significant change in the project scope of work, including revisions brought about by design change orders.

### 2. **Record**

The Approvals Report form must be filled out and maintained as a record, to be reviewed at all progress meetings, as the applications are submitted and approvals obtained. By the 50% submission during Construction Documents, all required applications must have been filed, and, when possible, approvals obtained from the regulatory agencies and utility companies. Copies of these applications and the Approvals Report Form will be submitted by the Consultant to the DDC Project Manager. When complete the PA-1 form serves as the final record of all required approvals.

### 3. **Copies**

Copies of all regulatory agency approvals of both plans and applications shall be included in the required milestone submissions.

### 4. **B-Scan**

The Consultant shall provide copies of DOB approved plans and applications to DDC to be held at the project construction site. The documents shall bear original DOB approval stamp.

### 5. **Amendments**

The Consultants are required to file amendments for changes implemented during construction that cause the executed work to differ from that for which approvals were originally obtained from the regulatory agencies.

### 6. **Sign-offs and Certificate of Occupancy**

Consultant participation may be required during the Sign-off and the Certificate of Occupancy process at the DOB.

### 7. **Record Set**

The Consultant shall also provide a digital copy of scanned, approved plans and applications on a digital storage device for DDC's records.

## C. PUBLIC DESIGN COMMISSION

### 1. **Background Information**

- a. The Public Design Commission (PDC) is the division of the Mayor's Office responsible for the review and approval of works of art, architecture, landscape architecture, urban design, and street furniture on City-owned property. The PDC reviews a wide variety of projects for aesthetic appropriateness. They include construction and restoration of buildings,

playgrounds, installation of lighting, distinctive sidewalks, and the design, installation, removal, and conservation of public artwork.

- b.** The PDC consists of eleven unpaid commissioners and a staff headed by an executive director. According to Chapter 37 of the New York City Charter, the PDC shall include an Architect, a Landscape Architect, a painter, a sculptor, and three lay members nominated by a Fine Arts Federation and appointed by the Mayor. The PDC also includes representatives of the Metropolitan Museum of Art, the Brooklyn Museum, the New York Public Library, and the Mayor.

## **2. History**

The PDC was established as the Art Commission in 1898 with the consolidation of the City of New York in keeping with the spirit of the turn-of-the-century City Beautification Movement. The Commission was included in the City Charter as an objective body that would ensure the best quality of design possible for projects on public property.

## **3. Meetings**

Commissioners convene every three weeks for public hearings, meetings, and occasionally site visits. They review, discuss, and vote on design projects and artwork proposed for City-owned properties, address general policy issues, and establish guidelines for future designs.

## **4. Landmarks Preservation Commission Jurisdiction**

In 1995, with the passing of Local Law 77 and revision of the New York City Charter, certain overlapping jurisdiction between the PDC and the LPC was eliminated. If approval of proposed work primarily concerns a landmark site, a landmark interior, an existing building within a scenic landmark, or an action within an historic district, and if a report or determination by LPC is required as a result of Local Law 77, then only the LPC will conduct the review.

## **5. Public Design Commission Jurisdiction**

Public Design Commission review is required in the following instances:

### **a. Project Types**

All architecture, landscape architecture and streetscape projects on City-owned property, except if it is a landmark, a landmark site, a landmark interior, an existing building within a scenic landmark, or an action within an historic district. Project-types subject to PDC approval include, but are not limited to, new buildings, additions, exterior ramps, window replacements, exterior lighting, street furniture, distinctive pavement, steps and curbing, landscaping, and signage other than regulatory traffic signage. Only routine maintenance work and projects entirely in the interior of a building do not require PDC review and approval. Projects with exterior work that can be considered replacement in kind can apply for a waiver through the DDC PDC Liaison.

### **b. Scenic Landmarks**

All projects within scenic landmarks, except for work on existing buildings.

### **c. Artwork**

Any project involving works of art on or in City-Owned Property, wherever it may be situated and regardless of landmark status, requires PDC approval. The term “work of art” includes but is not limited to, sculpture, paintings, mural decorations, mosaics, stained glass, statues, carvings or casting in high or low relief, inscriptions, monuments, and fountains. The work covered includes new artwork, and the conservation, relocation, and removal of existing artwork.

**6. Submission Requirements**

Detailed descriptions of the format for submissions to the PDC and a listing of the items that must be included are posted on the Commission’s website:

<http://www.nyc.gov/html/artcom/html/review/review.shtml>.

**7. Timing of Submissions**

Projects are submitted towards the end of Schematic Design for Preliminary Review. Projects seeking Final Approval are submitted when the Construction Documents are 90% complete. As determined by DDC, large or complex projects may also require submission for Conceptual Review at an early stage of design, prior to submission for Preliminary Review. On occasion, there are relatively simple projects that can receive simultaneous Preliminary and Final Review by the PDC. This approach needs to be determined by the DDC PDC Liaison before the end of Schematic Design. For Preliminary Review, PDC requires that the project be presented to Community Board prior to submission to PDC.

**8. Pre-Design Commission DDC Review Meeting**

Prior to submission to the PDC, a pre-submission review meeting is held at DDC to both review the design quality of the project and the completeness and conformance to PDC guidelines of the application material. This meeting generally occurs at least a week prior to the planned submission to the PDC.

**9. Design Commission Submissions**

DDC officially submits this application and, for Preliminary Approval, the CB letter. All other submission materials are delivered directly to PDC by the Consultant.

**10. Design Commission Presentations**

- a. On the day of the Public Hearing or Committee Meeting, the Consultant will make a presentation of the project to the Public Design Commissioners. In cases where the project is not fully approved, another submission addressing the Commissioners’ concerns is required. The agenda and schedule for the PDC presentation is issued a week prior to the presentation date.
- b. Projects that involve Percent for Art require a presentation by the Artist accompanied by the Consultant.

**11. Amended Preliminary or Final Approval**

Any significant revisions to the approved Preliminary or Final Design, following an approval from the PDC, shall be submitted to the Commission for Amended Preliminary or Final Approval. Graphic indication of the changes shall be shown in comparison with the previously approved design. Significant amendments to Preliminary Approval should be submitted during the DD phase. Significant amendments to Final Approval, particularly those occurring during construction, should be submitted as quickly as possible and before such work is built.

## D. LANDMARKS PRESERVATION COMMISSION

### 1. Background information

- a. The Landmarks Preservation Commission (LPC) is responsible for designating and protecting the landmarks of New York City. The Commission was created in 1965 by the Landmarks Law, Section 3020 of the New York City Charter and Chapter 3 of Title 25 of the Administrative Code. The agency consists of eleven commissioners and a staff headed by an executive director.
- b. The objective of designating landmark properties is to “safeguard the city’s historic, aesthetic, and cultural heritage” and to “foster civic pride in the beauty and accomplishments of the past”. Protection of designated properties is achieved through mandatory review and approval of plans for restoration, alteration, addition, reconstruction or other proposed changes
- c. The LPC has jurisdiction over all properties that are either designated or pending designation as NYC landmarks. The four types of landmark designation are individual (exterior), interior, scenic, and historic districts. In addition, projects undergoing City Environmental Quality Review (CEQR) fall under LPC jurisdiction. Properties so reviewed might be designated as landmarks by New York State or may be listed on the National Register even if they are not New York City designated landmarks. CEQR review covers historic, aesthetic, cultural, archaeological and architectural resources.
- d. **Coordination between LPC and the Public Design Commission**  
Areas of overlapping jurisdiction between the LPC and the PDC have been minimized with the adoption of Local Law 77. Projects with landmark status, as outlined above, will be submitted to the LPC. If the project primarily concerns an individual landmark, or a project within an historic district, the LPC will conduct the only design review, and PDC review will not be required. For these projects LPC review and approval will be binding. However all projects within “Scenic Landmarks”, except for work on existing buildings, will continue to require review by the PDC. LPC will also review and will issue an advisory report in accordance with Landmarks Law. Works of art, as defined by the PDC, on any City-owned property will also be reviewed by the PDC regardless of whether the project is otherwise solely under LPC jurisdiction.

### 2. DDC Historic Preservation Office

The DDC Historic Preservation Office assists and guides the Consultant in the completion of all steps leading to approval of the project by the Landmarks Preservation Commission and by other entities having jurisdiction over historic properties such as the State Historic Preservation Office (SHPO). The DDC Historic Preservation Office should be contacted at the outset of projects potentially within the jurisdiction of the LPC to verify the designation status of the property. Assistance is provided throughout the application and approval process, and HPO may also monitor the job during construction. The schedule of LPC submission deadlines and hearings is

available on the LPC website. Please note that “landmark quality” properties also are identified by the DDC Historic Preservation Office. See Historic Preservation Design Criteria in Appendix A-1 of this Guide for details.

### **3. Procedures**

There is only one application to the Landmarks Preservation Commission; however, there are typically two separate submissions. The first is the initial application for the proposed work. This is typically done near the end of the Design Development phase where a clear design direction has been determined. At this point a Landmarks Preservation Commission staff member will be assigned to the project, and the likely level of action, either staff review or public hearing, will be established. The second required submission is for the final approval, issued in the form of a Binding Report. This submission includes final construction documents including specifications. On certain projects it is important to involve the LPC early, such as projects that involve a Pre-Schematic Phase or extensive alterations to a landmark site. For these projects it is useful to have a Pre-Submission meeting with the LPC staff to discuss project scope and possible alternative design strategies. It is also useful to discuss the scope of work and get advice on appropriate presentation materials. Initial contact could be by telephone or by a meeting, depending on the nature of the project.

#### **a. Pre-Submission Meeting with Landmarks Preservation Commission**

For projects that require a Pre-Submission meeting with LPC, the Consultant shall prepare all information as required to discuss alternate strategies, schematic designs or scopes of work with the LPC staff. DDC officially receives and reviews the Consultant prepared materials prior to the meeting with LPC. This meeting includes the Client Agency, the Consultant, staff of the DDC Historic Preservation Office, the DDC Project Manager and Team Leader.

#### **b. Mock-Up Requirements**

For all rooftop additions and/or mechanical equipment installations, the Consultant will be required to provide all necessary information for the construction of a wood or light steel frame mock-up matching the overall size and configuration of the proposed addition/equipment. Photographs of the completed mock-up shall be part of the LPC submission package. Costs for the construction of the mock-up shall be identified as a reimbursable expense or part of the construction budget, depending on the direction of the DDC Project Manager.

#### **c. Delivery of Submission**

After approval by DDC, the Consultant delivers the required submission materials to the LPC.

#### **d. Timeframe for Landmarks Preservation Commission Determination Report**

The submission must be deemed complete by the LPC staff, who then have up to forty-five working days after submittal to issue a Determination Report.

### **4. Submittal Requirements for Initial Application**

Please see the LPC website <http://NYC.gov/landmarks> for the latest submission requirements for window replacements and rooftop additions. All submission materials must be approved by DDC prior to submitting to the LPC. Two sets are required for the LPC and two sets for DDC.

- a. Application Form  
The Application Form will be prepared by the HPO staff and signed by the Chief of Historic Preservation as “Person Filing Application,” and the Associate Commissioner of A&E as “Owner.” The Consultant shall provide all necessary information for the form including budget, scope of work etc.
- b. Landmark Presentation Design Drawings  
The landmark presentation design drawings shall be a full and complete set of drawings that clearly and completely describe all of the proposed work that affects the protected features, interior or exterior, of the landmark structure. These typically include all relevant floor plans, building sections, exterior elevations, interior elevations if applicable, and details.
- c. Research  
Relevant research, test reports and documentation
- d. Existing Conditions  
Existing conditions shall be documented by photographs and drawings. Contextual photographs are required as well. The first set must be original prints.
- e. Presentations to the Landmarks Preservation Commission Staff  
Accompanied by DDC staff and the Client Agency Representative, the Consultant is required to make presentations to the LPC staff.
- f. Samples  
One set of material and color samples and related product literature and identification specifications are required.

#### **5. Submittal Requirements for a Public Hearing (If required)**

- a. Landmark Presentation Design Drawings  
The Design drawings include but are not limited to: relevant floor plans, building sections, exterior elevations, interior elevations if applicable, and details. The Consultant shall provide 12 copies of half-size drawings for the distribution to all of the LPC Commissioners. A power point presentation may substitute for the full-size presentation boards.
- b. Research  
Relevant research, test reports and documentation.
- c. Existing Conditions  
Existing conditions shall be documented by photographs and drawings. Contextual photographs are required as well. The first set must be original prints.
- d. Rendering  
A rendering and site line drawings or perspectives shall be provided, if applicable.

#### **6. Submittal Requirements for Final Approval**

Two sets are required for the LPC and two sets for DDC of:

- a. Final Construction Documents shall be signed and sealed, and include specifications.
- b. One set of material and color samples as well as related product literature and specifications is required.

**7. Notice of Compliance from LPC**

At the end of the construction phase, LPC will issue a Notice of Compliance for all projects under their purview. This is a requirement by the Department of Buildings before their final sign-off. The Consultant shall submit to DDC final photographs of all work that affected any of the protected features of the landmark structure or site. DDC will forward these photographs to LPC with a request for issuance of a Notice of Compliance. The Consultant shall also submit to DDC and LPC as-built drawings for any portions of the work that deviate from the LPC-approved drawings. After determining that all of the work was completed in accordance with the approved plans and specifications as well as any amendments to the approval, LPC will issue the Notice of Compliance.

**E. VALUE ENGINEERING**

The Task Order or Project Objectives will specify if Value Engineering studies or workshops will be conducted for a particular project and, if so, how many and at what phases. Typically the Office of Management and Budget (OMB) designates complex projects with an estimated construction value in excess of thirty million dollars for such analysis.

**1. Participation**

The Consultant shall participate in a maximum of three Value Engineering studies to be performed by a Value Engineering Consultant team engaged by the City under separate contract through OMB.

**a. Phases**

The Consultant shall fully cooperate with the Value Engineering Consultant and shall supply all requested data during each of these studies. Value Engineering Studies may be conducted at the conclusion of Pre-Preliminary Design, Schematic Design, or Design Development.

**b. Workshop Data**

As part of each study, the Value Engineering Consultant will conduct a workshop lasting a maximum of five consecutive days. Prior to each study, background data will be needed. The Consultant shall make every effort to comply with requests for data and supply necessary materials in a timely manner.

**c. Orientation Meeting**

The Consultant's technical personnel will meet with the Value Engineering Consultant, OMB, and DDC so as to allow the Value Engineering Consultant to explain the study process. In addition, the Value Engineering Consultant will review the role, activities and responsibilities of the Consultant and the City in relation to the study process

**d. Data at Outset**

The initial meeting will also allow for consideration of project constraints and for the updating of information submitted by the Consultant to the Value Engineering Team on any aspect of the design concept. In addition there may be need to further identify project constraints, provide additional documents or other information, as needed, which the Value Engineering Consultant may request in order to proceed with the study.

**2. Schedule**

**a. First Day**

At the beginning of the first day of each study workshop, the Consultant shall make available appropriate design team personnel from the Consultant's office and those of relevant Sub-consultants in order to make a design presentation and to respond to questions.

**b. Duration**

For the remainder of the Value Engineering study, the Consultant shall make the design team available to answer questions in person, by electronic mail, or by telephone. In addition, the Consultant will be requested to attend a brief mid-workshop meeting with the Value Engineering Consultant, to identify and discuss alternatives.

**c. Last Day**

On the last day of the workshop, the Consultant shall attend a meeting at which the Value Engineering Consultant will present various proposed alternatives and recommendations.

**3. Recommendations**

The recommendations resulting from the Value Engineering studies shall be submitted to the City in the form of a Draft report within five working days after the last day of the review session. The Consultant shall prepare a written response to each Value Engineering recommendation received. The response shall be submitted to the DDC Project Manager.

**4. Modifications**

Modifications to the Consultant's documents resulting from the recommendations by the Value Engineering Consultant shall be performed by the Consultant when directed in writing by DDC after consultation with OMB and the Client Agency.

**5. Compensation**

In accordance with contract provision for extra work, the Consultant shall be compensated for any re-design necessitated by scope change, for orientation and attendance at Value Engineering meetings, study workshops and the presentation of study results by the Value Engineering Consultant.

**6. Reimbursement**

Reimbursement will not be made for any additional work that is normally part of the project responsibilities of the Consultant. These may include:

- a.** Extra work resulting from or necessitated by error, omission or oversight on the part of the Consultant, as determined by DDC.
- b.** Work resulting from design changes that are needed to meet scope requirements more effectively, as determined by DDC.
- c.** Attendance at meetings with representatives of agencies whose approval is normally required.