

BID PACKAGE TRAINING # 2

PQL & SER

PQL & SER OVERVIEW

1. Definitions
2. Timeline
3. Bid Package Documents
4. PQL
 1. Why use PQL?
 2. Types of PQLs
 3. Does this Qualify?
 4. How to Apply?
5. SER
 1. Why use SER?
 2. Types of SERs
 3. How to Apply
6. ACCO/ Law Approves
7. ACCO/ Law Does Not Approve
8. Finalize

PQL and SER

I. Definitions

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PQL : PRE-QUALIFIED LIST [OF BIDDERS]

SER : SPECIAL EXPERIENCE REQUIREMENTS

PQL and SER

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Q: When should I start to think about
PQL and SER?

A: The earlier, the better.

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Overview: Bid Package Timeline

*SD & DD Phases:	Invite to meetings only if needed
*50% CD:	CD kick off meeting (no BP review at 50% CD)
*100% CD (1):	Constructability review only (no BP review at initial 100% CD)
*Resubmit 100% CD (2):	First Bid Package review: detailed comments sent to consultant and DDC PM
*Resubmit 100% CD (3):	Second Bid Package review: check for compliance with previous comments, and check for all required approvals. If acceptable, BP will package for Design Completion & Law review

The Bid Packaging Unit is available to discuss your project and answer your questions at any phase.

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Required Bid Package Documents for PQL and SER

- PQL Approval Memo (by DDC PM)
- SER Approval Memo (by DDC PM)
- SER Justification (by Consultant)
- SER Bid Booklet Page (by DDC BP Manager)

NYC Department of Design and Construction		REQUIRED BID PACKAGE DOCUMENTS	
		FMS:	_____
		DATE:	_____
PROJECT NAME:		_____	
PROJECT MANAGER:		_____	
THE FIRST 10 DOCUMENTS BELOW ARE REQUIRED FOR ALL BID PACKAGES:			
DOCUMENT NAME	NOTES		
1. Bid Submission Form (by DDC PM) <i>printed document</i>			<input type="checkbox"/>
2. Cost Estimate in DDC standard format (by consultant) <i>excel document</i>			<input type="checkbox"/>
3. Addendum to the General Conditions (by consultant) <i>word document</i>			<input type="checkbox"/>
4. Table of Contents (by consultant) <i>word document</i>			<input type="checkbox"/>
5. Specifications (by consultant) <i>pdf document & printed document unbound, doubled sided, without holes</i>			<input type="checkbox"/>
*6. MWBE coordination (by DDC PM) <i>confirmation, via email</i>			<input type="checkbox"/>
*7. ACCO FLOW CSB sheet with PIN number (by DDC PM) <i>word document</i>			<input type="checkbox"/>
*8. Bid Disposition Form approval (by DDC PM) <i>signed original</i>			<input type="checkbox"/>
*9. ACCO Accessibility Form (by DDC PM) <i>pdf</i>			<input type="checkbox"/>
*10. Signoff of Drawings from Constructability Unit <i>confirmation</i>			<input type="checkbox"/>
THE ITEMS BELOW ARE OTHER, PROJECT BASED DOCUMENTS NEEDED FOR DESIGN COMPLETION, AS APPLICABLE:			
11. Proprietary Items approval memo (by DDC PM) <i>signed original</i>			<input type="checkbox"/>
11.1 Justification of proprietary items (by consultant or client)			<input type="checkbox"/>
11.2 Itemized Cost list (by consultant) <i>word document</i>			<input type="checkbox"/>
*12. PQL approval memo (by DDC PM) <i>signed original</i>			<input type="checkbox"/>
13. Special Experience Requirements approval memo (by DDC PM) <i>signed original</i>			<input type="checkbox"/>
13.1 SER Justification (by consultant)			<input type="checkbox"/>
13.2 SER Bid Booklet Page (by DDC BP manager) <i>word document</i>			<input type="checkbox"/>
14. Bid Alternates approval (by DDC PM) <i>signed original</i>			<input type="checkbox"/>
15. Unit Price Schedule (by DDC PM/ consultant) <i>excel document</i>			<input type="checkbox"/>
16. Commissioning Specifications (by DDC PM) <i>word document(s)</i>			<input type="checkbox"/>
*17. Asbestos Specifications (by DDC PM) <i>pdf document(s)</i>			<input type="checkbox"/>
18. Geotechnical report (by consultant) <i>pdf document & printed document unbound, doubled sided, without holes</i>			<input type="checkbox"/>
*19. Federal-related contract documents (by DDC PM) <i>pdf document(s)</i>			<input type="checkbox"/>
*20. Feasibility Study & PLA approval – for New Construction projects only (by DDC PM) <i>confirmation</i>			<input type="checkbox"/>

*Required submittal for Design Completion (if applicable), not for review.

March 2016

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WHY USE A PQL?

DIFFERENCES BETWEEN PQL AND OPEN BID:

- **Only a select pool of contractors who have been pre-approved to do the work may bid on your project.**
- **Construction may start more quickly than with an open bid.**
- **Will know ahead of time who can bid on your project – which may be good or bad.**

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- Roof Systems
 - SBS Modified Bitumen
 - Cold Fluid Applied Reinforced Membrane
- Landmark buildings
- General Construction
 - Small
 - Medium
 - Large

NMC Department of
DBC Design and
Construction

Memo

Date (Insert Date)
To Nicholas Mendoza; ACCO
From (Assistant Commissioner/Executive Director, which will sign below)
Subject PQL Approval Request for (Insert Project ID and Project Title)

This memo is to request approval to issue the aforementioned project to the selected Pre-Qualified List below: (check one)

- Installation of Styrene-Butadiene-Styrene (SBS) Modified Bitumen Roofing System
- Installation of Cold Fluid Applied Reinforced Membrane Roofing System
- Reconstruction and restoration of Landmarked and Landmark-Quality Buildings
- General Construction – Small Projects (\$500,000 - \$3 million)
- General Construction – Medium Projects (\$3 million – \$10 million)
- General Construction – Large Projects (Over \$10 million)

Funding Source: _____ 100% City-funded

Contract Engineer's Estimate: \$ _____

Brief Description of Work: (type in area below)

It is required to include this memo with signatures below when providing the aforementioned contract to Legal for review. The scope of the project has been reviewed and fits within the scope of the selected PQL. It is further confirmed that no exclusionary reason otherwise exempts this contract from solicitation to the PQL.

Program Director: _____

Assistant Commissioner/Executive Director: _____

ACCO: _____

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DOES MY PROJECT QUALIFY FOR A PQL?

1- Most of the work must be General Construction trade (not MEP)

2- All of the funding must be from City (not Federal, private, etc.)

3- Landmark: cost range \$2 million - \$25 million

4- Roofs: cost range \$200,000 - \$10 million

5- GC – Small, Medium, Large: cost range \$500,000 and up

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HOW DO I APPLY FOR A PQL?

- Fill out this form and submit for approval
- ACCO = Nicholas Mendoza
- Include with 100% CD
submittal

NVC Department of
Design and
Construction

Memo

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To Nicholas Mendoza; ACCO
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Forms & Templates Location:

DDC Home > DDC Forms > Public Buildings

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WHY USE SER?

SER for Bidder: provide basis to qualify (or disqualify) prime contractor at the time of bid

SER for Installers/ Manufacturers: provide basis to qualify (or disqualify) subcontractors or manufacturers after bid is awarded to prime contractor

Note: SER should be used sparingly since it limits competition

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Official Language on Special Experience Requirements from the Addendum to the General Conditions:

(5) Special Experience Requirements: Special Experience Requirements for the Project, if any, are set forth in the Bid Booklet. Special Experience Requirements may apply to contractors, subcontractors, installers, manufacturers and/or suppliers. If the Specifications and/or the Contract Drawings contain any Special Experience Requirement that is not set forth in the Bid Booklet, such Special Experience Requirement is deemed deleted, except as otherwise provided below.

- (a) Any Special Experience Requirement that provides that the entity performing the work or supplying the material must have more than three (3) years of experience, is revised to provide that the entity performing the work or supplying the material must have three (3) years of experience, except as described in paragraph (b) below.
- (b) Any Special Experience Requirement that pertains to the abatement of hazardous materials shall not be subject to the deletion and/or revision set forth above. Such Special Experience Requirement shall remain in full force and effect.
- (c) Any Special Experience Requirement that provides that the entity performing the work must be licensed, authorized, certified, approved by or acceptable to the manufacturer, is deemed deleted and replaced with the requirement that such entity must be properly trained for the specified work.
- (d) Any Special Experience Requirement that provides that the individual workers performing the work must be licensed, authorized, certified, approved by or acceptable to the manufacturer, is deemed deleted and replaced with the requirement that such individual workers must be properly trained for the specified work.

IX. REVISIONS: SPECIFICATIONS AND CONTRACT DRAWINGS	
The Specifications and the Contract Drawings for the Project are revised in accordance with the provisions set forth below.	
(1) <u>Owner</u> :	Wherever the term "Owner" is used in the Specifications and/or the Contract Drawings, such term shall mean the City of New York.
(2) <u>Other Entities</u> :	In the event any entity other than the City of New York is referred to or named as the "Owner" in the Specifications and/or the Contract Drawings, the name of such other entity is deemed deleted and replaced with the "City of New York".
(3) <u>Architect / Engineer</u> :	Wherever the words "Architect", "Engineer", "Architect / Engineer" or "Architect and/or Engineer" are used in the Specifications and/or the Contract Drawings, such words are deemed deleted and replaced with the word "Commissioner".
(4) <u>Products / Manufacturers</u> :	Wherever the Specifications and/or the Contract Drawings require the contractor to provide a particular product (i.e., material and/or equipment) from a designated manufacturer and/or vendor, the term "or approved equal" is deemed inserted, even if only one product and/or manufacturer is specified, except as otherwise provided below. (a) <u>Proprietary Items</u> : If the Bid Booklet contains a Notice which identifies a particular product from a designated manufacturer as a "Proprietary Item", the Contractor shall be required to provide such specified product. In such case, no substitution or "approved equal" will be permitted.
(5) <u>Special Experience Requirements</u> :	Special Experience Requirements for the Project, if any, are set forth in the Bid Booklet. Special Experience Requirements may apply to contractors, subcontractors, installers, manufacturers and/or suppliers. If the Specifications and/or the Contract Drawings contain any Special Experience Requirement that is not set forth in the Bid Booklet, such Special Experience Requirement is deemed deleted, except as otherwise provided below. (a) Any Special Experience Requirement that provides that the entity performing the work or supplying the material must have more than three (3) years of experience, is revised to provide that the entity performing the work or supplying the material must have three (3) years of experience, except as described in paragraph (b) below. (b) Any Special Experience Requirement that pertains to the abatement of hazardous materials shall not be subject to the deletion and/or revision set forth above. Such Special Experience Requirement shall remain in full force and effect. (c) Any Special Experience Requirement that provides that the entity performing the work must be licensed, authorized, certified, approved by or acceptable to the manufacturer, is deemed deleted and replaced with the requirement that such entity must be properly trained for the specified work. (d) Any Special Experience Requirement that provides that the individual workers performing the work must be licensed, authorized, certified, approved by or acceptable to the manufacturer, is deemed deleted and replaced with the requirement that such individual workers must be properly trained for the specified work.
(6) <u>Alternate Bids</u> :	If the agency is requesting the submission of Alternate Bids, a Notice regarding such Alternate Bids is set forth in the Bid Booklet. In the event of any conflict or inconsistency between (1) the Notice regarding Alternate Bids set forth in the Bid Booklet and (2) a provision in the Specifications and/or the Contract Drawings regarding Alternate Bids, the Notice set forth in the Bid Booklet shall prevail. If the agency is not requesting the submission of Alternate Bids, such provision is deemed deleted.

Drawings require the Contractor to
wing sentence is deemed inserted:
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WHAT KINDS OF SERs EXIST?

I- General SER for Installers: use this anytime you need a highly qualified installer for a particular skillful or sensitive work (example: glass curtainwall)

The contractor or subcontractor performing the work of this section must, within the last five (5) consecutive years prior to the bid opening, have successfully completed in a timely fashion at least three (3) projects similar in scope and type to the required work.

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WHAT KINDS OF SERs EXIST?

2- SER for Manufacturer-Approved

Installers: use this anytime you have installers who must be approved by the manufacturer – not including what is required by building code (example: terrazzo floors)

The contractor or subcontractor performing the work of this section must, within the last five (5) consecutive years prior to the bid opening, have successfully completed in a timely fashion at least three (3) projects similar in scope and type to the required work. In addition, for section XXXXXX, the contractor or subcontractor performing the work must be licensed or approved by the manufacturer.

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WHAT KINDS OF SERs EXIST?

3- General SER for Manufacturers: use this anytime you have a specialized item that is not proprietary, but requires sufficient quality assurance
(example: specialized equipment, precast stone)

The manufacturer providing the material or equipment specified in this section must, for the past five (5) years, have been regularly engaged in the manufacture of material or equipment similar in type to that required for this Project. Such similar material or equipment provided by the manufacturer must have been in satisfactory service for not less than five (5) years.

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WHAT KINDS OF SERs EXIST?

4- SER for Roof: use this anytime you are modifying an existing roof with a **warranty** in place, or you are installing an entirely new roof

The contractor or subcontractor performing the work of this section must be a company regularly engaged in performing roofing projects with its own workforce and have successfully completed in a timely fashion at least three (3) roofing projects similar in scope, size and type to the required work within the last three (3) consecutive years prior to the bid opening. At least one of those projects must have been performed within the last twelve (12) months. The three (3) qualifying projects must have utilized one or more of the roofing systems specified for the project being bid herein, been installed by the contractor's or subcontractor's company utilizing its own workforce and must have qualified for, and have been issued, the warranty provided by the manufacturer of the roofing system. In addition, the contractor or subcontractor must be a certified or authorized installer for at least one of the manufacturer's roofing systems specified herein and shall submit proof of same.

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WHAT KINDS OF SERs EXIST?

5- SER for Historic: use this anytime you are doing work affecting the quality of a landmark or historically significant building

The contractor or subcontractor performing the work specified above must, within the last five (5) consecutive years prior to the bid opening, have successfully completed in a timely fashion at least three (3) projects similar in scope, size and type to the required work, based on architectural style, construction method and materials and age of building for this particular project. One such prior project of the three must have involved a landmarked building, as officially designated by the City, State or Federal Government.

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WHAT KINDS OF SERs EXIST?

6- SER for Bidder: use this anytime you want experience for the bidder, but do not want (or do not qualify for) a PQL.

Note: General SER for the bidder does not require separate approval.

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6- SER for General Bidder: use this anytime you want experience for the general bidder, but do not want (or do not qualify for) a PQL.

Note: General SER for the bidder does not require separate approval.

The bidder must, within the last five (5) consecutive years prior to the bid opening, have successfully completed in a timely fashion at least three (3) projects similar in scope and type to the required work.

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6- SER for Historic Bidder: use this anytime you want experience for the historic bidder, but do not want (or do not qualify for) a PQL.

Note: General SER for the bidder does not require separate approval.

The bidder must, within the last five (5) consecutive years prior to the bid opening, have successfully completed in a timely fashion at least three (3) projects similar in scope, size and type to the required work, based on architectural style, construction method and materials and age of building for this particular project. One such prior project of the three must have involved a landmarked building, as officially designated by the City, State or Federal government.

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6- SER for Roof Bidder: use this anytime you want experience for the historic bidder, but do not want (or do not qualify for) a PQL.

Note: General SER for the bidder does not require separate approval.

The bidder must, be a company regularly engaged in performing roofing projects with its own workforce and have successfully completed in a timely fashion at least three (3) roofing projects similar in scope, size and type to the required work within the last three (3) consecutive years prior to the bid opening. At least one of those projects must have been performed within the last twelve (12) months. The three (3) qualifying projects must have utilized one or more of the roofing systems specified for the project being bid herein, been installed by the bidder's company utilizing its own workforce and must have qualified for, and have been issued, the warranty provided by the manufacturer of the roofing system. In addition, the bidder must, at the time of the bid, be a certified or authorized installer for at least one of the manufacturer's roofing systems specified herein and shall submit proof of same together with its bid. Failure to provide such proof of certification or authorization will result in the disqualification of the bid as non-responsive.

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HOW DO I APPLY FOR SER?

PQL and SER

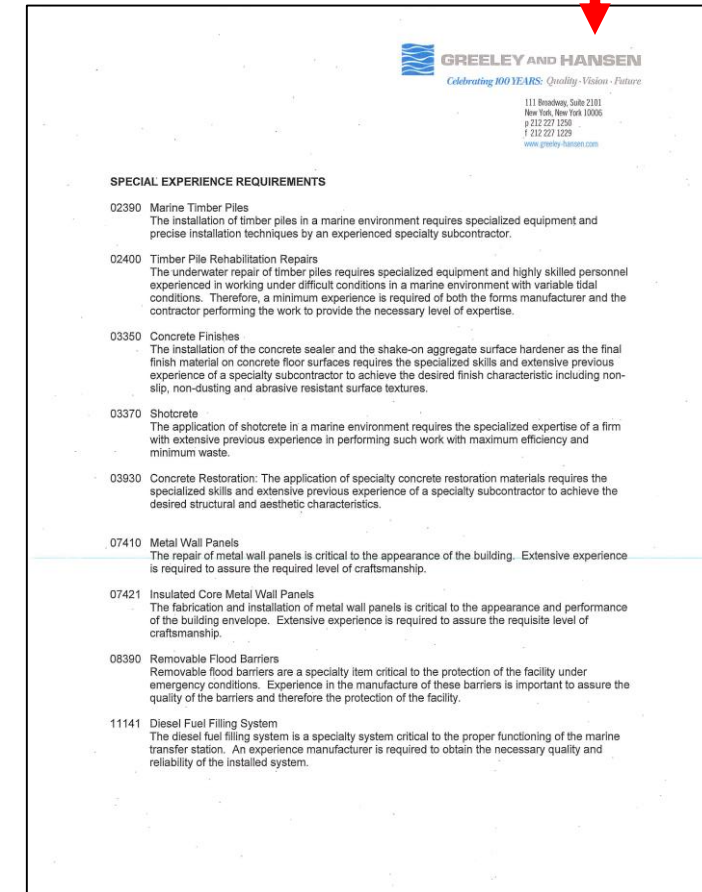
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 - III. How to Apply
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7. ACCO/ Law Does Not Approve
8. Finalize

Step 1 of 3: Justification

- Instruct Consultant to provide justification
- Include with 100% CD submittal

List required ►
sections, what
type of SER,
and why it is
needed

Consultant
letterhead



PQL and SER

1. Definitions
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Step 2 of 3: Bid Booklet Sheet

STEP 2 OF 3: Bid Booklet Sheet

- Acquire Bid Booklet sheet from Bid Packaging Unit

SPECIAL EXPERIENCE REQUIREMENTS

Special Experience Requirements apply as indicated below.

Special Experience Requirements are **not** applicable to the **Bidder** for this contract since the Department of Design and Construction has established a pre-qualified list ("PQL") of contractors for furnishing all labor, materials and equipment, necessary and required to perform work on facilities determined by the City to be General Construction - Small Projects. This procurement for the specified work is being advertised and let solely to bidders who were previously pre-qualified based on their prior experience, and placed on the General Construction - Small Projects PQL. Bids submitted by other than such pre-qualified bidders will be rejected as non-responsive bids. The below listed Special Experience Requirements apply solely to the Contractor/Sub-contractor performing the specific area(s) of work shown and the manufacturer that will supply or fabricate specific material or equipment.

Specific Areas of Work: General Construction Work ☒ YES ☐ NO

(A) **SPECIAL EXPERIENCE REQUIREMENTS FOR SPECIFIC AREAS OF WORK:** The special experience requirements set forth below apply to the contractor or subcontractor that will perform specific areas of work. Compliance with such experience requirements will be evaluated after an award of contract. Within two (2) weeks of such award, the contractor will be required to submit the qualifications of the contractor or subcontractor that will perform these specific areas of work. If the bidder intends to perform these specific areas of work with its own forces, it must demonstrate compliance with the special experience requirements. If the bidder intends to subcontract these specific areas of work, its proposed subcontractor(s) must demonstrate compliance with the special experience requirements. Once approved, no substitution will be permitted, unless the qualifications of the proposed replacement have been approved in writing in advance by the City. The bidder is advised to carefully review these special experience requirements prior to submitting its bid, as such experience requirements will be strictly enforced.

(1) Special experience requirements apply to the contractor or subcontractor that will perform specific areas of work specified in the section(s) set forth below.

General Construction Work

- Section 06203: Cabinetry and Millwork
- Section 084228: All Glass and Door Partitions

(2) Special experience requirements applicable to the contractor or subcontractor who will perform specific areas of work are summarized below. Such experience requirements are set forth in full in the Addendum to the General Conditions.

- The contractor or subcontractor performing the work of this section must, within the last five (5) consecutive years prior to the bid opening, have successfully completed in a timely fashion at least three (3) projects similar in scope and type to the required work.

(3) For each project submitted to demonstrate compliance with the special experience requirements for specific areas of work, the contractor or proposed subcontractor will be required to complete the Qualification Form included in the Bid Booklet. The City will only evaluate a project if the following criteria are met: (1) the project is described on the Qualification Form, and (2) all information on the Qualification Form is provided. The City will not evaluate any project which does not comply with the criteria set forth herein, including any project which is referred to only on the resume of an individual.

CITY OF NEW YORK
DDC

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BID BOOKLET
March 2017

PQL and SER

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Step 3 of 3: Approval Memo

STEP 3 OF 3: Approval Memo

Compose Approval Memo and seek signatures

- AC = per Program Unit
- Law = Lisa Litera
- ACCO = Nicholas Mendoza

Summarize what
SER is required
and why

DDC Program
Unit letterhead



PQL and SER

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How can I make sure that **DDC Law** will sign off on my Special Experience request?

1- Make sure you have all required documents
(*consultant justification, approval memo and bid booklet page*)

2- Check with Bid Package Unit first
(*we will double check that you have correct items*)

3- Seek out Program Unit AC signature first.

4- Email DDC Law to schedule an appointment
(*bring all required documents and prepare to justify request*)

Do not drop documents off and do not show up w/o appointment

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**SER IS APPROVED.
NOW WHAT?**

PQL and SER

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SER is Approved:

Ensure it is:

- Properly written into Specifications
- With no conflicting language.

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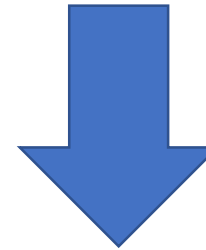
**SER IS NOT APPROVED.
NOW WHAT?**

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SER IS NOT APPROVED:

[ANY # GREATER THAN 3] YEARS EXPERIENCE



3 YEARS EXPERIENCE

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IF SER IS NOT APPROVED:

EXPERIENCE ON [ANY SPECIFIC #] OF SIMILAR PROJECTS



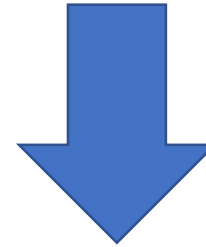
EXPERIENCE ON SIMILAR PROJECTS
(no specific #)

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IF SER IS NOT APPROVED:

[LICENSED/ APPROVED/ CERTIFIED] BY
MANUFACTURER



PROPERLY TRAINED BY MANUFACTURER

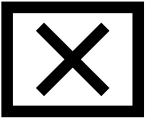
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EXAMPLE I: NO SER

1.3 QUALITY ASSURANCE

- A. The Contractor shall comply with the requirements of all applicable Federal, State and local safety and health regulations regarding the demolition of structures including ANSI/NFPD 241-Building Construction and Demolition Operations.
- B. The Contractor shall be responsible for any damage to any adjacent structures or buildings to remain.
- C. Qualifications: Qualifications of Contractor for work of this Section shall not be less than ten (10) years of field experience in work of this nature.



1.3 QUALITY ASSURANCE

- A. The Contractor shall comply with the requirements of all applicable Federal, State and local safety and health regulations regarding the demolition of structures including ANSI/NFPD 241-Building Construction and Demolition Operations.
- B. The Contractor shall be responsible for any damage to any adjacent structures or buildings to remain.
- C. Qualifications: Qualifications of Contractor for work of this Section shall not be less than three (3) years of field experience in work of this nature.



PQL and SER

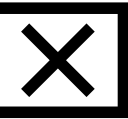
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EXAMPLE 2: SER ADDED

.5

CONTRACTOR QUALIFICATIONS

- A. The work of this section shall be performed by a fabricator specializing in the type of reinforcement fabrication required for this Project, with a minimum of 10 years of documented successful experience and shall be performed by skilled workmen thoroughly experienced in the necessary crafts.



.08

QUALITY ASSURANCE BY CONTRACTOR

- A. The contractor or subcontractor performing the work of this section must, within the last five (5) consecutive years prior to the bid opening, have successfully completed in a timely fashion at least three (3) projects similar in scope and type to the required work.



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KEY TAKE AWAYS

Pre-Qualified List of Bidders (PQL) may enable construction to begin faster than through open bid, and requires approval prior to Design Completion

Special Experience Requirements (SER) may help control the quality of bidders, subcontractors and manufacturers, and requires approval prior to Design Completion

Seek out Bid Package Unit for assistance at any point in project's timeline

QUESTIONS?

Contact:

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Sarah Yehuda
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