

Chapter 4 – Submission Phase Guidelines

4.0 INTRODUCTION

A. GENERAL

- Projects follow a variety of paths from inception to bidding. OGS has multiple types of contract methods to deal with most design and construction situations. Depending on the Client’s schedule, size, complexity and funding method the required project submission(s) may vary.

PROJECT TYPES and SUBMISSIONS TABLE								
Project Complexity	FI	P	SD	DD	80%	100%	Final	Comments
40,000 Series (Standard)	R	R	O	O	O	R	R	See Chapter 3 A & B
Q Projects	R	O	NR	NR	NR	O	R	See Chapter 3 C
M Projects	R	R	NR	NR	NR	R	R	See Chapter 3 E
JOCS	R	NR	NR	NR	NR	NR	X	See Chapter 3 F
Emergency Projects	O	NR	NR	NR	NR	NR	X	See Chapter 3 D
Studies	R	R	NR	NR	NR	NR	NR	See Chapter 4.1

Legend:

- FI** = Field Investigation (Site Visit see Chapter 4.02)
- P** = Program (see Chapter 4.2)
- SD** = Schematic Design (see Chapter 4.3.1)
- DD** = Design Development (see Chapter 4.3.2)
- R** = Required
- O** = Optional (coordinate with the PM)
- NR** = Not Required
- X** = Design support, technical documents, may be sketches, portions of specifications, brand X. Coordinate with the PM
- 100%** = 100% Submission (see Chapter 4.4.2)
- Final** = Final Submission (see Chapter 4.5)

- To insure the success of each project the PM and the Design Team shall be familiar with all the submission phases and incorporate applicable components of each phase into the next required submission. The work of each phase shall be based on the work of the previous phase.
- Each Submission Phase described herein includes the preparation of a submission, and its review and approval. The sections of this chapter outline for each phase the specific minimum performance required of the PM and

Consultant/Designers including the level of detail to be pursued, and the content and format of the report or phase to be submitted. As described in detail throughout this part, the PM and Consultant/Designers shall engage in an intense, systematic analysis of the project requirements and limitations during all phases of design. The goal shall be the resultant facility, its systems and equipment, are truly responsive to the functional and budgetary demands of the project, adhere to the standards and guidelines set forth in the DPM and offer the highest level of performance, responsibility and quality.

4. Failure to adhere to the standards and guidelines set forth in the DPM will compromise OGS's ability to provide quality projects in a timely manner to meet forecasted submission dates.
5. **FORMAT** - Documents submitted electronically should be delivered in a format that is directly compatible with Microsoft Office Professional (2013 Edition) software.
6. **Design Services** - Design is a continuing process; it is hard to define when it begins and when it ends. For the purpose of milestone submissions, design is commonly broken into discrete phases, allowing the Consultant/Designer to present an integrated design package and the client to commit to proceeding to the next phase.

Design is usually thought to progress in a linear fashion from the Program Report through a series of steps / phases / milestones – each of which results in a more complete definition of the design until the project is sufficiently detailed to go into documentation for bidding and construction. Most often the design process is not so orderly. Evolving program requirements, budget realities, increased knowledge of site and facility considerations, reviews, and many other factors make it necessary to go back and modify previous steps. Design moves forward but rarely in a clear linear fashion.

Most 40,000 series projects go from Predesign Services (Program Report) to Construction Documents Services.

The TL, PM and the Client need to identify when a project should include additional interim submissions such as Schematic Design (SD) and Design Development (DD) Phases. Project size, complexity and other issues may dictate that these submissions and related services are justified.

7. **Submissions:**

- a. [Professional Consultation Reports and Studies](#) (See Chapter 4.1)
- b. [Program Phase](#) (See Chapter 4.2)
- c. [Schematic Design Phase](#) (See Chapter 4.3.1)
- d. [Design Development Phase](#) (See Chapter 4.3.2)
- e. **80% Submission Phase** (*reserved*)
- f. [100% Submission Phase](#) (See Chapter 4.4.2)
- g. [Final Submission Phase](#) (See Chapter 4.5)

B. BASIC PROJECT FLOW - 16 STEPS

- STEP 1:** Client Request for Services (BDC 153):
- Includes proposed scope and estimate
 - See Chapter 4.0.1
- STEP 2:** Workload Planning Meeting:
- Determine contract delivery method (Q, 40,000, M, JOCS project)
 - Assignment to Business Unit Leader who assigns TL
- STEP 3:** OGS D&C Project Acceptance Letter
- By OPC
- STEP 4:** Business Unit Team Leader Meeting:
- Assignment to TL and PM
 - Determine assignment to In-house staff or Consultant
 - TL or PM contacts Client to acknowledge project. See Chapter 4.0.1
Project Initiation for more detailed information
- STEP 5:**
- PM to make Client Contact to discuss project
 - Clarify scope from Client Request (PM with Design Team / Consultant):

Consultant assignments = initiate work order (at minimum a field trip)

- STEP 6:** Forecast Site Visit trip date (TL or PM DCNet input):
- Visit site to verify the proposed scope and add required scope for the project to be done correctly
 - See Chapter 4.0.2

Consultant Assignments = initiate a program submission work order if not already incorporated into the Initial Site Visit.

- STEP 7:** [Program Phase Submission](#) (required for 40,000 series projects):
- Establish Program Submission dates (TL / PM input DCNet)
 - Develop scope based on Site Visit observations
 - Program Submission. (Consultant to D&C)
 - Submit Draft Program for Program Review
 - Incorporate comments and submit Final Program to Client
 - Client Program Approval
 - See Chapter 4.2

Consultant Assignments = initiate submission work order(s) as required.

- STEP 8:** Start Design
- Develop project schedule milestones and interim submissions (if required):
 - Schematic Design Submission and Approval
 - Design Development Submission and Approval
 - 80% Submission and Approval

- b. 100% Submission Phase (required for 40,000 series projects):
 - 1) Constructability Review and Comments (BDC 35.3)
 - 2) Field Check Review and Comments (BDC 35.2)
 - 3) TL / PM Review and Comments (BDC 35.3)
 - 4) Trade Discipline Reviewers
 - 5) Client Agency Review and Comments (BDC 35.3)
 - 6) See Chapter 4.4.2

STEP 9: Client Approval

STEP 10: Authorization to Advertise from Division of Budget

STEP 11: Consultant/Designer to finalize the Documents and Estimate:

- a. PM / Consultant/Designers incorporates all comments and responds via the BDC 35.2 and BDC 35.3 forms respectively, and submits to PM.
- b. Coordinate with trades (if any).
- c. PM / Consultant/Designers to request Final Estimate.
- d. See Chapter 4.5.

STEP 12: Submit Final Documents and Final Estimate to OPC for bid processing.

STEP 13: Bidding (to CADM):

- a. Pre-bid site visit meeting
- b. Bidder Questions answered
- c. Addenda (if required)
- d. See Chapter 7

STEP 14: Bids Received:

- a. Post bid report
- b. Pre-Award Meeting (if required)
- c. Usually 6 weeks after bid processing
- d. See Chapter 7

STEP 15: Contract Award:

- a. Usually 6 weeks after bids received
- b. PM to initiate a Design and Construction Pre-Construction Teleconference with EIC

STEP 16: Construction Start (Initial Job Meeting)

C. BASIC PROJECT FLOW – M2000 PROJECTS

- STEP 1:** Client Submits an Emergency Declaration (BDC 318):
- a. Declaration meets at least one of the criteria for inclusion in the “M” program.
 1. Work does not meet the legal definition of an “emergency” but is urgently needed.
 2. Work would exceed the Emergency Contract threshold of \$600,000, OR.....
 3. Design is required.
- STEP 2:** Project Acceptance:
- a. Phone call and confirming e-mail with client to confirm that project is being assigned an “M” project number. Discussion of any additional requirements, etc not indicated on emergency declaration. Client requested to provide an Attachment A or B.
 - b. Establish a project number and submit to OPC for entry in DCNet.
 - c. OPC sends acceptance letter to client.
 - d. Request labor rates.
 - e. Review request with our DOC field office.
- STEP 3:** Rapid Response review of request - Determine method for completing design (either Term Consultant or DOD. For purposes of this basic outline, we will utilize the consultant model):
- a. Consultant/Designer is our primary vehicle for completing bid documents.
 - b. DOD is utilized when their workload can accommodate our schedule requirements or a special area of expertise is required.
- STEP 4:** Design consultant is selected:
- a. Confirm the assignment acceptance by the consultant with an e-mail. Provide contact names and numbers of our field personnel as they are the primary contact for the Consultant's site visit. This enables consultant to schedule trip in anticipation of receipt of the start-up assignment.
 - b. If available, provide consultant with reference drawings from Plan File.
 - c. Submit a BDC 41 to Consultant Services for the start-up assignment fee. Consultant can do no work without an approved assignment.
 - d. Site visit to be made and a scoping report provided within two weeks of consultant receipt of the BDC 41.
- STEP 5:** Submission of Scoping Report:
- a. Comparable to a 40,000 series Program Report, but abbreviated and less structured.
 - b. Basic requirement is to provide us with a statement of findings, recommendation for repair/replacement and a ballpark construction estimate to complete recommended Work.
 - c. In instances where the original emergency request was very vague and/or there may be options to restore services, we request a more detailed report of findings and recommendations which results in a report more like a typical Program Report.

- d. In either case, no Draft submission is made by consultant to us for comment prior to a final submission.

STEP 5A: Scoping Report Reviewed with Client:

- a. Where condition “c” above is met, we provide the report to the client for consideration and authorization to proceed with a given option. It’s not a situation commonly dealt with but one that needs to be indicated as a possible action.

STEP 6: Design Phase:

- a. Scope is agreed upon, design fee negotiated, design authorized thru issuance of BDC 41.1.
- b. Schedule for completion of finals typically 6 to 12 weeks.
- c. Typically, no interim submissions are made.
- d. 100% Submission made for review by PM / TL (1 week for review).
- e. Comments provided to consultant generally via form BDC 35.3 (e-mail is sometimes utilized).
- f. Consultant allowed one week to submit finals after their receipt of comments.
- g. Specifications to be completed per OGS Master Spec format; drawings size ideally 24 x 36; Work estimated on a BDC-178; all required code certification forms apply. (at the discretion of TL/PM, specifications for minor, ancillary work may be included on drawings. Also, smaller drawing sized may be authorized for use.)

STEP 6A: Design Phase – Additional Review (Typically not a requirement of the M Project Program process but may be required for the following):

- a. Projects pertaining to unique client programs/requirements.
- b. Security related projects.
- c. OMH energy related Work.

STEP 7: Bid Processing:

- a. Since the project was initiated by Emergency, no formal client or DOB approvals required to proceed to bid processing.
- b. M/WBE goals are to be used for contracts with estimates in excess of \$100,000; goal percentages have been pre-determined.
- c. TL / PM schedules a pre-bid site visit with appropriate Regional Office or Area Supervisor. We require design consultant to attend the pre-bid.
- d. TL / PM schedules bid date in cooperation with CADM.
- e. TL / PM finalizes Project Manual, including all front end boiler plate sections (except for Advertisement, Bid Form & Bid Bond) and submits to OPC for bid processing.
- f. TL / PM creates ECP Project Manual.

STEP 8: Bidding:

- a. Pre-bid site visit held
- b. Bidders Questions answered if required
- c. Addenda issued if required
- d. Write evaluation for term consultant design phase



- STEP 9:** Bids Received:
- a. Usually 3 to 4 weeks after bid processing
 - b. Post bid report completed in conjunction with consultant
 - c. DOC conducts pre-award meeting if so warranted

- STEP 10:** Contract Award:
- a. Usually 3 to 4 weeks after bid opening
 - b. DOC schedules Initial Job Meeting

Revision History:

<i>Rev</i>	<i>Date</i>	<i>Description</i>	<i>Reviewed by:</i>	<i>Approved by:</i>
0	02/01/11	Last revised date		
1	08/14/13	Minor revisions	Parnett	Parnett
2	09/04/13	Minor revision	Parnett	Parnett
3	09/17/14	Minor revision to Microsoft version	Parnett	Parnett
4	04/15/15	Revised emergency contract value from \$300K to \$600K	Parnett	Parnett