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## Design

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## Construction & Post-Construction

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## Step 8: Construction

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## Step 9: Commission

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## Step 10: Move-in

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## Step 11: Close-Out

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INTRODUCTION AND ABBREVIATIONS

Using this Manual
This manual has been developed to be used as a tool for creating an understanding of the intricacies and complexities of the capital construction process within New York-Presbyterian Hospital. Through this understanding, it is our hope, that a partnership will develop between the client team, OFO, and the consultant team participating in the realization of a capital project.

This Manual provides the following useful information to any project:
• An overview of how and why a capital project receives funding,
• Identification of the pivotal players,
• A flow diagram from inception to realization,
• The purpose for each step,
• A definition of roles and responsibilities,
• An matrix of deliverables and responsibilities,
• Supplemental resources and links to additional information.

Great care was taken to ensure the accuracy and relevance of this information at the time of this documents publication. If you have any questions or comments on how it could be improved, please forward to ClientManual@nyp.org.

Common Abbreviations
A references list of the abbreviations found throughout is document

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tr>
<td>AE</td>
<td>Architect and Engineer (Generally the core of the consultant team)</td>
</tr>
<tr>
<td>CAPD</td>
<td>Capital Asset Planning and Development</td>
</tr>
<tr>
<td>CB</td>
<td>Capital Budget</td>
</tr>
<tr>
<td>CM</td>
<td>Construction Manager</td>
</tr>
<tr>
<td>CON</td>
<td>Certificate of Need</td>
</tr>
<tr>
<td>COO</td>
<td>Chief Operating Officer</td>
</tr>
<tr>
<td>DOB</td>
<td>Department of Buildings</td>
</tr>
<tr>
<td>DOH</td>
<td>Department of Health</td>
</tr>
<tr>
<td>EVP</td>
<td>Executive Vice President</td>
</tr>
<tr>
<td>GC</td>
<td>General Contractor</td>
</tr>
<tr>
<td>MEP</td>
<td>Mechanical, Electrical and Plumbing Engineering</td>
</tr>
<tr>
<td>NYP</td>
<td>New York Presbyterian (Hospital)</td>
</tr>
<tr>
<td>OFD</td>
<td>Office Facilities Development</td>
</tr>
<tr>
<td>ORPPD</td>
<td>Office of Regulatory Planning &amp; Policy Development</td>
</tr>
<tr>
<td>PA</td>
<td>Project Administrator (Either from service line or operations)</td>
</tr>
<tr>
<td>RFI</td>
<td>Request for Information</td>
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<tr>
<td>RFP</td>
<td>Request for Proposal</td>
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<tr>
<td>VE</td>
<td>Value Engineering</td>
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</table>

10/11/10
EXECUTIVE SUMMARY

The purpose of this manual is to introduce the client team to the NYP project development process, provide context, purpose, roles and responsibilities, deliverables and set expectations for each of the following:

• NYP strategic planning and Go/No Go milestones
• 11 step capital project development process from evaluation and selection to post-occupancy
• Budget, schedule development and management
• External regulatory requirements
• NYP protocols and guidelines that govern the process
EACH NEW PROJECT MUST ALIGN WITH THE STRATEGIC PLAN
THE PROJECT ADMINISTRATOR (PA) IS THE CENTRAL LINK IN ANY PROJECT

Note:
Internal Consultants: include as an example IT, Telecommunications, Audio Visual, BioMed, Security, Environmental Health & Safety, Food Services, Epidemiology, Support Services, ORPPD, Marketing & Wayfinding

External Consultants: include as an example the Architectural & Engineering Team, Specialty Consultants & Vendors
Project Process

11 STEP OVERVIEW
**Evaluation & Selection**

**STEP 1: PRELIMINARY REQUEST ★ ★ ★**

**Purpose**
- Establish need for the project
- Present the business case for implementation
- Obtain approval to proceed to Step 2: Concept Study

**Roles & Responsibilities**

**Strategic Planning: CAPD**
- Reviews 1 Star requests & presents this at the Project & Space Meeting
- Forwards approved request to OFD

**Strategic Planning: COO**
- Approves/disapproves project request
- Assigns PA

**Client: PA**
- Identifies funding source
- Provides review comments

**Client: End User** (Anyone at NYP can submit a 1 Star form)
- Generate 1 Star form (Reference Appendix)

**Project Manager: OFD**
- (Not applicable)

**Consultant Team: Internal**
- (Not applicable)

**Consultant Team: External**
- (Not applicable)

**Regulatory: ORPPD**
- (Not applicable)

**Contractor: CM/GC**
- (Not applicable)
# Evaluation & Selection

## STEP 1: PRELIMINARY REQUEST ★ ★ ★

### Deliverables & Responsibilities

<table>
<thead>
<tr>
<th>Deliverables</th>
<th>Strategic Planning</th>
<th>Client</th>
<th>OFD</th>
<th>Consultant Team</th>
<th>CM/GC</th>
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<tr>
<td></td>
<td>CAPD</td>
<td>COO</td>
<td>PA</td>
<td>End user</td>
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<tr>
<td>NY Project Form (1 Star) Preliminary Business Case</td>
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<td>P</td>
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<tr>
<td>Scope &amp; Purpose Statement</td>
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<td></td>
<td>P</td>
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<tr>
<td>Space Requirements</td>
<td>P</td>
<td></td>
<td>S</td>
<td></td>
<td></td>
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<tr>
<td>Funding Source</td>
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<td>P</td>
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</tr>
<tr>
<td>Review Comments</td>
<td>P</td>
<td>P</td>
<td>S</td>
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<tr>
<td>Approval - Go/No Go</td>
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</tbody>
</table>

**P** = Primary Responsibility  
**S** = Secondary or Support Responsibility
Evaluation & Selection

STEP 2: CONCEPT STUDY ★ ★ ★

Purpose
Define the project scope
Develop a concept estimate and schedule (order of magnitude)
Obtain approval and seed money to proceed with Step 3: Feasibility Study
Determine regulatory requirements

Roles & Responsibilities

Strategic Planning: COO
• Confirms project funding from restricted &/or non-restricted sources
• Identifies and confirms source of seed money for Step 3: Feasibility Study

Strategic Planning: CAPD
• (Not applicable)

Client: PA
• Identifies and confirms source of seed money for Step 3: Feasibility Study
• Confirms project funding from restricted &/or non-restricted sources
• Confirms alignment with the long and short term goals of the Strategic Plan
• Identifies funding source
• Provides review comments
• Keeps client team informed regarding strategy, business plan, and impact of the project

Client: End User
• Provides program requirements to CAPD

Project Management: OFD / Strategic Planning: CAPD
• Completes the 2 Star request form
• Provides a concept budget and schedule
• Identifies decanting space
• Ushers the Capital Acquisition Request through the NYP organization
• Reviews & forwards fully executed request to finance for feasibility study funding
• Keeps client informed regarding project design & construction issues

Consultant Team: Internal
• Provides cost estimates
• Provides schedule

Consultant Team: External
• (Not applicable)

Regulatory: ORPPD
• Defines regulatory requirements

Contractor: CM/GC
• (Not applicable)
**Evaluation & Selection**

**STEP 2: CONCEPT STUDY ★ ★ ★**

### Deliverables & Responsibilities

<table>
<thead>
<tr>
<th>Deliverables</th>
<th>Strategic Planning</th>
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<td>CAPD</td>
<td>COO</td>
<td>PA</td>
<td>End User</td>
<td>Internal</td>
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<tr>
<td>Fact Sheet (2 Star) Concept Study</td>
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<tr>
<td>Scope Definition</td>
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<td>Program Requirements</td>
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<td>P</td>
<td>P</td>
<td>S</td>
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<tr>
<td>Order of Magnitude Concept Budget</td>
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<tr>
<td>Concept Schedule</td>
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**P** = Primary Responsibility  
**S** = Secondary or Support Responsibility
Purpose
Finalize scope
Define baseline budget and schedule
Obtain approval for funding and CB number

Roles & Responsibilities

Strategic Planning: CAPD
• Go/No Go decision at the Feasibility Meeting (EVP)

Strategic Planning: COO
• (Not applicable)

Client: PA
• Identifies funding source
• Confirms funding and cash flow from restricted and/or non-restricted sources
• Obtains approval and sign-off from sponsor for funding on request form
• Reviews scope to confirm alignment with Strategic Plan
• Provides review comments

Client: End User
• Provides program requirements to OFD
• Signs-off on the scope, drawings & program, schedule

Project Management: OFD / Strategic Planning: CAPD
• Acts as primary point of contact for the project
• Facilitates flow of information
• Sets expectations for deliverables
• Advises team members of their responsibilities
• Provides diagrammatic plans, baseline budget & schedule
• Submits the Capital Funding Request (3 Star) through Unifier
• Selects and contracts with external consultants
• Reviews and forwards fully executed request to finance for approval and funding
• Mandatory budgeting of mock ups (3D images) for client review for:
  • Clinical Spaces
  • Procedure Rooms
  • Nurse Stations
  • OR’s
  • Exam Rooms

Consultant Team: Internal
• Provides scope, schedule, and budget information

Consultant Team: External
• Provides scope, schedule and budget information

Regulatory: ORPPD
• Provides regulatory assessment

Contractor: CM/GC
• (Not applicable)
### Evaluation & Selection

#### STEP 3: FEASIBILITY STUDY ★ ★ ★

### Deliverables & Responsibilities

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</table>

**P** = Primary Responsibility  
**S** = Secondary or Support Responsibility
Design

STEP 4: SCHEMATIC DESIGN

Purpose
Validate Functional Space Program
Align project scope with regulatory requirements
Develop plans and systems narratives for client sign-off and cost estimating
Validate budget and schedule developed during the Feasibility Study
Prepare and submit DOH Submission

Roles & Responsibilities

Strategic Planning: CAPD/COO
• (Not applicable)

Client: PA
• Attends weekly project meetings as appropriate
• Aligns user goals/design solutions with hospital goals
• Keeps client team involved
• Reviews, comments on and approves submission

Client: End User
• Attends weekly project meetings as appropriate
• Provides spatial and functional requirements
• Reviews, comments on and approves submission

Project Management: OFD
• Acts as primary point of contact for the project
• Facilitates flow of information
• Sets expectations for deliverables
• Advises team members of their responsibilities
• Provides project guidance
• Aligns client goals with NYP standards
• Initiates a kick-off meeting
• Schedules and attends weekly project meetings
• Validates and manages budget and schedule variance
• Administers contracts
• Manages internal and external consultant teams to meet project goals
• Begins dialogue regarding move-in logistics (See Step 10: Move-in)
• Reviews and comments on documents
• Obtains sign-offs

Consultant Team: Internal
• Attends weekly project meetings as appropriate
• Aligns client goals with NYP standards
• Provides system information and requirements to external consultants
• Provides and maintains budget and schedule
• Provides Value Engineering options and recommendations
• Reviews, comments on and approves documents

Consultant Team: External
• Attends weekly project meetings as appropriate
• Prepares minutes and agendas
• Develops work plan, conduct and document regular project meetings
• Surveys existing conditions
• Presents design solutions and options
• Makes recommendations and provides Value Engineering suggestions
• Prepares materials for submission to DOH
• Submits materials to ORPPD for CON approval and DOH review and comment
• Responds to comments from previous phase

Regulatory: ORPPD
• Guides the regulatory process
• Submits approved documents for DOH/CON approvals

Contractor: CM/GC (Where applicable)
• Provides constructability reviews and construction logistics
• Provides cost estimates
• Assists in Value Engineering
• Develops construction schedules
## Design

### STEP 4: SCHEMATIC DESIGN

#### Deliverables & Responsibilities

<table>
<thead>
<tr>
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<th>Strategic Planning</th>
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<td>PA</td>
<td>End User</td>
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<td>Existing Conditions Assessment</td>
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<td>Response to Comments from Previous Phase</td>
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<td>Design Presentations</td>
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<tr>
<td>Meeting Minutes &amp; Agendas</td>
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<td>Drawings: Floor Plans</td>
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<td>Preliminary Equipment Schedule</td>
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<td>Preliminary Code Analysis</td>
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<td>Narrative: Architectural</td>
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<td>Narrative: Furniture, Finishes, Equipment</td>
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<td>Narrative: Mechanical, Electrical, Plumbing, Fire Protection</td>
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<td>Narrative: IT-Teledata, AV, Biomed, Signage, Security</td>
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</table>

**P** = Primary Responsibility  **S** = Secondary or Support Responsibility
**Design**

**STEP 5: DESIGN DEVELOPMENT**

**Purpose**
Complete the design drawings which include plans, elevations, sections, specifications, furniture, finishes, equipment and building systems

Monitor program, schedule and budget

**Roles**

**Strategic Planning: CAPD/COO**
- (Not applicable)

**Client: End User**
- Attends all weekly project meetings as appropriate
- Reviews, comments and approves Design Development submission

**Client: PA**
- Attends all weekly project meetings as appropriate
- Aligns user goals/design solutions with hospital goals
- Keeps client team involved
- Reviews, comments on and approves submission

**Project Management: OFD**
- Acts as primary point of contact for the project
- Facilitates flow of information
- Sets expectations for deliverables
- Advises team members of their responsibilities
- Provides project guidance
- Aligns client goals with NYP standards
- Schedules and attends weekly project meetings
- Validates and manage budget and schedule
- Administrates contracts
- Manages internal and external consultant teams to meet project goals
- Continues dialogue regarding move-in logistics (See Step 10: Move-in)
- Obtains sign-offs
- Reviews and comments on documents

**Consultant Team: Internal**
- Attends all weekly project meetings as appropriate
- Aligns client goals with NYP standards
- Provides system information and requirements to external consultants
- Provides and maintains budget and schedule
- Provides Value Engineering options and recommendations
- Reviews, comments on and approves documents

**Consultant Team: External**
- Attends all weekly project meetings as appropriate
- Prepares minutes and agendas
- Develops work plan, conducts and documents regular project meetings
- Validates existing conditions
- Presents design solutions and options
- Makes recommendations, Value Engineering suggestions
- Prepares materials for submission to DOH
- Submits materials to NYP and ORPPD for DOH review and comment
- Responds to comments from previous phase

**Regulatory: ORPPD**
- Submits NYP approved documents for DOH approval

**Contractor: CM/GC (Where applicable)**
- Provides constructability reviews and construction logistics
- Assists in Value Engineering
- Provides cost estimates
## Design

**STEP 5: DESIGN DEVELOPMENT**

### Deliverables & Responsibilities

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<thead>
<tr>
<th>Deliverables</th>
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**P** = Primary Responsibility  **S** = Secondary or Support Responsibility
Design

STEP 6: CONSTRUCTION DOCUMENTS

Purpose
Finalize documents for competitive bidding
(Note: larger projects may divide this phase into 60%, 90% and 100% CD document submissions where applicable)

Roles

Strategic Planning: CAPD/COO
- (Not applicable)

Client: PA
- Attends all weekly project meetings as appropriate
- Aligns user goals/design solutions with hospital goals
- Keeps client team involved
- Reviews, comments on and approves submission

Client: End User
- Attends all weekly project meetings as appropriate
- Reviews, comments and approves Construction Document submission

Project Management: OFD
- Acts as primary point of contact for the project
- Facilitates flow of information
- Sets expectations for deliverables
- Advises team members of their responsibilities
- Provides project guidance
- Aligns client goals with NYP standards
- Schedules and attends weekly project meetings
- Validates and manages budget and schedule
- Administers contracts
- Manages internal and external consultant teams to meet project goals
- Continues dialogue regarding move-in logistics (See Step 10: Move-in)
- Obtains sign-offs
- Reviews and comments on documents

Consultant Team: Internal
- Attends all weekly project meetings as appropriate
- Aligns client goals with NYP standards
- Prepares documents
- Provides system information and requirements to external consultants
- Provides and maintains budget and schedule
- Provides Value Engineering options and recommendations
- Develops ICRA and ILSM strategy
- Reviews, comments on and approves documents

Consultant Team: External
- Attends all weekly project meetings as appropriate
- Develops work plan, conducts and documents regular project meetings
- Prepares Construction Documents
- Makes recommendations, Value Engineering suggestions
- Submits materials to NYP and ORPPD for DOH review/comment/approval
- Specifies mock-ups, if applicable
- Responds to comments from previous phase

Regulatory: ORPPD
- Issues documents to DOH for approval to start of construction

Contractor: CM/GC (where applicable)
- Reviews documents for constructability and logistics planning
- Provides cost estimates
- Assists in Value Engineering
- Develops a logistics plan
- Provides schedule and budget information
## Deliverables & Responsibilities

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P = Primary Responsibility  S = Secondary or Support Responsibility
Design

STEP 7: BID & AWARD

Purpose
Obtain competitive bids

Roles
Strategic Planning: CAPD/COO
• (Not applicable)

Client: PA
• Supports, signs off, and obtains End User approval on Value Engineering effort, if required

Client: End User
• (Not applicable)

Project Management: OFD
• Acts as primary point of contact for the project
• Facilitates flow of information
• Sets expectations for deliverables
• Advises team members of their responsibilities
• Develops/Approves bid list
• Obtains bids for general construction and other services outside the construction contract
• Obtains quotes from furniture vendors
• Reviews and analyzes bids
• Awards contracts
• Prepares contracts
• Manages a Value Engineering effort, if required

Consultant Team: External
• Responds to CD phase comments
• Issues bid documents
• Responds to RFIs from bidders and issues addenda
• Provides a bid analysis
• Supports a Value Engineering effort, if required

Consultant Team: Internal
• Obtains bids for construction services from vendors not under contract to the GC/CM such as IT/AV/Telecom Equipment
• Supports a Value Engineering effort, if required

Regulatory: ORPPD
• Obtains approval to start construction

Contractor: CM/GC (Where applicable)
• CM: Obtains and evaluates bids
• GC: Submits bids for evaluation by NYP
• CM: Submits Guaranteed Maximum Price (GMP)
• CM/GC: Supports a Value Engineering effort, if required
# Design

## STEP 7: BID & AWARD

### Deliverables & Responsibilities

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<tr>
<th>Deliverables</th>
<th>Strategic Planning</th>
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*P = Primary Responsibility   S = Secondary or Support Responsibility*
Purpose
Complete the construction of the project
Obtain regulatory approval to occupy, including but not limited to, DOH and DOB

Roles
Strategic Planning: CAPD/COO
• (Not applicable)

Client: PA
• Attends weekly project meetings as appropriate
• Keeps client team informed
• Reviews and approve mock-ups, if required
• Participates in regulatory review process and insure submission of end user documents ORPPD meet requirements
• Signs-off on the punch list
• Ensures completion & Direct Delivery to ORPPD of Clinical / Operational DOH Binder

Consultant Team: Internal
• Attends weekly project meetings as appropriate
• Reviews progress of work for conformance with documents and design intent
• Participates in required reviews
• Obtains manuals and warranties from vendors
• Coordinates training, if required
• Prepares space for inspections, move-ins and the like, if required

Consultant Team: External
• Issues conformed Construction Documents
• Attends all weekly scheduled project meetings as appropriate
• Responds to requests for information from bidders issue bulletins, reviews submittals
• Reviews progress of the work for conformance with documents, design intent and code requirements
• Participates in regulatory reviews and submits required documents
• Signs-off on substantial completion
• Performs controlled inspections
• Prepares punch lists

Client: End User
• Attends weekly project meetings as appropriate
• Participates in regulatory review process and submits documents
• Reviews and approves mock-ups if applicable
• Signs-off on the punch list

Project Management: OFD
• Acts as primary point of contact for the project
• Schedules and attends weekly project meetings
• Facilitates flow of information and decision making process
• Sets expectations for deliverables
• Advises team members of their responsibilities
• Provides project guidance
• Manages budget and schedule
• Administrates contracts
• Manages internal and external consultant teams
• Reviews the work for conformance with NYP requirements/standards
• Participates in regulatory review process
• Continues dialogue regarding move-in logistics (See Step 10: Move-in)
• Obtains sign-offs
• Compiles & completes A/E Binder and Delivers Directly to ORPPD

Regulatory: ORPPD
• Schedules pre-occupancy surveys
• Coordinates documentation preparation process
• Coordinates regulatory inspections, such as DOH
• Obtains permission to occupy

Contractor: CM/GC
• Obtains building permits
• Constructs the project in accordance with documents and conformance to ILSM/ICRA and code requirements
• Conducts and minutes project meetings
• Submits shop drawings RFT, etc. for review
• Obtains final DOB approvals
• Participates in regulatory reviews and submits required documents
• Coordinates equipment testing and training
• Maintains “red mark” sets
• Submits record documents, manuals and warranties
## Construction & Post-Construction

### STEP 8: CONSTRUCTION

#### Deliverables & Responsibilities

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P = Primary Responsibility  S = Secondary or Support Responsibility
Construction & Post-Construction

STEP 9: COMMISSIONING

Purpose
Confirm that all equipment is operational and internal staff is fully trained in the use of this equipment
(Note: This phase generally applies to new buildings and projects with complex major new infrastructure equipment)

Roles
Strategic Planning: CAPD/COO
• (Not applicable)

Client: PA/End User
• (Not applicable)

Project Management: OFD
• Reviews progress of the work for conformance NYP requirements & standards
• Facilitates delivery of all commissioning materials
• Acts as primary point of contact for the project
• Facilitates flow of information
• Sets expectations for deliverables
• Compiles pre-occupancy documentation binder

Consultant Team: Internal
• Participates in commissioning efforts for major project equipment
• Reviews and signs-off on commissioning materials

Consultant Team: External
• Coordinates commissioning of MEP equipment
  Only applicable if a commissioning consultant is on the team

Regulatory: ORPPD
• (Not applicable)

Contractor: CM/GC
• Coordinates and schedules commissioning of MEP equipment
• Submits commissioning documents
• Prepares pre-occupancy documentation binder
## Construction & Post-Construction

### STEP 9: COMMISSIONING

#### Deliverables & Responsibilities

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<td>Pre-Occupancy Documentation</td>
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</tbody>
</table>

*P = Primary Responsibility  S = Secondary or Support Responsibility*
Construction & Post-Construction

STEP 10: MOVE-IN

Purpose
Move end user from their existing facility to their new facility
(Note: this process will start early in the project & develop with each phase as appropriate)

Roles & Responsibilities

Strategic Planning: CAPD/COO
• (Not applicable)

Client: PA
• Attends move coordination meetings
• Implements and confirms end user commitments

Client: End User
• Attends move-in coordination meetings
• Assigns a move-in representative that will be the single point of contact prior to, during and after the move-in
• Manages the end user staff during the move-in process
• Coordinates with the move-in consultant and OFD for such items as departmental requirements & logistics
• Identifies items to be moved to the new facility and alternate facility as applicable
• Implements a salvage and purge program
• Defines security requirements
• Coordinates with vendors for move-in, removal and replacement of leased items such as copy machines
• Tags and labels items to be moved

Consultant Team: Internal
• Coordinates move-in of specialty items such as IT/Telecom/AV/BioMed
• Provides prior and post move-in cleaning services

Consultant Team: External
• Develops documents for use during the move such as an existing and new location plan
• Coordinates with the move-in consultant and OFD for such items as departmental requirements & logistics
• Identifies items to be moved to the new facility and alternate facility as applicable
• Implements a salvage and purge program
• Defines security requirements
• Coordinates with vendors for move-in, removal and replacement of leased items such as copy machines
• Tags and labels items to be moved

Project Management: OFD
• Advises team members of their responsibilities
• Selects, contracts with and manages the vendor for move-in services
• Develops a budget and schedule for the move process
(Note: This should start early in the project process)
• Develops a move protocol with the end user
• Assigns roles and responsibilities
• Schedules a walk-thru of the existing and new facility with move consultant and client
• Posts move-in plans in new facility
• Facilitates the move-in process
• Acts as primary point of contact for the project
• Facilitates flow of information
• Sets expectations for deliverables

Consultant Team: External
• Develops documents for use during the move such as an existing and new location plan
• Coordinates with the move-in consultant and OFD for such items as departmental requirements & logistics
• Identifies items to be moved to the new facility and alternate facility as applicable
• Implements a salvage and purge program
• Defines security requirements
• Coordinates with vendors for move-in, removal and replacement of leased items such as copy machines
• Tags and labels items to be moved

Regulatory: ORPPD
• (Not applicable)

Specialty Vendor: Move Consultant
• Attends move walk-through and meetings as required
• Identifies the move-in team and coordinator
• Develops a move logistics plan
• Establishes a tagging system
• Surveys destination prior and post move-in
• Moves end user, removes debris and cleans
• Completes punch list
## Construction & Post-Construction

### STEP 10: MOVE-IN

#### Deliverables

<table>
<thead>
<tr>
<th>Deliverables</th>
<th>Strategic Planning</th>
<th>Client</th>
<th>OFD</th>
<th>Consultant Team</th>
<th>Move Contractor</th>
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<td>CAPD</td>
<td>COO</td>
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<td>End User</td>
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<td>Move-in Plans</td>
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<td>Punch List</td>
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<td>Sign-off</td>
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</tbody>
</table>

P = Primary Responsibility  
S = Secondary or Support Responsibility
Construction & Post-Construction

STEP 11: CLOSE-OUT

Purpose
Close-out the project financially and operationally

Roles
Strategic Planning: CAPD/COO
• (Not applicable)

Client: PA
• Reviews and signs-off on punch lists
• Identifies funding source
• Provides review comments

Client: End User
• Reviews and signs-off on punch lists
• Prepares and submits Joint Commission Regulatory notification

Project Management: OFD
• Advises team members of their responsibilities
• Obtains and archive close-out documents
• Acts as primary point of contact for the project
• Facilitates flow of information
• Sets expectations for deliverables

Consultant Team: Internal
• Reviews and signs-off on close-out materials

Consultant Team: External
• Submits relevant documents

Regulatory: ORPPD
• (Not applicable)

Contractor: CM/GC
• Submits relevant documents
## Construction & Post-Construction

## STEP 11: CLOSE-OUT

### Deliverables & Responsibilities

<table>
<thead>
<tr>
<th>Deliverables</th>
<th>Strategic Planning</th>
<th>Client</th>
<th>OFD</th>
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<th>CM/GC</th>
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<td>Punch List Sign-offs</td>
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<td>Certificate of Occupancy (where applicable)</td>
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<td>Joint Commission Notification</td>
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</tbody>
</table>

**P = Primary Responsibility**  **S = Secondary or Support Responsibility**
APPENDIX
Appendix

GLOSSARY

External Consultants

Internal Consultant
Includes BioMed, Security, Information Technology, Audio Visual, Telecommunications, Nutrition, Environmental Health and Safety, Epidemiology, Marketing/Signage and Graphics, Development and other internal departments as appropriate to the project.

Functional Space Program
A document that describes and tabulates requirements, adjacencies, function, interrelationships of spaces and activities, workflow, furniture and equipment.

UNDER CONSTRUCTION
Appendix

THE PROJECT APPROVAL PROCESS

STEP 1
PRELIMINARY PROJECT REQUEST

STEP 2
CONCEPT STUDY

STEP 3
FEASIBILITY STUDY

FLOWCHART OF PROJECT APPROVAL PROCESS:

1. Project Start → Request → CCO Review → Go/No Go
2. Concept Study → Set Baseline Scope, Schedule & Budget → CCO Review → Capital Planning & Feasibility Meeting Review → Obtain Sponsor Approval → Feasibility Pursuing → Go/No Go
3. Assign Project Team → Feasibility Study → Reset Baseline Scope, Schedule & Budget → Capital Planning & Feasibility Meeting Review → Obtain Sponsor Approval → Funding Allocation → Go/No Go

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Appendix

STEP 1: PRELIMINARY REQUEST ★ ★ ★

Form

(Capital Project and Space Request Form)

SAMPLE ONLY
Appendix

STEP 2: CONCEPT STUDY ★ ★ ★

Concept Study Fact Sheet

Project Name: 12135 - OCE Office Space

Project Summary

Project Narrative / Program / Location / Deans

Project Assumptions

Client Department: Administrator / VAP
Service Line: Requester:
Campus: In Article 38 Space?
Building: CON Review Type:
Floor: Fundraising Potential:

Preliminary Estimate

Total Project Cost $0.00 | Seed Funding for Feasibility Study $0.00

Preliminary Schedule

Capital Funding Request

Department: Request Number:
Project Name: Amount requested:
Date of Request: If this is an addendum, please identify Capital Number:

Funding Source:

Department Name: Department Cost Center:
Requestor:
Client Contact:
CON Review Type: lease / Purchase:
Start-up date: Date fully operational:

Funding Request

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<tr>
<th>Previous Request</th>
<th>Current Request</th>
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<td>3 - Contingency</td>
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<td>4 - FF&amp;E</td>
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<td>5 - Hospital Support Fees</td>
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<tr>
<td>TOTAL</td>
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</tbody>
</table>

Authorizations

Department Head
Information Services
Biomedical Engineering
Vice President
Executive Management
Finance

Facilities Authorizations are recorded electronically in the Unified Concept Fact Sheet.

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STEP 3: FEASIBILITY STUDY ★ ★ ★

SAMPLE ONLY
Appendix

LINKS TO INFECTION CONTROL RISK ASSESSMENT (ICRA)

- ICRA Policy
- ICRA Form
Appendix

LINKS TO PROTOCOLS & GUIDELINES

| Facilities Website |
Appendix

LINKS REGULATORY REQUIREMENTS

1. Joint Commission Pre-Occupancy Requirements
2. NYSDOH Requirements for a Pre-Occupancy Survey, Clinician
3. NYSDOH Requirements for a Pre-Occupancy Survey, Sanitarian