

Chapter 1 - Introduction

1.2 OGS D&C ORGANIZATION and STRUCTURE

A. GENERAL

1. The State of New York owns and operates a large array of diverse facilities and properties. **The Office of General Services Design and Construction Group (OGS D&C)**, an **ISO 9001 : 2008 certified organization**, has the unique challenge of accommodating State Agency initiatives to refurbish and maintain existing buildings and infrastructure as well as to construct new buildings and infrastructure. State projects often have to be designed and built under tight schedules and cost constraints.
2. **OGS D&C Mission Statement**
To provide a full range of high quality architectural, engineering, and construction management services to State agencies through an interdependent model of public and private sector resources, in a timely, efficient, responsive, and cost effective manner, thereby enabling those agencies to fulfill their own diverse missions on behalf of the people of the State.

B. NEW YORK STATE OFFICE OF GENERAL SERVICES

1. [Agency Overview](#)
2. [Organizational Chart](#)

C. THE DESIGN & CONSTRUCTION GROUP (OGS D&C)

1. OGS D&C provides a full range of professional architectural, engineering and construction management services to State Agencies. The OGS D&C is typically engaged in over 1000 active projects with a combined construction value of over \$1 billion. The group performs its functions through four divisions.
 - a. **Division of Design (DOD)**
This Division manages projects in design which provides architectural and engineering services including pre-design, site development, design, contract documents, bid-phase support and construction support. OGS D&C in-house staff and Consultants prepare contract documents and cost estimates for construction, alteration, and rehabilitation of State-owned buildings and infrastructure.
 - b. **Division of Contract Management (CADM)**
This Division handles procurement, award and administration of all D&C contracts for professional consultants, construction management, specialty services, and construction work (including for emergency projects). Its work includes audit and processing of all vendor payment requests, performance of vendor responsibility reviews, change order processing and enforcement of contract insurance requirements. The Division handles approximately 2,000 contract transactions per year.

c. Division of Construction (DOC)

This Division manages projects in construction and is responsible for project execution subsequent to contract award. Division field engineers and construction superintendents manage, coordinate, and document the work of prime contractors to ensure compliance with project plans and specifications during the project execution phase.

d. Division of Cost Management (DCM)

This Division is responsible for managing functions related to cost estimating, change management, project control, costing and finances across all divisions of D&C. The Division oversees the Offices of Project Cost Management, Financial Management and Human Resources.

2. The Scheduling Office

Is responsible for executing the operating procedures of the scheduling program and managing the distribution of regional scheduling and reporting responsibilities to staff within the scheduling department. The office updates the Executive Team in regards to the performance of the scheduling program and provides schedule delay analysis reports and required schedule recovery actions.

3. The Quality Office

Is the management office for Design and Construction's quality program. The office is responsible for the implementation and management of the D&C Quality System relative to ISO 9001 certification and for identifying areas where quality improvement and critical initiatives will assist in continually improving services in an efficient and cost effective manner to our client's satisfaction. The Quality Office will implement new tools and resources to aid D&C in progressing as a business and will assist the four divisions including design, construction, contract management and cost management. The Permitting and Constructability Offices are under the direction of the Quality Office.

a. Permitting Office

Is the administrative and compliance office of the NYS building codes and other associated codes such as the Industrial Code Rules, Hospital Code, Sanitary Code, NYS Dept. of Health and NYS DEC regulations. The Code Compliance Manager is the Authority Having Jurisdiction (AHJ) that issues the applicable Construction Permits, Code Compliance Certificates and Temporary Approvals for Occupancy required for Design and Construction's portfolio of projects that are prepared by design professionals managed by the Division of Design. The Permitting Office has the authority to evaluate code reviews, design, equipment, materials, special inspections and installations for compliance with the applicable codes. The Permitting Office is responsible for developing agency policy and interpretations of code.

b. Constructability Office

Performs enhanced reviews using a control process intended to improve the constructability and subsequently the quality of the design. The objective of the reviews is to minimize potential change orders and schedule delays during construction by ensuring that the construction documents are fully coordinated, complete, biddable and buildable. This office has staff

expertise in general construction as well as mechanical / electrical proficiency to review the wide assortment of project types designed and managed by the Division of Design. This office coordinates field check reviews that are conducted by Division of Construction staff to check and verify physical conditions at the project site.

- 4. [OGS D&C Organizational Chart](#)
- 5. [NYS Employees and Phone Numbers](#)

D. DIVISION OF DESIGN (DOD)

- 1. The DOD consists of four (4) multidiscipline Business Units organized by the Client Agencies they serve. In addition to this client focus, each Business Unit provides Internal Services to support the missions of all other Business Units. The Division provides a wide range of services including planning, feasibility studies, and project design. The staff within DOD is composed of a diverse group of professionals, technicians, and support staff that includes Professional Engineers, Registered Architects, and Landscape Architects. The DOD makes significant use of private sector architectural and engineering consultants. The DOD's practicing professional design staff oversees and provides guidance to Consultant Designers. The Business Units decide which projects are to be assigned to Consultants, D&C In-house design or both.
- 2. Each Business Unit is headed by a Business Unit Leader and divided into Design Teams, each of which is under the leadership of the OGS Team Leader. The OGS Team Leader assigns an OGS Project Manager (PM) to the project. The following section lists Business Units, the Client Agencies they serve and the Internal Support Services they provide:

a. BUSINESS UNIT 1

Business Unit Leader

Martin Long, P.E.

518-474-0290

Assistant Business Unit Leader

Brian Esperti, P.E., Mechanical Design

518-473-8464

Client: [DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION](#)

Internal Support Services:

ARCHITECTURAL HARDWARE SUPPORT

b. BUSINESS UNIT 2 (formally BU 5)

Business Unit Leader

Kurt Arnold, P.E.

518-473-3820

Assistant Business Unit Leaders

Michael Mitchell, P.E., NYSCEO
Site Design

518-486-4952

Subu Nair, MSME, P.E., LEED-AP
Mechanical and Environmental Systems Design

518-474-3169

Clients: [DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION](#)
DEPARTMENT OF ENVIRONMENTAL CONSERVATION

Internal Support Services:
STRUCTURAL ENGINEERING
PHYSICAL SECURITY
ELECTRONIC SECURITY
ENVIRONMENTAL ENGINEERING
GEOTECHNICAL ENGINEERING
ENVIRONMENTAL PERMITTING
LANDSCAPE ARCHITECTURE
SURVEYING

c. BUSINESS UNIT 3

Business Unit Leader

Dana Dostie, P.E.

518-474-6111

Assistant Business Unit Leader

Michael Singleton

518-486-4968

Clients:
[DEPARTMENT OF TRANSPORTATION](#)
DEPARTMENT OF AGRICULTURE AND MARKETS
DEPARTMENT OF STATE
DORMITORY AUTHORITY OF THE STATE OF NEW YORK
OFFICE FOR TECHNOLOGY
[OFFICE OF GENERAL SERVICES](#)
OFFICE OF PARKS, RECREATION AND HISTORIC PRESERVATION
LEGISLATURE
STATE EMERGENCY MANAGEMENT OFFICE
STATE EDUCATION DEPARTMENT
STATE INSURANCE FUND
STATE UNIVERSITY CONSTRUCTION FUND

STATE UNIVERSITY OF NEW YORK

STATE SENATE

STATE ASSEMBLY

DIVISION OF HOMELAND SECURITY AND EMERGENCY SERVICES

SUPREME COURT APPELLATE DIVISION

DIVISION OF HOUSING AND COMMUNITY RENEWAL

Internal Support Services:

ELEVATOR DESIGN

TANK PROGRAM

Petroleum Bulk Storage installation or modifications with associated remediation.

d. BUSINESS UNIT 4

Business Unit Leader

Stephen L. Melnick, Jr., A.I.A., NYSCEO, LEED-AP

518-474-7647

Assistant Business Unit Leader

Robert Merry, P.E.

518-474-1547

Clients:

ADIRONDACK PARK AGENCY

DIVISION OF MILITARY AND NAVAL AFFAIRS

DIVISION OF STATE POLICE

OFFICE OF ALCOHOLISM AND SUBSTANCE ABUSE SERVICES

OFFICE OF MENTAL HEALTH

OFFICE OF MENTAL RETARDATION AND DEVELOPMENTAL
DISABILITIES

COURT OF APPEALS

DEPARTMENT OF LAW / ATTORNEY GENERAL

WESTCHESTER MEDICAL CENTER

DEPARTMENT OF HEALTH

DEPARTMENT OF LABOR

OFFICE OF CHILDREN AND FAMILY SERVICES

HELEN HAYES HOSPITAL

ROSWELL PARK CANCER INSTITUTE

DIVISION OF VETERANS AFFAIRS

RACING AND WAGERING BOARD

NEW YORK RACING ASSOCIATION

DIVISION OF THE LOTTERY

Internal Support Services:

ARCHITECTURAL HARDWARE SUPPORT

SERVICE TEAM

Specialized Services for HVAC Equipment throughout the State, Inspect, Repair, and Calibrate HVAC controls

3. **Role of the Business Unit Leader**

The DOD's Business Unit Leader (BUL) provides overall unit supervisory management and leadership to several Design Teams serving the Client Agency(s) it serves. The Design Teams are composed of architects, engineers and landscape designers who provide design and review services for in-house and consultant-designed projects. The BUL assigns new projects to a designated OGS Team Leader. The BUL is responsible for the Client Agency(s) programs, project workload and contract delivery methods. The BUL also monitors the unit's design services, project milestones and construction support services provided to the DOC. The BUL interacts with other Business Units to ensure that resources are provided to deliver their client programs. The BUL reports directly to the Director of Design. The Assistant Business Unit Leader (ABUL) is an OGS Team Leader designated as such who performs a back-up role when the need occurs.

4. **Role of the OGS D&C Team Leader**

The DOD's OGS Team Leader is the administrative point of contact responsible for his/her design group and works closely with agency representatives. The OGS Team Leader provides supervisory management and leadership to his/her staff, including extended staff such as Design Consultants, Specialty Designers and Testing Agencies. The OGS Team Leader oversees and manages his/her group's agency programs and project workload. The OGS Team Leader is most often a Registered Architect, Professional Engineer, or Landscape Architect who may be the Designer of Record. The OGS Team Leader assigns specific projects to PMs when his/her team is the prime trade. The OGS Team Leader also assigns specific projects to a staff member (Designer) if his/her team is only providing trade assist to another Team. The OGS Team Leader assists the PM with project planning, monitors the projects progress and assists in minimizing obstacles impacting the design team. The OGS Team Leader directly reports to the BUL and provides weekly project status updates.

5. **Role of the OGS D&C Project Manager (PM)**

The DOD's PM is assigned specific projects by the OGS Team Leader (usually the lead trade discipline Designer). Some projects may be single-trade assignments (the PM is a single Designer) and some projects are multi-trade assignments where the PM coordinates the work of other Designers (in-house and Consultants) who may be providing design and/or review services. The PM reports to the OGS Team Leader (Designer of Record) or to the BUL. For some projects the OGS Team Leader may also provide the PM role. The PM's duties include, but are not limited to, the following:

- a. Achieving the Client's project intent and associated deliverables.
- b. Developing and executing the project plan and input information into DCNet.
- c. Ensuring that the staff directory with staffing roles and responsibilities are clearly defined for each project.
- d. Day-to-day monitoring of the project and managing the project from its inception (Client Contact / Site Visit / Program) through its construction (Physical Completion).
- e. Serving as the focal point of project team communication including dialog with the Client, scheduling team meetings as required.

- f. Securing Client approvals including any review comments of project submissions.
- g. Responsible for the project including project planning, staffing, communications, contracting method, scope, budget, schedule, quality, deliverables and documentation.

6. Role of the Designer

The Designer is a project team member performing architectural or engineering design or review services within his/her area of expertise. The Designer is an in-house staff member who performs design and review services under the direction of an OGS Team Leader or a Consultant who performs these same services. The Designer may or may not be a licensed architect or engineer. Designers complete their assignments in a timely manner with high quality. They provide time estimates to perform work and communicate status updates with the PM. They coordinate their work with other team members and raise issues and risks for the team and PM to manage and resolve.

- a. The PM or the OGS Team Leader may also be the Designer for a project.

E. DIVISION OF CONTRACT MANAGEMENT (CADM)

1. CADM administers OGS D&C procurements and contracts. CADM responsibilities include the processing of contracts for public bid and the processing of contract payments. CADM is also responsible for developing consultant contracts, making final determinations regarding Vendor Responsibility, conducting dispute hearings, handling terminations and surety takeovers, proposing and reviewing legislation and as supporting both OGS Counsel and Attorney General in legal actions.
2. **Consultant Procurement**
 - a. Oversees procurement of all consultants for design, construction management, inspection, testing, and other services.
 - b. Facilitates selection process from development of advertisements through selection of vendor(s).
 - c. Negotiates contracts and conducts financial reviews.
 - d. Facilitates contracting process through OSC award.
 - e. Appoints Term Consultant Ombudsman.
 - f. Reviews all consultant evaluations and facilitates performance review where necessary.
3. **Contract Awards**
 - a. In the pre-bid stage, establishes project bid dates, processes ads, handles requests from contractors for project CD's, addresses bidder questions, and issues addenda as appropriate.
 - b. Receives bids, conducts the formal bid openings and determines apparent low bidders.
 - c. Prepares agreements and bonds and transmits to low bidders for signatures.

- d. Notifies client agencies of low bidders and amounts, requests funding codes; funding codes are used to enter contract encumbrance data in DCNet.
- e. Prepares contract package for submission to the NYS Office of the Attorney General (AG) and the NYS Office of the State Comptroller (OSC)
- f. Interfaces with AG and OSC as necessary to handle questions about pending contracts.
- g. Conducts correspondence for bid withdrawals, disqualifications, and non-responsive bids

4. Vendor Responsibility

- a. Reviews all prime contractors and consultants, examining areas of financial viability, legal issues, integrity, and past performance to ensure award to responsible bidders. Prepare vendor responsibility profile for submission with all contracts to the AG and OSC.
- b. Reviews all subcontractors and subconsultants for approval or disapproval.
- c. Conducts regular reviews for pre-approval in the Emergency Contract Program.
- d. Processes insurance certificates received from consultants and contractors, and verifies that coverages remain in compliance with contracts.
- e. Assists executive staff with disputes involving responsibility, and participates in Responsibility and Show Cause meetings.

5. Change Orders

- a. Receive change order package from Division of Cost Management after client agency has approved the change order.
- b. Review documents for completeness and modify as needed.
- c. Enter encumbrance data into DCNet, using funding information provided by client agency.
- d. Prepare final change order package for submission to OSC.
- e. Interface with OSC as necessary to handle questions about pending change orders.
- f. Upon OSC approval, distribute final documents to vendor and other required recipients.

6. Contract Payment Audits

- a. Consultant Payment Review:
 - Review payment requests submitted by consultant firms providing Design, HazMat, Term Service, and Contract Management services.
 - Ensure payment requests and any related supporting documentation, if applicable, are in accordance with the Terms and Conditions of the approved contract and established work order assignments.
 - Send reviewed payment requests to project EIC/Team Leaders to ensure the services and deliverables invoiced have been received.
 - Receive approved invoices back from EIC/Team Leaders.

- b. Emergency Payment Review:
 - Receive Cost-Plus Emergency payment requests following certification by Division of Construction field representative (typically by EIC or Area Supervisor).
 - Review to ensure payment requests are in accordance to approved contract, prevailing wages, equipment rental cost standards, policies and office procedures.

7. Payment Processing

- a. Receive Fixed Price Construction payment applications via the Electronic Contractor Payment (ECO) system following certification by the EIC and Area Supervisor.
- b. Review submission to ensure payment applications are in compliance with the approved contract for insurance, labor, materials, stored materials, approved change orders/field orders and affidavit requirements.
- c. Enter authorized payment information into DCNet for transmission to OSC/SFS.

F. DIVISION OF CONSTRUCTION (DOC)

1. The DOC administers and manages the construction of capital projects for various State Agencies and is responsible for the project's construction phase from contract award through project completion. Projects are located throughout the state and as such the DOC is organized into seven (7) Regional Offices. The Regional Office provides local staff for management and inspection services. See [Construction Regions](#), for each region and the counties they serve.
 - a. **Region 1 - Long Island**
 - b. **Region 2 - New York City**
 - c. **Region 3 - Mid-Hudson Valley**
 - d. **Region 4 - Capital Region**
 - e. **Region 5 - North Country**
 - f. **Region 6 - Central New York**
 - g. **Region 7 - Western New York**
2. **Construction Services**
 - a. Administers and manages a statewide emergency response program
 - b. Processes Liquidated Damages
 - c. Conducts Show Cause / Pre-Default Hearings
 - d. Issues Work Orders
 - e. Coordinates region wide mail deliveries
3. **Emergency Program Services**

Administers the emergency contracting program which provides for immediate contractor response to client agency declarations of emergency situations. Most emergency contracts are prepared by DOC's field staff due to the urgent need to prevent personal injury or property damage because of some unforeseen field

condition and lack of time for “designing” the job. See Chapter 3 Types of Contracts for more specific information on this type of contract.

4. M Program Services

Administers M projects that are initiated by the client’s submission of an Emergency Declaration. The M Program provides an expedited construction delivery method when projects do not meet the legal definition of “emergency”, requires a design to properly implement the needed repair/replacement, or when construction costs are anticipated to exceed the \$300,000 limitation on Emergency Contracts. See Chapter 3 Types of Contracts for more specific information on this type of contract.

5. JOCS Program Services

Job Order Contracting Services (JOCS) projects/contracts are implemented on an as needed basis in meeting construction needs. The JOCS Program is an expedited construction delivery method for small projects for maintenance, repair and minor construction with urgent and time-sensitive requirements. JOCS Contractor(s) perform repair and construction projects at various locations within a defined geographic contract area. Under a JOC contract, the Contractor furnishes all management, documentation, scope definition services, labor, materials and equipment needed to perform the work. The work is accomplished by means of issuance of individual job orders against the contract which is a competitively bid term contract for construction utilizing a unit price book. See Chapter 3 Types of Contracts for more specific information on this type of contract.

6. Role of the Engineer-In-Charge (EIC)

Field engineers and construction superintendents are responsible for coordinating the work of multiple prime contractors and ensuring conformance with the contract provisions, plans and specifications. For each project under construction, a staff member is assigned to serve as the Director’s Representative or Engineer-in-Charge (EIC). This staff member will be responsible for the direct inspection, documentation and general administration of the project construction. The EIC serves as a point of contact for the Designer during the Construction Phase of a project. In addition, the EIC provides support to Designers in the form of CPM analysis and scheduling, document review, constructability review, knowledge of facility infrastructure and Construction Manager oversight.

7. For further information on the DOC procedures, see [The Construction Procedures Manual](#), available through DCNet.

G. DIVISION OF COST MANAGEMENT (DCM)

1. The Cost Management Division manages functions related to cost estimating, change management, project control, costing and finances across all divisions of D&C. The Division oversees the Offices of Project Cost Management, Financial Management, and Human Resources.

2. Project Cost Management

a. Cost Control

Cost control develops construction cost estimates and reviews consultant construction cost estimates for conformity to office standards. This unit completes post bid evaluations to assist Contract Management in the award of construction contracts. In addition, the unit reviews and approves contractor Detailed Estimates, maintains a construction cost database and produces the annual Construction Wage Rate Report that is used internally and by the public.

b. Change Management (Cost Review Unit)

Change Management manages the Change Order and Field Order process throughout the State, which involves the review and recommendation for approval in conjunction with the DOD and DOC. The Unit works closely with the Regional Estimators and field staff to interpret contracts to determine the fair market value of the orders on contract.

Change management also reviews construction claims and disputes related to Article 10, 12, 15 (disputes) and Article 17A (delay claims) with field staff to determine the State's liability to determine the validity of the claim. The Unit reviews, audits and negotiates claims to finalize claims and associated cost settlements, reviews Notice of Claims, researches validity and compliance with the Contract documents and project schedule, and reviews with project staff to make recommendations to the Claims Review Board for mitigation opportunities or rejection, if applicable.

3. Financial Management

a. Office Administration & Finance

Manages accounts Payable and Receivables and responds to billing inquiries. The unit will track the cost recovery performance of the various D&C units to ensure efficient delivery of services; will periodically audit and appropriately modify our cost recovery multiplier; and track the costs associated with basic vs. additional services to monitor our efficiency in managing our client's capital programs. Manages D&C annual budget including tracking expenditures. Provides input to OGS Finance in developing its annual budget.

Oversees the purchasing and maintenance of equipment and software, fixed asset reporting, and surplus of equipment. It also maintains inventory control over computers, vehicles, cell phones, purchase cards, and telecommunications services.

Supports and assists CADD Users, establishes CADD standards and procedures, and defines CADD training.

Manages Plan File which serves as the storage facility for record copies of drawings that comprise construction contract documents. They represent a measure of fixed assets of client agency facilities and infrastructure. The

files also fulfill a legislative mandate regarding Code certification record holds record documents and distributes

Manages IT developers who support, provide enhancements and develop new applications for DCNet, which is D&C's information management system. Provides security and access rights for DCNet and D&C folders on the network.

b. Project Control

The Office of Project Control (OPC) receives requests for services and maintains project tracking related to staffing and consultant assignments, priorities, project schedules and costs. OPC provides status and exception reports to the business units, management, and clients.

- i. Manages project requests for design, construction and professional services from Client Agencies. Project Control receives over 1,000 requests for services annually.
- ii. Facilitates Workload Planning Meetings with the Division of Design. Assists with the determination of resource needs and resource allocation by conducting weekly workload update meetings.
- iii. Manages the B1184 process for initiating and tracking budget requests and approvals.

Manages and controls work order assignments to term and standalone consultant contracts, encumbers funds, and assists with closing out work order assignments.

- iv.
- v. Maintains project tracking, in DCNet, related to staffing and consultant assignments, priorities, project schedules and costs. Maintains and tracks all design work, entering milestone data and providing project status reports.
- vi. Processes contract documents for bidding. Wage rates are requested from the Department of Labor, front-end documents are added into the specifications, an advertisement is written, the bid form prepared and the documents sent for printing.
- vii. Manages Term and Standalone Consultant Contracts.
- viii. Maintains critical correspondence in project files.
- ix. Assists the Quality Office monitoring projects for ISO compliance.
- x. Assists the Permitting Office with code certifications and compliance.

4. Human Resources (Personnel Coordination)

- a. The Human Resources office coordinates the hiring, promotional opportunities, training, timesheet reporting, and human relations issues for state and contract employees.



Revision History:

<i>Rev</i>	<i>Date</i>	<i>Description</i>	<i>Reviewed by:</i>	<i>Approved by:</i>
0	02/11/13	Last revised date		
1	03/31/15	Organizational restructuring to include the Scheduling Office, Quality Office, Division of Cost Management, Division of Contract Management. Revised Business Unit 2 and 5.	Parnett	Parnett