LANTDIV (INTERIM) DESIGN-BUILD GUIDE

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The AROICC is responsible /accountable for the entire DB project post-award; however, to succeed there must be a close partnership with the IPT PM. The IPT PM will be the primary "ball-carrier" for design activities.

The focus in the field has been to develop construction contract administration competency. We have not cultivated design contract administration competency in the field offices. At the EFD though, there is tremendous competency in design contract administration through the PM's. Therefore, we need to build DB administration processes to take advantage of the strengths of these 2 groups, while at the same time forming them into one team.

IPT PM's on DB jobs should know they have a dotted-line relationship to the ROICC Officer/SGE during post-award execution *(in other words they are always adcon to their IPT, but they are opcon to the ROICC during DB post-award execution)*. Likewise, the ROICC's/SGE's must realize they have this opcon authority with the PM's during the post-award phase and they need to apply it.

DesignBuild... one word, one process, one team, one schedule, one QM program... **ONEness is the theme!**

INTRODUCTION

Design-Build (DB) can be generically defined as a project delivery system in which one party (usually the owner) contracts with, and holds responsible, one single entity for both design and construction of a project. The DB contracting method is a tool used to obtain design and construction services. It is just one of many available tools and should be used accordingly. Determining an appropriate acquisition strategy should be a joint decision between Operations, Acquisition, Capitol Improvements, Program Management, Capitol Improvements Engineering & Design, Capitol Improvements Construction, the ROICC and the customer.

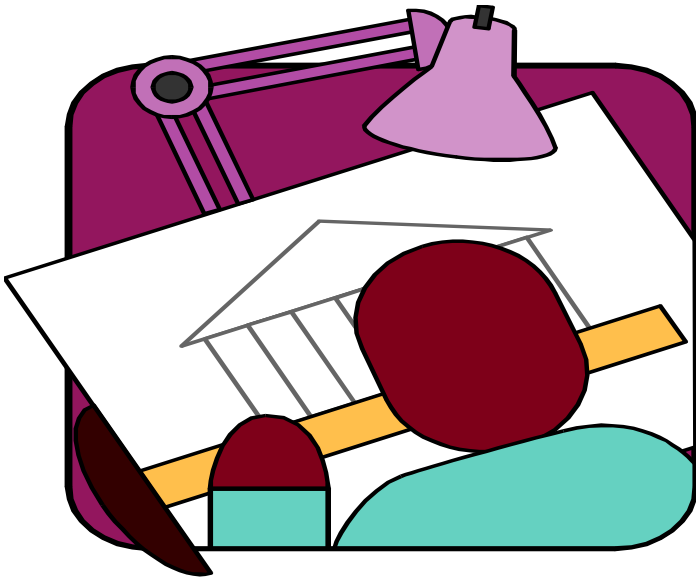
The DB Guide is based on the premise that a Design-Build strategy has already been selected as the preferred delivery system. It also assumes that the decision whether to prepare the solicitation documents in-house (IH) or via A/E contract has already been made. It is a "how-to" instruction, addressing procedures from project start through construction completion.

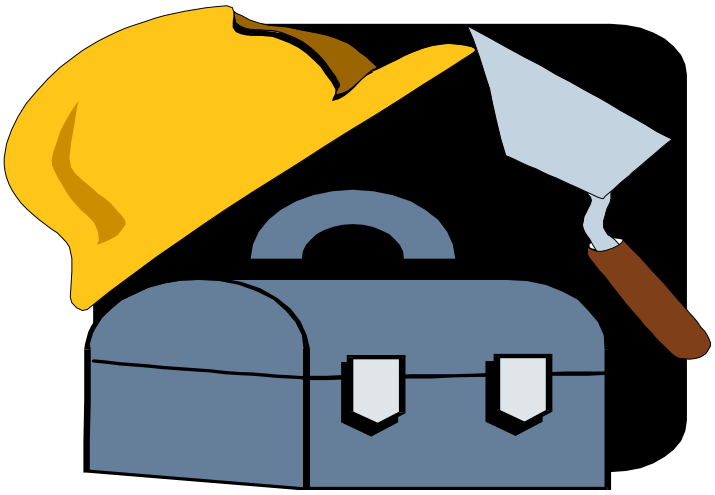
The DB Guide is a living document and will be periodically reviewed and updated. The Guide will be published, distributed, and posted on the Web page, where future updates will be incorporated.

ABBREVIATIONS

CHINFO	Chief of Naval Information
A/E	Architectural and Engineering Firm
ACO	Administrative Contracting Officer
AIC/EIC	Architect-in-Charge/Engineer-in-Charge
AROICC	Assistant Resident Officer in Charge of Construction
BCE	Base Civil Engineer
CBD	Commerce Business Daily
DB	Design-Build
DBB	Design/Bid Build
DBOC	Design Build Order Contract
DPW	Director Public Works
EIC	Engineer-in-Charge
FAR	Federal Acquisition Regulations
PEB	Price Evaluation Board
PCO	Procuring Contracting Officer
POA&M	Plan of Action and Milestones
PWC	Public Works Center
RFP	Request for Proposals
RFTP	Request for Technical Proposals
ROICC	Resident Officer in Charge of Construction
SSA	Source Selection Authority
SSB	Source Selection Board
SSP	Source Selection Plan
TEB	Technical Evaluation Board

CHAPTER 1
BASIC STRATEGIES AND PROCESSES





CHAPTER 1 - BASIC STRATEGIES AND PROCESSES

Objectives:

- Describe Design-Build (DB) acquisitions
- Describe types of procurements that can be used for DB.

1.1 THE BASIC PROCESSES

The most significant difference between DB and DBB acquisitions is design responsibility. The "designer of record" prior to awarding a construction contract completes the design for a DBB project. Design-Build projects are awarded prior to design completion, requiring the design to be completed by the contractor. Thus, the DB contractor becomes the "designer of record".

The 7 Step Macro Process

Step 1:	Project Initiation
Step 2:	Other Business Line Coordination
Step 3:	Operational Outfitting Considerations
Step 4:	Execute Construction Document Strategy
Step 5:	Bids, Proposals and Contract Awards
Step 6:	Finalize Design and Build the Facility Or Execute the Construction Contract
Step 7:	Project Closeout

1.1.1 Design-Build

NAVFAC experience indicates design-build can be a successful strategy when all or most of the following are true:
a. Project scope is well defined;
b. Project requirements for the most part can be stated as performance specifications;
c. Project value is sufficient to attract competition;
d. Project location, security requirements or other factors will not overly restrict competition;
e. Little or no design is required in order to advertise the design-build contract;
f. Completing NEPA requirements will not significantly delay contract award;
g. A different acquisition method would not produce better pricing, life cycle cost or overall time;
h. There are no acceptable plans and specifications from another similar project that can be re-utilized with minimal effort;
i. The client is on board with using this approach.

The following flowchart illustrates the basic steps for a DB project.

DB contracts, by definition, are awarded prior to final design completion, using RFP procedures. These procedures are described in this chapter. Subsequent chapters provide specific guidance on contracting procedures and clauses unique to DB procurements and RFP development and recommendations for the extent of preliminary design that should be included in the solicitation documents. The DB pre-award solicitation and award process is similar to the DBB process. The key to an effective DB contract is the formation of an effective and efficient contract team.

Post award construction contract administration of a DB contract includes design completion as well as construction. ***The Construction Contractor is now responsible for design and construction.*** Chapter 6 provides guidance for post-award contract administration, including specific procedures that must be followed for DB contracts. The DB Pre-award team shall be formed as follows and have the following responsibilities:

Design Build Pre-Award Team

1) Operational Definition:
   Identify and establish the team that will execute the project.

2) Goals:
   a) Establish a trained and capable project team with the appropriate expertise and time availability to execute the project.

3) Policies:
   a) The PM leads the project team during all activities before award of the DB contract.
   b) Each department/division/ROICC will assign the appropriate staff to execute the project.
   c) The client(s) will identify a single point of contact.

4) Procedure:
   a) Team assignments –
      i) PM shall review the project scope and determine the required in-house team composition. Considerations shall include:
         (a) Design representatives responsible for preparing the RFP
         (b) Other support disciplines
            (i) Base Operations Support
            (ii) Environmental
            (iii) Real Estate

(iv) NEPA
(v) Contracts
(vi) Construction (HQ and ROICC)
(vii) Legal
(viii) Small Business Advocate
(ix) Other

ii) PM's shall request project assignments from appropriate Department/Branch Heads.
iii) Department/Branch Heads shall record all team member assignments in the Command's project database.
iv) Activity and claimant members are as assigned by their leadership.

Prior to beginning work on the contract, the "team" will hold a kick off meeting. The format and tasks for this kick off meeting are as follows:

Team Kick Off Meeting

1) Operational Definition:
The initial project team meeting.

2) Goals:
a) Develop a deliberate plan that effectively guides all team members to achieve a quality project meeting the client's IOC and budget.

3) Policies:
a) The PM will arrange and lead the Team Kickoff Meeting.
b) The PM will develop an initial schedule to present to the team
c) The project team will affirm that Design-Build is the appropriate procurement method.

4) Procedure
a) Prior to the meeting the PM shall prepare an initial project schedule.
b) Team kickoff meeting will include the entire team, and will cover the following agenda items:
1. Project information and cost
2. Project documents
3. Project scope/description
4. Special requirements
5. Studies/surveys required
6. Contract strategy
7. Project team
8. Schedule/milestones (PM presents the draft schedule and leads the team to consensus on the detailed schedule to be presented to the client.)
c) Discuss and make preliminary plans for the on-site programming session with the client.
d) PM shall prepare and distribute minutes to all project team members.

The success of any project is dependent on the proper scheduling and sequencing of the activities. Project milestones and activities must be recorded at the beginning of any project through the use of a CPM schedule. Procedures to be followed for project execution are as follows:

CPM Schedule

1) Operational Definition:
   A Critical Path Method (CPM) schedule documents the inter-relationships of project milestones and activities.

2) Goals:
   a) Provide the project team a tool to identify the required sequence of activities and to manage the critical path to completion.
   b) Facilitate communication among the project team regarding current status and required actions.

   c) Policies:
   d) A project CPM schedule, from authorization to closeout, will be established for each project. This schedule will show detailed design activities (level 3) from project initiation to contract award, and major milestones (level 2) from contract award to project closeout.
   e) The project team has the responsibility to develop and maintain scheduled activities until award of the DB contract.
   f) All project team members shall proactively plan their work according to the project schedule, and identify and resolve conflicts with other scheduled commitments.
   g) Project scheduling and use of scheduling software are core capabilities of the project manager.
   h) The PM shall lead the team to develop and manage the schedule. The PM is responsible for initial inputs and updates to the project schedule.
   i) The PM shall regularly communicate project schedule requirements to all team members.
   j) Upon award of the DB contract, the contract schedule will be developed and maintained by the contractor-government team.

3) Procedure:

   a) The PM requests the E-Projects system administrator to create the project file and load the appropriate template.
   b) The PM edits the assigned template to develop the initial project schedule for presentation at the Team Kickoff Meeting.
   c) The team provides input to the initial project schedule, and the PM revises and issues the team-approved schedule.
   d) The PM updates the schedule as necessary to drive critical path activities, facilitate team communication, develop monthly management briefs and inform clients.

Finally, prior to finalizing the scope of the work on the project, a client orientation will be held to effect buy in for the client. The following is a description of the considerations for this meeting:

Client Orientation

1) Operational Definition:
   Communication with the client, usually in the form of a brief, providing an overview of the Design-Build process tailored to their project.

2) Goals:
   a) The client will have a macro understanding of the Design-Build process and a detailed understanding of project programming prior to the on-site project programming session.

3) Policies:
   a) The PM and project AIC/EIC will provide the orientation approximately two weeks prior to the on-site session.

4) References:
   a) Project Programming for Design-Build

5) Procedures:
   a) The project AIC/EIC and PM (via phonecon) will explain the role and process of project programming.
   b) The PM will review the CPM Schedule with Client.
   c) The PM and client will agree on the DD1391 scope to be provided.

1.2 TYPES OF PROCUREMENTS

1.2.2 RFP (Request for Proposals)

RFP contracts are source selection procurements covered by FAR Part 15. The RFP Source Selection method considers price as well as technical merits of competing contractors. ***Receipt of RFP proposals is not public, and is the first step of a confidential evaluation process***. The source selection procedures are designed to ensure impartial and comprehensive evaluation of offerors' proposals and ensure selection of the source whose proposal has the highest degree of realism, whose performance is expected to best meet stated requirements, and is determined to provide the Best Value for the Government. This method requires a Source Selection Plan, from which the evaluation factors are provided for the solicitation.

This process includes evaluation of technical aspects and price to determine those proposers who are within the competitive range. The technical aspects may be contractor qualifications only, or may also include more detailed technical proposals. Contract award is made based on the overall best value to the Government. In this case, the award is not necessarily made to the contractor with the lowest price. It is also not necessarily made to the proposer with the highest technical rating. Both price and technical aspects are evaluated together to determine the best value.

1.2.2.1 Two-Phase Design-Build Contracts

This is a specific type of RFP that is used for DB, which was added to FAR Part 36 by the Clinger-Cohen Act of 1997. Phase One provides for the evaluation of technical qualifications, and limits the competitive range to a maximum of five qualified proposers ***unless a greater number than five is in the Government's interest and is consistent with the purposes and objectives of two-phase design build contracting.*** These proposers continue to Phase Two. Technical and price proposals are evaluated during Phase Two. The contract is awarded based on the best value to the Government, based on both technical and price.

1.2.2.2 MAC Contracts (Design-Build Multiple Award Contracts)

Design-Build Multiple Award (MAC) are indefinite quantity multi-contracts Design-Build. The contract award process utilizes the two-phase design build procedures. The primary difference between MAC's and other RFP's is that this process allows for contract awards to multiple contractors. Phase One is identical to the two-phase process for individual contracts. Phase Two is similar in that multiple contracts (normally three - five) are awarded based on best value. These successful contractors will have the opportunity to compete for future work. Future projects can only be awarded to one of these successful proposers. Additional work is added by repeating the Phase Two process with the successful contractors. Subsequent task orders can be awarded based on best value or price only.

1.2.3 RFTP (Request for Technical Proposals)

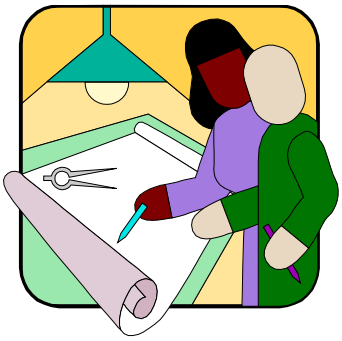
The RFTP process, commonly known as a "two-step" procurement is another form of DB contract. Specific guidance is not included in this guide, however FAR Part 14.501 provides further information regarding RFTP procurements. The two-step procedures differ from the procedures used for a Two Phase DB contract in that:

- The first step evaluates technical proposals (without prices), but all proposers that comply with the requirements of the RFTP are allowed to compete in step two. (no limitation on number of proposers) The evaluation process is pass/fail, as opposed to a ranking process used in a best value source selection.

- In step two, contract award is made based on lowest price.

- This process limits competition, but may not necessarily provide "best value".

CHAPTER 2
PUTTING THE TEAM TOGETHER



CHAPTER 2
PUTTING THE DESIGN-BUILD TEAM TOGETHER

- Objectives:
- Identify the team members
- Identify team member roles and responsibilities in the Design-Build process

2.1. DESIGN-BUILD TEAM MEMBERS (Detailed in Chapter 1)

2.1.1 Design Construction Agent

- Contracts Office
- Contracting Officer
- Contract Specialist
- Project Manager
- Engineering and Design Personnel
  - Architect - in - Charge (AIC) or Engineer - in- Charge (EIC)
- Design personnel
- Specifications personnel
- Construction Manager
- ROICC
- ROICC staff
- Environmental Personnel
- Legal counsel

2.1.2 Clients

- Major Claimant/ Region/ Installation
- Facility User (end user)
- Local Public Works representatives
  - Facility planners
  - Base Civil Engineer
  - Design personnel

2.2 DESIGN-BUILD TEAM ROLES

The following chart shows where each of the team members identified above are typically involved with the processes required for Design-Build acquisitions. The team leader for each process is highlighted (**).

Team member	Source Selection	RFP development	RFP evaluation	Design-Build Contract Administration
Design Construction Agent				
Contracting Officer (PCO)	**	*	**	
Project Manager	*	*	*	*
AIC/EIC	*	**	*	*
Construction Manager /IPT	*	*	*	*
Legal counsel	*		*	*
ROICC (ACO)	*	*	*	**
Claimant/User/ Customer				
Major Claimant	*			
Facility User	*	*	*	*
Public Works	*	*	*	*

2.3 RESPONSIBILITIES

2.3.1 Design Construction Agent

Contracts Office

The Contracting Officer, also designated as the Procuring Contracting Officer (PCO) is the warranted individual who will sign the contract as the Government's representative. Typically, the PCO is also the Source Selection Board (SSB) Chairman. See Chapter 3 for specific SSB duties.

The CS is responsible for the advertisement and award of the Construction Contract. The CS synopsizes the package in the Commerce Business Daily (CBD) and issues a Request for Proposal (RFP). Upon receipt of the proposal, the CS has overall responsibility for evaluating the package and completing the appropriate steps to award the Construction Contract.

The Source Selection Authority (SSA) is a Contracting Officer (civilian or military) who makes the final decision regarding contract award. Authority to act as the SSA is delegated based on contract value.

●The **Project Manager** (PM) has overall responsibility to maintain the scope, schedule, and cost limitations. The PM is the primary liaison with the clients, and is typically a member of the Source Selection Board (SSB).

● Environmental services and the coordination of environmental concerns are critical to a smooth functioning contract. The following items must be addressed prior to beginning design on the Design-Build RFP documents:

Environmental Services

1) Operational Definition:
   Hazardous material assessments and contracting for these studies and services

2) Goal:
   a) Complete as much of the site analysis as possible during the preparation of the PCE.
   b) Finalize the site analysis prior to program development.
   c) Avoid any unexpected site condition or environmental requirement which would jeopardize the project execution schedule or result in a delay and/or additional cost during construction.

3) Policies:
   a) Code EV team members are required for all projects.
   b) The site data obtained by the Government will be as required to allow proposers to determine the cost of the project.
   c) Environmental services are normally contracted for by the environmental team member using the appropriate IDIQ contract.

4) Procedure:
   a) The PM shall coordinate with the environmental team member(s) to insure that environmental services are scheduled and obtained on schedule to identify and comply with applicable regulations for the following items:
      1. Hazardous and regulated materials (radioactive materials, mercury, infectious and biological wastes, asbestos, PCB, ODS, lead and lead-based paint)
      2. Soil and groundwater contamination
      3. Radon
      4. Construction and operating permits
      5. Existing operational/regulatory constraints

In addition, the team needs to ensure NEPA compliance is achieved. This is done through the following actions:

Achieve NEPA Compliance

1) Operational Definition:
   Confirm that the National Environmental Policy Act (NEPA) requirements have been completed. If the NEPA process has not been completed, identify and accomplish all required NEPA analyses.

2) Goal:
   Ensure the NEPA process has been completed and applicable requirements have been incorporated into the RFP prior to award of the Design-Build contract.

3) Policies:
   a) NEPA compliance is required for ***all projects*** with one of the following levels of analysis and final documentation:
      a) Categorical exclusion (CATEX)
      b) Environmental Assessment (EA)- Finding Of No Significant Impact (FONSI)
      c) Environmental Impact Statement (EIS)- Record of Decision (ROD)
   b) Environmental Planning Division will:
      a) Verify NEPA compliance.
      b) Execute all NEPA analyses and obtain final documents.
   c) NEPA analyses must be funded by the claimant or activity, not MILCON Design funds.

4) References:
   a) OPNAVINST 5090.1B Change 2, Environmental and Natural Resources Manual, Chapter 2 .
   b) Council on Environmental Quality Regulations for Implementing NEPA.
5) Procedure
   a) The PM shall obtain a copy of the NEPA final documentation and, if necessary, the analysis from the activity or EFD Environmental Planner.
   b) The PM shall verify that this NEPA documentation is valid for the current project scope.
   c) If NEPA documentation has not been completed, the PM shall coordinate with the activity and EFD Environmental Planners to ensure that:
      i. The appropriate level of analysis addresses the following areas:
         1. Physical (historical, cultural, and archeological site investigations);
         2. Biological (wetlands, critical habitats, and protected/endangered species identification)
         3. Socio-economic (traffic, schools, community services, utilities)
      ii. Client funds are provided to the Environmental Planner to perform the NEPA analyses.
      iii. NEPA process schedule is incorporated into the overall project schedule.
      iv. NEPA documentation is completed prior to award.
      v. The project team updates the preliminary Permit Record of Decision (PROD).

   d) The PM will coordinate with the Environmental Planner and Project Team to ensure NEPA restrictions and mitigation requirements are appropriately included in the RFP.

Some projects may require specialized attention to real estate actions. The following items are the minimum to ensure compliance with appropriate regulations and laws:

Real Estate Actions

1) Operational Definition:
   Complete all required real estate requirements

2) Goal:
   a) complete as much of the site analysis as possible during the preparation of the PCE and to finalize the site analysis prior to program development.
   b) avoid any unexpected real estate requirements which would jeopardize the project execution schedule or result in a delay and/or additional cost during construction.

3) Policies:
   a) Real Estate team members are required for all projects involving real estate actions.
   b) The site data obtained by the Government will be as required to allow the proposers to determine the cost of the project.
   c) Real Estate actions are the responsibility of the Real Estate Team members.

4) Procedure:
   a) Real estate actions, if required, are scheduled and incorporated into the CPM schedule.

Engineering and Design Staff

Architect-In-Charge (AIC) or Engineer-In-Charge (EIC): This individual is responsible for coordinating the efforts of the Engineering and Design Division's staff in the preparation of the RFP documents (or reviewing A/E prepared RFP documents). The AIC/EIC is the single point of contact for the Engineering and Design Division and has primary design responsibility for the Design-Build project. The AIC/EIC is typically a member of the RFP Technical Evaluation Board (TEB). After contract award the AIC/EIC tracks the progress of the Contractor's design submittals. The AIC/EIC should work closely with the ROICC during the design phase of the contract. On large jobs, the AIC/EIC may be forward deployed to the ROICC to assist in the administration of the design effort.

Engineering and Design Personnel: These individuals including the AIC/EIC develop the RFP (or review A/E prepared RFP) relative to specific design criteria with respect to their technical discipline. Some of the design personnel may be members of, or advisors to, the TEB and/or SSB. After contract award, they review the Contractor's design submittals for RFP compliance.

Specification Personnel: These individuals develop the RFP specification documents with input from the Design personnel (or review A/E prepared specifications). After construction award, they review the Contractor's design submittals for RFP compliance.

Integrated Product Team (IPT)

During design and construction the ROICC office obtains HQ resources through its IPT. Typically, an IPT representative will be a member of the SSB.

ROICC Office

The ROICC, also typically designated as the Administrative Contracting Officer (ACO) has overall responsibility for administration of the construction contract and may also provide administration of A/E Post Construction Award Services (PCAS) services. Typically the ROICC is a member of the SSB.

The AROICC is a civilian or military engineer or architect responsible for the day-to-day management of the complete Design-Build contract. The AROICC is assisted in these duties by other technical and contracting personnel. Typically the AROICC is a member of the TEB.

Legal Counsel

The primary role is as an advisor to the SSB during the Source Selection process to ensure all legal requirements are met. Assistance with other legal matters both prior to and after award is provided on an as needed basis. Counsel participates in all source selection debriefs.

2.3.2 Clients

The degree of client participation in the DB process will vary greatly depending upon size and type of project, location, funding source, and client availability. Typically, the Major Claimant would not have "hands-on" involvement with a project, but is responsible for the overall program. The Public Works representatives and facility users identify specific project requirements, and should be encouraged to participate to the maximum reasonable extent in the entire process. Typically the facility users and Public Works representatives participate as advisors to the TEB and/or SSB in an RFP process.

2.4 RFP Project Initiation

2.3.4 On-Site Work Session

2.4.1 In-House Team Meeting

1) Operational Definition:
   Program brief to the EFD design/technical support team.

2) Goal: Provide as much data as possible to allow the design staff to develop their project program, begin preparing the technical sections of the RFP (See Macro Step 6) and prepare for Activity pre-design meeting.

3) Procedure:
   a) AIC/EIC will debrief the design staff on contents of initial program.

b) Project schedule for completing RFP will be reviewed.
c) Agenda for Activity Pre-Design Meeting will be reviewed.

2.4.2 Preparation for Activity Pre-design Meeting

1) Operational Definition:
Preparing for the on-site pre-design programming session with the client.

2) Goal: To have the logistics in place to allow for a successful programming session.

3) Procedure:

a) PM will arrange logistics with POC at location.
b) Design Staff may want to review the Cost Model Questionnaire for their specific design discipline when generating questions to be asked at the on-site session.
c) AIC/EIC will use NDBM to develop RFP and use as template.
d) PM and AIC/EIC will establish agenda and set dates for meeting. They will obtain client concurrence on date and agenda.
e) PM will identify the participants of the on-site session with input from the AIC/EIC, technical staff, and client. Attendance of technical staff is determined on project-by-project basis.
f) PM will arrange the on-site work session by sending out invitations and setting up logistical requirements with the client and/or host of the meeting. PM will send questionnaires, if applicable, and/or client information request form to the client prior to meeting for distribution to the appropriate user representatives. Approximately two weeks prior to the meeting, the PM and AIC/EIC will Review "Project Programming for Design-Build with the client (See SOP 1.d) via phone conference.

2.4.3 Activity Pre-Design Meeting

1) Operational Definition:
Initial meeting to develop the project program.

2) Goal: To obtain the client information needed to develop the program that includes project objective, site requirements, building requirements, room requirements and engineering systems requirements.

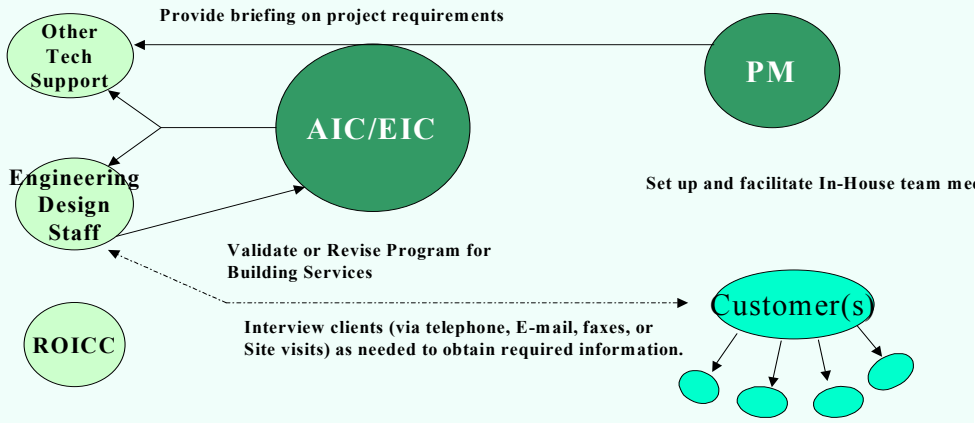
3) Procedure:

a) AIC/EIC will lead the pre-design meeting.
b) PM will ensure scope compliance.
c) PM will present pre-award design-build process overview.
d) CM will present post-award design-build process overview.
e) PM will provide project overview
    i. Review DD1391 documentation especially square footage limits and funding amount
    ii. Project History

iii. Discuss method of review and preferred distribution, i.e. electronic or paper.

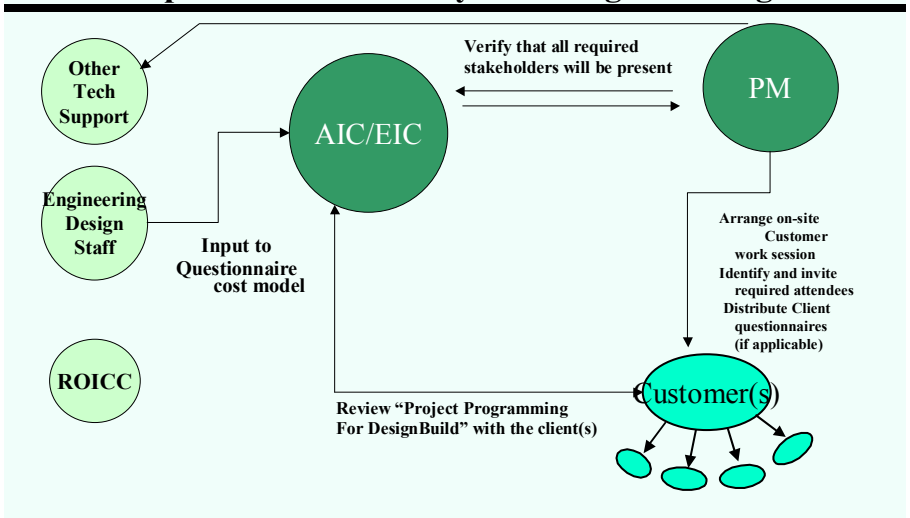
f) AIC/EIC will present Project Program.
g) AIC/EIC will discuss project with the client.
h) PM will support AIC/EIC by assisting with various tasks.
i) PM will determine base instructions, environmental requirements, utility requirements, utility company POC's, and local ordnances that may impose site restrictions.
j) CM will provide field input to the programming document such as lay-down area requirements, utility connections, etc.
k) PM will distribute the minutes meeting 10 days following the on-site session.

a. In-House Team Meeting

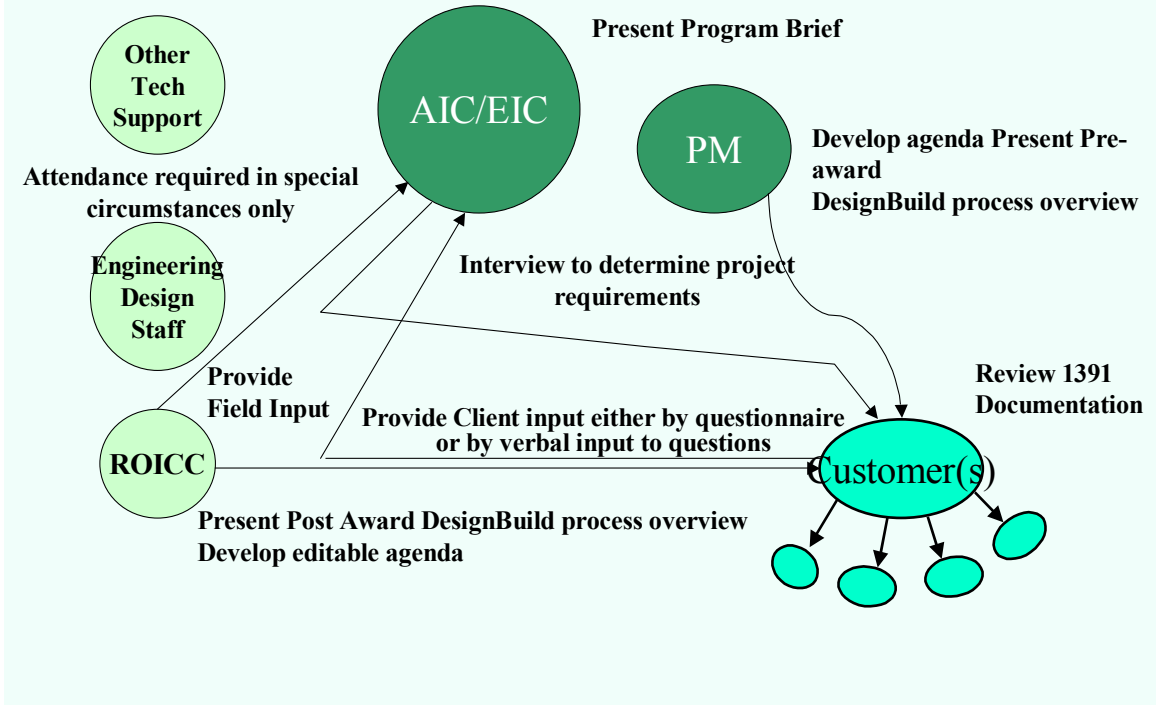


*The In-HouseTeam meeting session consists of an overview briefing of the contents of program to the entire design/technical support team and individual programming sessions with each project design/technical team member to develop engineering systems requirements.

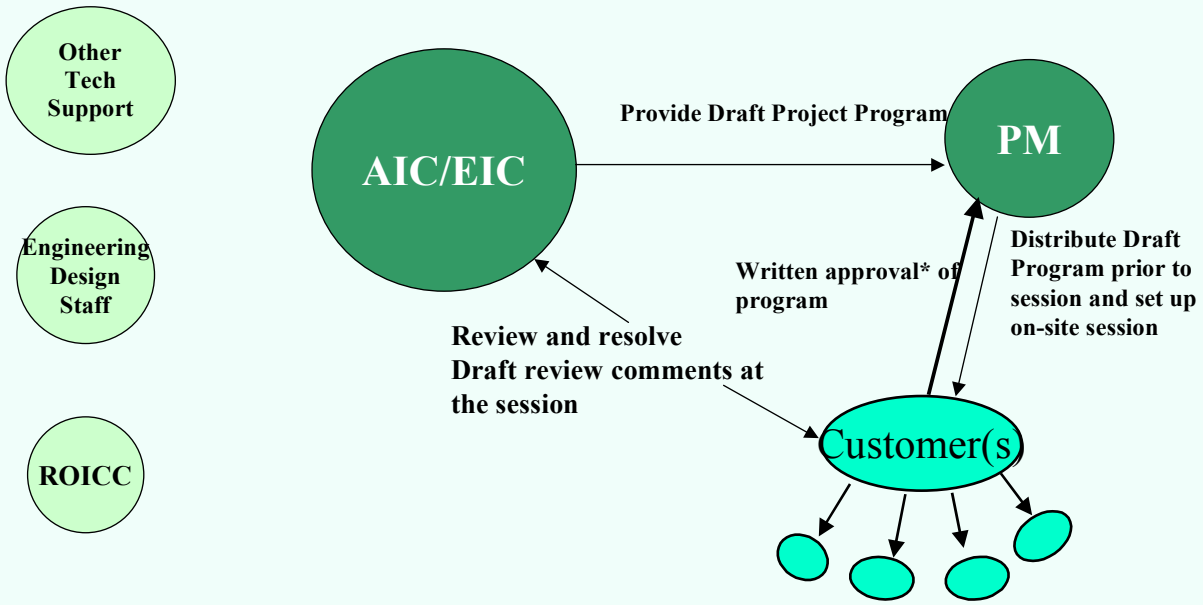
b. Preparation for Activity Pre-design Meeting



c. Activity Pre-design Meeting (Kick-Off Meeting)



d. Charrette (Customer Work Session)



*"Approval" is defined as concurrence with the requirements contained in the project program. (With a thorough understanding of the project requirements the design team can develop the performance technical sections of the RFP.)

Program Development
Roles and Responsibilities

- **Project Manager (PM)**
  - **Maintain high level of communication with full team**
  - **Lead Client interface**
  - **Ensure process steps are occurring.**
  - **Ensure pertinent project and client information (gatekeeper and team members identified) was received.**
  - **Arrange, set up and make invitations to all work sessions**
  - **Distribute questionnaires to clients (as applicable)**
  - **Provide Programmer with all site inventory and investigation documents obtained.**

- **AIC/EIC**
  - **Lead Designer for the Project Program**
  - **Edit and finalize the program**
  - **Coordinate with the PM working session set up and requirements**

  Resolve client questions on "Project Program"

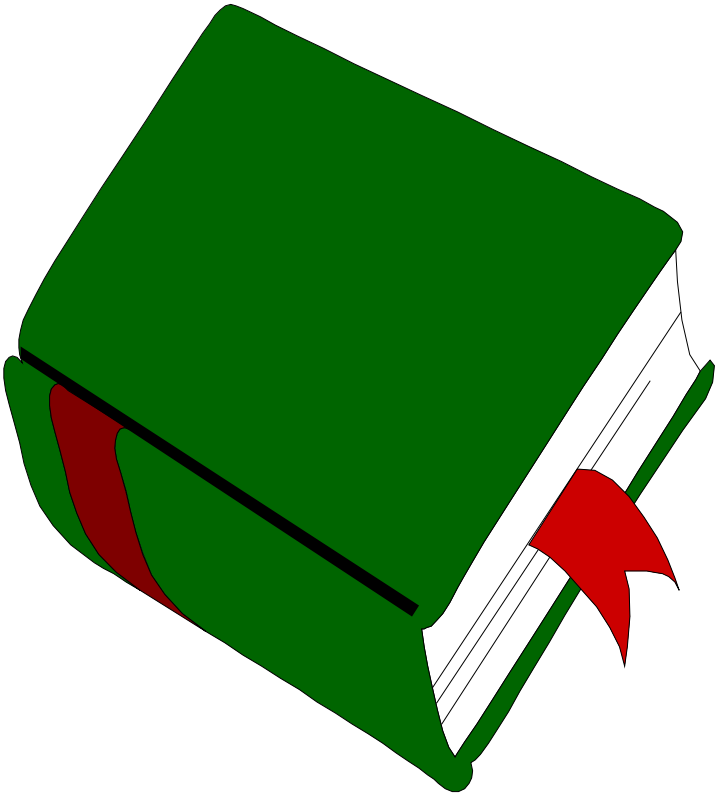
(The programmer for buildings will be an architect. The programmer for other projects will be determined by the type and complexity of the facility and may be an architect or other technical team member.)

Program Development
Roles and Responsibilities

- **Client**
  - Identify key representatives to serve on the project team.
  - Designate a chief spokesperson (gatekeeper) to expedite and coordinate client decisions.
  - Complete questionnaires (if applicable) prior to On-site program session.
  - Review "Project Programming for DesignBuild" on the internet.
  - Provide written approval of program
- **Technical**
  - Provide technical input to all elements of the program.
  - Posts approved progam for review.
- **Resident Officer in Charge of Construction (ROICC)**
  - Participate in the On-Site Work Session in-brief and out-brief to obtain a working knowledge of the project and to become prepared to take chief responsibility in Post award.
  - Provide input to the working session as related to coordination with other contracts (including FSC) and field issues affecting the programming of this project.

CHAPTER 3
PRE-AWARD CONTRACT PROCESS

FAR



CHAPTER 3 – PRE-AWARD CONTRACT PROCESS

Objectives:

- Describe pre-award Process Requirements for Invitation for Bid or Request for Proposal of Two-Phase Design-Build Contracts
- Identify Source Selection Plan Requirements
- Identify FAR requirements and clauses unique to Design-Build contracts

3.1 TWO-PHASE DESIGN-BUILD RFP PROCESS

The pre-award process for the RFP for Design-Build is somewhat more complicated. The RFP portion of the contract solicitation is governed by FAR Part 15, Contracting by Negotiation. The basic steps for an RFP follow:

Establish POA&M

Source Selection Plan Prepared and Approved (Prior to CBD)
- Preparation requires all acquisition team members

Synopsize in CBD (17 days)

Issue Phase One RFP (30 days)
- Identify date Phase One proposals are due
- Notify Source Selection Board (SSB) and Technical Evaluation Board (TEB) of due dates
- Provide SSP to board members
- Establish date for SSB and TEB to convene to review Phase One proposals

Receive Phase One Proposals
- Convene TEB
- Determine Qualified Proposers
- Discussions/Exchanges may or may not be required
- Prepare TEB Report
- Convene SSB / Brief SSA
- SSA approval
- Notify Proposers

Issue Phase Two RFP (does not need to be 30 days)
- Identify date Phase Two proposals are due
- Notify board members of dates
- Establish date for review of Phase Two proposals

Receive Phase Two Proposals/Distribute to board members
- Convene TEB, (Price Evaluation Board (PEB), where applicable*) and SSB
- Prepare TEB, (PEB*) and SSB reports
- Brief Source Selection Authority

- SSA make Award Determination

Award contract

*Note: Normally the price advisor is a member of the SSB, in which case a separate PEB is not required.

3.2 RFP SOURCE SELECTION PLAN STRUCTURE

Once it has been determined that a DB contract will be an RFP, a Source Selection Plan must be developed. FAR 15.3 covers Source Selection procedures. The Source Selection Plan must be approved before the contract is synopsized, because the approved evaluation factors are published in the CBD. The Source Selection Plan consists of the following:

- **Table of Contents**

- **Introduction**

The introduction documents the intent of the SSP, including criteria selected for evaluation purposes and evaluation process. Any unique aspects of the project such as special scheduling, unusual pricing structure, or other technical considerations should be included here.

- **Source Selection Authority (SSA)**

SSA responsibilities are established by FAR 15.300. The SSA appoints TEB and SSB members, approves the SSP, reviews SSB recommendations, forwards decisions to Procuring Contracting Officer (PCO), and selects the successful offeror.

- **Source Selection Board (SSB)**

The SSB oversees the development of selection criteria, reviews TEB and price documentation, ranks proposals, makes recommendations to the SSA regarding awards and competitive ranges, determines need for discussions, and recommends best value proposal to SSA.

- **Technical Evaluation Board (TEB)**

The TEB receives and reviews technical proposals, assigns technical ratings, identifies weaknesses and strong points, prepares questions for discussions if deemed necessary, prepares TEB report, and briefs SSB

- **General Procedures of TEB, PEB (where applicable) and SSB** - Lists SSP general procedures

- **Contracting Officer and Contracts Department**

The Contracting Officer is responsible for receiving and reviewing proposals for responsiveness. Price information is separated from technical proposals by the Contracting Officer prior to forwarding to the TEB. Other responsibilities include ensuring that the "Statements of Financial Interest" and "Certificates of Non-disclosure" are signed by all Source Selection participants. The Contracting Officer prepares the Business Clearance Memorandum, conducts discussions, and furnishes all documentation to the SSB.

- **Evaluation Factors** - Lists evaluation factors

- **Rating Scheme**: Describes rating scheme used in proposal evaluation
- **Clearance/Approvals**

Prior to contract award, the Contracting Officer must complete the prenegotiation and post-negotiation Business Clearance Memoranda. If the Contractor is a large business and the award is $1 million or greater, the Small Business Subcontracting Plan must be approved. If the award amount exceeds $5M, Naval Chief of Information (CHINFO) clearance must be obtained prior to award, in accordance with FAR Part 5.3.

- **Sequence of Events** - Lists SSP sequence of events
- **Synopsis/POA&M** - Brief synopsis of SSP steps

Attachments
Attachments include worksheets and forms for use of the TEB and SSB during the evaluation process. Also included are the “Statement of Financial Interest” and “Certificates of Non-disclosure” which must be signed by all SSP participants.

3.3 FAR REQUIREMENTS AND CLAUSES

The Pre-Award Process is governed by the Federal Acquisition Regulation (FAR). The advertisement of all contracts is covered in FAR Part 5. The FAR does not elaborate on DB Contracts specifically. However, Far Part 36, Construction and Architect-Engineer Contracts, provides guidelines and requirements for clauses that apply to both design and construction contracts, and Two Phase Design-Build Selection Procedures. FAR Part 36.101 states “A contract for both construction and supplies or services shall include (1) clauses applicable to the predominant part of the work, or (2) if the contract is divided into parts, the clauses applicable to each portion.” But it does not provide clauses specific to DB procurements.

Each DB contract requires both A/E and construction clauses. FAR Part 52.301 is a matrix that provides solicitation provisions and contract clauses and their applicability to specific type contracts. This matrix should be utilized when determining which clauses will be included in solicitations for RFP’s for DB contracts. The following clauses shall be included in all DB contracts:

NFAS 5252.232-9301
PAYMENT FOR DESIGN UNDER FIXED-PRICE
DESIGN-BUILD CONTRACTS (JUL 1998)

"The contracting officer may approve progress payments for work performed during the project design phase up to the maximum amount of four (4) percent of the contract price. Contractor invoices for payment must be accompanied by satisfactory documentation supporting the amounts for which payments are requested. Progress payments approved by the contracting officer during the project design phase in no way constitute an acceptance of functional and aesthetic design elements nor acceptance of a final settlement amount in the event of a buy-out nor a waiver of any contract requirements."

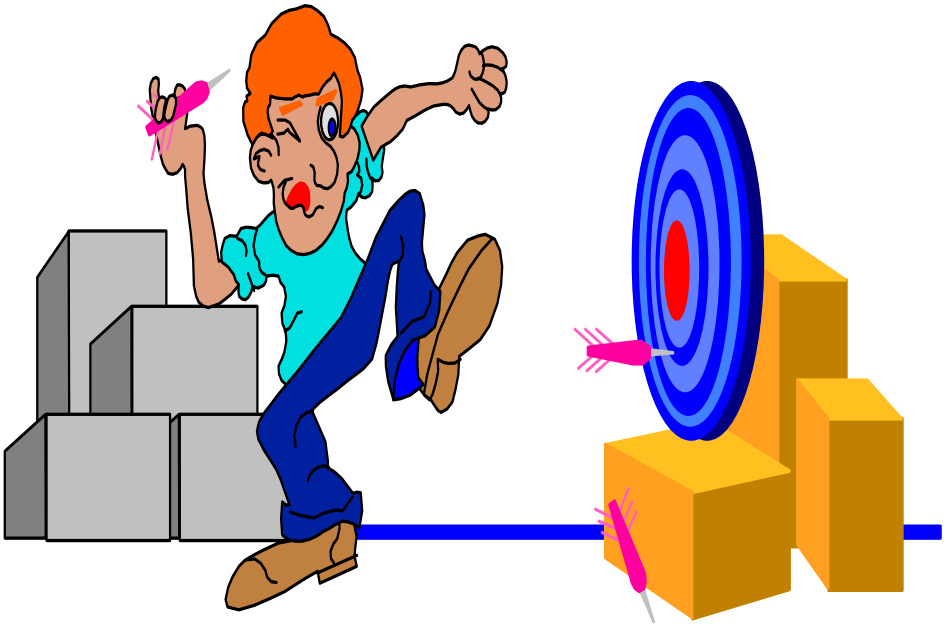
NFAS 5252.232-9302
LIMITATION OF EXTENT OF GOVERNMENT LIABILITY IN THE EVENT OF A BUY-OUT PRIOR TO COMMENCEMENT OF CONSTRUCTION (JUL 1998)

"For purposes of this clause, functional elements are defined as room layout and space allocations as determined by partitions, doors, or other architectural features. Aesthetic elements are defined as the facility's visual appearance and appeal.

If the government and the contractor are unable to mutually agree on the functional and aesthetic elements of the project design, the government may initiate a buy-out of the contract prior to commencement of construction for a maximum settlement amount not to exceed four (4) percent of the contract amount. This amount shall be negotiated based on a reasonable cost incurred and may include a reasonable profit.

Actions taken by the government pursuant to this clause shall in no way be considered a termination for default. Upon payment of all negotiated amounts, all responsibilities and obligations of the parties are discharged."

CHAPTER 4
RFP/IFB
DEVELOPMENT



CHAPTER 4
RFP DEVELOPMENT

CHAPTER 4 - RFP DEVELOPMENT

Objective:

Provide guidance for preparation of Design-Build RFP and solicitation documents.

4.1 INTRODUCTION

Design-Build solicitation documents may consist of partial construction drawings, if any, and specifications. The Contractor is required to finish all incomplete portions of the project design after contract award. DB solicitation documents should incorporate only those project requirements critical to the Client's operational needs and base facility requirements.

DB RFP acquisitions consider qualifications, technical acceptability, and price of competing contractors.

The level of completion of the solicitation design documents varies based on project requirements and acquisition strategies. DB RFP solicitations can incorporate minimal design drawings to maximize the contractor's design flexibility. Additionally, DB can utilize "bridging" documentation to reduce the Government's risks involved in "competitive price" acquisitions. "Bridging" documents incorporate substantial design drawings, which may include 100 percent complete civil drawings, and 35 percent complete architectural, mechanical, and electrical drawings. The Executive Order mandated energy study and life cycle cost analysis shall be performed for RFP acquisitions. The results of these analyses in the form of the appropriate HVAC system shall be clearly presented by the designer of record in the basis of design.

4.2 REQUEST FOR PROPOSALS (RFP) REQUIREMENTS

4.2.1 General

Design-Build RFP acquisition differs in its solicitation and award methods. The DB RFP team must understand the DB process and, with extensive client input, incorporate appropriate design controls. The following matrix identifies recommended RFP solicitation document requirements:

4.2.2 Preparation for Charette

1) Operational Definition:
   Develop draft project program and set-up for charette.

2) Goal: Have an 80%-90% completed Project Program to deliver to client for review.

3) Procedure:

a) Individual design team members will interview clients (via telephone, E-mail, faxes, or site visits) as needed to obtain required information for validating the program for building systems for their specific discipline

b) AIC/EIC for inclusion into the Final Draft Program. This effort should be done within 2 to 4 weeks after the Engineering Work Session. Time depends on the Design staff members will forward their individual program requirements to the amount of additional engineering data that is needed.

c) The design staff will forward the engineering information to the AIC/EIC via the established filing system and coordinate in Project Program. AIC/EIC will incorporate engineering input into the outfitting matrix for building systems.

d) PM will set up and facilitate a meeting with the AIC/EIC, Cost Engineer and design staff to provide input to the cost engineer. The cost engineer will develop a cost estimate for the Draft Program.

4.2.3 Charette

1) Operational Definition: Presentation and review of the Project Program to the client.

2) Goal: Obtain approval from the customer to allow finalization of the program and RFP. "Approval" is defined as concurrence that the requirements contained in the program. Document the project objectives, site requirements, building function and room requirements. Explain "WHAT", "HOW MANY", "WHERE" the project will accomplish.

3) Procedure:

a) PM will arrange work session.
b) AIC/EIC will provide Draft Project Program for working session.
c) Cost Engineer will provide Government Cost Estimate.
d) PM will distribute Draft Project Program to customer at least 1 week prior to session.
e) AIC/EIC will lead Charette.
f) AIC/EIC will resolve client comments.
g) PM will obtain concurrence from the client that the Project Program thoroughly documents the project requirements.
h) Refer to FACD and Charette policy guidance for additional information.
i) Appropriate IPT members' Regional representatives, client, major claimant, and stakeholders will participate in Charette.
j) Cost Estimate will be complete for Charette.
l) Design Team will have an 80%-90% project program for Charette.

DOCUMENTS	RFP
SPECIFICATIONS	•
DIVISION 00 - DOCUMENTS	•
Section 00201, "Instructions to Proposers (or Bidders)"	•
Section 00202, "Evaluation Factors for Award"	•
Section 00120, "Supplementary Instructions to Bidders"	•
DIVISION 01 - GENERAL REQUIREMENTS	•
Section 01159, "Design-Build Criteria"	•
Section 01160, "Design Documents"	•
Division 01 (miscellaneous section modifications)	•
DIVISION 02 -16 TECHNICAL SPECIFICATIONS	•
	•
DRAWINGS	•
"Minimal" Design Drawings	•
"Bridging" Design Drawings	•

4.2.4 Team Member Responsibilities

4.2.4.1 Prepare Part 1 of the RFP – Contract Specialist

1) Operational Definition:
   The process of preparing the contractual portion (Part 1) of a Request for Proposal.

2) Goal: The goal is to provide a brief thorough, correct, understandable and enforceable contractual portion of the RFP.

3) Policies:

   a) Part 1 (Proposal Documents and Contract Forms and Conditions) is prepared by the Contract Specialist.
   b) Procurement Desktop – Defense, (PDD or PD2 or PDSquare) shall be used to develop the electronic contract file.
   c) The RFP shall be in accordance with the Source Selection Plan (SSP).

4) References:
5)

Part 1 -- Proposal Documents

- Section 00010 Proposal Solicitation, Form 1442
- Section 00102 List of Drawings

- Section 00100 Instructions to Proposers
- Section 00202 Evaluation Factors for Award
- Section 00600 Representations and Certifications for Contracting by Negotiations
- Section 00601 Bonds
- Section 00700 Contract Clauses
- Section 00830 Davis-Bacon Wage Determination

6) Procedure:
   a) The PM will complete the Contract Supporting Information Form (see link to form on Figure 6.2- RFP Development Flowchart), forward it to the Contract Specialist at least 2 weeks before the Draft RFP is due to be complete and notify the CS when Part 1 is to be submitted to the PM.
   b) The Contract Supporting Information Form includes the following:
      i. The Project Title
      ii. The Construction Contract Number
      iii. The name of the Project Manager
      iv. The name of the Contract Specialist
      v. A Description of the Project
      vi. The Time of Completion (phased if applicable)
      vii. The Liquidated Damages (by phase if applicable)
      viii. Bid Line Item Description(s)
      ix. Option Item Description(s)
      x. List of Drawings
      xi. Cover Sheet for the RFP
      xii. Printing Distribution List
      xiii. Links to Contract Files
      xiv. Remarks/Special Instruction/Award Fee

   c) The Contract Specialist will use PDD to generate Part 1 document.
   d) The Evaluation Factors for Award shall be in accordance with the SSP.
   e) Include a range for the estimate cost – upper limit shall be the funds available for construction, the lower limit shall be 10% less than the upper limit.
   f) See Figure 6.1- Arrangement of the RFP, for a summary of all parts of the RFP and lead responsibilities.

4.2.4.2 Prepare Draft Parts 2-6 of the RFP – Design Team

1) Operational Definition:
   The process of producing the Parts 2-6 of the Request for Proposal (RFP).

2) Goal:
   Assure functional project requirements are merged with other technical criteria to produce a performance based Statement of Work.

3) Policy:

The Statement of Work shall require the project to be designed and constructed in accordance with the client's requirements as defined by the Project Program, and good engineering and architectural practice.

4) References:
   a. DB Master Technical Section:

SECTION	A1000 FOUNDATIONS
SECTION	A2000 BASEMENT CONSTRUCTION
SECTION	B1000 SUPERSTRUCTURE
SECTION	B2000 EXTERIOR CLOSURE
SECTION	B3000 ROOFING
SECTION	C1000 INTERIOR CONSTRUCTION
SECTION	C2000 STAIRS
SECTION	C3000 INTERIOR FINISHES
SECTION	D1000 CONVEYING
SECTION	D2000 PLUMBING
SECTION	D3000 HEATING, VENTILATING, AND AIR CONDITIONING
SECTION	D4000 FIRE PROTECTION
SECTION	D5000 ELECTRICAL
SECTION	E2000 FURNISHINGS
SECTION	F1000 SPECIAL CONSTRUCTION
SECTION	F2000 SELECTIVE BUILDING DEMOLITION
SECTION	G1000 SITE PREPARATION
SECTION	G2000 SITE IMPROVEMENTS
SECTION	G3000 SITE CIVIL/MECHANICAL UTILITIES
SECTION	G4000 SITE ELECTRICAL UTILITIES

5) Procedure:
   a) The PM shall review and update the project schedule and communicate the RFP completion milestones and due dates to the Design Staff for preparation of the technical sections.
   b) Design Staff shall prepare Parts 2-6 using the latest DB Master guide.
   c) Parts 2-6 may include as applicable:
      1) The Permit Record of Decision (PROD)
      2) Special Project Requirements or "Project Statements"
      3) The Spatial Program
      4) An Adjacency Diagram
      5) Photographs and architectural compatibility requirements
      6) Site drawings (editable versions preferred – see SOP 6.e.)
      7) Drawings of existing buildings to be renovated or demolished (editable versions preferred – see SOP 6.e.)
      8) Geotechnical data
      9) Hazardous Materials report
   d) The Mechanical Engineer will prepare the Ozone Depleting Substance (ODS) memorandum.
   e) The SGE/ Supv AROICC will provide input on the editing of Section 01450 Design and Construction QUALITY CONTROL for Part 2.

f) The Specifications Engineer shall edit and prepare all Part 2 Sections, Division 01 Specification Sections.
g) The Specifications Division is responsible for maintaining an electronic version of the DB Master sections.
h) Technical Branch Heads are responsible for the content of the DB Master sections within their respective disciplines. Technical Branch Heads are responsible for quality review of their sections and for providing updates or revisions to the Design Team for incorporation into the DB Master files.
i) Design Team will incorporate any changes from the client work session into the Project Program document.
j) Design Team will prepare PTS
k) Design Team will include any attachments into RFP (Part 6).
l) Cost will prepare 100% parametric estimate.
m) AIC/EIC will submit 100%RFP to PM who will send RFP to client for review
n) PM will coordinate review meeting for comment resolution.

4.2.4.3 Assemble Parts 1 - 6 into a draft RFP

1) Operational Definition:
The process of compiling the Contractual parts and the Statement of Work into a complete Request for Proposal.

2) Goal:
a) The goal is to compile the Parts 1-6 into a single, complete document that clearly demonstrates the scope and intent of the solicitation.

3) Policies:
a) The Draft RFP shall not be released for external review until a project scope/client requirements and coordination review has been completed by the PM.

4) Procedure:
a) The Team Lead (AIC/EIC) shall provide a copy of Parts 2-6 to the PM.
b) The Contract Specialist shall provide a copy of Part 1 to the PM.
c) The PM reviews the RFP in its entirety for scope/client requirements and coordination between the sections, and provides review comments to the appropriate team member.
d) The revised completed technical sections shall be provided to the Team Lead (AIC/EIC). The Contract Specialist shall revise Part 1 as appropriate.
e) The Specifications Engineer shall compile Parts 2-6 into a single PDF document and make it available to the Contract Specialist through the file server.
f) The Contract Specialist compiles Parts 1-6 into a single PDF document and provides it to the PM.

4.2.4.3 Review and Finalize the RFP

1) Operational Definition: The process used to submit the draft RFP to all appropriate reviewers, obtain comments, provide feedback to reviewers, and finalize the RFP.

2) Goal:
   a) The goal is to provide an accurate, understandable, and contractually enforceable RFP that includes all client needs and technical requirements.

3) Policies:
   a) We will not release an RFP for proposals until it has been reviewed by clients and other applicable reviewers, agreement has been obtained on the functional requirements, and no other outstanding issues exist.

   b) We will provide written feedback to all reviewers regarding their comments and resolve (or provide a plan to resolve) all outstanding issues to their satisfaction prior to releasing the RFP to proposers.

4) Procedure:
   a) The PM will route copies of the draft RFP and review comment sheet (paper or electronic copies) and cost estimate to the following:
      1. PM's Branch Head
      2. Environmental Dept
      3. ROICC Advocate (RA)
      4. Other appropriate EFD Depts.
      5. PCO (Contract Specialist)
      6. ROICC (3 copies or as requested)
      7. Claimant/Command (as requested)
      8. Public Works/BCE (# copies as requested)
      9. Facility User (# copies as requested)
      10. Technical design staff (Copy to for information and for responding to review comments)

   b) All reviewers will submit comments to the PM, preferably using the electronic Review Comment Sheet**. *Note- we are in the process of converting to use of the COE web-based system, DR Checks which will streamline steps b)-e).**
   c) Cost Engineer will complete final parametric estimate (if required).
   d) Design Staff will annotate their response/resolution on the Review Comment Sheet and return to the AIC/EIC to send to the PM. Revised technical sections shall be forwarded to the Specifications Engineer.
   e) The PM will provide feedback to all reviewers.
   f) The Specifications Engineer will finalize and assemble Parts 2-6 into a PDF file and place it, if available, of site and building drawings.
   g) The Specification Engineer will notify the Contract Specialist and PM when Parts 2-6 are available on the file server.
   h) The Contract Specialist will assemble the entire RFP into one PDF document, send an electronic copy to DAPS, post it and editable versions (for reference only) of Part 6 drawings on E-SOL, and send an archive electronic copy to the Specifications Engineer.
   i) AIC/EIC will develop technical Evaluation Factors and coordinate with PM and contracts and CM
   j) AIC/EIC will be a member of the TEB
   k) Attachments:

1. Review Comment Sheet (electronic)
2. Review Comment Sheet Transmittal Letter

4.2.5 Order of Precedence

Notwithstanding the "Order of Precedence" provisions specified in FAR Clause 52.215-33 (RFP) and FAR Clause 52.214-29, the "Order of Precedence" regarding acceptable design solutions and project requirements shall be as follows:

"Acceptance of the proposal documents in making the contract award shall not be construed as a waiver of the RFP requirements. In the event of a conflict between the RFP the proposal, and the final design, the interpretation most favorable to the Government shall prevail."

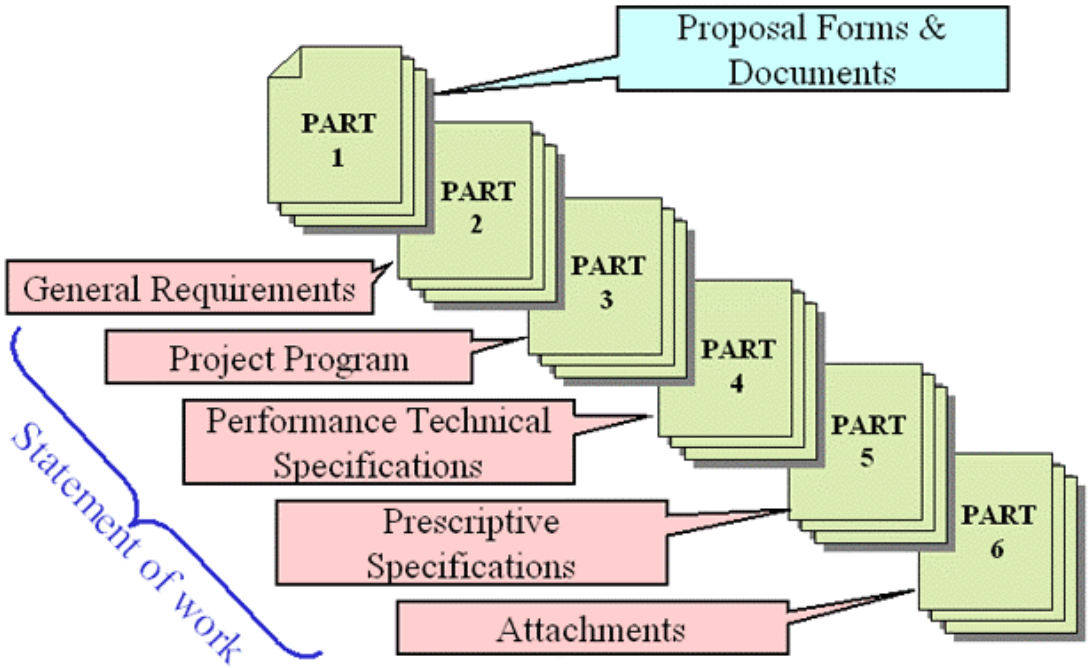
4.3 Specifications

4.3.1 General

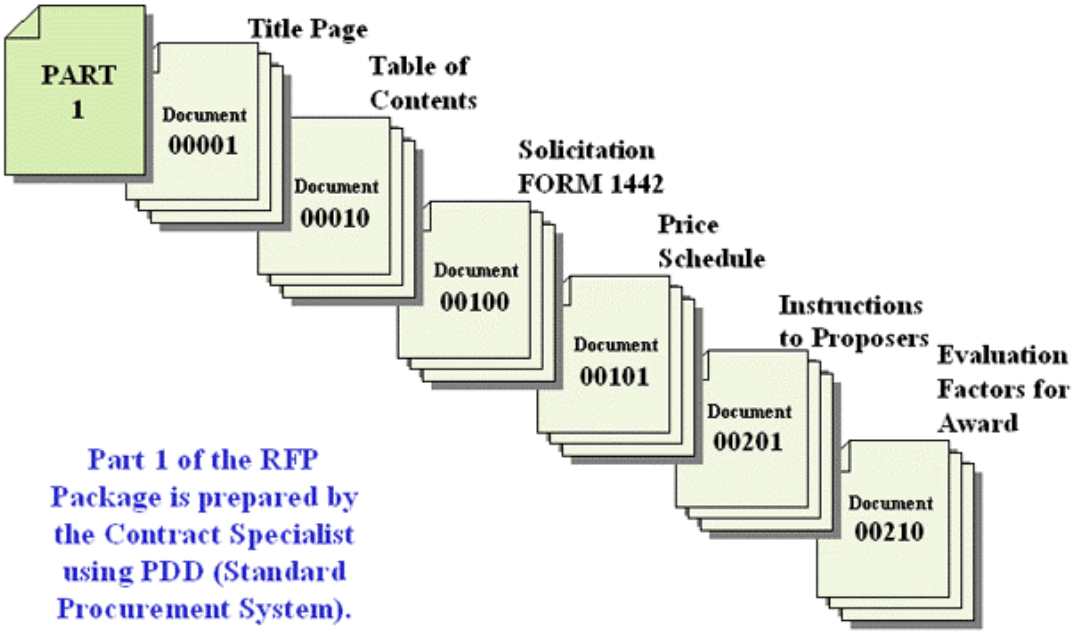
Performance, result-oriented specifications are viable DB RFP documentation of choice to focus on systems and performance requirements. Part 5 of the DB RFP solicitation documents utilize prescriptive project specifications to control quality and include DIVISION 02 through 16 - TECHNICAL SPECIFICATIONS. Prescriptive, component-oriented specifications are the most suitable mechanism to accommodate a client with highly specific needs and expectations. The NAVFAC Specsintact/SGML Guide Specifications database is the core of these specifications.

The RFP template can be accessed via www.wbdg.org/ndbm
The following charts are from the Website:

Layout of the RFP Package

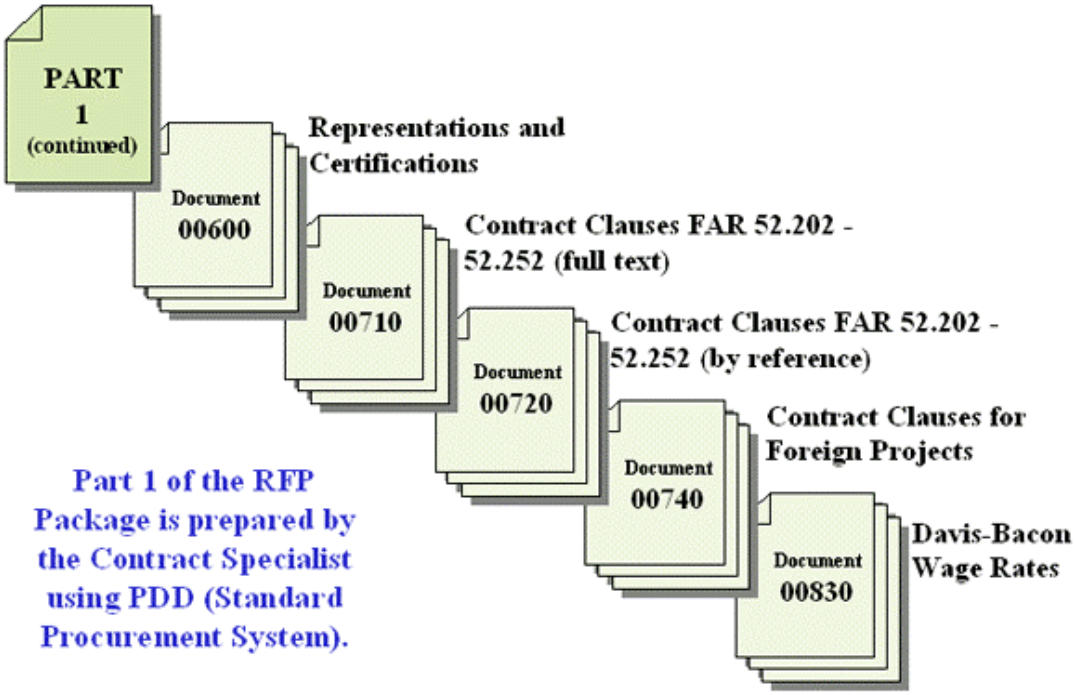


Part 1 Proposal Forms and Documents



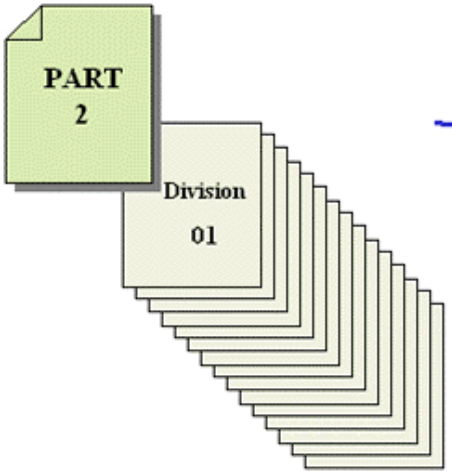
Part 1 of the RFP Package is prepared by the Contract Specialist using PDD (Standard Procurement System).

Part 1 Proposal Forms and Documents (Continued)



Part 1 of the RFP Package is prepared by the Contract Specialist using PDD (Standard Procurement System).

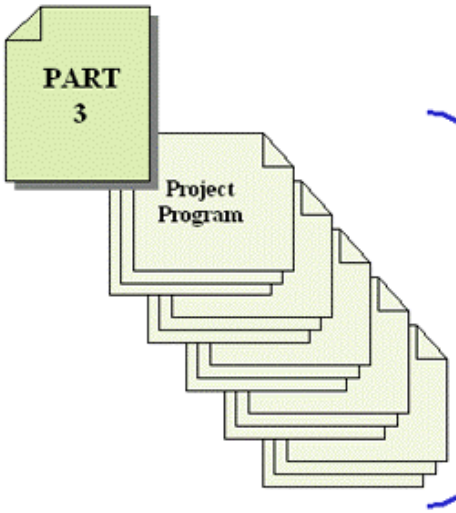
Part 2 General Requirements



Section 01006N Post Award Meetings
Section 01110N Summary of Work
Section 01140N Work Restrictions
Section 01150N Special Project Procedures
Section 01200N Price and Payment Procedures
Section 01310N Administrative Requirements
Section 01320N Design and Construction Progress Documentation (small projects)
Section 01321N Network Analysis Schedule
Section 01322N Web Based Construction Management (WEBCM)
Section 01331N Design Submittal Procedures
Section 01332N Construction Submittal Procedures
Section 01415 Metric Measurements
Section 01450N Design and Construction Quality Control
Section 01500N Temporary Facilities
Section 01525 Safety Requirements
Section 01572 Construction and Demolition Waste Management (large demo)
Section 01575N Temporary Environmental Controls
Section 01580N Project Identification
Section 01670 Recycled/Recovered Materials
Section 01770N Closeout Procedures
Section 01781 Operation and Maintenance Data
Section 01782N Facilities Operation and Maintenance Support Information (OMSI)

Part 2 of the RFP Package is prepared by the Specifications Engineer using standard UFGS's and special design-build UFGS's

Part 3 Project Program



COVER PAGE
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1. PROJECT DESCRIPTION
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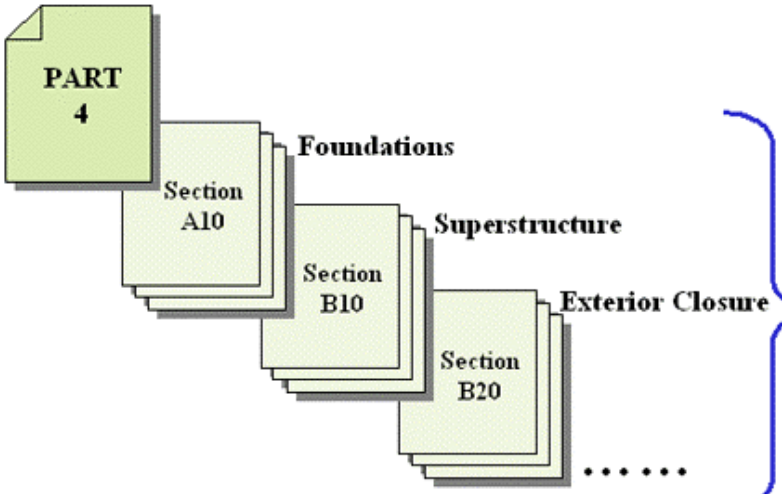
   - 2.1 Mission Statement
   - 2.2 Facility Function
   - 2.3 Project Specific Priorities
   - 2.4 Appropriate Design
   - 2.5 Workflow Process
   - 2.6 Special Design Challenges
   - 2.7 Adaptability and Flexibility
3. SITE ANALYSIS
   - 3.1 Existing Site Conditions
   - 3.2 Site Development Requirements
4. BUILDING REQUIREMENTS
   - 4.1 Space Tabulation
   - 4.2 Space Relationships
   - 4.3 Exterior Character
5. ROOM REQUIREMENTS
6. ENGINEERING SYSTEMS REQUIREMENTS
   - A10 Foundations
   - A20 Basement Construction
   - B10 Superstructure
   - B20 Exterior Closure
   - B30 Roofing
   - C10 Interior Construction
   - C20 Stairs
   - C30 Interior Finishes
   - D10 Conveying Systems
   - D20 Plumbing
   - D30 HVAC
   - D40 Fire Protection Systems
   - D50 Electrical Power and Lighting
   - E10 Equipment
   - E20 Furnishings
   - F10 Special Construction
   - F20 Selective Building Demolition
   - G10 Site Preparations
   - G20 Site Improvements
   - G30 Site Mechanical Utilities
   - G40 Site Electrical Utilities

Part 3 of the RFP Package is prepared by the Project Technical Team.

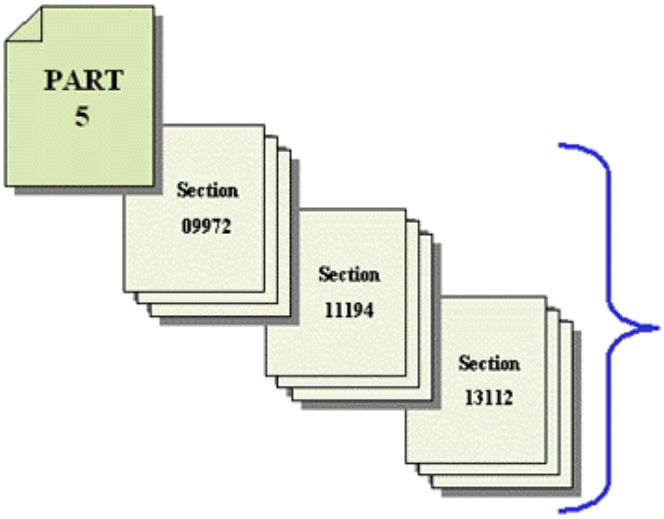
Part 4 Performance Technical Specifications



The Performance Technical Specifications used will depend on the Project requirements. Technical Team members edit the PTS guides for requirements within their design discipline.

Part 4 of the RFP Package is prepared by the Project Technical Team.

Part 5 Prescriptive Specifications

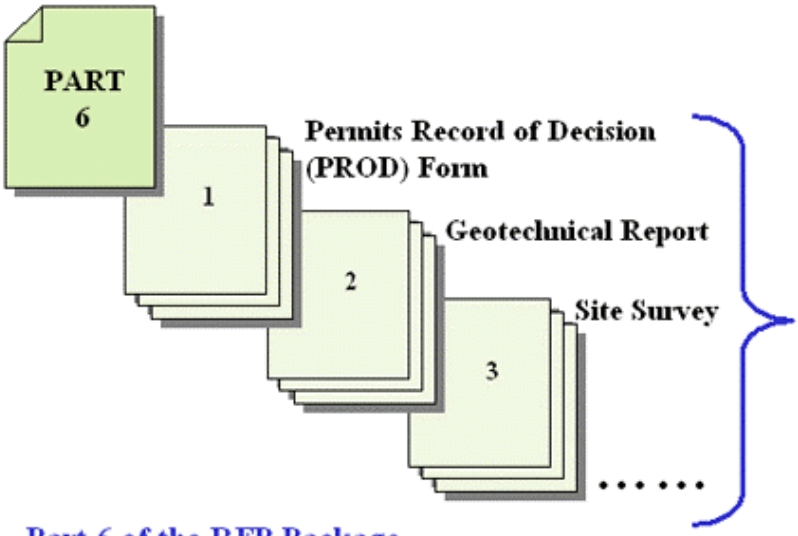


Prescriptive specifications should only be used when performance specifications will not meet the particular project requirements.

Prescriptive Specifications are prepared from UFGS's edited for the requirements of the project. The number and type used will vary based on the project requirements. (The section numbers shown are for example only.)

Part 5 of the RFP Package is prepared by the Project Technical Team.

Part 6 Attachments



The Attachments used will depend on the project requirements but generally include the ones shown. Each Technical Team member prepares attachments required for their discipline. Attachments may be in 8-1/2 X 11, 11 X 17 or D-size drawing format.

Part 6 of the RFP Package is prepared by the Project Technical Team.

4.3.2 Division 00 - Documents

4.3.2.1 General

DIVISION 00 - DOCUMENTS: These specifications are developed by Contracts Office and are similar to those of DBB. DB RFP solicitation documents include Section 00201, "Instructions to Proposers" and Section 00202, "Evaluation Factors for Award". DB solicitation documents include Section 00120, "Supplementary Instructions to Bidders".

4.3.3 Division 01 - General Requirements

4.3.3.1 General

DIVISION 01 - GENERAL REQUIREMENTS: These specifications are similar to those of DBB. The most notable exception is the requirement for the inclusion of Section 01331N, "Design Submittal Procedures". This section provides the requirements for the DB contractor's design drawings, specifications and references UFC (Unified Facility Requirement) for design procedures and design guides. These documents are available at the NDBM web site: www.wbdg.org/ndbm. ***Please note that these sections were developed based on particular building types, but can be edited to suit other project types.***

4.3.3.2 Design-Build Criteria

"Design-Build Criteria" is the most critical part of DB solicitation documents and must clearly specify the client's needs and project criteria, including civil/site work, geotechnical, landscaping, architectural, structural, fire protection, mechanical, and electrical systems and requirements. Often, it is helpful to attach appendices, which may include permits, typical room plans, finish schedules, landscaping schedules, and existing site plans. This section includes multi-discipline project criteria and requires input from all project disciplines and full coordination of all designers.

Project requirements specified, "Design-Build Criteria" shall include, but are not limited to, the following:

- Public Law requires Metric Design
- Public Law requires Energy Study

Manuals, Standards, and References
Design Permits
Field Tests
Civil/Site work Design

- Water Distribution Systems

Structural Design

- Foundations and Slabs
- Design Loads
- Structural Steel
- Framing

- Site Planning
- Site Clearing, Earthwork, and Drainage
- Streets and Walks
- Amenities
- Fencing and Site Security

Geotechnical Design

- Soils Data
- Foundation Type

Landscaping Design

- Planting and Vegetation
- Landforms
- Maintenance
- Irrigation Systems

Architectural Design

- Facility Description
- Area Quantities and Limitations
- Functions
- Rooms and Spaces
- Specialty Items
- ADA Accessibility
- Wall Construction
- Finishes
- Roofing Systems
- Doors, Windows, and Hardware
- Building Acoustics
- Sustainable Design

Fire Protection Design

- Sprinkler Systems
- Fire Alarms

Mechanical Design

- HVAC System Selection
- Temperature Design Conditions
- Design Energy Target
- Outside Air Considerations
- HVAC Equipment Information
- Controls
- Testing, Adjusting, and Balancing

Electrical Design

- Distribution Systems
- Emergency Power
- Lighting and Power
- Lighting Levels
- Site Lighting
- CATV Service
- Telephone and Data Service
- Surveillance Systems

4.3.3.3 "Design Documents"

"Design Documents" specifies contractor-originated design document requirements, including design submittal, review, and approval procedures. This section shall clearly define design drawing and specification submittal requirements, distribution, review and comment resolution, final design approval and authorization to proceed, and methods for managing "fast-track" construction. See Chapter 6 for more information.

4.3.3.4 Miscellaneous

Other DIVISION 01 - GENERAL REQUIREMENTS specification modifications are necessary when preparing DB solicitation documents. These modifications include revisions to several NAVFAC Specsintact/SGML Guide Specifications and are fully noted in Guide Specification, "Design-Build Criteria". The modifications are required for both DB RFP and acquisitions and are summarized as follows:

- "Summary of Work"
  - Pre-design Meeting

- "Administrative Requirements"

  - Partnering

- "Submittal Procedures"

  - Submittal Requirements
  - Authorized Reviewer
  - Submittal Register

- "Quality Control"

  - Submittal Review and Approval Plan and Log
  - Designer of Record

4.3.4 Performance Technical Specifications

The purpose of these specifications is to ensure the use of acceptable materials with standardized industry-proven products. Material and product quantities, thermal values, design loads, and other critical information generally indicated on design drawings must be incorporated into the project specifications. The DB contractor is required to submit complete project construction drawings and specifications.

4.4 Drawings

4.4.1 General

Contracts for DB projects require the Contractor to provide complete construction documents, including 100 percent construction drawings and specifications. DB RFP design drawings should be minimized to allow the DB contractor maximum design flexibility. The intent is to realize construction quality, cost savings, and timesavings by allowing the DB contractor the opportunity to make design decisions based on the contractor's unique strengths and experience. However, complex site issues, specialized space requirements, mandatory facility criteria, specific client requirements, HVAC system selection, and other issues may require the inclusion of partial design drawings in the DB RFP solicitation documents. The decision to include or exclude partial design drawings and the level to which design drawings are developed should be driven by the type of delivery system, the project criteria, and the individual client's needs.

4.4.2 Design-Build RFP Drawings

Technical evaluations of DB proposals should minimize the need for partial design drawings in the solicitation documents; and in some cases, may eliminate the need for design drawings completely. Technical evaluations generally include conceptual drawings from the proposers allowing the Government the opportunity to compare separate design options.

4.4.3 Design-Build Drawings

Design-Build solicitation documents may utilize "bridging" documents. These may include existing site drawings and conceptual architectural drawings, including floor plans and finish schedules. Other project criteria may warrant the need for minimal mechanical and electrical drawings. However, mechanical and electrical systems specified in Part 3, Project Program, and supported by the appropriate technical specifications should sufficiently convey project requirements. Likewise, structural and fire protection system requirements should be incorporated into the specifications, eliminating the need for supplementary drawings.

4.4.4 Amendments

1) Operational Definitions:
   a) Amendments – Once a project has been advertised, changes or additions to the RFP documents are accomplished by issuing "amendments" for pre-award changes or "modifications" for post-award changes.

2) Goal:
   a) The goal is to provide a consistent method and format for incorporating required pre-award changes into the RFP documents.

3) Polices:
   a) The Project Manager is responsible for coordinating preparation of RFP Amendments.
   b) The Contractor Specialist is responsible for issuing Amendments to Proposers and posting Amendments on the Web.

   c) The formatting of all RFP Amendments shall follow the same format as the original RFP.

4) Procedures:
   a) The Project Manager shall coordinate with the Contract Specialist to establish schedule for Amendments.
   b) The Project Manager shall prepare Amendments as a Word document and provide to the Contract Specialist for importing into PPD. Drawings and other Attachments shall be provided as PDF files.
   c) The following format shall be used for numbering and designating the Sections, Parts and Attachments affected by the Amendment:

AMENDMENT FORMAT: Amendments must follow the same order as the RFP documents, with each amended item referencing the appropriate Section, Part and Attachment by number and title.

4.5 SUMMARY

The format and content of DB RFP solicitation documents are key elements in achieving successful project deliveries. The preparer and client must use discretion when determining the level of design restrictions imposed on the DB contractor. The "What"-operational, functional and performance requirements, are more important than the

"How". Flexibility relative to design decisions, building materials, and systems will enable contractors to provide design solutions that take advantage of their unique strengths and experience. Subsequent benefits realized may include cost savings, timesavings, faster project deliveries, and single source responsibility for design and construction.

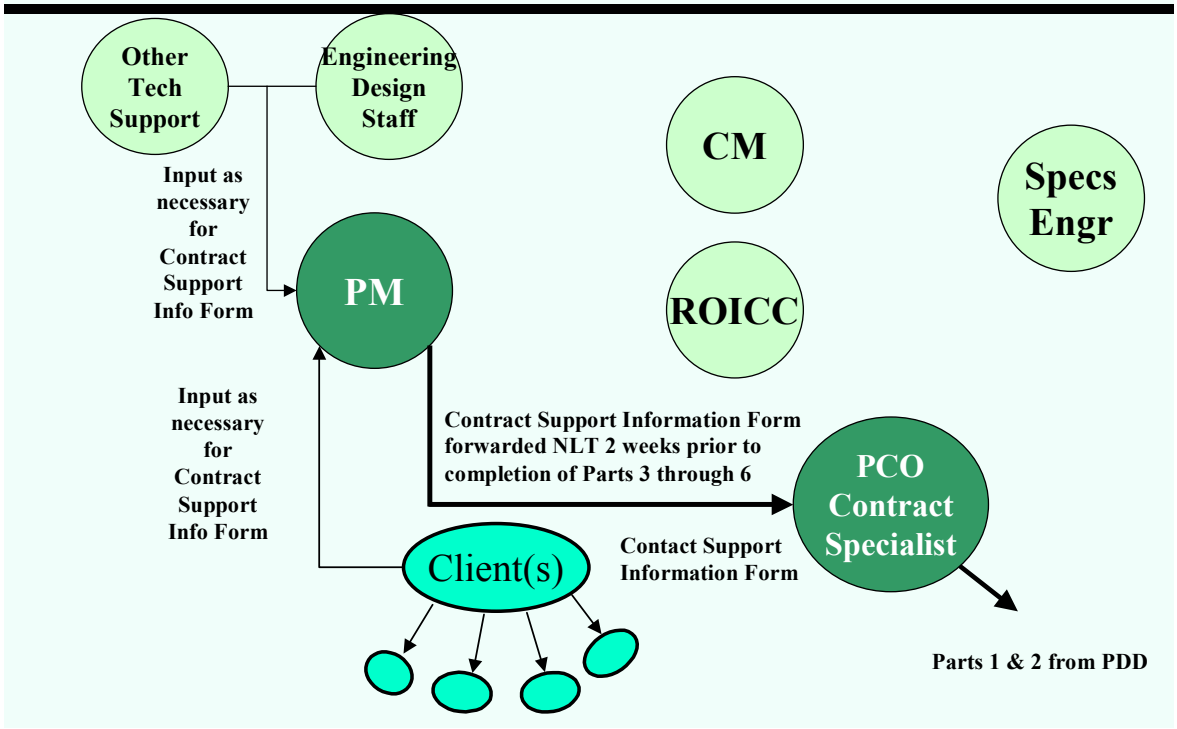
Flowcharts for RFP Development:

RFP Development Flowchart

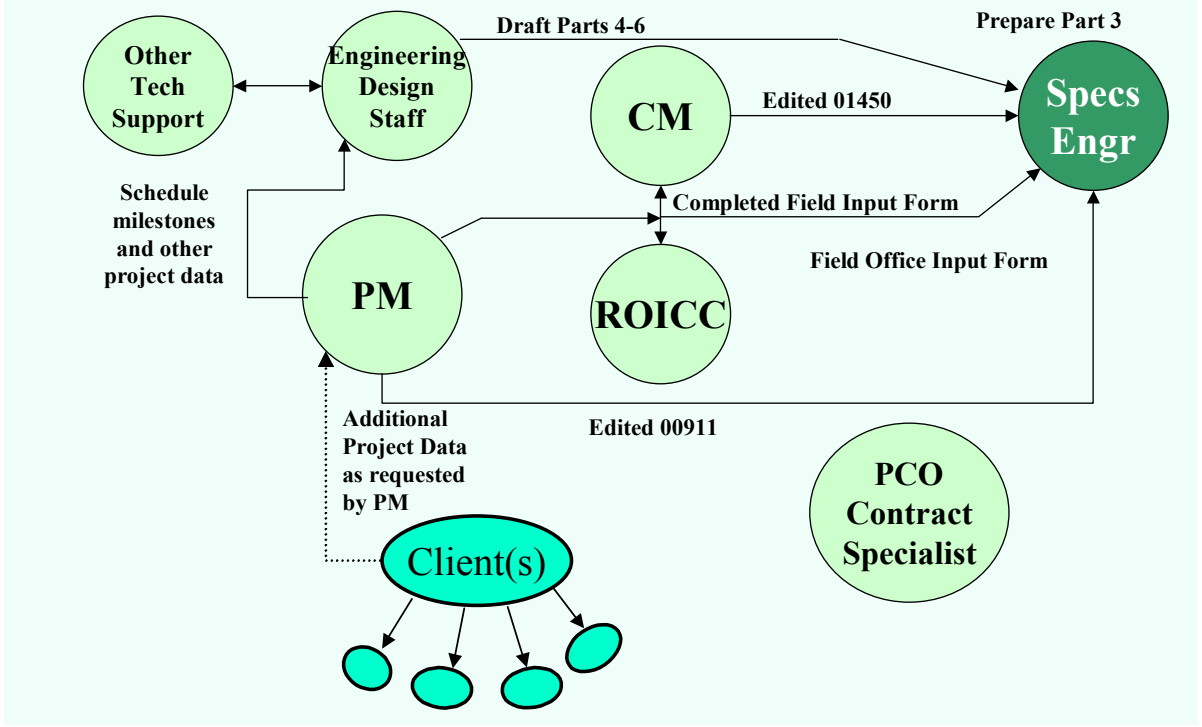
Purpose: Develop, review, and issue an RFP that communicates project requirements to proposers; defines contractor selection criteria, and defines administrative and technical contract compliance procedures.

Product/Service: Final RFP ready to be issued.

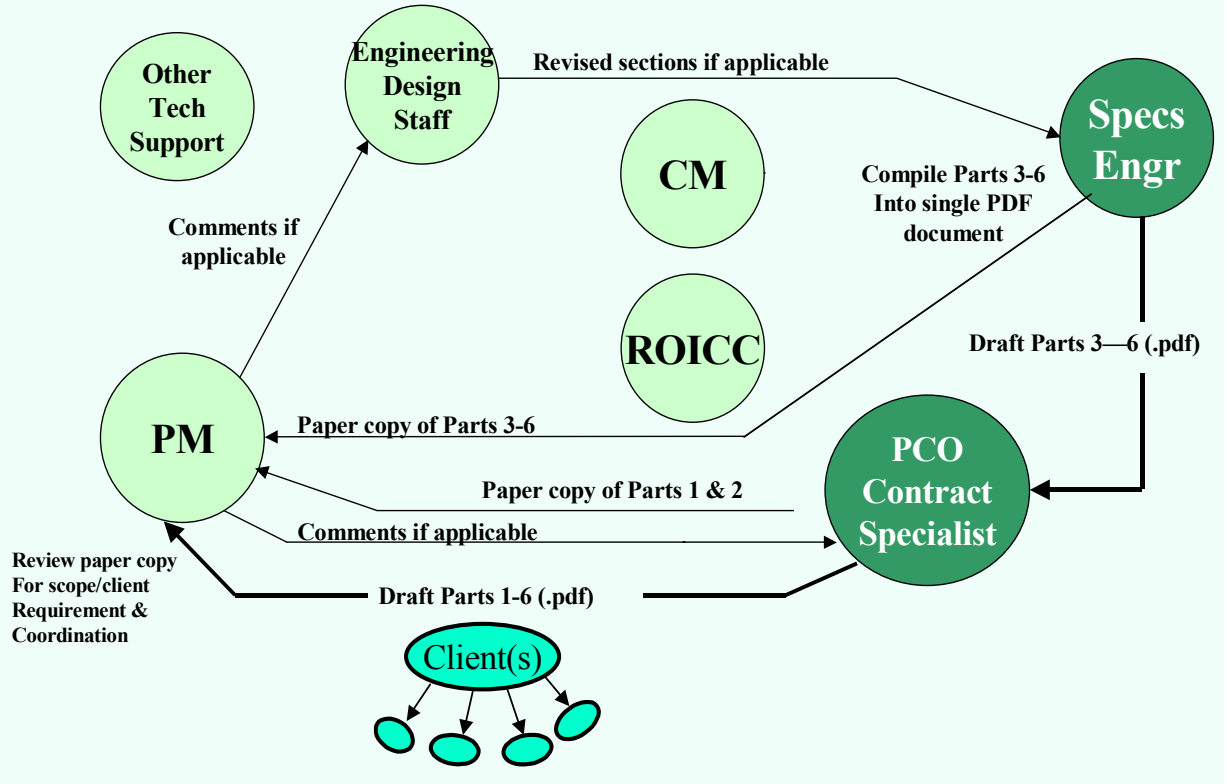
Prepare Parts 1 & 2



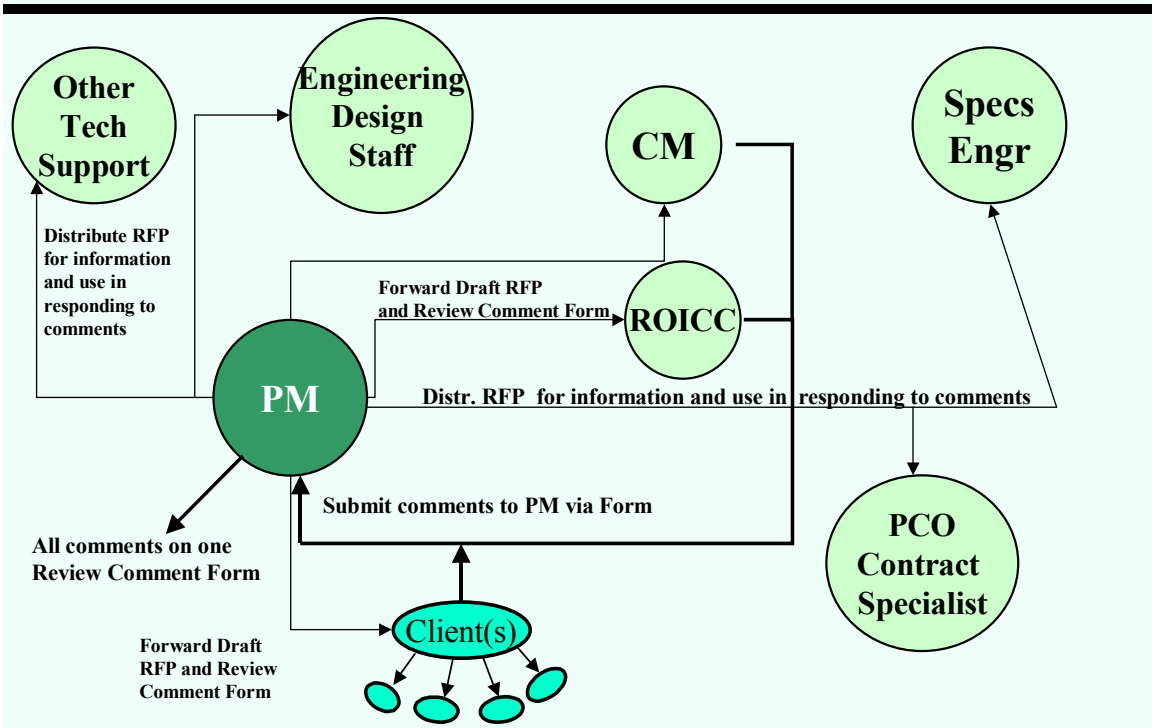
Prepare Parts 3 - 6



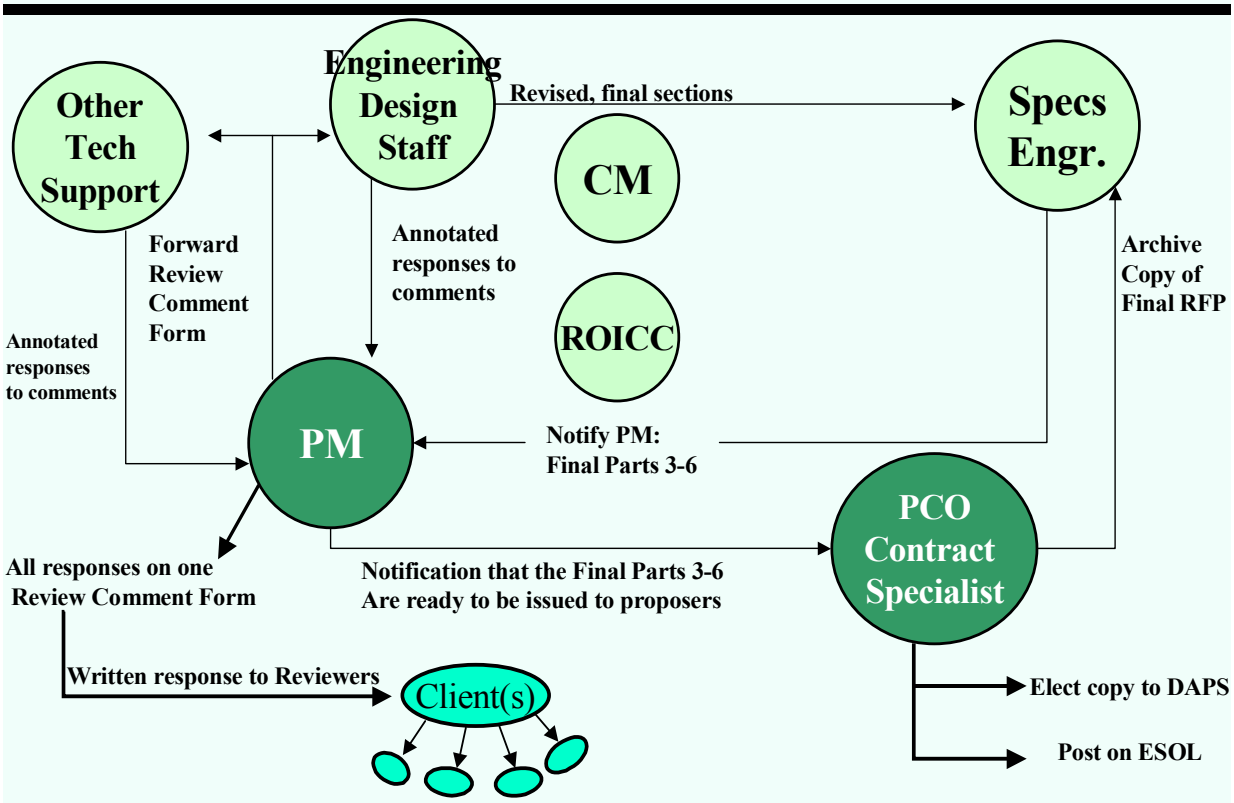
Assemble Parts 1-6 into draft RFP



Review the RFP



Finalizing the RFP



RFP Development
Roles and Responsibilities

- Project Manager (PM)
  - Maintain high level of communication with full team
  - Lead for Client interface
  - Receive and distribute Draft RFP for external review; include electronic Review Comment Form
  - Establish the date all comments are due back to PM (both EFD and client comments)
  - Review the Draft RFP for correctness, completeness and consistency
  - Consolidate all comments into a single Review Comment Form and provide to section authors
    - Resolve conflicting comments
    - Delete invalid comments
    - Determine whether or not comment is within scope
    - Assure comment is in compliance with project scope
  - Discuss significant issues
  - Provide written feedback to reviewers (via Review Comment Form) on the resolution of their comments (especially clients)
  - Notify the (delete-? Release the RFP to) PCO Contract Specialist that the final parts 2-6 are on the file server and project is authorized for advertisement

- Specifications Engineer
  - Prepare Part 2
  - Receive other Parts of SOW from Technical Team
  - Assemble the draft Parts 2-6 and forward to PM
  - Resolve & incorporate comments relating to Part 2
  - Provide written comments to the PM via the Review Comment Form
  - Edit and Assemble the Final Parts 2-6
  - Place Parts 2-6 on share drive and notify PM
  - (delete ? – PCO Contract Specialist)

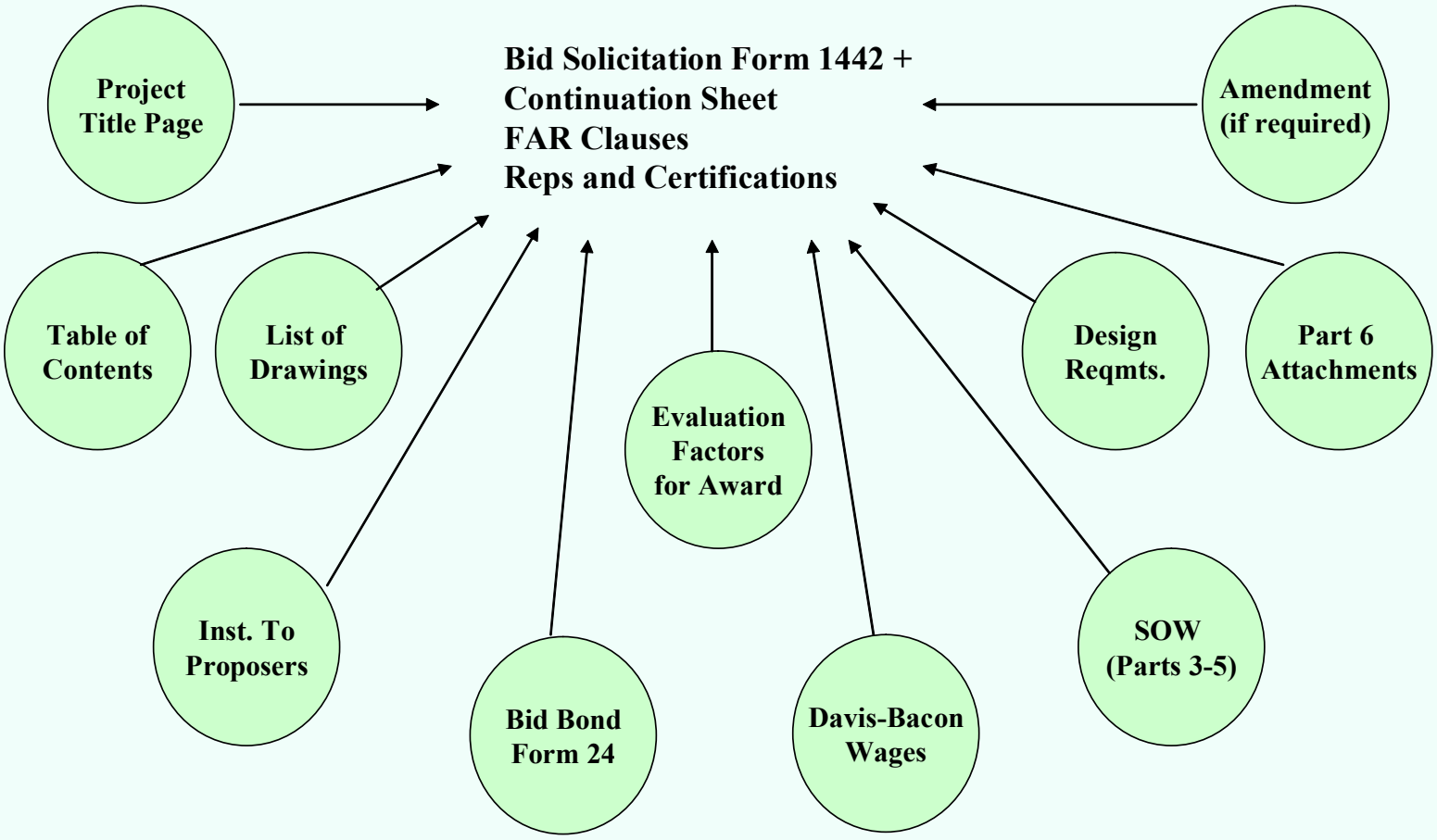
- Engineer and Design Personnel
  - Provide their discipline sections to Specification Engineer
  - Resolve and incorporate comments relating the their disciplines
  - Provide written comments to the PM via the Review Comment Form
  - Provide revised sections to Specification Engineer (many places elsewhere call this person the "author"- need to be consistent
  - Provide permitting requirements to the Specification Engineer

RFP Development
Roles and Responsibilities (Cont.)

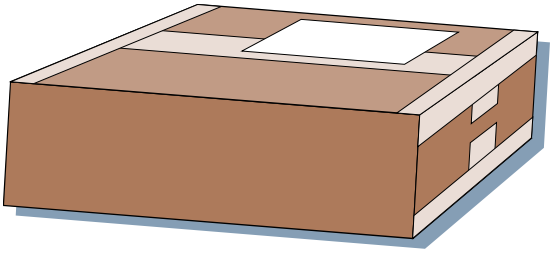
- Client
  - Review draft RFP to insure all requirements are included.
  - Provide written comments in the Review Comment Form and submit to the PM
- Integrated Product Team (IPT)
  - Review draft RFP to insure all requirements are included.
  - Provide written comments in the Review Comment Form and submit to the PM
- Contract Specialist
  - Prepare Part 1 of the RFP using PDD
  - Insure RFP is in accordance with the Source Selection Plan
  - Compile draft RFP into a single document
  - Forward final RFP to DAPS and post on E-SOL; copy to Specifications Branch
- Resident Officer in Charge of Construction (ROICC)
  - Review draft RFP to insure all requirements are included.
  - Provide written comments in the Review Comment Form and submit to the PM

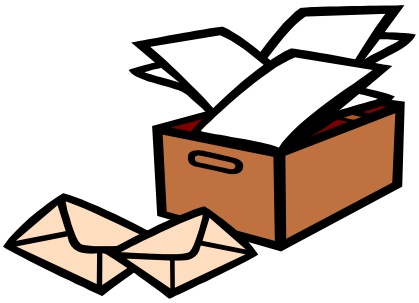
Use of PDD in Generating the RFP

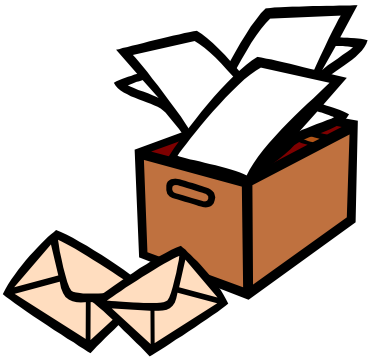
PDD – Generated

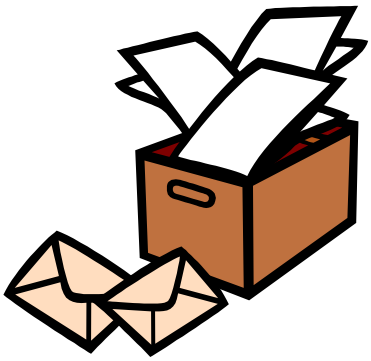


CHAPTER 5 – TWO PHASE DESIGN-BUILD RFP PROPOSAL EVALUATION









CHAPTER 5 - TWO PHASE DESIGN-BUILD PROPOSAL EVALUATION

Objective:

Describe the TEB/PEB/SSB evaluation procedures used in a Two Phase Design-Build RFP to form the basis for contract award.

5.1 TECHNICAL EVALUATION BOARD

Personnel from contracts, project management, design, construction, counsel, as well as representatives from the activity and using agency should be involved in the evaluation process. The members from design should be composed of architects and engineers representing functional and technical disciplines appropriate for the specific project. Ideal team membership will include members of the RFP design development team.

5.1.1 TEB Evaluation Process

The TEB evaluates the offeror's contract proposal in a Two Phase process to determine the most advantageous proposal to the Government and recommend contract award. The process consists of two separate evaluations of Phase One and Phase Two proposals. The suggested evaluation factors of each phase are noted herein. ***The proposals shall be individually evaluated and not initially compared with the other proposals***. The TEB shall insure that the evaluation process is organized for timely execution and detailed enough to judge the technical performance and qualities of the proposal. The TEB shall be objective and consistent to ensure fairness to all offerors. The TEB's function is to evaluate each proposal in relation to the solicitation requirements and evaluation criteria. The TEB ensures that the offeror's proposal meets the terms of the RFP. The proposals will be evaluated in terms of listing their strengths and weaknesses. The written narrative shall rank the technical proposals.

5.1.1.1 Phase One

The Phase One evaluation will narrow the field of offerors (up to five firms) based on the evaluation factors noted below to a maximum of five qualified firms. A detailed description of the requirements of each evaluation factor can be found in the RFP and shall include the following:

- Past Performance (mandatory)
- Technical Qualifications and/or Experience (highly recommended, but optional)
- Small Business Subcontractor Effort (mandatory)

5.1.1.2 Phase Two

During Phase Two the offeror's technical proposal is evaluated based on the factors noted below. A detailed description of the requirements of each evaluation factor can be found in the RFP and shall include the following:

- Past Performance

- Technical Qualifications
- Small Business Subcontractor Effort

Note: Ratings for these first three factors would be the same as during Phase One unless the Contractor submits revised information.

- Technical Solution (highly recommended, but optional, see note below)
  - Team Identification
  - Design Solution Narratives
  - Conceptual Site Plans
  - Conceptual Building Designs
  - Sustainable Design features
  - Additional Project Specific Requirements

Note: A technical solution gives confirmation that the broad scope functional requirements of the facility user's highly specific functional needs are understood by the contractor. In addition, the technical solutions allow the evaluation of narrow scope product items required by the facility user.

5.1.1.3 Rating Scheme

The following rating system shall be used as a guide in determining **Overall Technical Acceptability** of each phase of each proposal:

Superior (S): The proposal exceeds the requirements of the RFP and provides an exceptional or outstanding approach, which fully satisfies the Government's requirements. A complete understanding of the solicitation is demonstrated. Selection for Phase Two may be made without exchanges with the offeror.

Acceptable (A): The proposal fully satisfies the requirements of the RFP and demonstrates a good understanding of the solicitation. The offeror has adequately addressed all of the technical elements requested by the RFP. Selection for Phase Two may be made without exchanges.

Unacceptable but capable of being acceptable (UCA): The proposal does not fully meet the requirements of the RFP. Weaknesses are identified which would indicate an insufficient understanding of the RFP requirements. With minor revisions or clarifications, the proposal has a reasonable chance of becoming technically acceptable.

Unacceptable (U): The proposal fails to satisfy requirements of the RFP and the approach contains an unacceptable level of risk to the government. Major deficiencies have been identified in the proposal which are either not correctable or would require major revision/rewrite to the proposal, without which the proposal does not have a reasonable chance of becoming technically acceptable.

5.1.2 Proposal Parameters

Offerors shall submit an original and copies as defined in the RFP for each Phase, with appropriate page limitations. Catalogue cuts, brochures, or other pre-printed material may be submitted as long as this material does not exceed the page limitation. Proposals violating these parameters shall be determined non-responsive.

5.2 Price Evaluation Board

Analysis of price can be accomplished in two ways. The Source Selection Board (SSB) can include a Price Advisor, which is normally the case when the basis of price evaluation is not complicated. If the pricing parameters are more complicated, a separate Price Evaluation Board (PEB) is designated.

5.2.1 Functions of the Price Evaluation Board

The PEB uses price analysis as described in FAR Part 15.805-2 to determine proposed prices are reasonable and verifies pricing information is in agreement with RFP submittal requirements. When these steps are complete, they prepare a summary price report for the SSB, which discusses the following for each price proposal, received:

- The accuracy of the submitted price data
- Any skewed or inappropriately priced contract line items
- The offeror's apparent understanding of the financial effort required to accomplish specification requirements
- Consistency with the technical proposal

Upon completion of the Price Report, but prior to submittal to the SSB, the PEB meets with the TEB and the Contracting Officer to discuss pricing information as it relates to the technical proposal. The SSB is then briefed on the findings of the submitted price proposals. If required, the PEB prepares written clarification, communication, or discussion questions, as applicable, regarding pricing issues. Revised price proposals will be reviewed by the PEB to determine if adjustments are reasonable, and report analysis to SSB. All proposals will be collected and secured when not in use.

5.3 Source Selection Board (SSB)

A Source Selection Board is required for all source selections, and is typically comprised of senior technical and acquisition personnel, and normally includes client representatives as well. They are responsible for maintaining the confidentiality of the entire source selection process.

5.3.1 Functions of the SSB

The SSB assists in developing selection criteria (factors). After having been briefed by the TEB, the SSB reviews all TEB documentation. They rank the proposals based on technical evaluations in Phase One. A competitive range of offerors is recommended to the Source Selection Authority (SSA) based on initial proposals. ***A maximum of five***

qualified proposers will normally be included in the competitive range. The competitive range consists of proposals that are technically acceptable and may or may not include borderline proposals that are capable of being made acceptable. The SSB determines whether discussions are required, and the extent of technical exchanges needed with one or more proposers in the competitive range. After receiving Phase Two proposals from only those proposers in the competitive range, and having been briefed by the TEB (and PEB in some cases), they again rank the proposals. Based on this ranking, the SSB provides recommendations to the SSA. They will either recommend further discussions with the proposers in the competitive range or recommend award to the best value proposal.

5.3.2 Award of Contract

Upon completion if all contractual requirements and approvals the contract will be awarded to the successful proposer. All unsuccessful proposers will be notified immediately by letter. Each interested parties may request a debriefing of their proposal, in accordance with FAR 15.506.

CHAPTER 6 – POST – AWARD CONTRACT ADMINISTRATION

CHAPTER 6.0 - Post Award Contract Administration

Operational Definition:
The process used to finalize design and build the facility.

Goals:
Integrate the design and build processes to complete an optimum quality facility.

Policy:

a) We will never compromise safety!
b) We will never compromise environmental compliance!
c) A Post Award kickoff meeting will be held for every Design-Build project.
d) Encourage use of commercial standards and product specific designs to the maximum extent possible.
e) Allow the contractor to produce the minimum documentation required to demonstrate compliance with the contract, construct the facility and facilitate acceptance by the government.
f) Maximize the contractor's "single point of responsibility" for design and construction.
g) Effectively utilize the contractor's dual responsibility for design and construction to promote more effective and efficient use of proactive problem solving by the contractor.
h) Use interim contractor evaluations to communicate with and maximize the contractor's production and quality/safety
i) Be **Schedule Driven** through the use of Critical Path Method scheduling (SureTrak/Primavera). Account for production (design and construction), construction quality management, RFIs, contract modifications & submittals, permitting and contractor performance evaluation within a single project schedule.
j) Be **Quality Focused** through a consistent, continuous quality process utilizing a 3-phase approach (preparatory, initial and follow-up/finalization) to integrate design and construction.
k) Standard Operation Practices for:
    a) Design & Construction Management Overview Responsibilities
    b) Partnering
    c) Post Award Kickoff
    d) Production meetings
    e) Preparatory meeting for construction
    f) Schedule
    g) Quality Management
        i) Mutual Understanding meeting
        ii) Develop new performance based QA/QC spec (design + construction)
    h) Design Development and acceptance
    i) Submittals
    j) Permits
    k) Safety
    l) Invoices and Payments
    m) Evaluation of Contractor Performance
    n) Request for Information (RFI)

o) Modifications to Contracts
p) Dispute Resolution
q) Final acceptance and turnover
r) Facility Commissioning

6.1. Post Award Kickoff Meeting

1) Operational Definition
Post Award Kickoff Meeting: The initial conference held after contract award.

2) Goals
a) Integrate the contractor and all client representatives into the project team.
b) Achieve consensus from the project team on any issues and concerns on the Phase II technical proposal, if applicable.
c) Establish and explain policies and procedures for completion of a successful project (to include environmental).
d) Establish clear (government voice) direction and lines of communication to the contractor.
e) Establish clear (contractor voice) lines of communication to the government.
f) Obtain approved conceptual site and floor plans upon completion of the meeting as appropriate.

3) Policy
a) The ROICC is responsible to schedule and chair the post award kickoff meeting and ensure that all stakeholders are present. The contracting officer, project manager (EIC/AIC) and appropriate ROICC staff shall lead discussions on their areas of expertise.
b) The PCO, with appropriate technical support, shall debrief the contractor regarding the strengths and weaknesses of his proposal at least one week prior to the meeting if the contractor chooses to do this.
c) Changes to the contractor's proposal that result in cost and time growth should be avoided. Minor adjustments are anticipated that do not result in cost and time growth to the contract.
d) If the contract requires formal partnering sessions, the initial meeting should be held in conjunction with the post award kickoff meeting if possible.

4) References
a) Post Award Kickoff Meeting Agenda
b) RFP, Specification Section, Design Requirements
c) Electronic Review Comment form
d) Request for Information (RFI) form

5) Procedure
The government should conduct the meeting by customizing the agenda. The AROICC/AREICC shall provide meeting minutes. The PM will provide written input to the AROICC/AREICC for use in producing the minutes. The following issues should be discussed:
1) Introduction and Overview
i) Introductions & agenda
ii) Contract overview

iii) DB model & website

2) Local Issues
   i) Badges & vehicle passes
   ii) Welding/hot work permits
   iii) Photographs
   iv) Outages
   v) Forms

3) Scheduling & Submittals
   i) Contractor schedule presentation
   ii) Product data & specifications
   iii) Design submittals & reviews
   iv) Construction Submittals, Shop drawings & samples
   v) Schedule management
4) Presentation and discussion of design concept
   i) Contractor's conceptual design solution presentation
   ii) Client input to the design concept.
   iii) Designer working session
   iv) Methodology for incorporating permit requirement in the design
5) Contract Administration
   i) Insurance & bond
   ii) Schedule of prices
   iii) Progress payments
   iv) Labor laws
   v) Evaluations
   vi) Contract modifications
   vii) Disputes
   viii) Buy American
   ix) Other contracts
   x) Differing site conditions
6) Construction Management
   i) Job safety
   ii) Permits- ensure client specific procedure are understood by the contractor to have operational permit application packages processed.
   iii) Photographs
   iv) Environmental protection
   v) Protection of existing vegetation, structures, equipment, utilities & improvements
   vi) Disposal of construction debris
   vii) Asbestos abatement
   viii) Operation and storage areas
   ix) Contractor Quality Control
   x) Inspection of construction
   xi) Production meetings
   xii) Work outside normal working hours
   xiii) RFIs
   xiv) Record / as-built drawings
   xv) Order of precedence
   xvi) Commissioning

7) Final Concept Design Approval
   i) Final design concept solution and signatures

8) Initial Partnering (if applicable)

6.2. Production Meetings

1) Operational Definition

Regularly scheduled meetings throughout the contract duration conducted with key members of the DesignBuild team where an established agenda of fundamental production issues is reviewed.

2) Goal:

To optimize the Government/Contractor team's performance by having a regularly planned session that directs the collective focus of the team on essential items necessary for the successful execution of the contract.

3) Policies:

a) The AROICC/AREICC will chair the Production Meetings.
b) The PM will participate in all Production Meetings (via telephone or in person).
c) Production Meetings shall commence two weeks after the post award kickoff meeting, and will be conducted on a weekly or bi-weekly basis, as appropriate.

4) Procedures:

a) The following personnel shall attend these meetings (via telephone or in person) based on need as determined by the <u>AROICC and PM</u>:

- AROICC/AREICC
- PM
- LANTDIV Tech Staff
- ROICC Eng Tech
- Contractor's PM
- Contractor's scheduler if a separate person
- Contractor's QC Manager
- Contractor's Design Manager
- Contractor's Superintendent
- other members of contractor's design & construction team as appropriate

b) The PM shall lead discussions <u>in support of the AROICC</u> pertaining to design, coordinate with A/E and resolve design follow-up issues. The PM will provide written input to the AROICC/AREICC for use in producing the meeting minutes. <u>The AROICC, with significant support from the PM & EIC/AIC, will ensure that Government design comments do no exceed contract requirements. Out of scope requirements can accumulate, resulting in unexpected and costly contract modifications.</u>

c) The agenda for these meetings shall be the same during all phases of the project (design, design & construction, construction), and shall be as follows:

i) Safety

ii) Current schedule status (what got done and didn't get done)
iii) Submittals status
iv) RFI status
v) Pending modifications
vi) Quality issues/concerns
vii) Schedule analysis and planning

**** Downloadable detailed description of the discussions to be covered during each of the agenda topics and meeting minutes template can be viewed and printed.

d) The meeting minutes shall:
i) Identify attendees
ii) Document the discussions under each agenda heading.
iii) Make specific reference to the RFI log, modification log, submittal log, deficiency/rework log, and activities within the schedule when necessary.
iv) Assign responsible parties for all action items that are identified.
v) Be accurate (tell the whole story… both government and contractor concerns).
vi) Be prompt (publish within 1 week of the meeting).

6.3. Schedule

1) Operational Definition:
The deliberate plan, built in critical path logic, which will guide the actions of DesignBuild team from contract award through design finalization and construction completion.

2) Goal:
The schedule is the tool used by all DesignBuild team members for effective production planning, quality management, performance and payment evaluation, and Government (including client)/Contractor coordination.

3) Policies:
a) Be ***Schedule Driven***. Use the schedule as the basis for prioritizing production actions, planning quality management, coordinating Government/Contractor efforts and informing our client.
b) A comprehensive critical-path-method (CPM) schedule will be developed on all projects by the Contractor and approved by the AROICC/AREICC with support from the PM and ENG TECH.
c) CPM schedules will be developed using Primavera SureTrak scheduling software (as described in the contract specification). Be realistic when developing the baseline schedule… don't over-promise and under-deliver.
d) The AROICC/AREICC and PM must both be competent in their knowledge of Primavera SureTrak
e) The AROICC/AREICC, PM, ENG TECH and the Contractor share responsibility to keep the project on schedule. <u>The AROICC leads the team that ensures the design and construction remains on schedule.</u>

4) References:
   a) Specification Section, Contract Schedule for DesignBuild Contracts.

5) Procedures:

   a) See reference (a) for review/approval guidance.

   b) As part of the source selection process, the Contractor's initial schedule may have been submitted and evaluated. At the post award kick off meeting a schedule will be submitted showing full detail for all design and permitting activities and concurrent construction activities and summary detail for all remaining construction events/milestones as defined in reference (a). A critical path will be clearly identified.

   c) Fifteen days prior to the completion of the construction activities outlined in paragraph (b), the AROICC/AREICC shall schedule a one-day Baseline Schedule Finalization Session (BSFS). This is a **critical event** in the project timeline and must be given **high priority** attention. At the BSFS, the Government will review the contractor's detailed, construction schedule for all events which were not covered in detail on the contractor's initial schedule submission.
   d) The contractor shall incorporate all elements discussed during the BSFS into the final baseline schedule within 5 days and submit to the AROICC/AREICC for review and approval.
   e) The AROICC/AREICC is the approving authority for the baseline schedule. The PM and AIC/EIC are responsible for reviewing and providing comments to the AROICC/AREICC regarding design elements during baseline schedule development.
   f) Exercise great caution when considering accepting a schedule that shows early completion (prior to the CCD) by the contractor. These schedules are often compressed to the point that an overabundance of activities resides on the critical path. This condition increases the chance that government caused delays will impact the critical path, resulting in increased exposure to extended overhead claims.
   g) The AROICC/AREICC (together with ROICC Scheduling Engineer, if present on staff) is responsible for reviewing and accepting the contractor's schedule updates. The PM will review and comment (to the AROICC/AREICC) on all design elements of the schedule update until final design acceptance.
   h) Schedule updates must incorporate rework activities identified by the Quality Management team. Potential impact of rework activities to the project's critical path must be evaluated and closely tracked.
   i) Since the CPM schedule serves as the primary planning tool for an effective CQM program, all Preparatory and Initial inspections from the contractor's 3-phase control program must be shown on the schedule.
   j) The CPM schedule serves as the basis for prioritizing production actions and shall be reviewed at the bi-weekly Production Meetings.

k) In the event that the contractor falls behind by greater than 5% at any time during the contract, both parties shall review the approved schedule to determine the causes of delay and develop remedies and/or a recovery schedule.

6.4. Quality Management

1) Operational Definition
   Quality Management is an effective, interdependent partnership between Contractor Quality Control (QC) and Government Quality Assurance (QA) encompassing both the design and construction phases of a DesignBuild project.

2) Goal
   a) Maintain a ***proactive*** focus on ***prevention*** rather than a reactive reliance on inspection.
   b) Establish a harmonious, balanced relationship between quality and production/schedule without allowing one to be compromised for the other.
   c) Minimize rework and thoroughly verify performance requirements throughout contract duration.
   d) Produce quality products through acceptable workmanship and material standards, on-time performance completion, adherence to the budget, and effective team communication.
   e) Effective implement the terms and conditions of environmental construction permits

3) Policies
   a) The Government/Contractor quality processes will initiate at contract award and encompass design and construction phases.
   b) A single QC Manager will be responsible for quality control oversight of the design and construction through out the entire contract duration.
   c) The QC Manager will be independent of the production chain of command, and report to, and be appointed by a principal of the Contractor.
   d) The QC Manager will have adequate support staff to provide specialized design and construction expertise (i.e. architectural, mechanical, electrical, roofing, etc.) as required for each project.
   e) The Government will provide Quality Assurance (QA) through verification and oversight of the QC processes.
   f) The Government and Contractor will engage in deliberate planning to create an effective three-phase control program (Preparatory, Initial, follow-up/Finalization) thereby reducing the need for end-of-the-line type inspection (proactive prevention vs. reactive inspection).
   g) The Government's primary QA representative for design activities is the PM. The Engineering Technician is the primary QA representative for construction activities.

4) References
   a) NAVFAC P-445 Construction Quality Management Manual

5) Procedures
   a) The QC Manager will write a Quality Control Plan, covering both design and construction activities, and organized around Definable Features of Work (DFOW). The QC plan shall be submitted in phases coincident with the phased project schedule as the design is developed and construction activities are defined. The design QC plan will be submitted during the proposal process. The QC plan for the initial construction activities concurrent with design will be submitted at the post award kick off meeting. The final QC plan will be submitted and approved after final design acceptance. No work on any construction activities can begin prior to the approval of their relevant QC plan.
   b) The PM shall develop the design portion of the QA plan and the Engineering Technician(s) shall develop the construction portion. The AROICC/AREICC will correlate and finalize the QA Plan to include design activities. The QA plan for design and the initial construction activities shall be completed at the Mutual Understanding Meeting. The final QA plan shall be completed immediately following design acceptance.
   c) Design portion of the QC plan shall be developed utilizing the three-phase control program (Preparatory, Initial, follow-up/Finalization) as described in Section 01450.
   d) The contractor will show all Preparatory and Initial inspections on the project schedule.
   e) The QC organization will maintain the Rework List for all ongoing design and construction work in the follow-up/Finalization phase. The Rework List for design packages will consist principally of design submittal review comments generated by the QC staff and the government team.
   f) During construction activities, newly identified rework items by DFOW will be reported in the Contractor's Daily Report.
   g) All rework activities will be incorporated into the project schedule.
   h) DFOW are considered complete when the Rework List is zero.
   i) Mutual Understanding Meeting. See reference (a).
      1. The Mutual Understanding Meeting could be, but is not limited to a single meeting. The first Mutual Meeting will occur within the first 21 calendar days of award and, if conducive, will be part of a Post-Award Conference. The first meeting will focus on design phases and early start construction activities. Follow-on meetings will focus on the construction phases if required.
      2. The purpose of the Mutual Understanding Meeting is to:
         a. Discuss the function and responsibility of QA and QC.
         b. Verify an in-depth Government/Contractor understanding of an effective Three Phase Quality Program as defined by reference (a).
         c. Integrate the QA Plan and QC Plan into an interdependent Quality Management Program.
      3. The AROICC/AREICC will chair this meeting and receive meeting minutes (published within 1 week of the meeting).
      4. The following personnel will attend in-person:

a. QC Manager
b. QC support staff
c. Contractor Jobsite Superintendent
d. Contractor Scheduler
e. Contractor Project Manager
f. PM (via phone conference when appropriate)
g. AROICC/AREICC
h. Engineering Technician

j) Quality Program Coordination (QPC) Meeting.

1. Onsite QPC Meeting will be held bi-weekly starting no later than two weeks after the Mutual Understanding Meeting.
2. The purpose of this meeting is to deliberately plan and coordinate the quality management program.
3. The QC Manager will chair this meeting and produce meeting minutes.
4. The following personnel will attend (in-person or via telephone conference call):
   a. QC Manager
   b. Contractor Jobsite Superintendent
   c. QC support staff
   d. * Contractor Scheduler
   e. * Contractor Project Manager
   f. * PM
   g. * AROICC/AREICC
   h. Engineering Technician

   * Indicates personnel who may not be required at the QPC meeting.
5. The agenda for these meetings shall be:
   a. Review what got done and what didn't get done in the quality program for the last 2 weeks.
   b. Review deficiency/rework list and pending actions.
   c. Plan 3-Phase quality control events for the upcoming two weeks.
   d. Coordinate any special quality program requirements (special testing, off-site inspections, permitting, etc.)
6. The meeting minutes shall:
   a. Identify attendees
   b. Document the discussions under each agenda heading.
   c. Make specific reference to the RFI log, modification log, submittal log, deficiency/rework log, and activities within the CPM schedule when necessary.
   d. Assign responsible parties for all action items, which are identified.
   e. Be prompt (published within 1 week of the meeting).

6.5. Design Development and Acceptance

1) Operational Definition
   The process of transforming the contractor's conceptual design accepted in his RFP proposal into a final design that is accepted by the government as being ready for construction

2) Goals
   a) Ensure the final design for each Design Package:
      i) Conforms to requirements of the RFP to include appropriate drawings specifications, manufacturer data sheets, design analysis and calculations
      ii) Satisfies the Client's requirements within the authorized scope and available funds
      iii) Meets all codes, criteria, and good engineering practice
      iv) Is constructible (adequately detailed)
   b) Define as much information as possible regarding function, materials and methods in what we call the "design" stage (the decision making and documentation prior to the actual start of construction for a definable feature of work DFOW).
   c) Encourage the use of Early Start Design Packages as appropriate.
   d) Administer the design process in a manner that facilitates timely and suitable construction.
   e) Meets the terms and conditions of environmental permits.

3) Policies
   a) <u>The AROICC is responsible with extensive support from the PM to keep the design phase on schedule and to manage design comments that may impact cost and schedule.</u> AROICC, as ACO has clear accountability and lead responsibility, however, logistics and organizational practicality requires that PM be the primary facilitator of the design process.
   b) Consensus among the Client, EFD technical personnel, and ROICC must be achieved prior to design acceptance.
   c) The accepted design shall satisfy the facility functions described in the project program, and define the required means, methods and materials for construction.
   d) The construction shall match the accepted design and the contractor shall not deviate from the accepted design without government approval.
   e) Streamline the DesignBuild process by encouraging final product and material selections and fabrication drawings during the design phase to minimize additional submittals during the construction phase.
   f) The ACO is the accepting authority for U.S. Government and notifies the contractor of each accepted design package.
   g) The EIC/AIC is responsible to support the government team in all design activities and recommend ACO acceptance of design packages through PM to AROICC.

4.References
   a.) EFD A/E Guide

5. Procedures
   a) The PM shall support the <u>AROICC as lead of the</u> Government team through the

design development process. The PM coordinates/monitors/drives all design actions in support of the AROICC/AREICC.

b) Developing the Design

i) Direct interaction between the contractor's design team and the EFD technical staff is encouraged during design development. All members of the Government Design review team shall remain alert to design comments that are beyond the scope of the contract requirements that may result in costly modifications.

ii) The Post-Award Kick-off meeting is the formal start of the post-award design development process.

(1) The contractor shall facilitate a discussion to develop Final floor plans and other critical functional features at the post award kick off meeting.

(2) The contractor is encouraged to develop Early Start Design Submittal Packages for project elements that can be shown to impact the critical path schedule. (e.g. demolition, site work, exterior utilities, foundation, building structure).

(3) The contractor shall present a detailed schedule defining design milestones and completion dates as part of the post award kick off meeting.

iii) The contractor is required to maintain consistency of accepted systems, components and materials contained in the accepted proposal throughout the design development stages.

iv) Content of drawings for each submittal stage is defined in A/E Guide.

v) The principles and methodology of Quality Control (QC) shall be applied throughout the design development process.

vi) The contractor is encouraged to make **FINAL** product and material selections during the design phase, and where practical, submit manufacturer's data sheets and/or fabrication drawings in the design submittal, in lieu of developing a prescriptive product and material specification. The intent of this action is to receive approval for materials & equipment during the design phase, thereby eliminating the need for additional submittals during construction.

vii) The contractor shall format drawings in the manner considered standard industry practice by "The Architect's Handbook of Industry Practice" by The American Institute of Architects. Drawings shall be prepared using computer-aided design and AutoCad format.

viii) The contractor shall include the seal and signature of the registered architect or professional engineer on final drawings.

ix) Contractor design efforts shall include special considerations for safety requirements during construction. This shall include identification of inherently dangerous operations and description of the safety precautions required during their construction (which may include multiple options).

c) Submitting the design

x) The contractor shall submit the design package indicating whether the package is an early start, a progress review, or a final design.

xi) The contractor shall distribute design submittal packages in accordance with the RFP.

a) **Reviewing the design**

i) The PM, in support of the AROICC, is the Government's principle Quality Assurance (QA) representative for design activities and is responsible for assuring that the appropriate EFD and client staffs review each design submittal for compliance.

ii) Throughout the design review process, the contractor/Government team shall ensure that adequate detailing is provided to allow both the Contractor's QC organization and the Govt's QA team to perform effectively during construction.

iii) The project team will conduct the review using policies, procedures, and tools available with Dr. Checks and WebCM (www.projnet.org and www.primecontract.com).

iv) The PM shall verify the final submittal to the EFD technical team has been adequately addressed and the design is ready for acceptance. Normally the client does not receive or review the final submittal.

b) **Accepting Early Start and final design packages**

i) An acceptable design shall:

(1) Include all necessary drawings, specifications, manufacturer data sheets (if applicable), design analysis, and calculations.

(2) Satisfy the Client's requirements within the authorized scope and available funds.

(3) Meet all codes, criteria, and good engineering practice.

(4) Be constructible (adequately detailed).

(5) Conform to requirements of the RFP.

ii) Settle and document all unresolved final comments

iii) The PM shall ensure that the appropriate government official signs the accepted design.

iv) The PM will forward the accepted and signed drawing and specifications to the ACO via the AROICC/AREICC.

v) The ACO shall forward the accepted drawings and specifications to the contractor with a written notice of "Design Acceptance".

vi) Design Acceptance is required for Early Start Design Packages and each accepted package must follow the process for a final design package.

c) Adherence to the Accepted Design during Construction:

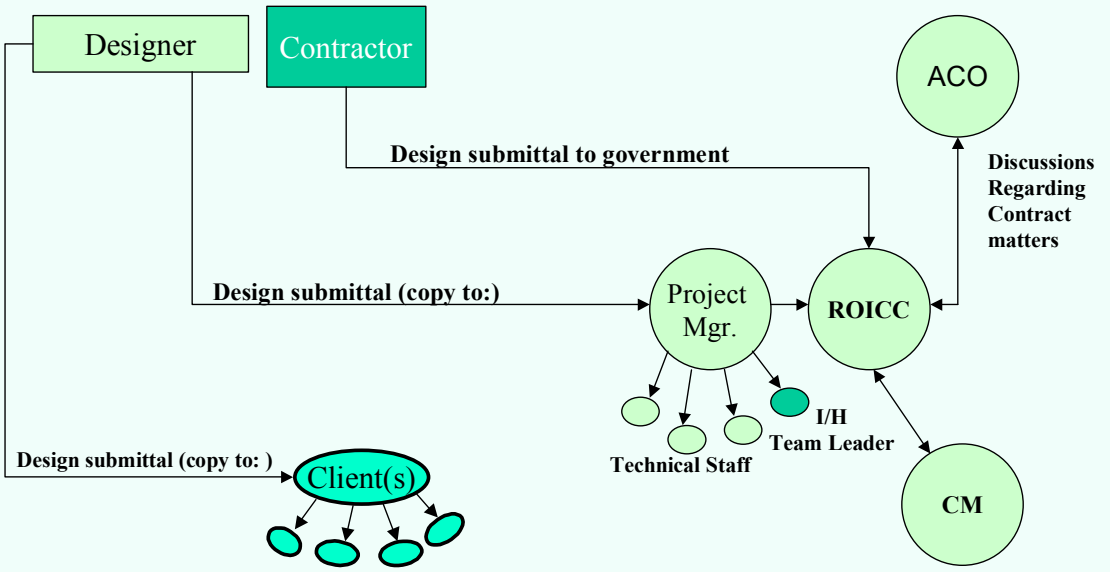
i) The contractor shall not proceed with construction of any Definable Feature of Work without Design Acceptance from the ACO.

ii) The contractor shall not deviate from the accepted final design during construction unless approved by the ACO.

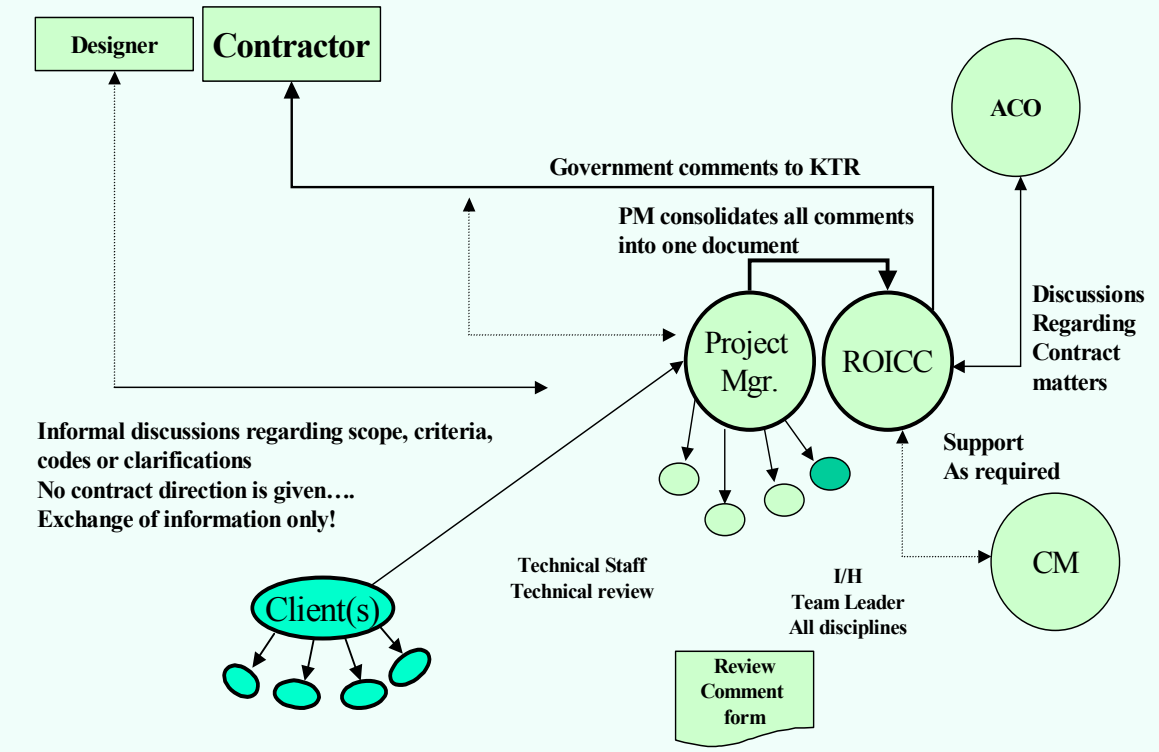
iii) Any changes to the accepted design must be coordinated between the AROICC/AREICC, the ACO, and the PM to assure the completed facility meets the goals listed above.

Design Submittal Review Process

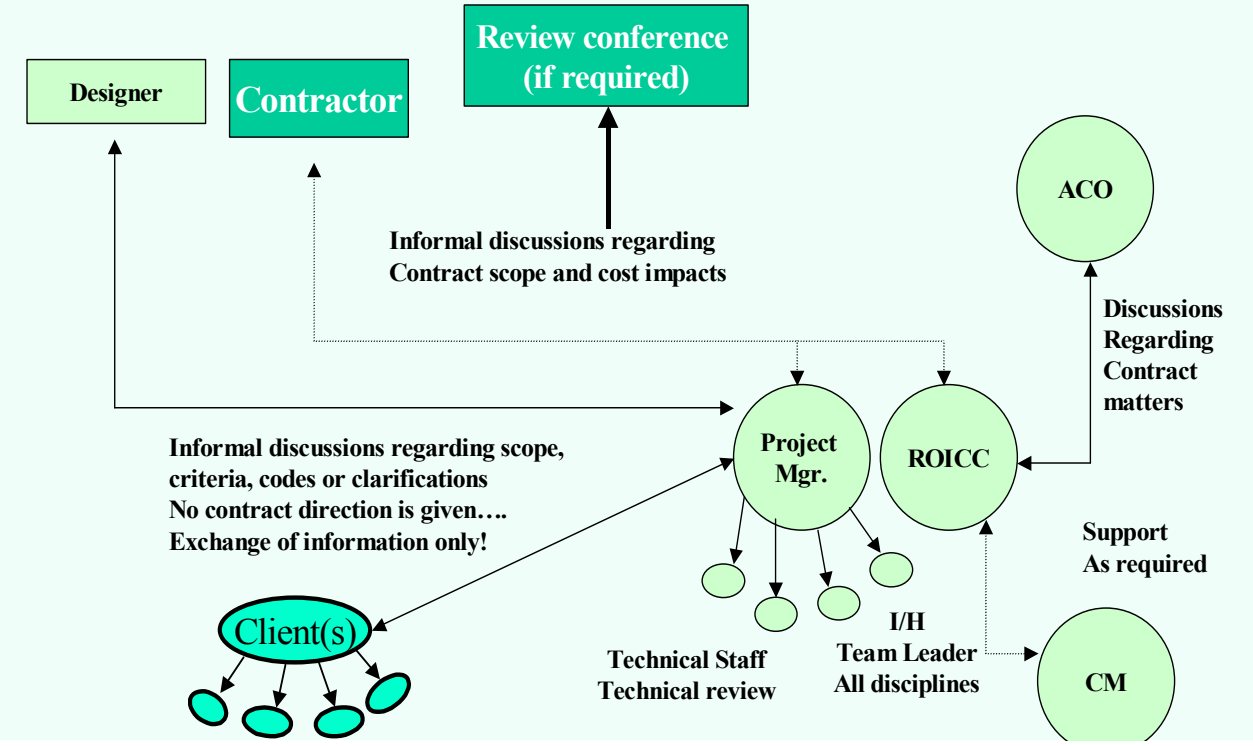
Contractor Submittal



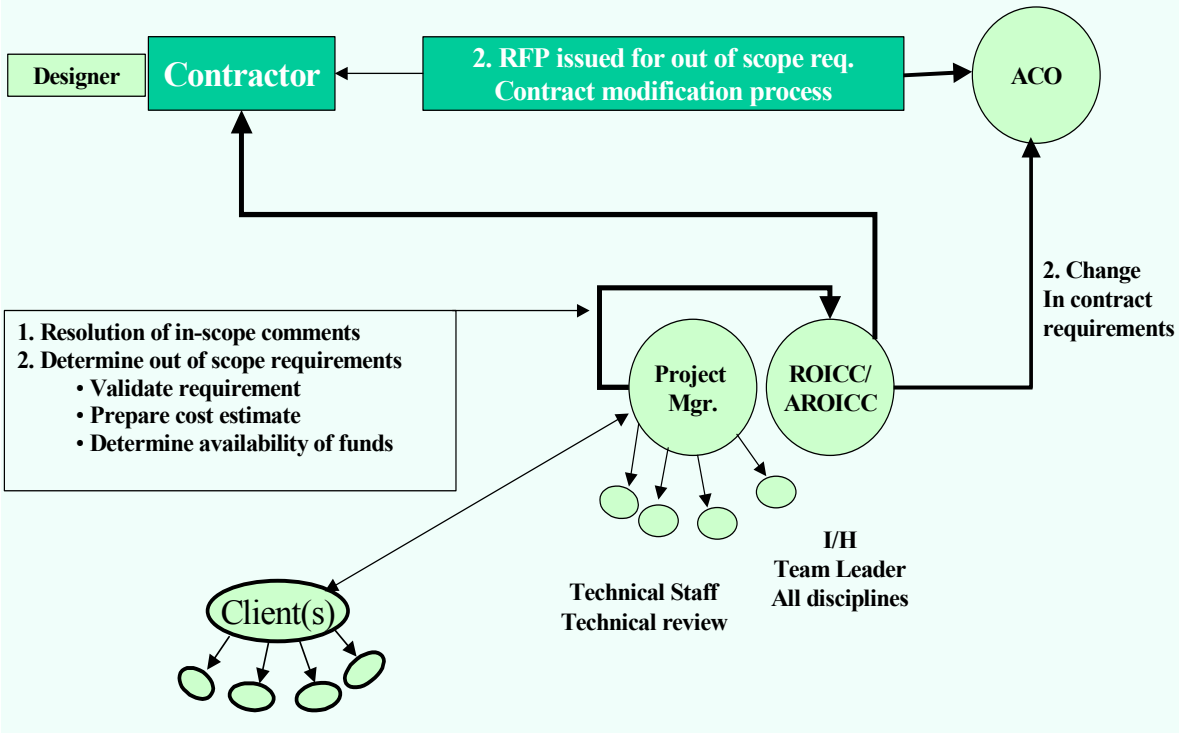
Govt. Comments



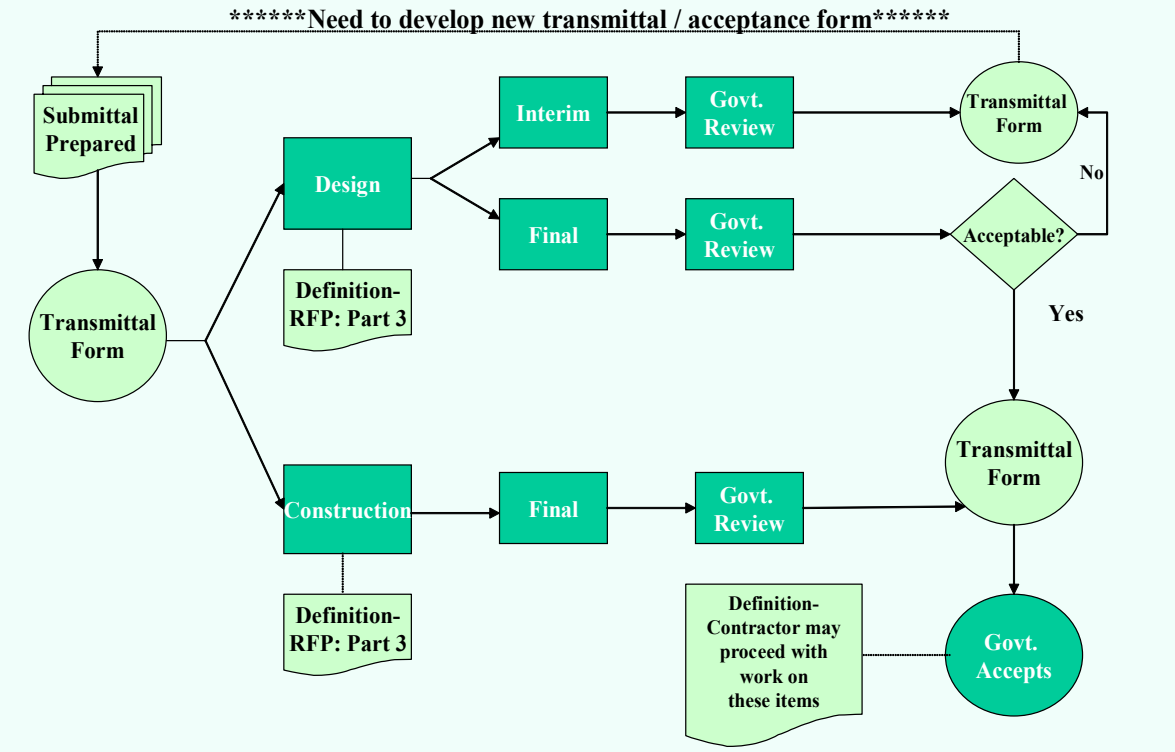
Discussion



Resolution



DB Submittal Process Overview



Acceptance of a submittal & "What is the contract?"

Acceptance

1. The government agrees that the submittal appears to meet the intent of the contract requirements
2. The contractor is obligated to provide the items specified within the submittal, unless a variance is requested by the contractor and accepted by the government.
3. The contractor may order materials and proceed with construction for the items contained within this submittal.
4. The contractor is still fully responsible for the performance outcome of the facility.

What is the Contract?

1. At time of award = Government RFP + Contractor Proposal
2. At time of submittal acceptance = Government RFP + Contractor Proposal + accepted submittals

Submittal Review
Roles and Responsibilities

- **Project Manager (PM)**
  - Work in tandem with AROICC
  - Maintain high level of communication with full team
  - Lead for Client interface
  - Receive and distribute Contractor submittals to the LANTDIV technical team.
  - Establish the date comments are due back to PM (both LANTDIV and client comments)
  - Provide consolidated comments to ROICC
    - Consolidate all comments (I-H and client) into one review comment form
    - Resolve conflicting comments
    - Delete invalid comments
    - Determine whether or not comment is within scope (Advise AROICC if comment may result in a modification)
    - Assure design is in compliance with project scope
  - Discuss significant issues
  - Support contract modification process
    - Support development of statement of work (amendment)
    - Support development of government estimate
    - Support Field Office during negotiations
    - Attain required funds

- **Resident Officer in Charge of Construction (ROICC)**
  - Lead for maintaining project schedule and guarding against time and cost growth during design and construction phases
  - Work in tandem with PM
  - Maintain high level of communication with full team
  - Review contract compliance regarding:
    - Safety
    - Quality
    - Environmental controls
    - Design/Construction schedule
    - Permits
    - Compliance with local base procedures and operations
  - Discuss significant issues with PM
  - Discuss significant issues with CM
  - Provide consolidated comments to the Contractor
    - Add Field Office comments to review comment form provided by PM
  - Support ACO for contract modifications
    - Provide scope and government estimate to ACO
    - Request Promise to Pay receive funds from PM (or other fund source)
    - Participate in negotiations

Submittal Review
Roles and Responsibilities

- **Lead CI4 Architects/Engineers**
  - Review the submittal for compliance with:
    - Design acceptance – does the design meet the requirements of the RFP and other contract documents?
    - Design Practice – does the design provide quality design consistent with standard engineering practice?
    - Code / Criteria Acceptance – does the design meet all applicable code and criteria requirements.
  - Provide written comments to the PM via the review comment form
  - Ensure Government design comments do not exceed contract requirements and result in a modification.(Unless required for a safe and useable facility)
- **AIC/EIC**
  - Review submittal to determine compliance with the RFP and other contract documents
    - Function of the facility
    - Special concerns of the client
  - Support PM to resolve technical discrepancies

Submittal Review
Roles and Responsibilities

- ROICC Support (CM)
  - Provide full const. Support to the field
    - Corporate knowledge
    - Lessons learned networking with other CM's
    - Technical support staff
  - Insure constr. Practices are compatible with
    - Base procedures and operations
    - Construction policies
  - Serve as a prime point of contact for field issues needing to be resolved at headquarters

- Clients
  - Review functional and operational features of the submittal
  - Provide written comments in the Design Review Form and submit to the PM
  - <u>Ensure review comments do not exceed contract requirements without discussion with PM and AROICC</u>
  - Ensure that operational environmental provisions of the design conform to existing base operating permits and policies

- Contractor and subcontractor team
  - Provide drawings and product data and minimal specifications which describe the work to be accomplished
  - Submit the design documents to the appropriate government parties for review
  - Support informal dialogue with the PM, LANTDIV Technical Team and ROICC during the review process
  - Respond to written comments from the PM/CM on the Design review form
  - Incorporate in-scope comments into the final design
  - Promptly negotiate changes to the contract with the ACO
  - <u>Immediately notify AROICC of any submittal review comments deemed by contractor to exceed contract requirements</u>

6.6. Safety & Health

1) Operational Definition:
Principles and practices based on established standards & regulations that protect Government & contractor personnel from unreasonable risk & injury during execution of design and construction activities.

2) Goals:
(a) Guarantee a safe working environment for Government and contractor personnel.
(b) Establish an integrated approach to safety & health on DesignBuild projects, which addresses the activities of the designer, builder, and Government personnel.

3) Policies:
a) Ensuring safety & health is our highest priority.
b) Safety standards & regulations apply to all members of the DesignBuild team (designer, builder, and Government personnel).
c) The contractor is responsible for implementation and execution of the safety program. The Government is responsible to monitor the program's effectiveness and take action when necessary.

6) References:
a) OSHA Construction Industry Standard 29 CFR 1926
b) Corps of Engineers Safety & Health Manual, EM 385-1-1 (latest version)
c) Mishap Reporting, (LANTNAVFACENGCOM Safety & Health Instruction).

7) Procedures:
a) In accordance with the Safety specification, the contractor shall prepare and submit for Government acceptance a detailed Safety Plan. This plan shall address all operations on-site to include site investigations for design, and construction activities.
b) Prior to commencing any operations on-site (including site investigations for design), the contractor's Safety Plan must be accepted by the Government.
c) At design acceptance, the contractor shall amend the safety plan to address any new requirements.
d) The design process shall consider and incorporate construction and operational safety requirements.
e) The contractor's Safety Manager, or the approved alternate, shall be present on-site when any construction work is performed. This requirement does not apply to design site investigation activities prior to construction activities.
f) Once construction has begun, all personnel initially reporting for work on the site, including the design team, shall receive thorough safety indoctrination from the Safety Manager that shall be documented in the contractor's project safety records.
g) Throughout the construction phase of the project, the Safety manager shall conduct weekly safety meetings. The strategy and methodology for these meetings will vary based on project size and will be as agreed upon with the Engineering Technician.

h) On no less than a monthly basis throughout the construction period, the Engineering Technician shall conduct a safety audit of the project site together with the contractor's Superintendent. A standard **Contractor Site Safety Assessment** form shall be used and the results shall be attached with the contractor's Daily Production Report. Any serious or repetitive items shall be brought to the attention of the AROICC/AREICC for appropriate action.

i) For every Definable Feature of Work, the Preparatory phase of the Three-Phase Quality Control Program shall include an Activity Hazard Analysis (AHA). This AHA shall be conducted and documented as required by the contract specification and reference (b).

j) Procedures guiding mishap/accident investigation and reporting shall comply with reference (c) and shall be applicable to design site investigation and construction activities. Reports shall be submitted using the **Contractor Significant Incident Report.**

6.7. Evaluation of the Contractor

1) Operational Definition:
2) Use of Construction Contractor Appraisal Support System (CCASS) to evaluate and document contractor performance per NAVFACINST 4335.4.

3) Goal:
4) Fairly evaluate contractor design and construction performance, motivate and enhance ongoing performance, and document performance for future procurement evaluation criteria.

5) Policies:
    a. The Government will evaluate contractor design and construction performance on all DB contracts/delivery orders using interim and final CCASS evaluation form DD2626, regardless of value. Do not use form DD2631 to evaluate the design independently from construction.
    b. The Government will issue a final evaluation no later than sixty days after Beneficial Occupancy Date. No contract/delivery order will be considered closed until issuance of final evaluation.
    c. The Government can issue interim evaluations at its discretion. All contractors performing a DesignBuild contract/delivery order in excess of $1.5M should receive at least one interim evaluation, typically at design acceptance.
    d. All contractor evaluations will be formally entered into the U.S. Army Corps of Engineers' CCASS within five working days of evaluation issuance.
    e. The CCASS form shall be used to evaluate contractor performance. Do not use any other derived evaluations.
    f. Interim evaluations are superseded by the final evaluation and shall be removed from CCASS.

6) References:
    a. NAVFACINST 4335.4

7) Procedures:
    a. The AROICC/AREICC will partner with the contractor to determine frequency of interim evaluations, and show interim evaluations as milestone events on the project schedule.
    b. The AROICC/AREICC will prepare all evaluations with input from the entire Government Team.
    c. The AROICC/AREICC will use the form DD2626, to evaluate the contractor's performance, including design.
    d. The ROICC shall be the reviewing official and sign the CCASS evaluation accordingly.
    e. For marginal or unsatisfactory evaluations the following pertains:
        1) The AROICC/AREICC will justify the evaluation rating in the "Remarks" of the CCASS form.
        2) The ROICC will forward the unsigned evaluation form to the contractor using a standard form letter stating:
            a. The contractor has thirty calendar days after receipt of the evaluation to submit rebuttal comments to the ROICC. The ROICC will enter these comments into the CCASS "Remarks" field (limited to 40 lines, 70 characters/line).
            b. The contractor has thirty calendar days after receipt of the evaluation to submit a written response to the ROICC supporting their position.
            c. The contractor has seven calendar days to submit a written request for a debrief.
        3) With contractor provided rebuttal information, the ROICC will revalidate the marginal or unsatisfactory rating.
        4) The AROICC will prepare and the ROICC/SGE will review and forward a factual package to the appropriate EFD/EFA level authority. This factual package will outline and document the Government's position along with all contractor provided information.
        5) With appropriate EFD/EFA level authority concurrence, the ROICC will sign out the evaluation as the Reviewing Official.
    b. The ROICC will forward all interim and final evaluations to the contractor with a cover letter.
    c. The ACO will verify the issuance of a final evaluation prior to contract closeout.

6.8. Modifications to the Contract

1) Operational Definition: A potential change to the contract requirement is identified, evaluated and, if applicable, incorporated into the contract.

2) Goals
    a) Promptly address and process potential modifications to avoid unnecessary time and cost impacts.
    b) Be flexible and responsive to client needs through creative technical solutions that minimize cost and time growth and achieve maximum value.

e) Policies
   a. **THINK DIFFERENTLY-** The project team must evaluate each potential change from the perspective of a performance specification (vice prescriptive) to decide whether or not the Design Build contractor already has the responsibility to perform the work.
   b. All modifications shall be processed IAW the contract clauses and **FAR Part 43.**
   c. Roles and Responsibilities:
      i. The ACO has sole responsibility to authorize contract modifications, lead negotiations, obligate the Government and make contract scope determinations.
      ii. The AROICC/AREICC has lead responsibility to manage this process, lead negotiations within COAR authority and shall be notified when a potential modification is identified.
      iii. The PM has responsibility for obtaining funds, project scope determinations, and obtaining technical support for modifications.
      iv. Government technical team members are:
         1. Recognized experts within their discipline
         2. Responsible for evaluation of contractor's proposed solutions
         3. Responsible for development of technical solutions to be included in the statement of work to be issued to the contractor as an RFP
      v. The ET/QA provides support to the AROICC/AROICC throughout the modification process and will ensure the constructability of the resulting modification.
      vi. The PM provides support to the AROICC/AREICC in executing this process. The PM will process funds requests and coordinate mod processing issues at the EFD/A as necessary.
      vii. Contractor's Team: Works in partnership with the government team throughout this process; of specific importance is their assistance in developing alternative technical solutions.
   d. When the modification involves a technical issue, the AROICC/AREICC must determine the level of coordination and consultation required with the PM and the technical project team members in the development of the most appropriate solution and reach team consensus prior to modification issuance.
   e. When obligation of additional funds is required, the AROICC/AREICC/PM/ACO will jointly determine the appropriate course of action prior to allowing the contractor to proceed.
   f. All client requested modifications (MILCON) greater than $25,000 must have region concurrence.
   g. The government shall not unduly exercise the contractor by requesting (verbal or written) proposals without clear intent and available funding for a potential contract mod.
   h. For potential changes where the critical path is adversely impacted and normal modification processing time is not available, undefinitized modifications FAR Part 43.103 will be used.

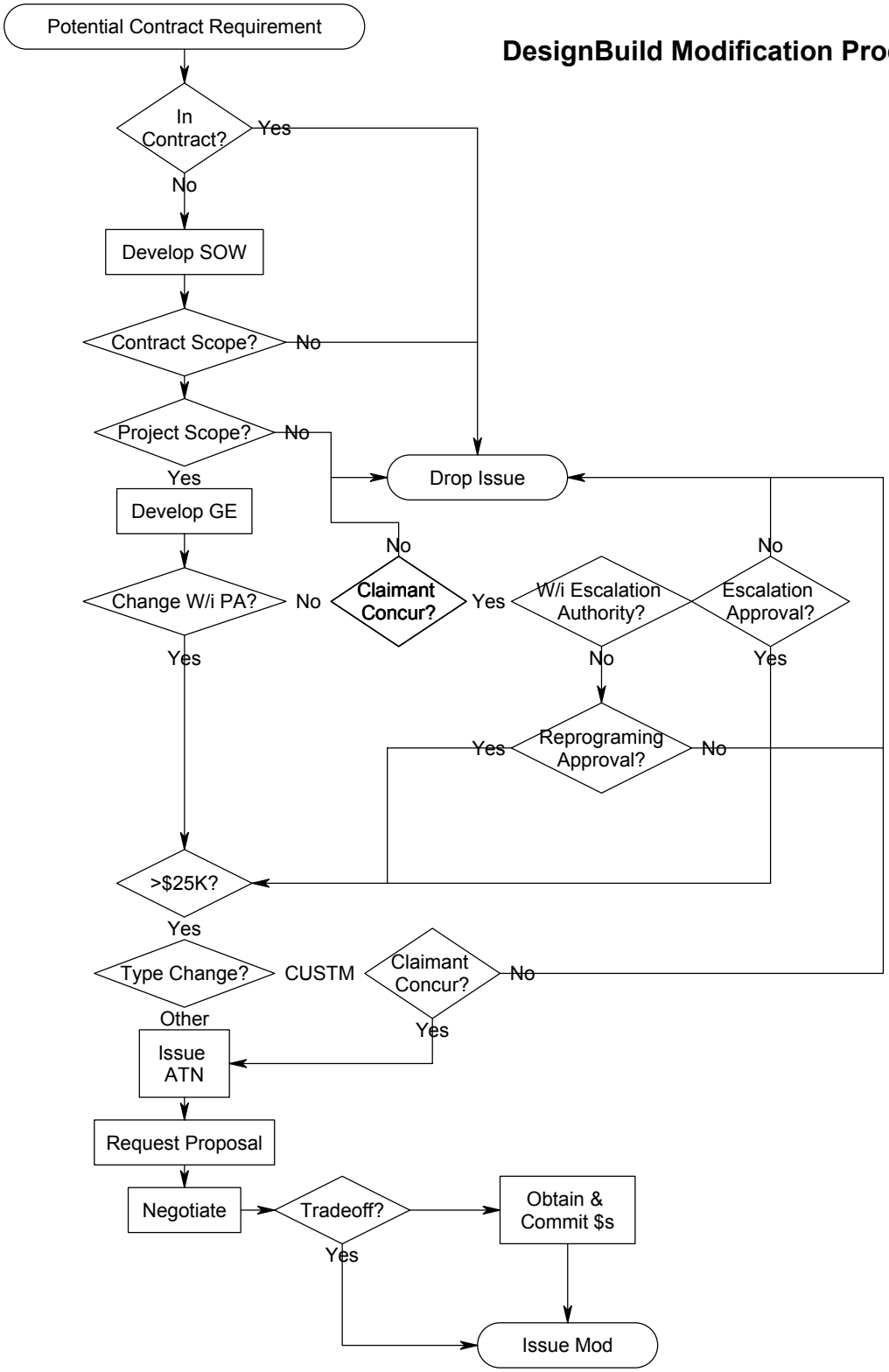
f) References
   a. Glossary of Terms
      i. Project scope- A project is a single planned undertaking of construction, repair, maintenance, or equipment installation, performed either separately

or in combination to satisfy a finite requirement of work (to satisfy a Navy client mission- see OPNAVINST 11010.20f, paragraph 2.1.1). It may be executed through one or more contracts.

ii. Contract scope - The volume of work and type of work to be completed under the terms of the contract. Contract scope may contain all or part of project scope. Contract scope may also combine requirements from multiple projects into one contract.

5. Procedure
   a) The AROICC/AREICC becomes aware of a potential contract modification.
   b) Evaluate scope issues:
      i) AROICC/AREICC/PM evaluate the technical validity of the potential contract modification. If valid, then proceed to ii). If not technically valid, no further action is required.
      ii) PM/AROICC/AREICC/ACO determine if the potential modification is in the contract requirements. If so, no contractual modification is necessary and the government will provide contractual direction as required. If not, then proceed to iii).
      iii) AROICC/AREICC/PM/government technical team defines the potential modification scope, develops the statement of work (including design submittal and acceptance requirements and preliminary cost estimate, appropriately engaging the contractor to explore alternative solutions including deletion of current contract requirements. Considerations should include: project & contract scope, time, cost, operational and maintenance implications.
      iv) If the statement of work is out of contract scope, the ACO/CM/PM will determine the appropriate acquisition strategy (Justification & Approval or another contract action). If in the contract scope, proceed to v).
      v) If the statement of work is out of project scope, PM consults the funding agent for further direction. If in project scope, proceed to c).
   c) Evaluate funding issues:
      i) The AROICC/AREICC develops the government estimate <u>(GE not required under $100K if proposal is adequately detailed)</u> with the PM/government technical team support as necessary.
      ii) The PM consults the funding agent for fund availability. If funds are available, PM provides a promise to pay to the CAROICC/AREICC/ACO and, at the conclusion of negotiations; the PM obtains funds and forwards to ACO. If funds are not available to modify this contract, the PM/AROICC/AREICC re-evaluate the necessity of the potential modification. If still required, develop an alternate strategy that could include deletion of current contract requirements.
      iii) If the change is a client request and >$25K, obtain region concurrence. Issue will drop if IMC does not concur.
      iv) If escalation or reprogramming is required, follow the funding agent's guidance.
   d) Request a proposal/negotiate/award modification.

DesignBuild Modification Process



Issuing a designbuild modification requires:

1. Finalizing a design that responds to the amendment proposal/SOW.
2. Review & acceptance of the design by the cognizant technical authority.
3. Notice to proceed with the accepted design.

6.9 Outfitting the Facility

Operational Definition:
The process used to purchase and/or install the client's operational equipment, furnishings and coordinate utilities/communications activation.

Goal:
Assist the client in achieving their IOC date.

Policy:
Procurement of furnishings and equipment is a NAVSUP mission. NAVFAC may obtain waivers on a case by case basis.

Standard Operation Practices for:

e) Collateral Equipment Procurement

Collateral Equipment Procurement

1) Operational Definition:
   a. Built-in Equipment: Equipment and furnishings that are attached to or built into the building, including de-mountable partitions, and are project funded.
   b. Collateral Equipment: Loose equipment and furnishings that are not built into the building and are funded by CNI.
   c. Collateral Equipment Procurement: The process used to purchase and install the client's operational equipment and furnishings.

2) Goal:
Assist the client in achieving their Initial Operating Capability date through a coordinated installation of the equipment and furnishings.

3) Policies:
   a. The Client/CNI/NAVFAC is responsible for defining, budgeting, and funding collateral equipment. NAVSUP has contracting authority for collateral equipment procurement. NAVFAC must obtain a waiver from NAVSUP to contract for the procurement of collateral equipment.
   b. The PM coordinates with the client/CNI to develop a collateral equipment acquisition strategy for each project. Discuss procurement responsibility and the need for EFD interior design services. Consider procurement of collateral equipment through the DB contract when the project has a critical BOD date or complicated building/equipment interfaces. Ensure NAVSUP waivers are obtained, if appropriate.

4) References:
   a. RFP Part 5, Specification Section E2000, Furnishings
   b. "Interior Design Services" matrix
   c. Collateral Equipment Budgeting Cost Factors
   d. Sample NAVSUP waiver request letter
   e. Sample letter authoring contractor to purchase from GSA

5) Procedure:
See the "Interior Design Services" matrix.

6.10 Contract Closeout

Operational Definition:
Executing the contractor's final performance evaluation, final release and Payment.

Goal:
Insure that all contractual and administrative requirements are complete.

Policy:
Complete all closeout work as soon as possible after BOD.

Standard Operation Practices for:
f) Final Contractor Performance Evaluation
g) As-built drawings
h) OMSI and other maintenance information
   i) Submittal transfers
i) Warranty documents
j) Permits closeout
k) Second season Testing, Adjusting, Balance and Startup (TABS)
l) Contractor final release
m) Ribbon Cutting

As-Built Drawings

1) Operational Definitions:
   a) As-built Drawings
      A set of the Contract Design Drawings that have been updated at the completion of construction to reflect the as-constructed conditions. All Amendments, Modifications and field changes shall be incorporated.

2) Goal:
   i. The goal is to provide the building owner with a complete set of drawings that accurately reflect the construction completed by the project.

3) Policies:
   a) The Contractor is responsible for providing the Field Office Project Manager a complete set of as-built drawings. The
   b) The Project Manager is responsible for reviewing the As-builts and forwarding to the Activity Public Works office or facility owner.

4) References:
   NFGS-S-00911.

5) Procedure:
   a) The Contractor shall provide, to the Field Office Project Manager, a completed conformed set of the Design drawings which incorporate as-built construction. Include an updated CAD CD-ROM disk along with D-size mylar drawing originals made from the updated CAD CD-ROM disk and two copies of half-size as-built drawings made from the mylars. Include NAVFAC title blocks, drawing numbers, seals, and signatures on the as-built drawings. NAVFAC drawing numbers will be made available approximately 30 days prior to scheduled contract completion date.

   b) The Project Manager shall review the As-builts and coordinate with the Activity Public Works Office or the Facility owner.

6.11 Design-Build Post Award Responsibility Matrix

DESIGN-BUILD **MATRIX**

POST AWARD CONTRACT ADMINISTRATION

(Step 6: Finalize Design and Build Facility)

			Head Quarters				ROICC		KTR	
BMS Outline	**DESIGN-BUILD PROCESS**	Acquisition (AQ)/PCO	Project Management (IPT-PM)	EIC/AIC	Client	Acquisition (AQ)/ACO	Construction Management (AROICC)	ET-QA	Construction Design Contractor	REFERENCE ACTIVITY/ MEETING
1.6.1.a	Post Award Kickoff (PAK)	I	S	I	I	I	L	I	S	
1.6.1.7	Design Development/ Acceptance - Final Concept Design Approval		S	S	*S/I*	L	I		I	(PAK), DFOW
1.6.1.~~a~~b	Pre-Construction Conference (Pre-Con)		I	I	I	I	L	S		
1.6.1.b6	Partnering		S	I	I		L	I	S	
1.6.2	(Approval/ Management) of Schedule		S	I	I		L	I	I	(PAK), Pre-Con
1.6.3.1 (1.6.5.3)	Design Submittals		S	S			L		I	(PAK)
1.6.3.2 (1.6.5.3)	Construction (Admin./ Material) Submittals		I	S			L	S		Pre-Con
1.6.4 (1.6.5.6?)	Permits		I	I			I		L	
1.6.5.1	Production Meetings		S	I	I	I	L	S	S	
1.6.5.2	Quality Management: QMP=DQC+DQA+CQC+CQA		I	I			L	S	S	
1.6.5.2	Mutual Understanding Meeting		S	I			L	S	S	Quality Management: QMP=DQC+DQA+CQC+CQA
1.6.5.2	Quality Management Program DQC								L	(PAK), Mutual Understanding Mtg.
1.6.5.2	Quality Management Program DQA		S				L		I	(PAK), Mutual Understanding Mtg.
1.6.5.2	Quality Management Program CQC								L	
1.6.5.2	Quality Management Program CQA				I		S	L	I	Pre-Con
1.6.5.6	Environmental Plan						L		S	Construction Submittals
1.6.5.10	RFI (Design)		S	S	I		L	I		
1.6.5.10	RFI (Construction)		I	S	I		L	I		
1.6.5.12	Sustainable Development Implementation		I	S	I		L		S	
1.6.5.12	Building Commissioning		I		I		L		S	
1.6.5.14	Government Furnished Equipment		S	I	S		L	I		
1.6.6	Web CM		S			I	L	S	S	
1.6.7	Modification (Design)	I	S	I	S	L	I		I	
1.6.7	Modifications (Construction)		I	I	I	L	S	I	I	
1.6.8	Delivery to Customer - Final Acceptance/ Turnover		I	I	S		L	S		

KEY:

L= Lead: Responsible for the process

S= Support: Provide specific process support required by the lead

I= Information/Input: Kept informed by lead and/or provide general input

6.12 ROICC Quick Guide To DB Contract Administration

Contract Turnover at Award

Purpose: Make a seamless transfer of the contract from PCO to ACO

Lead Role: PCO

When Does it Occur? Immediately after award

How is it different from DBB?

- PCO must relay any information pertaining to Tradeoffs or Betterments

–Required preparation

- Electronic copy of contract is sent to ROICC leadership at award
- PCO must prepare remaining files for transfer to the field expeditiously
- PCO/Contract Specialist must ensure that the ACO has the RFP, amendments and successful proposal in hand prior to the PAK meeting

–Key Points

- Team leadership is transferred from PM to AROICC
- Contract ownership is transferred from PCO to ACO
- PM and AROICC must finalize PAK meeting date

Post Award Kickoff (PAK)

Lead Role: AROICC

When Does it Occur: ~ 2 weeks after award

How is it different from DBB?

- Design & construction viewed as a single, integrated process
- (Think of PAK as a combined predesign & preconstruction, and lead in to the initial partnering meeting.)
- CM/PM/ACO/contractor all have lead roles.
- Agenda is much broader in scope; SOP has a link to the standard agenda
- Establish "Preliminary" project schedule only (design, early start, and macro construction)
- Conceptual floor plan and site plan finalized and accepted at PAK

Required preparation:

- ROICC will chair the meeting
- PM educates client on PAK agenda and goals
- PM distributes proposal (TEB copies) to key players ASAP (ROICC, client and key CI staff)
- Be sure to include all responses to discussions
- PM must help client reps (PW & end user) understand proposal and be prepared to discuss and resolve key issues

- AROICC/PM/ACO/contractor must be ready to lead assigned discussions
- Plan the initial Partnering session and Mutual Understanding Meetings (Quality Management Program Kick Off)
- Discuss use of WebCM–Ktr prep to present "Preliminary" CPM schedule
- Ktr prep to present conceptual site & floor plan

Key Points:
- PM is now a member of ROICC execution team
- Make key concept decisions now while key stakeholders are available
- Unresolved concept design issues can jeopardize or delay contract completion
- Unresolved design and construction issues must be addressed in Production Meetings

Case Study

Scenario
- Project awarded and PM begins discussing design actions with Ktr. Pre-design mtgs and design review mtgs are held btwn PM, Ktr design staff, and client reps.
- AROICC conducts separate pre-con meeting and coordinates early start construction activities with Ktr construction team. What happened?
- "We were just trying to be effective and proactive and get the job moving."
- Both had good intentions and were moving in a comfortable direction based on past experience. However, some major problems result:
- Ktr doesn't understand or recognize the lines of authority on the project… can lead to communication problems throughout life of project;
- A fully integrated approach between design and construction is not achieved… ***missed the real value of DB !!***-Missed opportunity for integrated kick-off for design and construction activities, schedule development, and Initial Partnering.
- Client missed opportunity to speak to entire execution team regarding project concept, on-going operations and expectations.

Better Way…–AROICC proactively leads the team to conduct a comprehensive PAK meeting within 2 weeks following contract award

<u>Quality Management</u>

Lead Role: CQC Manager
- PM is the primary QA rep for design activities
- ET is the primary QA rep for construction activities

When Does it Occur?
- Throughout the life of the contract

How is it different from DBB?
- Design development is a DFOW!
- A *formal* Design Quality Assurance Plan is required
- DB Team responsible for developing a template

- Utilize the RFI process (government to contractor) to leverage the CQC staff to provided adequate informationPreparation required:
- PM develops design QA plan (plan for govt review)
- ET develops construction QA plan
- Contractor develops DQC / CQC plan; govt approval

Quality Management Program

Quality Management Program (QMP)
Quality control and quality assurance activities instituted to achieve the quality levels established by the contract requirements.
Quality Control (QC)*– Contractor's system in place during execution to manage, control and document his own, his supplier's and his subcontractor's activities in order to comply with contract requirements.*
Quality Assurance (QA)*–Government's system in place to monitor the QC efforts of the contractor.*

QMP = QC + QA

QC & QA required throughout the contract performance period
Spec Section 01450N
Identifies QC requirements and some QA requirements
NAVFAC P-445, NAVFAC Quality Mgt Program
Contains other QA requirements

QC Plans and QA Plans
Contractor QC Plan = DQC + CQC
QC Program Manager leads QC team, reports directly to an Officer of the firm
- *DQC*
- *CQC*

Government QA Plan = DQA + CQA
AROICC leads the QA team
- *PM is principal QA rep for design activities*
- *ET is principal QA rep for construction activities*

Case Study
Scenario:
Contractor's electrical design for an Admin facility was reviewed and accepted by the government team with minor comments. Facility was completed on time and the user moved in. Shortly after taking occupancy, user reported the desktop UPS equipment was frequently engaged and resulting in numerous occurrences of premature failures. Investigation revealed that the equipment was being subjected to repeated low voltage conditions out of equipment tolerance. Design review discovered that the electrical submittal did not include voltage drop calculations as required by the RFP.

What happened?

- User had operational down-time and frustrations with NAVFAC
- Contractor installed exposed conduit to run additional circuits while facility was occupied resulting in a less satisfactory end product

Better Way…

- DQC meeting should be held in conjunction with the PAK to orient the contractor's design team on specific NAVFAC requirements
- PM & AROICC kick-off the Quality Mgmt Program requirements at the PAK.
- Ktr's QC Manager identifies QC specialists for design and has an approved QC Plan shortly after the PAK, and prior to continuing with design development.

Weekly Coordination (Production) Meeting

Lead Role: AROICC

- PM attends all meetings (conference bridge available)
- Design issues are to be included

When Does it Occur?

- Spec 01321 requires this meeting, titled "Weekly Coord. Meeting"–Starts 2 weeks after PAK and continues weekly or bi-weekly throughout design and construction

How is it different from DBB?

- Includes both design and construction issues
- PM participation required
- Regular meetings start prior to construction

Key Points

- AROICC & PM must recognize the value in holding Production Meetings during the design process
- Remember to apply the 3 week look ahead concept to design activities
- SOP has a link to a Production Meeting guide

Case Study

Scenario:

Early Start activities are under construction and Ktr is moving forward with final design package. AROICC is actively engaged in the construction and holding Production meetings (5-part meeting), but PM is not participating. PM is holding separate design review meetings, engaging AROICC only for construction reviews.

What could happen?

- One project going down two paths
- Unauthorized commitments (AROICC &/or PM operating independently from ACO)
- Not getting key integration necessary between early start constr activities and design actions

- Rework and delays result
- Project schedule (design & constr activities) gets out of whack
- Contractor trying to serve two masters
- ACO out of the loop on design development

Better Way…

- PM and ACO should participate in Production Meetings (PM via phone)
- AROICC should be aware of ongoing Design Activities
- Ktr must integrate all design and construction activities

Schedule

Lead Role: Contractor developed
AROICC approves, but PM provides comments on design activities
When Does it Occur?
Submitted at or before the PAK and reviewed at every Production Meeting

How is it different from DBB?

- –Design and construction DFOWs are included in one schedule
- •Design DFOWs include: Critical Path Design(s) and Final Design
- –Preliminary schedule developed at PAK, Baseline Schedule Finalization developed as design is completed
- –PM should review & comment on all design elements of the schedule
- –Time allowed for govt review is defined in the contract; delays impact contract execution
-

Key Points:

- –Finalize schedule for design DFOWs / activities at the PAK meeting
- –Use Production Meetings to assure design activities adhere to the contract schedule
- –PM is engaged in the approval process of other submittals/RFIs and must provide timely response to maintain contract schedule

Case Study

Scenario
Contract is underway and PM is not participating in Production Meetings during design development. Early start construction activities are in progress.
PM is out of the office for 2 weeks and upon return finds the 100% Design submittal on his desk. Without discussing schedule status with AROICC, PM distributes review copies asking for comments back within the contract requirement of 4 weeks.
Comments are finally entered in DR Checks 6 weeks later.
Contractor asks for 4-week time extension with extended overhead.
What happened?

- –PM lost track of schedule because of lack of participation in Production Meetings

- –Lack of communication between AROICC and PM resulted in construction delays
- –PM was ignorant of contract requirements and did not accelerate the review process to meet the schedule requirements

Better Way…

- –Utilize WebCM to set "Action Tasks" reminders
- –PM should communicate with CM each time a submittal is received
- –PM can maintain awareness of critical schedule issues through participation in Production Meetings

Design Development & Acceptance

Lead Role: AROICC (with strong support from PM)

- PM assures appropriate EFD and client staff review for compliance to:
- •RFP and Ktr Proposal; Life Safety, Codes & Criteria; good engineering practice
- AROICC guards against potential modifications due to review comments that are beyond the requirements of the contract.

When Does it Occur?
–PAK is formal start of post-award design development

How is it different from DBB?

- –Design + construction submittals required
- –Ktr is encouraged to make final product and material selections, and fabrication drawings a part of the final design package

Preparation required:

- –Client reps (PW & end user) must understand proposal and be prepared to discuss and resolve key issues at PAK–Designers and tech reviewers must be familiar with RFP and all referenced documents
- –Tech reviewers must understand and follow the DQA Plan

Key Point:

- –Prompt review of design submittals required to avoid contract delays
- –Encourage Ktr to incorporate construction submittals into the design

Lead Role: AROICC(with strong support from PM)

- –ACO notifies contractor of design acceptance for each work package
- •An accepted design is the Ktr's signed/sealed drawings plus govt signatures
- •All design packages follow the same procedures for acceptance
- –Contractor shall not begin a DFOW without an accepted design

When Does it Occur?

- –End of design review for an early start work package
- –End of design review for the multi-discipline work package

How is it different from DBB?

- –Although PM leads the process in support of the AROICC, PM only recommends acceptance… the ACO officially accepts the design

Preparation required:

- –Get closure for all unresolved comments
- –Obtain drawing signatures from government reviewers

Key Point:

- –Allowing the Ktr to start construction without an accepted design is very risky, both to the Ktr and the govt.

Case Study

Scenario:
The contractor received a construction authorization for the accepted early start design package (site & foundation). The contractor begins construction and lays electrical conduit to be embedded in the slab, but the conduits are not shown on the accepted design.
Ktr wants AROICC to allow work to proceed in order to keep project on schedule and says it is his risk. Ktr will develop a final design for acceptance later. AROICC is concerned and calls PM for a recommendation.

What Happened?

- –Ktr failed to include all construction components in the early start design package.
- –PM realized that during the early start design package review the PM only requested comments from civil and structural. Did not get review by Elect, Fire Prot, MEP.
- –PM requested AROICC to get Ktr to provide sketch of proposed below slab conduit layout.
- –Technical review recommended larger conduit based on potential risks
- –Ktr agreed and continued work. Preventative action avoided rework.

Better Way…

- –PM must ensure that all relevant government players participate in an early start design package review.
- –AROICC must review all design packages to assure all construction parts are included.
- –AROICC consult with PM/Technical support to resolve critical issues
- –Address design issues in Production Meetings
- –PM must be involved in Production Meetings to discuss pending design actions