NYC School Construction Authority

ARCHITECTURE & ENGINEERING
OPERATIONS STUDIO
CONSULTANT CONTRACT FUNDING UNIT (CCFU)

Request for Payment (RFP) Submission Guidelines

A&E Design Consultants

Capital Improvement Program (CIP) Contracts
Emergency Contracts

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1. OVERVIEW

A. Using this Submission Guide

The primary goal/objective of this guide is to provide the technical support to assist A&E Design Consultants when preparing a Request for Payment (RFP) using our online payment portal. The system we use is called Oracle Requirements Contract Management System (ORCMS).

The guide will also provide guidance needed for submitting payment documents supporting an RFP, hence minimizing RFP submission errors and reducing payment delays. Please make this guide available to all employees involved in submitting payments, for service rendered under your SCA/A&E CIP contract. We have found that firms that invest in getting a full understanding of our authorization and payment process have fewer problems submitting payment requests and subsequently being paid for services rendered.

The RFP Submission Guidelines are also available from the SCA website at:

http://www.nycsca.org/Business/WorkingWithTheSCA/Design/Pages/SubmissionGuidelinesforPayment.aspx

All active Design Consultant firms will be notified by their assigned Consultant Contract Funding Unit (CCFU) Operations Manager when changes to the RFP Submission Guidelines have been published. Ensure that all personnel involved in submitting RFPs have the most recent version of the submission guideline.

B. Contact with your CCFU Operations Manager

1. Inquiries
Email is the preferred method of initial contact with your Operations Manager as it pertains to payment problems, issues, etc.

Please provide the following in your email to assist with ATP and/or RFP related inquiries:

- Contract Number
- Design/LLW Number
- RFP # (for payment inquires)
- ATP # (if available)
- Screen shots of error messages (if the issue is ORCMS related)

2. Visits
Please notify your Operations Manager prior to visiting their desk to make an inquiry. If you are in the building to handle other business, call or email to set a time to meet. We can better serve you if we are made aware of the inquiry/issue ahead of time and allocate the time needed to address the issue. Please wait for a confirmation from the Operations Manager. A response to your request for a meeting should occur within two (2) business days.

PLEASE NOTE – The contract sections referenced in this Submission Guidelines are from CIP contracts executed and amended by Supplemental Agreement from 2008 to present. Some of the contract references quoted may not apply to your pre 2008 CIP contract.

2. HELPFUL HINTS ON DOING BUSINESS WITH SCA / A&E

The NYC School Construction Authority's mission is to design and construct safe, attractive and environmentally sound public schools for children throughout the many communities of New York City. We are dedicated to building and modernizing schools in a responsible, cost effective manner while achieving the highest standards of excellence in safety, quality and integrity.

The SCA is solely accountable for planning, real estate, and budgeting, as well as scoping, design and construction of new schools, additions and capital improvements to existing schools. Placement of sole responsibility for the Capital Plan with the SCA offers several key benefits, including but not limited to, enhanced coordination between the public and private sectors, improved management of the construction process, reduced school construction costs as a result of simplified design standards.

The SCA is publicly accountable for all expenses and by extension, every dollar that a consultant requests for payment is also publicly accountable. Therefore, our authorization and payment process is very detailed ensuring our compliance with internal and external audit requirements.

<u>A. Notifications & ATPs</u>

Upon receipt of written notification from the Authority, the consultant shall commence providing services for the assigned task. Written notification can be in the form of, but not limited to, an Authorization to Proceed (ATP), an email, memorandum, approved proposal, and/or a fully executed Request for Additional Design Services (RADS) form. If, for whatever reason, your firm opts to decline an assignment, immediately provide a written statement to your A&E design team.

The ATP process is initiated by your A&E design team. Contingent upon volume and available resources, an ATP should become available in ORCMS for billing purposes within ten to fifteen business days. Status inquires pertaining to ATPs can be made after the fifteenth day. Timely follow up on missing ATPs cannot be emphasized enough. Waiting months (and in some cases, *years*) to follow up on an ATP is not in the best interest of the consultant firm nor the Authority.

<u>B. Proposals & Additional Services ATPs</u>

Upon receipt of written notification from the Authority to provide Additional Services, the consultant shall submit a written proposal within 7 to 10 business days to the Authority for approval. The approved proposal will be used to create an ATP for the task. Ensure the fee proposal follows the format as described in Section 4.1.2 – Additional Services of your A&E design services contract.

<u>C. Timekeeping</u>

Firms with dedicated personnel responsible for the coordination and management of billing SCA projects have historically had the most success in collection for services rendered to the SCA.

Timesheets must show Basic Services and Additional Services hours for each project clearly separated and identified. If multiple Additional Services have been authorized, each timesheet must also segregate and clearly identify the hours related to each additional task.

Regardless of the method of compensation, <u>all time for every project, for all assignments must be tracked</u> with a specific, unique project number/work number within their official payroll/project tracking system.

D. Payments & Submissions

In accordance with Article VII, Payments, Paragraph 7.1.1 you are required to submit a draft Request for Payment within ninety (90) days of the services rendered. RFP submissions for services rendered beyond the specified period are subject to a 90 - 120 day review period.

The SCA reserves the right to deny payment for failure to submit such requests within the time specified.

All Final RFP's will be processed in accordance with section Article VII, Payments, Paragraph 7.1.2. Please do not contact your Operations Manager regarding the status of a RFP until 30 days from the signed and notarized Final.

E. Consultant Kiosk

A Consultant Kiosk has been created for consultant use and is located at the entrance of the A&E Operations area. Any consultant employee with access to our web portal can log in and perform the same functions in ORCMS as they would from their home office.

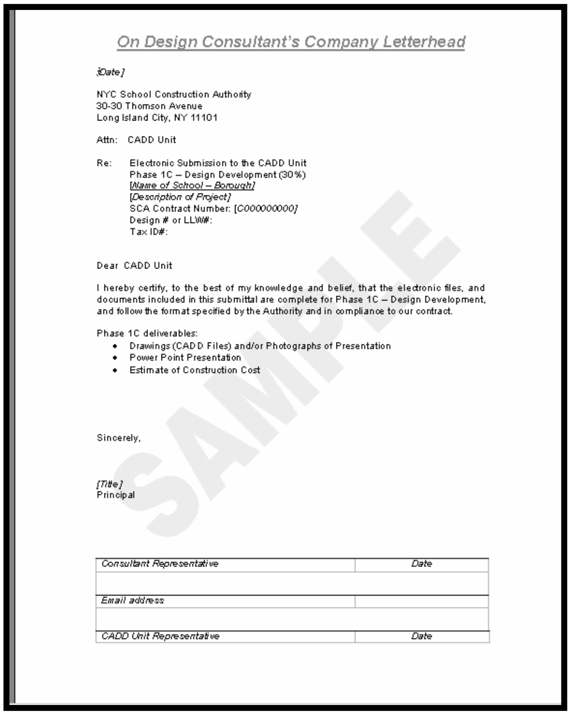
F. Request of Payment (RFP) Submission Guideline Training

CCFU provides training for design consultant employees on the payment and authorization process. These trainings are conducted January to May and July to November. A yearly calendar is disseminated at or around the beginning of the SCA fiscal year (July) with dates, location of training and how to register for a session. Currently the training is for design consultant firms with CIP and Capacity contracts only. Space is limited and only two employees from each firm registered for a given training will be allowed to attend.

3. WHAT DOCUMENTS ARE NEEDED BEFORE AN RFP CAN BE SUBMITTED?

A. <u>Authorization to Proceed (ATP)</u>

A fully executed **ATP** (electronically signed by the Consultant in ORCMS) for the services being billed is required. All Additional Services ATPs can be paid as time and materials or as a lump sum. Payment method and deliverable is determined by the Authority and will be noted on the ATP.



On Design Consultant's Company Letterhead

[Date]

NYC School Construction Authority
30-30 Thomson Avenue
Long Island City, NY 11101

Attn: CADD Unit

Re: Electronic Submission to the CADD Unit
Phase 1C – Design Development (30%)
[Name of School – Borough]
[Description of Project]
SCA Contract Number: *[C000000000]*
Design # or LLW#:
Tax ID#:

Dear CADD Unit

I hereby certify, to the best of my knowledge and belief, that the electronic files, and documents included in this submittal are complete for Phase 1C – Design Development, and follow the format specified by the Authority and in compliance to our contract.

Phase 1C deliverables:
- Drawings (CADD Files) and/or Photographs of Presentation
- Power Point Presentation
- Estimate of Construction Cost

Sincerely,

[Title]
Principal

Consultant Representative	*Date*
Email address	
CADD Unit Representative	*Date*

SAMPLE

Submission Deliverable Certificate

B. <u>Submissions/Deliverable Certification Letter</u>

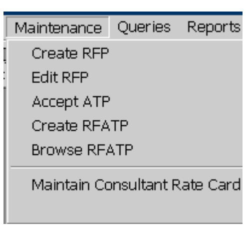
When billing for Phase 1 or 97% fee milestone for Phase 2 services, a fully executed Submissions/Deliverable Certification Letter must be obtained. Please ensure the letter is accurate and reflects the information contained on the Phase 1/ Phase 2 ATP.

C. <u>Prime Consultant Rate Cards</u>

Prior to submitting your first Additional Services RFP to the SCA, a rate card for all employees working on SCA projects must be entered into ORCMS.

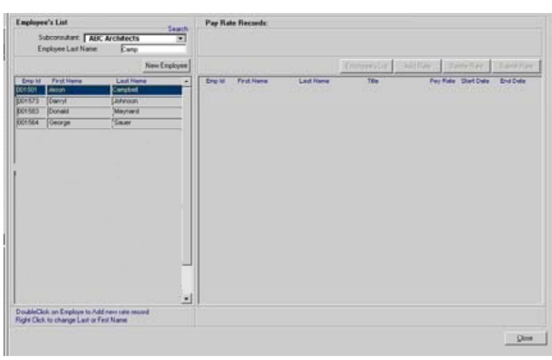
Our payment review of additional service items will be based on the rate card applicable for the period of performance for services rendered. If we do not have an applicable rate card on file, there's no basis for our review; therefore, the RFP (or applicable portion of the RFP) cannot be processed.

Rate card information is entered directly into ORCMS. **Prime SCA Design Consultants are responsible for maintaining accurate, current rate card information in ORCMS.**



Select *Maintain Consultant Rate Card* from **Maintenance** menu option.

From the main Employee Rate Card screen the user can enter new or search existing rate card information of their employees or their sub-consultant employees (see Appendix H - **RATE CARD MAINTENANCE** for details to add and/or update employee rates).



<u>Important Notes about the Rate Card section of ORCMS</u>

- An employee's pay rates, <u>once included and submitted on an RFP</u>, cannot be edited or deleted from ORCMS.
- A current individual employee pay rate can be updated twice during a calendar year by the firm. ORCMS will block the user from making more than two updates. Any additional updates of an individual pay rate must be sent to your SCA

Design team and CCFU Operations Manager for review. The ORCMS entry of these additional rate updates can be made by designated CCFU Staff only.

- Principal pay rate, start and end dates cannot be entered by the user. This information is part of the contract profile loaded into ORCMS.
- Only the *actual pay rate* of an employee, not the pay rate times the firm's multiplier should be entered.

D. Sub-Consultant Rate Cards

The consultant must obtain pay rates from all sub-consultants included in your contract with all employees working on the consultant's SCA projects. As with Prime Consultant rate cards, payment for most additional services is based on the employee pay rates for the period of performance for services rendered. If an applicable rate is not on file, ORCMS will prevent data entry and thus not allow the user to bill for the employee services.

The rate card must be forwarded to CCFU (send to the attention of the CCFU Unit Manager) for entry into ORCMS.

PLEASE NOTE - It is not uncommon for a firm to be a sub-consultant to several SCA contracted design consultants. Only one rate card is required to be submitted. Our system automatically will link a sub-consultant rate to its primes. Please confirm that the sub-consultant does not have an existing relationship with an SCA contracted design consultant firm prior to making the rate card request.

The sub-consultant will need to send their rate card in the form of an Excel spreadsheet. The spreadsheet requires the following fields:

Employee ID	Field is used to enter a unique identifier for each employee. This ID can be created specifically for use in ORCMS or it can mimic the ID in your existing timekeeping system. The ID can be alphanumeric and up to eight (8) characters.
First Name	The employee's first name can have up to twenty (20) characters. An employee's middle initial would be included in this field.
Last Name	The employee's last name can have up to thirty (30) characters. Jr., Sr., and other courtesy titles can be included in this field.
Pay Rate	Enter the hourly pay rate with the following format - $xx.xx
Effective Start Date	This field is used to enter the effective start of a pay rate (see spreadsheet for examples of entering multiple pay rate periods for one employee).
Effective End Date	This field is used to enter the effective end of a pay rate (see spreadsheet for examples of entering multiple pay rate periods for one employee).

In the *header* of the spreadsheet the sub-consultant must include the following:

- Sub-consultant Name
- Prime Consultant Name
- Prime Consultant Contract Number(s)

The spreadsheet file should be named as follows: `COMPANY NAME-Rate Card Update-mmddyy`

When employee rate updates are required, the sub-consultant should, in the aforementioned format, submit only those employee rates that are being updated. As with the initial rate submission, the rate card must be forwarded to CCFU (send to the attention of the CCFU Unit Manager) for entry into ORCMS.

E. Sub-Consultant Inclusions

It is not uncommon for a consultant to require the services of a sub-consultant that is not approved or included in their contract. However, all sub-consultants must be approved by the SCA or have a request for approval at the SCA **prior to rendering any services**. Payments for work performed by sub-consultants will not be processed until a multiplier has been negotiated and agreed upon by the sub-consultant and SCA Contract Administration.

Below are the requirements for the inclusion or substitution of a sub-consultant:

1. Submit the electronic **"Sub Consultant Inclusion Request Form"** (contact your Operations Manager for the SCA website hyperlink)**.** All requests require Director's approval to begin processing and negotiation of multiplier(s). The Management Support Unit (MSU) of A&E / Operations handles such requests. If you have any questions regarding this process, your Operations Manager can provide the current MSU contact person.

When your approved request begins process, you may be contacted by a member of MSU to submit additional requirements. (In some cases the information is already on file)

Additional Requirements:

- **Audited Financial Statement(s)** - The SCA requires Tax Documents (1120, 1120S, 1045, 1065 or Schedule C) for the year prior to when the sub-consultant started working for the Prime consultant**.**
- **Work History Forms** - If the proposed firm is not prequalified by the SCA, the Consultant must submit a Work History form completed by the sub-consultant listing 6 references for similar work performed in the past 3 years. The SCA's Prequalification Department will verify the references and perform a Vendex check. (contact your Operations Manager for the SCA website hyperlink)
- **Proposed Multiplier (Home/Field)**- Use the supplemental Consultant Multiplier Calculation Form to assist in Determining your proposed multiplier. Contact your Operations Manager for the SCA website hyperlink.

2. A Supplemental Agreement must be executed in order to include the sub-consultant in the Consultant's specific contract.

3. A Prime Consultant must be qualified for the Supplemental Agreement to be executed.

4. The SCA reserves the right to deny payments for services provided by a sub-consultant that has not been approved in advance of performing work.

4. HOW DO I ACCESS THE SCA WEB PORTAL AND ORCMS?

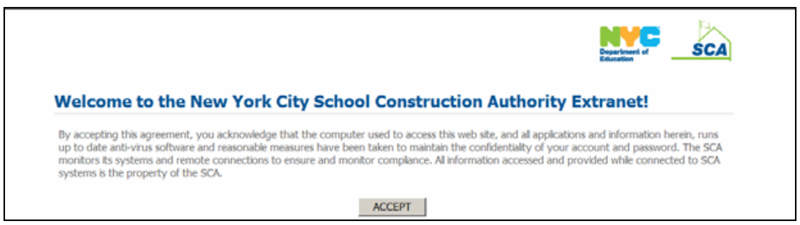
To gain access to the application needed to submit payments, all Consultants must submit a completed and notarized **NDA – Confidentiality and Non Disclosure Form** to the CCFU Unit Manager. No accounts will be created without this form being on file for each consultant firm (Form ITF-1c) and any employee of that firm (Form ITF-1b) requiring access to submit payments. The required forms are available through the SCA website at:

http://www.nycsca.org/Resources/Resources/Pages/NDANonDisclosureAgreement.aspx

After your web account has been authorized, the Consultant will receive a confirmation letter/email from SCA-IT with login information (user name and password) and the link to download the program necessary to access the SCA Web Portal.

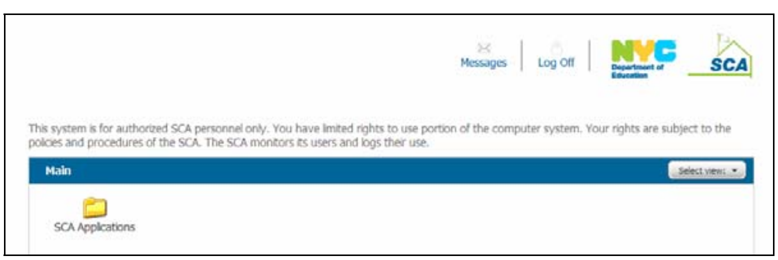
A. SCA Web Portal

1) Log into SCA Web Portal. The web link is **http://extranet.nycsca.org**. You will be asked to accept or reject the terms of agreement for use of SCA Applications.

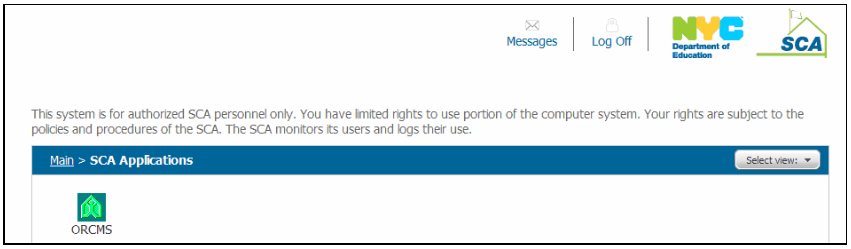


2) Upon acceptance, log in using your User Name and Password.

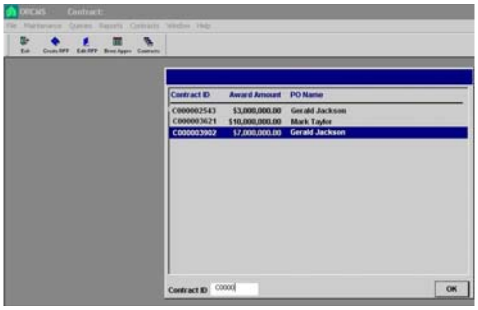
3) When you have successfully logged in, you will see a folder containing all SCA applications associated with your user name and pass word. Click on the folder.



4) All of the SCA applications associated with your user name and password will be displayed. Click on the ORCMS icon.



B. ORCMS



ORCMS is Oracle Requirements Contract Management System. In this system, the A&E Design Consultants will Create and Edit the RFP submission, the A&E Operations Manager will approve the RFP submission and forward to SCA Finance.

1) After successful entry into the SCA Web Portal and ORCMS, you will have access to your A&E contract(s). Select the contract for which you are requesting payment.

PLEASE NOTE – If you fail to log into ORCMS for a 45 day period, your ORCMS account will be **deactivated**. You will need to submit a completed and notarized *NDA – Confidentiality and Non Disclosure Form* to the CCFU Unit Manager **again** for your ORCMS account to be re-activated.

ORCMS Inquiries

ALL general ORCMS inquires should be filtered through your Operations Manager however, please note the following important distinctions:

-if you are in ORCMS and receive any of the error messages contained in this guideline, DO NOT CONTACT the SCA-Help Desk, contact your Operations Manager. Attach a copy of the print screen with the error message to a MS Word® document and forward to your Operations Manager.

-if you have an active account and cannot log into ORCMS, contact the SCA-Help Desk (718) 472-8871 or servicedesk@nycsca.org). Please copy your Operations Manager on any correspondence with the SCA-Help Desk.

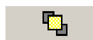
5. HOW DO I ACCEPT AN ATP OR ATP AMENDMENT IN ORCMS?

Acceptance of an ATP is an electronic signature, declaring the Consultant firm's concurrence with the following:

- The fee amount, derived in accordance with the terms and conditions stated in your SCA contract, or
- The negotiated fee for proposed services;

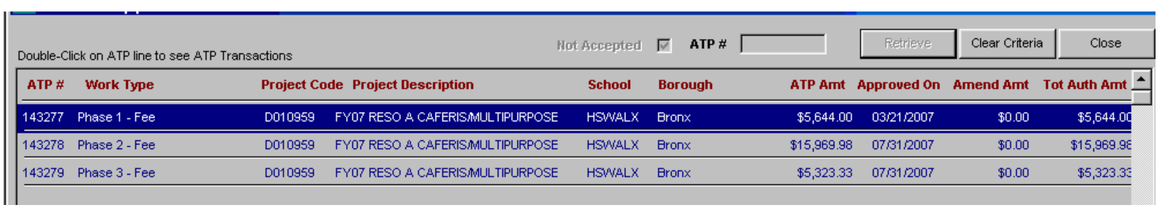
When a user creates a RFP, **it is not possible to bill** for services in our payment system without an ATP having been previously issued by CCFU and accepted by the Consultant in ORCMS. Acceptance can occur prior (see Section 5.A) or at the time (see Section 5.B) of the RFP is created.

A. Accepting an ATP - Using the **Accept ATP** Icon

1. Click the *Accept ATP* icon 

from the ORCMS main menu.
2. After clicking the Accept ATP icon, the user will be taken to the main ATP Acceptance Browser screen.

3. The ORCMS default is to check the *Not Accepted* box. By clicking *Retrieve*, ORCMS will display all ATPs that have not been accepted by your firm.



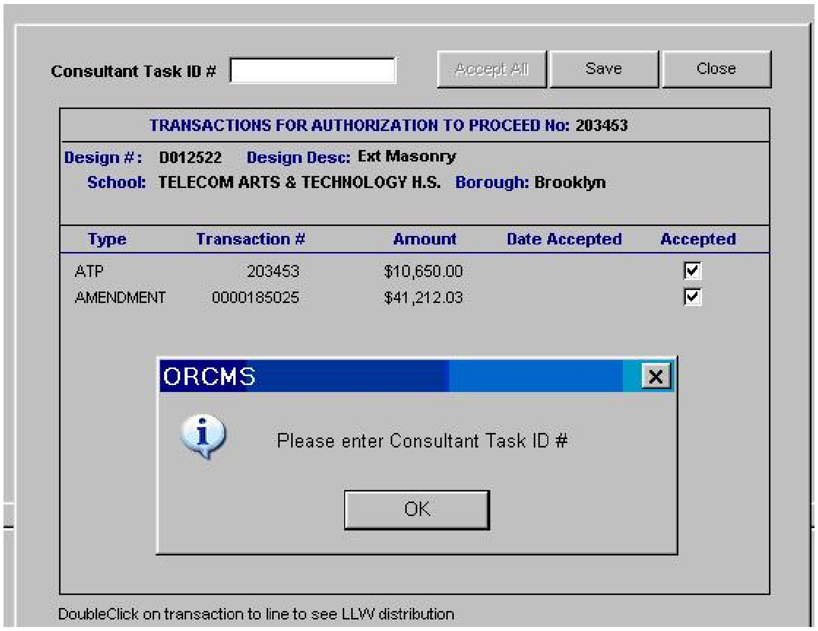
PLEASE NOTE – Before deploying this enhancement, all ATPs and ATP Amendments which were part of an RFP (save, submitted or approved) were automatically accepted. All of these auto accepted ATPs and ATP Amendments will have a Consultant Project # "N/A".

4. Double-Click the highlighted line to see all transactions (ATPs and Amendments) for the selected work type. This will display the Acceptance screen.

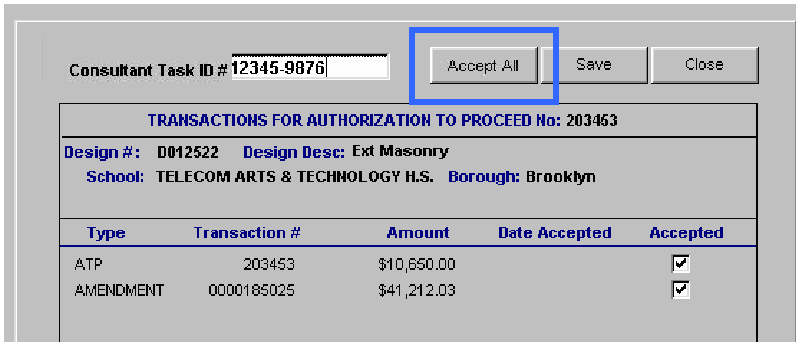
5. If you wish to to see the LLW distribution for the ATP, double-click any transaction line. Click the 'X' to close the LLW distribution box.

6. Before an ATP can be accepted, a *Consultant Task ID* number is required. **The Consultant Task ID number must be a unique identifier for the assigned task and have a one to one relationship to the ATP issued to that given task. This should be the same unique identifier which will be/is used by the Consultant firm to track the specific project in their billing and timekeeping systems.**

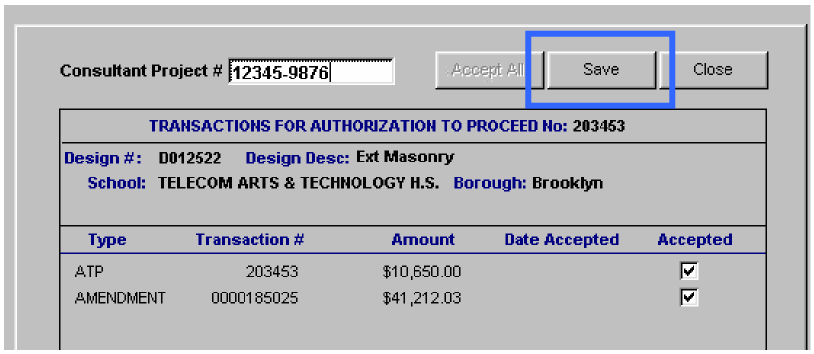
   If a *Consultant Task ID* number has not been entered and the user attempts to accept the ATP an error warning message will appear.



7. Enter the Consultant Task ID #, click Accept All.



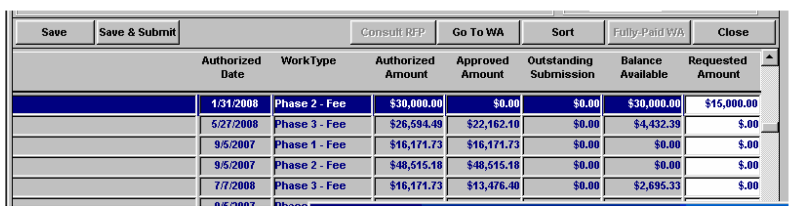
8. Click *Save* to complete acceptance of ATP and any associated ATP Amendments. Close to return to the Acceptance Browser screen.



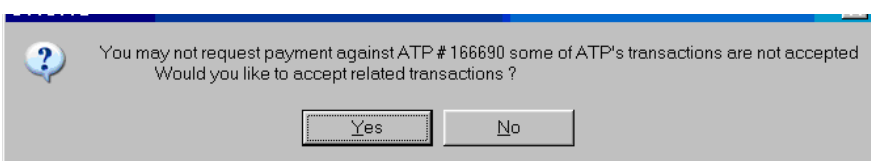
B. Accepting an ATP through the RFP Screen

1. Basic Services RFP

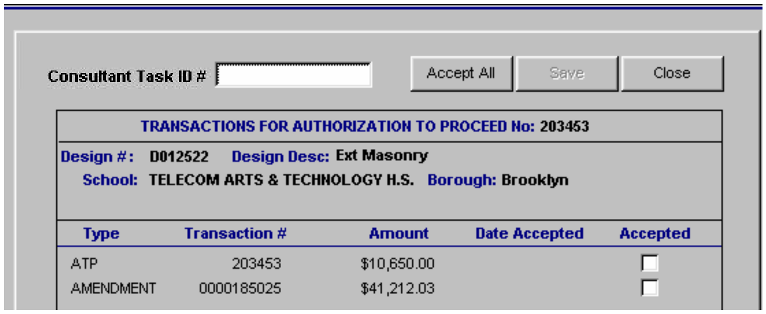
   a) From the RFP Screen, select the ATP which is to be billed against.



   b) After an amount has been entered into the *Requested Amount* box, the user will receive the message:



   c) Click *Yes*. The Acceptance screen will appear.

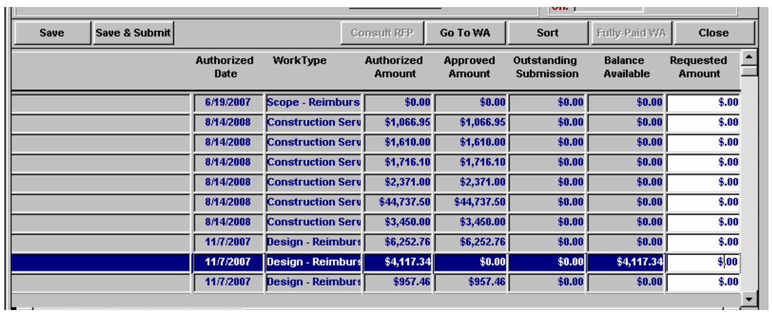


d) Follow steps 5.A.5. to 5.A.8.

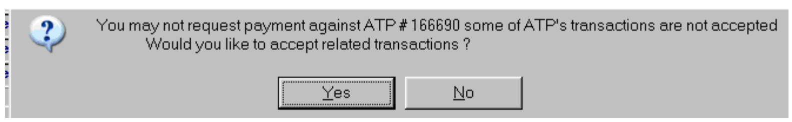
e) Click *Save* to complete acceptance of the ATP and any associated ATP Amendments. Click *Close* to return to the main RFP screen. Enter payment information as instructed in the Request for Payment (RFP) Submissions Guideline, Section 3.

2. Additional Services RFP

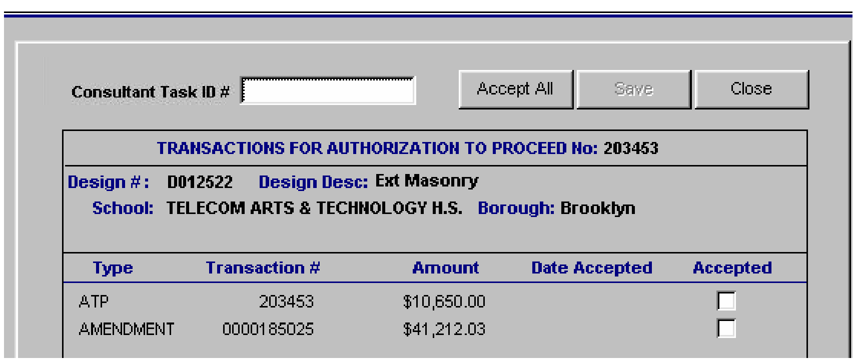
a) From the RFP Screen, select the ATP which is to be billed against.



b) After an amount has been entered into the *Requested Amount* box, the user will receive the message:

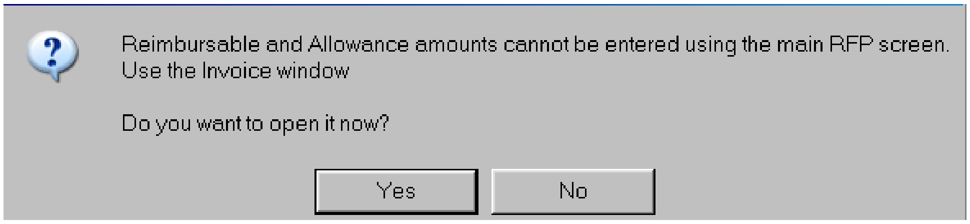


c) Click *Yes*. The Acceptance screen will appear.



d) Follow steps 5.A.5. to 5.A.8.

e) Click *Save* to complete acceptance of ATP and any associated ATP Amendments. Click Close. ORCMS will proceed to the ATP Invoice Entry prompt.



Enter payment information as instructed in section 6, *How Do I Enter My Payment Information* of this guide.

C. Correcting a Consultant Task ID # entry

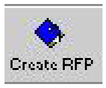
Changing the Consultant Task ID # is possible up until a payment has been submitted against an ATP.

To change the Consultant Task ID# in ORCMS:

- Click the *Accept ATP* icon
- Uncheck the *Not Accepted* box
- Insert the ATP #
- Edit the *Consultant Task ID*
- Click *Save*

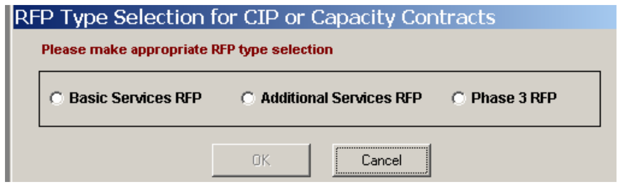
6. HOW DO I ENTER MY PAYMENT INFORMATION?

A. Entering Payment Request – Overview

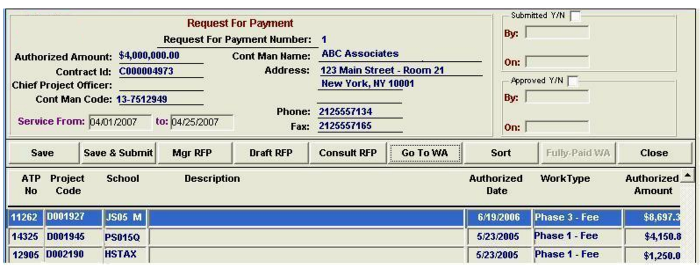
To begin a **new** RFP, click 

the *Create RFP* icon.

You will need to select the type of RFP you are creating, *Basic Services RFP*, *Additional Services RFP* or *Phase 3 RFP*.

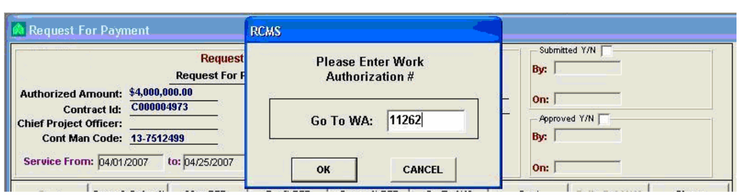


Once a RFP type has been selected, ORCMS will display the main payment screen where the user will be able to enter payment information against the ATPs which have been issued to your firm. **If an ATP has not been issued and accepted for the task to which you wish to bill, you will not be able to enter a payment against an ATP (see section *5 -HOW DO I ACCEPT AN ATP OR ATP AMENDMENT IN ORCMS*).** It is much like trying to write a check without money in the bank.

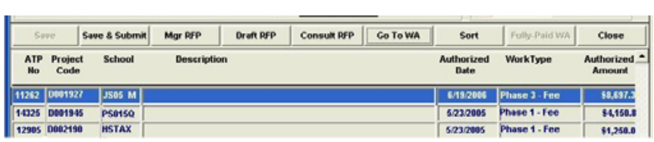


Enter your service period for the payment. Ensure the service period encumbers the time frame of all the services contained in the RFP. **Once a service period has been entered and submitted it cannot be changed.**

To locate an ATP quickly without having to scroll down the screen, click the *Go to WA* button. As far as ORCMS is concerned, Work Authorization # and ATP # are the same. Insert the ATP number in the space provided (**DO NOT USE** the *ATP Amendment* number). Click *OK*.



The highlighted line will be the ATP queried.



Scroll to the right; enter your payment request amount in the white box on the highlighted line (see sections 6.B, 6.C and 6.D for payment entry detail).

When you have completed all entries against the ATP, click *Apply*. You will be returned to the main Payment Screen. You can select other ATPs to bill or save your entries permanently in ORCMS.

After all of your entries are made against all the ATPs you wish to bill for on the RFP, **your data must be saved**. Click the *Save* button. ORCMS will assign the next sequential number to your RFP.

When the RFP is saved initially, any revisions/additions/deletions to a line item can only be made via *Edit RFP* from the main menu.

Entry process is the same in *Edit RFP* as it is in *Create RFP*.

<u>B. Entering a Payment Request – Basic Services RFPs</u>

Basic Services RFPs will contain only the **Phase 1** and **Phase 2** ATP work types.

1. Phase 1 ATP

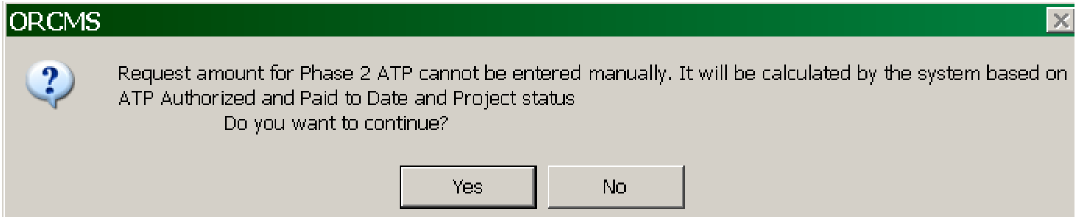
ORCMS has built in Phase 1 payment validations based on Appendix A, Section 1.0.4 of your A&E design services contract.

This error message will appear if the electronic version of the Scope Report has not been **approved** by the CADD Unit. You will not be able to enter payments against this ATP until the documents have been approved.

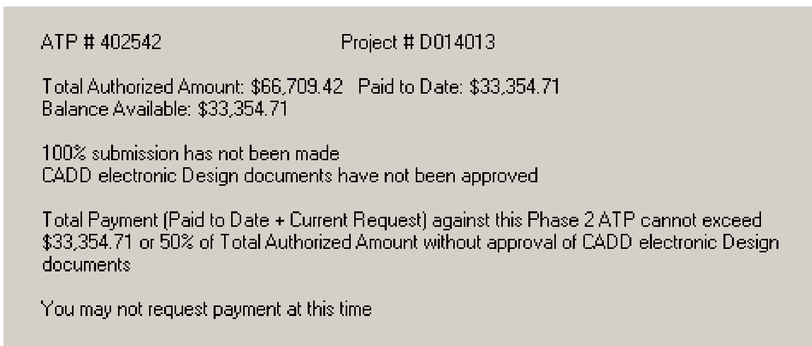
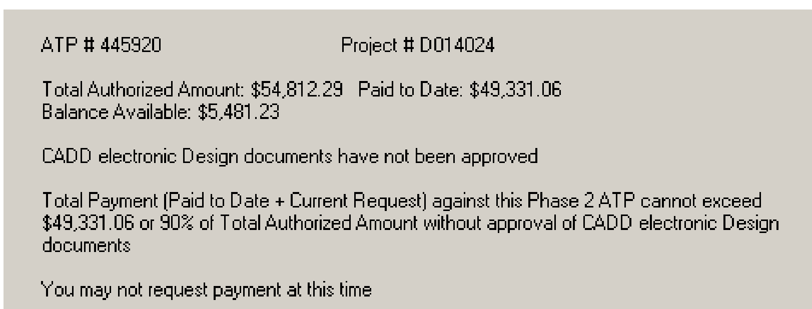
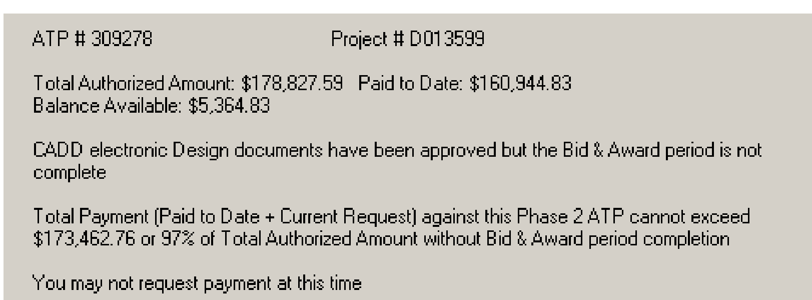
2. Phase 2 ATP

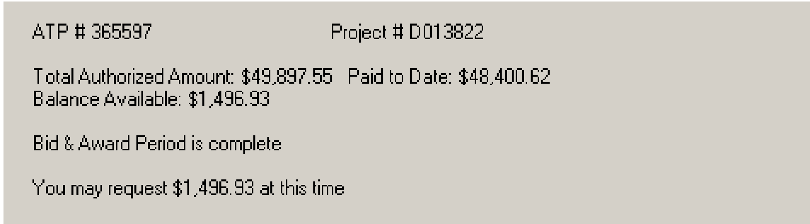
ORCMS has built in Phase 2 payment validations based on Appendix A, Sections 2.1 through 2.3 of your A&E design services contract. The payment milestones are summarized in *Appendix B – How is an RFP Processed?* of this guideline.

When an attempt is made to enter a payment amount against a Phase 2 ATP work type you will see the following message. Click ‘Yes’ to continue.



The payment against a Phase 2 ATP will be automatically calculated based on the following:

50% payment	**NO** 100% Submission, **NO** CADD Approval of Electronic Documents, **NO** Bid & Award Period completion  ATP # 402542 Project # D014013 Total Authorized Amount: $66,709.42 Paid to Date: $33,354.71 Balance Available: $33,354.71 100% submission has not been made CADD electronic Design documents have not been approved Total Payment (Paid to Date + Current Request) against this Phase 2 ATP cannot exceed $33,354.71 or 50% of Total Authorized Amount without approval of CADD electronic Design documents You may not request payment at this time
90% payment	100% Submission, **NO** CADD Approval of Electronic Documents, **NO** Bid & Award Period completion  ATP # 445920 Project # D014024 Total Authorized Amount: $54,812.29 Paid to Date: $49,331.06 Balance Available: $5,481.23 CADD electronic Design documents have not been approved Total Payment (Paid to Date + Current Request) against this Phase 2 ATP cannot exceed $49,331.06 or 90% of Total Authorized Amount without approval of CADD electronic Design documents You may not request payment at this time
97% payment	100% Submission + CADD Approval of Electronic Documents, **NO** Bid & Award Period completion  ATP # 309278 Project # D013599 Total Authorized Amount: $178,827.59 Paid to Date: $160,944.83 Balance Available: $5,364.83 CADD electronic Design documents have been approved but the Bid & Award period is not complete Total Payment (Paid to Date + Current Request) against this Phase 2 ATP cannot exceed $173,462.76 or 97% of Total Authorized Amount without Bid & Award period completion You may not request payment at this time

<table>
<tr><td>100% payment</td><td>100% Submission + CADD Approval of Electronic Documents + Bid & Award Period completion

</td></tr>
</table>

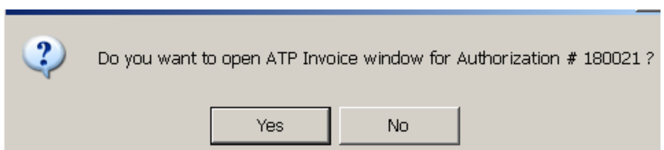
Situations which fall outside of the standard payment schedule will be addressed on a case by case basis.

C. Entering a Payment Request - Additional Services RFPs

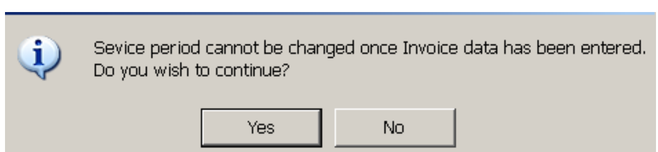
Additional Services RFPs will contain only **Scope Reimbursable**, **Design Reimbursable** and **Construction Services Allowance** ATP work types. There are three types of payees on an Additional Services RFP; Prime, Subconsultant and Vendor. ORCMS can accommodate any combination of Prime, Sub-consultant and Vendor invoice information billed against an ATP.

To initiate payment entry on an Additional Services RFP, follow the steps outlined in section 6.A, *Entering Payment Request – Overview*.

When an attempt is made to enter an amount against an Additional Services ATP with the work type noted above, a window will appear. Click ‘Yes’ to open.



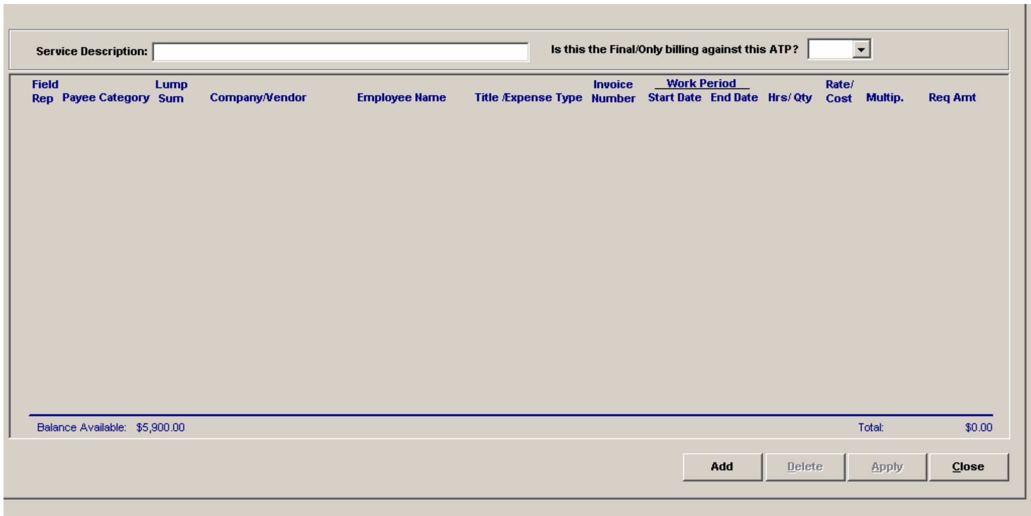
You will receive the following warning:



Before clicking “Yes,” please ensure the service period is correct!!! Currently there is no mechanism in place for a Design Consultant firm or CCFU to correct a service period start or end date. To do so requires intervention from SCA-IT. This will substantially slow your ability to submit payments in ORCMS.

PLEASE NOTE - Employee rates that fall outside of the service period will be disallowed by ORCMS. 3rd party invoices for services rendered outside of the service period will be disallowed by your Operations Manager when reviewing the RFP.

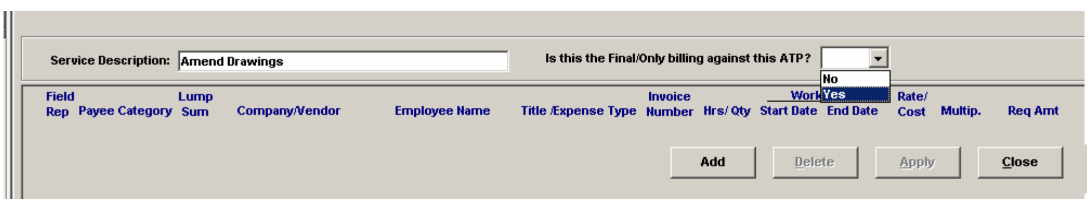
Click “Yes” to proceed to the main Invoice screen. This screen will allow the user to enter invoice information for their firm, any sub consultant work and any vendor receipts against the **selected ATP only**.



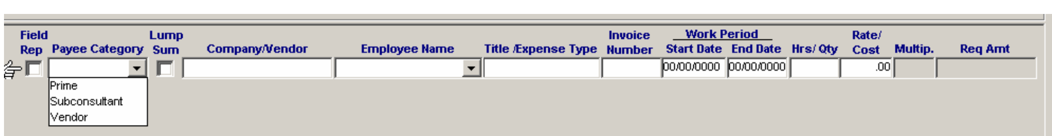
1. Service Description / Final Billing

The Service Description for the ATP should be entered first. This field is used to include a brief description of the rendered services (i.e. "bulletins", "site inspections") against the selected ATP.

In addition, the user must declare if the current billing represents the final and/or only billing against the selected ATP. If the user selects "Yes", they are authorizing their Operations Manager to *deobligate* or remove the balance remaining on the ATP after the RFP has been approved. The deobligated balance is then returned to the available pool of money on the firm's A&E contract for future use.



Click *Add* to begin entering your itemized invoice information. Click the Payee Category drop down menu to select the type of payee information you wish to enter. Multiple lines can be added as needed to accommodate a combination of Prime, Sub-consultant and Vendor invoice information.



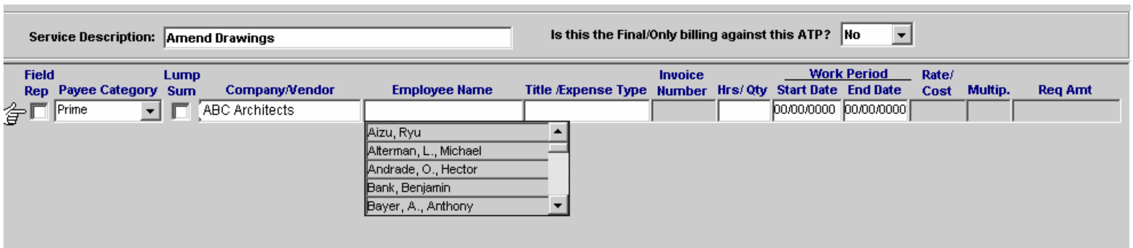
2. Entering Payee Information - Prime

When Prime is selected, your firm's name will be automatically entered into the *Company/Vendor* field.

Click the box marked *Field Rep* only if billing is against a Technical Field Rep Services ATP. This will tell ORCMS that services billed for this line item will use the field multiplier associated with your A&E design services contract (see *Section 4.1.2 – Additional Services of your contract*).

Click the Lump Sum box only if you are billing against an additional services ATP that has been designated LUMP SUM. Your ATP will clearly state that it is a LUMP SUM ATP. Insert the dollar amount into the *Req Amt* field.

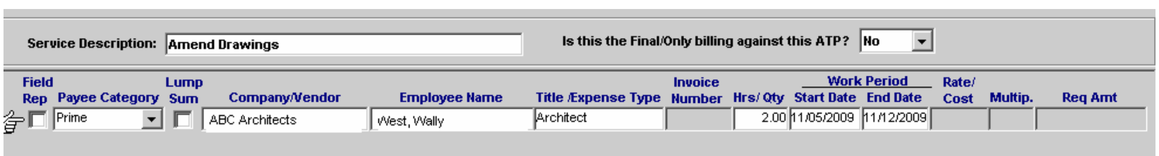
The *Employee Name* field contains a drop down menu which will include the names of all employees for which a rate has been entered into ORCMS. When the employee is selected, the employee's title will automatically fill in the *Title/Expense Type* field.



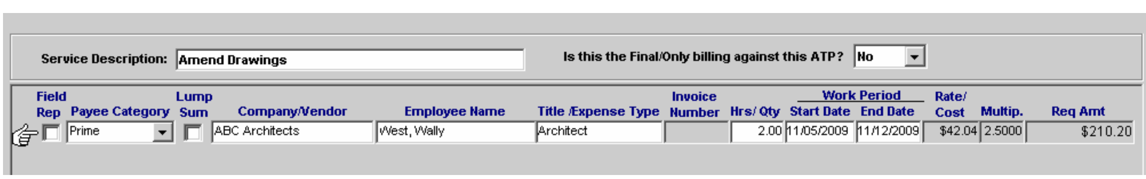
Insert the hours being billed in the *Hrs/Qty* field.

The Work Period section is where the start and end date for work performed against the selected ATP is inserted. The start date for the work performed cannot be *before* the start of service period of the RFP. The end date for the work performed cannot be *after* the end of the service period for the RFP.

Please summarize the hours being billed for each employee. If you are billing across multiple pay periods, it is not necessary to enter a line item for each pay period for the same employee. The exception to this would be if an employee's rate changed after one of the pay periods within the billing period.



After the work period has been entered, ORCMS will automatically insert the applicable employee rate, the firm's contract multiplier and then calculate the amount to be billed.



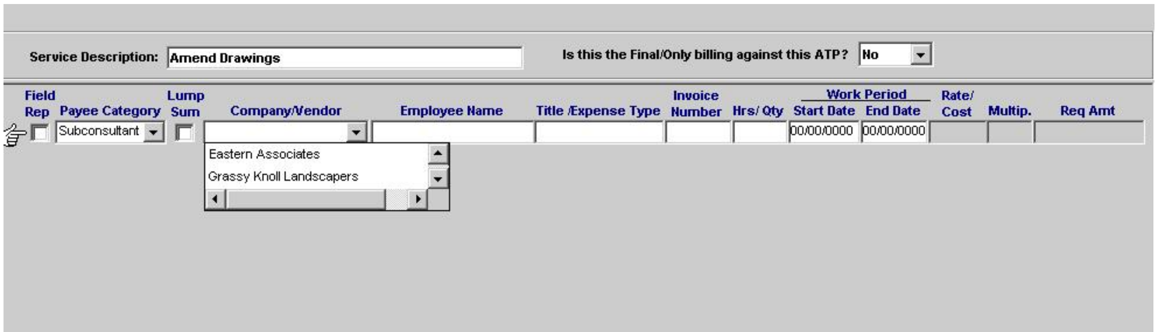
When additional lines are needed to list several employees, click *Add* and repeat steps previously noted in this section.

When you have completed all entries against the ATP, click *Apply*. You will be returned to the main Payment Screen.

3. Entering Payee Information - Subconsultant

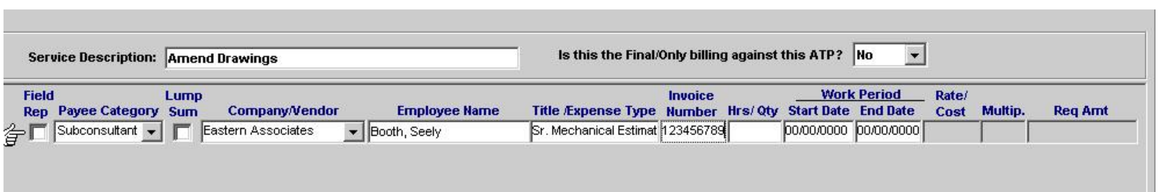
When *Sub-consultant* is selected from the drop down menu, only the names of the **approved** sub-consultant firms in your contract will be displayed. Highlight your selection and click E*nter* to insert the name into the *Company/Vendor* field.

Click the Lump Sum box <u>only if you are billing against an additional services ATP that has been designated LUMP SUM.</u> Your ATP will clearly state that it is a LUMP SUM ATP. Insert the dollar amount into the *Req Amt* field.



The *Employee Name* field contains a drop down menu which will include the names of all the sub-consultant employees for which a rate has been entered into ORCMS. When the employee is selected, the employee's title will automatically fill in the *Title/Expense Type* field.

Insert the sub-consultant's invoice number into the *Invoice Number* field.



Insert the hours being billed in the *Hrs/Qty* field.

The Work Period section is where the start and end date for work performed against the selected ATP is inserted. The start date for the work performed cannot be *before* the start of service period of the RFP. The end date for the work performed cannot be *after* the end of the service period for the RFP.

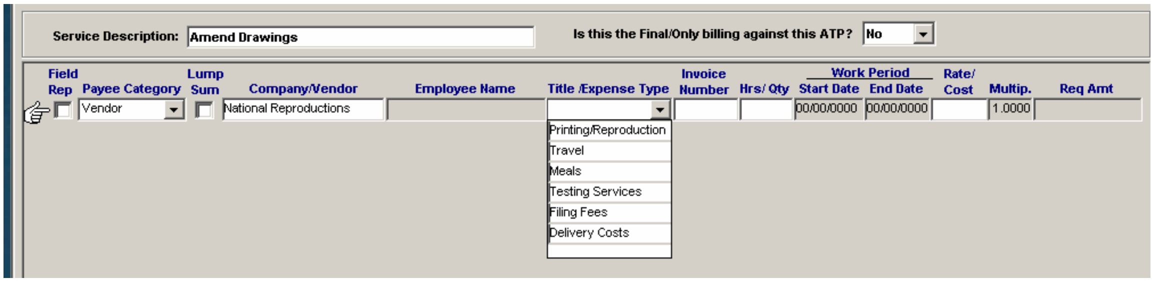
Please summarize the hours being billed for each employee. If you are billing across multiple pay periods, it is not necessary to enter a line item for each pay period for the same employee. The exception to this would be if an employee's rate changed after one of the pay periods within the billing period.

When additional lines are needed to list subconsultant firms, click *Add* and repeat steps previously noted in this section.

When you have completed all entries against the ATP, click *Apply*. You will be returned to the main Payment Screen.

4. Entering Payee Information - Vendor

When *Vendor* is selected from the drop down menu, manually enter vendor's name in the *Company/Vendor* field. Enter the expense type using the *Title/Expense Type* drop down menu.

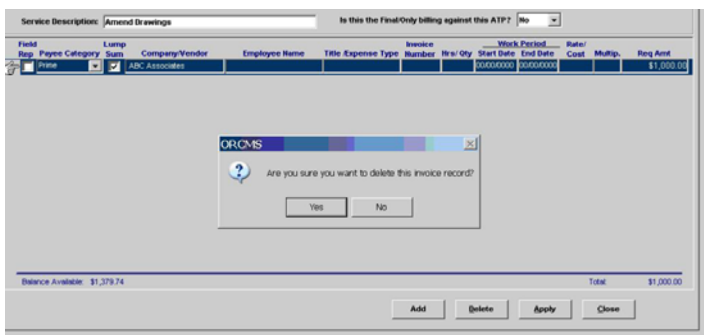


Enter the applicable vendor information in the *Invoice Number*, *Hrs/Qty* and *Rate/Cost* fields in ORCMS. The requested amount will be calculated automatically in ORCMS.

When you have completed all entries against the ATP, click *Apply*. You will be returned to the main Payment Screen.

5. Deleting Payee Information

If you wish to remove an entry, highlight the line and then click *Delete*.

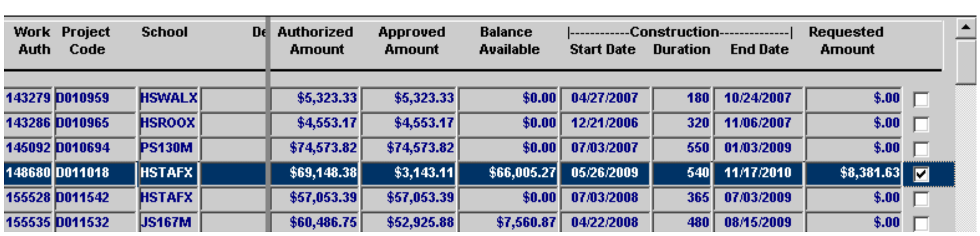


D. <u>Entering Payment Request – Phase 3 RFPs</u>

Phase 3 RFPs will contain only **Phase 3** ATPs

To initiate payment entry on a Phase 3 RFP, follow the steps outlined in section 6.A, *Entering Payment Request – Overview*.

Scroll to the right. You will not be able to enter your payment request amount. Upon checking the box at the end of the selected line, ORCMS will automatically calculate the amount of payment based on your construction start date, previous payments and the service period of the RFP.



Work Auth	Project Code	School	De	Authorized Amount	Approved Amount	Balance Available	Construction Start Date	Duration	End Date	Requested Amount	
143279	D010959	HSWALX		$5,323.33	$5,323.33	$0.00	04/27/2007	180	10/24/2007	$.00	☐
143286	D010965	HSROOX		$4,553.17	$4,553.17	$0.00	12/21/2006	320	11/06/2007	$.00	☐
145092	D010694	PS130M		$74,573.82	$74,573.82	$0.00	07/03/2007	550	01/03/2009	$.00	☐
148680	D011018	HSTAFX		$69,148.38	$3,143.11	$66,005.27	05/26/2009	540	11/17/2010	$8,381.63	☑
155528	D011542	HSTAFX		$57,053.39	$57,053.39	$0.00	07/03/2008	365	07/03/2009	$.00	☐
155535	D011532	JS167M		$60,486.75	$52,925.88	$7,560.87	04/22/2008	480	08/15/2009	$.00	☐

7. HOW DO I SUBMIT MY DRAFT RFP AND/OR FINAL RFP?

The final step is to submit your draft RFP data electronically. Please note the following about ORCMS and RFPs:

- ORCMS does not allow edits to be made to an RFP once it has been submitted.
- Multiple RFPs can be created and saved in ORCMS.
- ORCMS allows an RFP of each type (Basic, Additional, and Phase 3) to be submitted for approval at the same time.
- ORCMS does not allow the user to submit two RFPs of the same type. The next RFP (of the same type) cannot be submitted until the previously submitted RFP has been approved by the CCFU Operations Manager.
- RFP numbers cannot be deleted from ORCMS. If for whatever reason you choose not to submit your saved RFP as created, select *Edit RFP*, remove the data, and reuse the RFP.

Recall your draft RFP using *Edit RFP*. Click *Save & Submit* to transmit your RFP.

WARNING
DO NOT CLOSE THE EDIT RFP SCREEN PRIOR TO PRINTING YOUR DRAFT CONSULTANT RFP COVER FORM REPORT AND (FOR ADDITIONAL SERVICES RFPs) THE BILLING SUMMARY FORM. Once the RFP is transmitted, you will not have an opportunity to print the Draft Consultant RFP Cover Form *after* you have closed the Edit RFP screen.

A. Draft Consultant RFP Cover Form

Click the *Consult RFP* button to print your Draft Consultant RFP Cover Form (see *APPENDIX B – Understanding the Draft Consultant RFP Cover Form Report*). This is your hard copy record of your RFP. The cover form is required for all payment submissions. **DO NOT notarize Draft Consultant RFP Cover Form.**

- Basic Services and Phase 3 RFPs - The Draft Consultant RFP Cover Form Report is attached to the Notification of Transmitted RFP (see section 5.E.) email. Adobe Acrobat (PDF) is an acceptable software platform for submitting the form.
- Additional Services RFPs - The Draft Consultant RFP Cover Form Report is included in your RFP package when submitting hard copies of documents required with your Additional Services RFP.

B. Billing Summary Form

When packaging and submitting hard copies of documents required with your Additional Services RFP, you will need to printed *Billing Summary Form*. The Billing Summary Form itemizes all costs billed for each task/project against the applicable ATP and includes the personnel, hours worked and types of services performed by your firm, your sub-consultant and/or vendors.

Click the *Billing Form* icon to print the Billing Summary form for all ATPs billed in the RFP.

ORCMS also will allow you to save your ATP Billing Summary information as a Microsoft© Excel Spreadsheet.

PLEASE NOTE – The Billing Summary Form will also be available to users *after* your RFP has been approved. This version will include your requested amount *and* the approved amount for the applicable ATP.

C. Notification of Transmitted RFP

ORCMS does not automatically notify your Operations Manager when an RFP is submitted by a consultant.

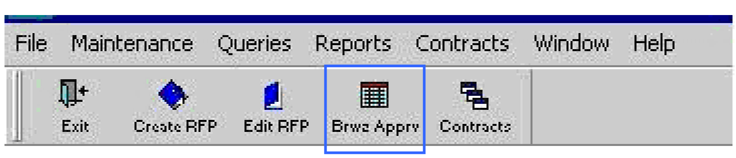
An email is required to notify CCFU of a transmitted RFP.

The email should be sent to your CCFU Operations Manager. The subject line **must include** the Name of Consultant Firm, SCA Contract number, RFP number and the RFP Total Requested Amount. Below is a sample of how each email should read.

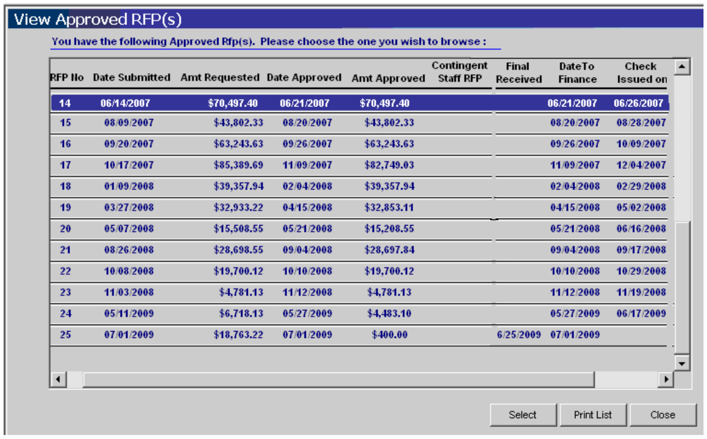
(Be sure to attach a copy of the Draft Consultant RFP Cover Form for Basic Services and Phase 3 RFPs to the email !!!!!!)

D. Final RFP

After approval and notification by the Operations Manager (see Appendix B- *How is an RFP Processed*) the Consultant will need to send a signed, notarized copy of the RFP. To obtain the printed version of your Final RFP required for signature, click *Brwz Apprv* from the main menu.



Highlight the RFP you wish to print.



RFP No	Date Submitted	Amt Requested	Date Approved	Amt Approved	Contingent Staff RFP	Final Received	DateTo Finance	Check Issued on
14	06/14/2007	$70,497.40	06/21/2007	$70,497.40			06/21/2007	06/26/2007
15	08/09/2007	$43,802.33	08/20/2007	$43,802.33			08/20/2007	08/28/2007
16	09/20/2007	$63,243.63	09/26/2007	$63,243.63			09/26/2007	10/09/2007
17	10/17/2007	$85,389.69	11/09/2007	$82,749.03			11/09/2007	12/04/2007
18	01/09/2008	$39,357.94	02/04/2008	$39,357.94			02/04/2008	02/29/2008
19	03/27/2008	$32,933.22	04/15/2008	$32,853.11			04/15/2008	05/02/2008
20	05/07/2008	$15,508.55	05/21/2008	$15,208.55			05/21/2008	06/16/2008
21	08/26/2008	$28,698.55	09/04/2008	$28,697.84			09/04/2008	09/17/2008
22	10/08/2008	$19,700.12	10/10/2008	$19,700.12			10/10/2008	10/29/2008
23	11/03/2008	$4,781.13	11/12/2008	$4,781.13			11/12/2008	11/19/2008
24	05/11/2009	$6,718.13	05/27/2009	$4,483.10			05/27/2009	06/17/2009
25	07/01/2009	$18,763.22	07/01/2009	$400.00		6/25/2009	07/01/2009	

From the main RFP screen, click the *Finance RFP* button to print the approved RFP. Sign and notarize (notary seal must be included) as required and mail to your assigned CCFU Operations Manager for processing. Unless specified by the Operations Manager as a condition of approval, no additional documentation needs to be included with the Final RFP submission.

8. PACKAGING – REQUIRED DOCUMENTS FOR A DRAFT RFP

A. Basic Services & Phase 3 RFPs

ORCMS includes validations which negate the need for hard copies of some required documentation. Other than the email attachment of the Draft Consultant RFP Form, no supporting documents are required with the Draft RFP if you are submitting a Basic Services RFP or Phase 3.

B. Additional Services RFPs

Supporting documentation is required for Draft Additional Services RFPs. When supporting documents are sent with an RFP, a printed copy of the Draft Consultant RFP Cover Form Report must be included with the Draft RFP submission (see section 7.A and Appendix C – Understanding the Draft RFP Consultant RFP Cover Form).

The Additional Services RFP must be compiled as follows:

1. Copy of the Draft Consultant RFP Form for the entire RFP

2. For each ATP being billed:

- A printed copy of the fully executed (accepted) **Authorization to Proceed (ATP)** under which the services are being billed (See Appendix F, Printing Your ATP).

- An ORCMS generated **Billing Summary Form** (see Section 7.B).

- **Timesheets** (if applicable)**,** highlighting the line items being billed**,** in the prescribed SCA format (see Appendix A, Minimum Timesheet/Time Record Standard for A&E Design Consultants) for time and material services provided by Prime Design Consultant and any Sub Consultants. Timesheets submitted in support of Technical Field Service work must be signed by employee, his/her supervisor *and* the SCA Project Officer.

- **Invoices and/or receipts** (if applicable) for reimbursable services provided by Prime Consultant, Sub Consultant and/or Vendor. All invoices must reference the school and/or project code for the task being billed against. Work orders, request for services, etc., cannot be used in lieu of invoices.

- **Cover page of meeting minutes and/or copy of meeting Sign-In sheet** for additional meetings during construction (please reference Section 3.1.8 of your A&E Design Consultant contract for frequency of required meetings).

APPENDIX A – Minimum Timesheet / Time Record Standard for A&E Design Consultants

1. Purpose of the Standard

This standard is for all A&E Design Consultants and their subconsultants. This standard details the minimum information required for timesheets which are submitted in support of payment requests for services rendered by the Design Consultant.

2. Timesheet / Time Record Data

Actual timesheet / time record must contain the following:

a) Firm name and/or logo

b) Timesheet / Time Record reporting period

c) Employee Name

d) Employee signature and date or electronic stamp indicating date and time timesheet/time record was submitted into design consultant's timekeeping/billing system.

e) Manager/Supervisor Name

f) Manager/Supervisor signature and date or electronic stamp indicating date and time timesheet/time record was approved in design consultant's timekeeping/billing system.

g) Timesheet / Time Record must contain total daily hours, for both SCA and non-SCA projects. (non-SCA projects can be redacted).

h) Timesheet / Time Record must contain total hours for the reporting period.

i) Project / Task # on timesheet / time record must match **EXACTLY** to the Consultant Task ID # included on the Authorization to Proceed (ATP) for the assigned task. Each task should have it's own Consultant Task ID # (see section 5.A.6 of this guide)

3. Timesheet / Time Record Format

a) Handwritten timesheets are not acceptable.

b) Timesheets / Time Records must be for the normal employee pay period. Time records which span several reporting periods are not acceptable.

4. Audit Trail Requirements

a) Timesheets / Time Records with handwritten corrections are not acceptable.

b) Amendments to timesheets must be done in accordance with company policy and meet the Authority's minimum audit standard. All backup documentation must be submitted with a copy of the original timesheet. Your system should have the functionality to provide a document trail to report all changes/updates/corrections for a given time period. (in some systems this is identified as a "posting log").

c) A copy of the Design Consultant firm's policy and procedure pertaining to amending timesheets or reposting of time, must be on file with the Authority.

d) Timesheets / Time Records created with a spreadsheet or any commercial software that does not provide an audit trail for all changes when postings are amended will not be acceptable, **effective October 1, 2012**.

APPENDIX B – How is an RFP Processed?

This is a brief overview of how a Draft RFP is processed once it is received by the Consultant Contract Funding Unit (CCFU).

In accordance with Article VII, Payments, Paragraph 7.1.1 you are required to submit a draft Request for Payment within ninety (90) days of the services rendered. RFP submissions for services rendered beyond the specified period are subject to a 90 - 120 day review period.

The SCA reserves the right to deny payment for failure to submit such requests within the time specified.

A Draft RFP should not be considered an invoice for service rendered. For accounting purposes you may want to consider posting Draft RFPs in a category one level below an actual receivable. The SCA is not invoiced until the signed, notarized Final RFP is sent and received by SCA. The Final RFP total reflects monies due to the Consultant firm.

1. Receipt of Draft RFP by CCFU

The initial payment request submission by a consultant, for a given period, is called a Draft RFP. When received by the CCFU Operations Manager, the RFP is first checked for any blatant submission procedure violations. RFPs which are not complete for review will not be held by CCFU and will be electronically returned (in ORCMS, this is called "Released.") When an RFP is Released, the consultant will receive a *Release RFP Notification* from their Operations Manager.

RELEASED RFP NOTIFICATION
____

New York City School Construction Authority
Architecture & Engineering
Operations / CCFU

****
Contract #: C000009999
RFP #: 25
Release Date: 11/04/2010 11:46 AM
RFP Request Amount: $427.02
Released By: Operations Manager

Comments:

As of 11/04/10, I have not received the supporting documents for this RFP.

You may resubmit at your earliest convenience.
Thanks.

The above RFP has been released in ORCMS.
You can access this RFP via EDIT RFP in ORCMS.

****

2. Review of Draft RFP by the CCFU Operations Manager

A complete financial review of every Draft RFP is performed by the Operations Manager to ensure the following:

- the Draft RFP is submitted according to SCA standard,

- there is sufficient funding available for each line item,
- supporting documentation is accurate and complete, and
- calculations are accurate.

The Operations Manager ensures Scope, Design and/or Construction Phase fees submitted for payment have satisfied their contractual payment requirements (see below).

Phase fees are reviewed as follows:

A&E CIP Contracts executed pre-2009

Work Type	Percentage Billed	
Phase 1 (Scope)	100%	Scope completed & scope report submitted to design studio (ref. Appendix A.1.0.4 of A&E Design Consultant contract). (**PLEASE NOTE** – Consultant is responsible for obtaining approval of electronic documents from SCA CADD Unit.)
Phase 2 (Design)	50%	Based on approved Scope Report, 50% complete design documents were prepared and approved by A&E Design Studio (ref. Appendix A.2.1.7 of A&E Design Consultant contract).
	97%	Based on approved 50% documents, 100% design documents were prepared and submitted. (Ref. Appendix A.2.2.8 of A&E Design Consultant contract). (**PLEASE NOTE** – Consultant is responsible for obtaining approval of electronic documents from SCA CADD Unit.)
	100%	Fulfill all previous Phase 2 requirements and **complete** Bid Period services (ref. Appendix A.2.3. of A&E Design Consultant contract).
Phase 3 (Construction)	Equal monthly payments of Phase 3 fee based on construction duration.	In accordance with the terms of the contract and as authorized by A&E Design Studio (ref. Appendix A.3.1. of A&E Design Consultant contract)

A&E CIP Contracts executed since 2009

Work Type	Percentage Billed	
Phase 1 (Scope)	100%	Scope completed & scope report submitted to design studio (ref. Appendix A.1.0.4 of A&E Design Consultant contract). (**PLEASE NOTE** – Consultant is responsible for obtaining approval of electronic documents from SCA CADD Unit.)
Phase 2 (Design)	50%	Based on approved Scope Report, 50% complete design documents were prepared and approved by A&E Design Studio (ref. Appendix A.2.1.7 of A&E Design Consultant contract).
	90%	Based on approved 50% documents, 100% design documents were prepared and submitted. (Ref. Appendix A.2.2.8.A. of A&E Design Consultant contract).
	97%	Upon the Authority's written notification of acceptance of the Phase II 100% documents, copies of all Contract Documents, including all CADD drawings and Electronic Documents. (Ref. Appendix A.2.2.8.B. of A&E Design Consultant contract). (**PLEASE NOTE** – Consultant is responsible for obtaining approval of electronic documents from SCA CADD Unit.)
	100%	Fulfill all previous Phase 2 requirements and **complete** Bid Period services (ref. Appendix A.2.3. of A&E Design Consultant contract).
Phase 3 (Construction)	Equal monthly payments of Phase 3 fee based on construction duration.	In accordance with the terms of the contract and as authorized by A&E Design Studio (ref. Appendix A.3.1. of A&E Design Consultant contract)

Line items unsupported in an RFP by the required documentation in accordance with your A&E contract and these Submission Guidelines will be immediately removed from the RFP. If removed, these items can be billed on a future payment request.

3. Review of Draft by Design Project Manager (DPM)

The DPM confirms Scope, Design and/or Construction Phase fees submitted for payment have satisfied their contractual *completion* requirements. The DPM will also confirm all deliverables for additional services (Scope or Design Reimbursable and/or Construction Allowance) have been completed and submitted, to the satisfaction of the Authority. This review happens concurrently with Operations Manager review.

4. Approval Notification by Operations Manager.

When the DPM and Operations Manager have completed their reviews, the Operations Manager will reconcile the Draft RFP to include all adjustments resulting from their review and the DPM review.

An email notification is sent by ORCMS when an RFP is approved by the Operations Manager.

APPROVED RFP NOTIFICATION
____

New York City School Construction Authority
Architecture & Engineering
Operations / CCFU

****

Contract #: C000009999
RFP #: 32
Approval Date: 06/10/2009 11:36 AM
Approved Amount: $7,500.25
Approved By: Operations Manager

Comments: Rate of John Smith reduced from 45.76 to 40.90 as per rate card dated 3/20/09.

The above RFP has been approved in ORCMS for payment.
Please send the signed, notarized Final at your earliest convenience.

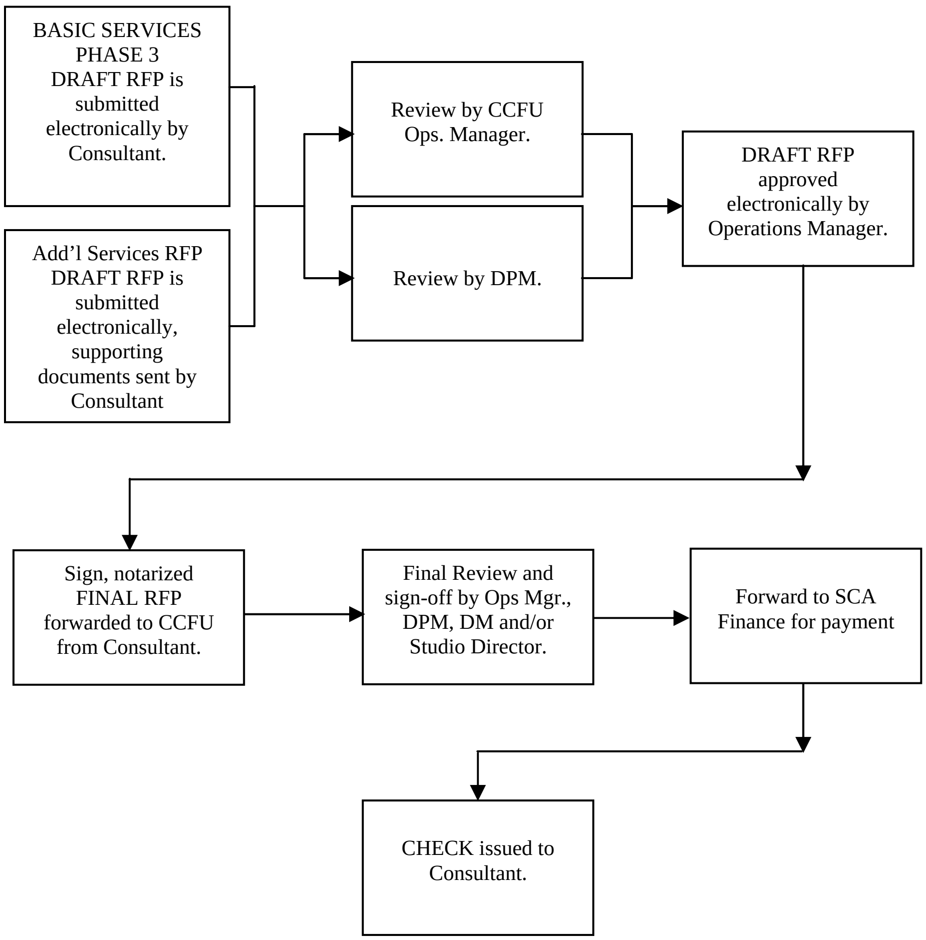
5. Receipt of Final RFP by CCFU.

All Final RFPs are sent to the attention of the CCFU Operations Manager assigned to the Consultant contract. All Final RFP's will be processed in accordance with section Article VII, Payments, Paragraph 7.1.2 of the Design Consultant contract. Please do not contact your Operations Manager regarding the status of a RFP until 30 days from the signed and notarized Final.

The Operations Manager confirms that the notary and consultant signature date match and obtains final sign-off by the DPM, Design Manager and/or Studio Director as required. The RFP is then forwarded to the Finance Department for processing.

6. RFP Flow Chart

The diagram below summarizes how an RFP typically flows through our review process.



APPENDIX C - Understanding the Draft Consultant RFP Cover Form Report

The Draft Consultant RFP Cover Form Report is comprised of three main parts; the document header, invoice summary, total/notarization section.

1. <u>Document Header</u>

The *document header* is your primary document identifier.

Document Header

Page 1 of 1
05/08/2007

DRAFT

CONSULTANT RFP COVER FORM REPORT

DRAFT RFP NO:	2	**CM/CONTRACTOR/CONSULTANT** (Name and mailing address)
PERIOD COVERED:	12/12/2006 - 03/31/2007	ABC Architects & Engineers
CONTRACT NO:	C000001435	234 Main Street, Suite 421
CURRENT CONTRACT AMOUNT	$13,000,000.00	New York, NY 10001

2. <u>Invoice Summary</u>

The *invoice summary* itemizes the jobs/projects which are included in the RFP.

Project Code	School Code	Total Value of Work (Dollars Only)	Percent Complete	Total Value of Complete Work	VALUE OF WORK COMPLETED Last Request	This Request
WORK TYPE:	(2101) Construction Services Allowance					
10978	HSSCA	$400,000.00	19.00%	$75,455.23	$75,455.23	$9,808.85
	Total for WorkType:	**$400,000.00**		**$75,455.23**	**$75,455.23**	**$9,808.85**
WORK TYPE:	(2108) Design - Reimbursable					
11692	PS442Q	$5,320.00	0.00%	$0.00	$0.00	$5,319.98
	Total for WorkType:	**$5,320.00**		**$0.00**	**$0.00**	**$5,319.98**
WORK TYPE:	(2109) Phase 3 - Fee					
10978	HSSCA	$459,464.00	70.00%	$321,624.80	$321,624.80	$36,757.12
	Total for WorkType:	**$459,464.00**		**$321,624.80**	**$321,624.80**	**$36,757.12**
WORK TYPE:	(2206) Scope - Reimbursable					
11692	PS442Q	$14,500.00	0.00%	$0.00	$0.00	$675.00
	Total for WorkType:	**$14,500.00**		**$0.00**	**$0.00**	**$675.00**
WORK TYPE:	(2211) Phase 3 - Fee					
11692	PS442Q	$88,520.00	0.00%	$0.00	$0.00	$8,569.36
	Total for WorkType:	**$88,520.00**		**$0.00**	**$0.00**	**$8,569.36**
	Total for RFP No. 2	**$967,804.00**		**$397,080.03**	**$397,080.03**	**$61,130.31**
TOTAL FOR CONTRACT TO DATE:		**$9,997,841.14**		**$7,725,283.53**		

The terms included in this section are defined as follows:

Desc. Of Work (Description of Work) – This is a brief description of job/project for which payment is being requested. When submitting for a Phase 1, 2 or 3 Fee, use the description noted on the ATP being billed against. When submitting for a Scope/Design Reimbursable or Construction Allowance, describe the services rendered. (i.e., testing, amend drawings, site visit, etc.)

Total Value of Work – ATP Awarded Amount (this includes any ATP amendments) for that design bundle or LLWs

Percent Complete – Percent of job completed based on the balance remaining of the ATP Authorized Amount. It is derived by dividing Total Value of Completed Work by Total Value of Work.

Total Value of Completed Work – Dollar value of work completed to date. It is the sum of *Last Request* column *and This Request* column.

Last Request – This is the sum of all previous RFP payments for a design bundle or LLW, against the issued ATP.

This Request – The amount being requested against an issued ATP for a particular design bundle or LLW included in the current RFP.

Work Types - There are six Work Type categories for CIP Design consultant contracts; Phase 1 Fee, Phase 2 Fee, Phase 3 Fee, Scope Reimbursable, Design Reimbursable, Construction Services Allowance

PLEASE NOTE: ***The phase during which an additional service occurs*** will dictate which work type to use. For example, if a consultant is requested to arrange for additional testing during the design phase, the ATP would be issued as a *Design Reimbursable*.

3. Total/Notarization Section

The *total/notarization section* is always on the final page of the RFP Cover Form. The *TOTAL FOR RFP # n* provides the total dollar amount being requested in the RFP. The *TOTAL FOR CONTRACT TO DATE* sums all ATPs issued to date and the total billed against those ATPs to date.

Final RFP submissions require notarization. Only current notary commissions are accepted. **The date notarized and the Consultant signature date must agree.**

Total/Notarization Section

Total for RFP No. 2	$ 967,804.00	$ 397,080.03	$397,080.03	$ 61,130.31
TOTAL FOR CONTRACT TO DATE:	**$ 9,997,841.14**	**$ 7,786,413.56**	**$ 7,725,283.53**	**$ 61,130.31**

Certificate for Payment has been completed in accordance with the Contract Documents and, where applicable, in compliance with Labor Law 220, and that the current payment shown herein is now due. The undersigned further certifies that all amounts due subcontractors have been and shall be paid in full within the time specified in Article 16 of the General Conditions.

BY: ________________ DATE: ___________

Subscribed and sworn to me

this ________ day of ________ , 20

CM/CONTRACTOR/CONSULTANT sign below:

Notary Public:

Commision Expires:

PRINT NAME DATE

SIGNATURE OF CONSTRUCTION SPECIALIST	PRINT NAME	DATE
SIGNATURE OF DESIGN MANAGER	PRINT NAME	DATE
SIGNATURE OF DIRECTOR	PRINT NAME	DATE
REVIEWED BY	CHECK NO.	CHECK DATE

APPENDIX D - Tax Exempt Status

SCA's tax exempt status, for all intents and purposes, covers all types of services rendered, or all types of products sold to SCA by individuals or organizations.

The exempt purposes set forth in part of section 501(c)(3) of the IRS code amongst other provisions, exempts SCA from taxes as a NYC governmental entity engaged in erecting or maintaining public buildings for the advancement of education and/or science.

Please ensure that all sales taxes are excluded from RFP submissions. A SCA Tax Exempt letter (see sample below) will be provided upon request.

New York State Department of
TAXATION and FINANCE
OTPA Sales Tax Exempt Organizations Unit
Building 9 Room 154
W.A. Harriman Campus
Albany, NY 12227

Tax Id: 13-3535408

July 9, 2009

New York City School Construction Authority
Charles A Doherty Manager-Finance
30-30 Thomson Avenue
Long Island City, NY 11101-3045

Dear Sir or Madam:

The Tax Law exempts New York State governmental entities such as your organization, New York City School Construction Authority, from the payment of New York State sales and use taxes on their purchases. In order to make tax exempt purchases, a New York State governmental entity must present vendors with the entity's official purchase order or other documentation (e.g., payment voucher, contract of sale, Form AC 946, *Tax Exemption Certificate*, Form ST-129, *Exemption Certificate - Tax on occupancy of hotel rooms*, etc.) which indicates that the purchaser is a New York State governmental entity.

Tax exemption numbers and Form ST-119.1, *Exempt Organization Exempt Purchase Certificate*, are not issued to New York State governmental entities. If a vendor requests a tax exemption number or Form ST-119.1, *Exempt Organization Exempt Purchase Certificate* from you, the New York City School Construction Authority may give the vendor a copy of this letter. This will assure the vendor that a governmental purchase order, or other evidence that the New York City School Construction Authority is the purchaser, is the only documentation the vendor needs in order to not collect sales tax.

New York State Department of Taxation and Finance
OTPA-Taxpayer Guidance Division
Sales Tax - Exempt Organizations Unit
Building 9, Room 154
W.A. Harriman Campus
Albany, NY   12227
(518) 457-2782

APPENDIX E - Error Messages – CIP Contracts

These are examples of the more common errors you will encounter in ORCMS with CIP contracts. If you receive an error message not contained in this guideline, please contact your Operations Manager. Please reference section 1.B.1 when contacting your Operations Manager.

---

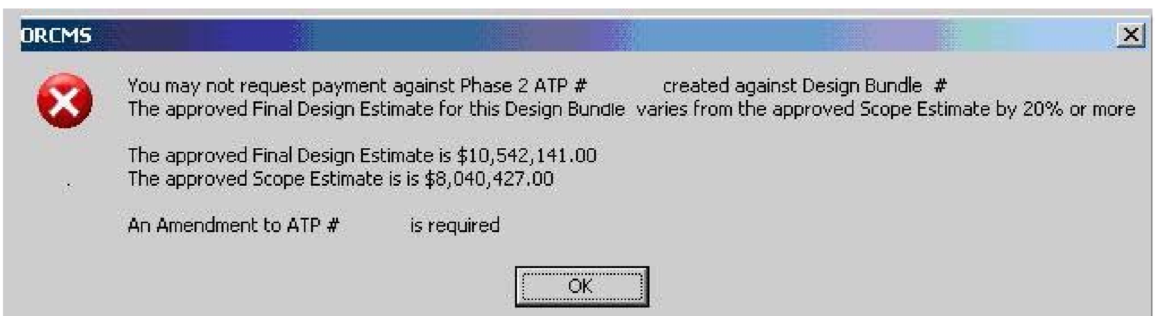
1. 20% Rule – Hard Stop

AN AMENDMENT TO ATP # nnnnnn IS REQUIRED

This error message will appear if there has been a change to an estimate and there is more than a 20% variance (positive or negative) between the estimate used to calculate the ATP and the current applicable estimate.

A Phase 1 ATP will have this message if there is a 20% variance between the DoED Estimate and the approved Scope Estimate.

A Phase 2 ATP will have this message if there is a 20% variance between the approved Scope Estimate and the approved Final Design Estimate, as shown below.



REMEDY
Notify your Construction Specialist and/or Design Manager for the particular project. Inform them that your ATP must be revised to reflect the current applicable estimate.

---

2. 20% Rule – Soft Stop

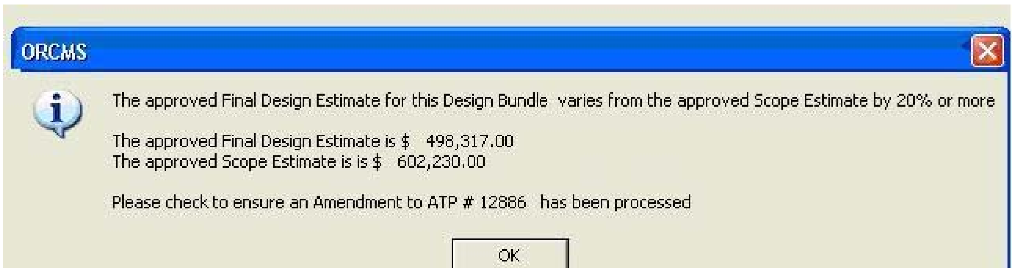
PLEASE CHECK TO ENSURE AND AMENDMENT TO ATP # nnnnnn HAS BEEN PROCESSED.

This **warning** message will appear if there has been a change to an estimate and there is a 20% variance (positive or negative) between the estimate used to calculate the ATP and the current applicable estimate. The system recognizes that an amendment has been processed against the ATP and implores all users to verify that this is the correct amendment.

A Phase 1 ATP will have this message if there is a 20% variance between the DoED Estimate and the approved Scope Estimate.

A Phase 2 ATP will have this message if there is a 20% variance between the approved Scope Estimate and the approved Final Design Estimate, as shown below.

The Operations Manager must check the estimate(s) and the ATP(s) to verify fees are correct. DPM and/or Design Manager must concur.



---

3. CADD Documents – Hard Stop

CADD ELECTRONIC SCOPE DOCUMENTS HAVE NOT BEEN APPROVED FOR THIS DESIGN BUNDLE

This error message will appear if the electronic version of the Scope Report has not been **approved** by the CADD Unit. You will not be able to enter payments against this ATP until the documents have been approved.

REMEDY
Submit your electronic Scope Report to The SCA CADD Unit ASAP.

If you have previously submitted your documents, follow up with the CADD Unit.

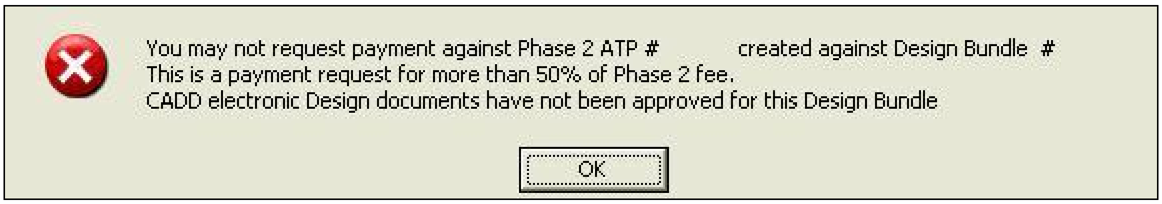
You'll know when your documents have been approved if the system allows the payment entry to go through. Be sure to obtain a copy of the signed Submission/Deliverable Certification Letter for your records.

---

4. CADD Documents – Hard Stop

CADD ELECTRONIC DESIGN DOCUMENTS HAVE NOT BEEN APPROVED FOR THIS DESIGN BUNDLE

This error message will appear if the electronic Design documents have not been **approved** by the CADD Unit. You will not be able to enter payments against this ATP until the documents have been approved.



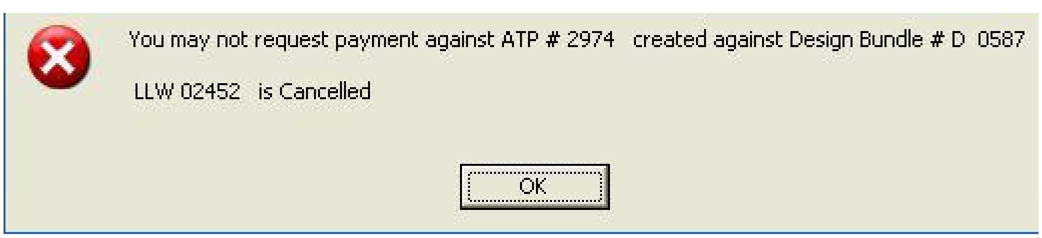
REMEDY
Submit your electronic Design documents to The SCA CADD Unit ASAP.

If you have previously submitted your documents, follow up with the CADD Unit.

You'll know when your documents have been approved if the system allows the payment entry to go through. Be sure to obtain a copy of the signed Submission/Deliverable Certification Letter for your records.

5. Cancelled/Suspended/Disposed LLW or Debundled Design – Hard Stop

This error message will appear if a LLW has been cancelled, suspended or disposed or a Design Bundle has been debundled *after* the issuance of an ATP for the given fee/task.



REMEDY
Contact your Operations Manager to obtain an override. Your Operations Manager will need to establish that the task performed was prior to the cancellation/suspension/disposal/ of the particular LLW. The Operations Manager must obtain concurrence from the DPM and/or Design Manager.

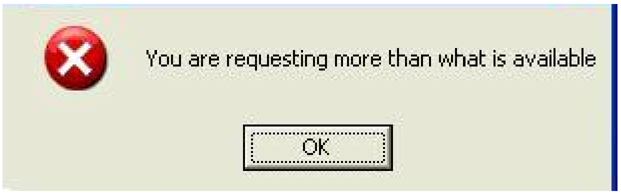
You will be contacted by your Operations Manager once the override is obtained from SCA Finance. Once you have received notification of the override, **you must submit for payment against the ATP by the end of the business day**. The override will expire at that time.

---

6. Exceeding Available Balance – Hard Stop

YOU ARE REQUESTING MORE THAN WHAT IS AVAILABLE

The user has entered a dollar amount which exceeds the available balance. This will occur even if the request is one cent greater than the available balance.



REMEDY
Re-enter the requested amount, ensuring it is less than or equal to the available balance.

---

7. Change in Project Status – Hard Stop

ESTIMATES ARE NOT AVAILABLE FOR THE PROJECT SIGNIFYING A POSSIBLE CHANGE IN PROJECT STATUS. THE ATP CANNOT BE BILLED AGAINST AT THIS TIME.

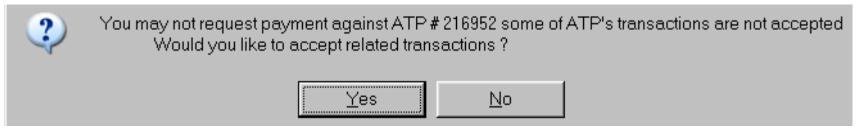
This error message will appear if the estimate(s) used to create the ATP is/are no longer available in ORCMS. Payment against such an ATP could result in an overpayment.

REMEDY
Contact your Operations Manager *first* to inform them of the error. Your Operations Manager will coordinate the effort to resolve the error message. Solutions will vary based on the nature of the circumstances surrounding the status change.

8. Unaccepted ATP Transactions – Soft Stop/Warning

YOU MAY NOT REQUEST PAYMENT AGAINST ATP # nnnnnn. SOME OF THE ATP'S TRANSACTIONS ARE NOT ACCEPTED.

There are ATPs and/or ATP Amendments which have not been electronically accepted by firm.



REMEDY
Click *YES* to accept ATP and/or Amendment (follow steps outlined in Section 5 – How Do I Accept and ATP or ATP amendment in ORCMS) or *NO* to bypass the ATP Acceptance process. This will zero out the requested amount against this ATP and allow the user to continue with other entries on the RFP.

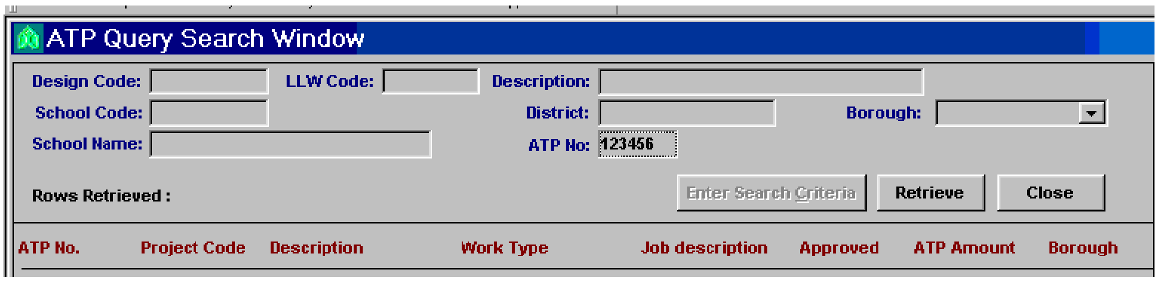
APPENDIX F – Printing an ATP or ATP Amendment in ORCMS

Printing an ATP or ATP Amendment ORCMS can be accomplished by first selecting the applicable Query option from the main ORCMS menu.

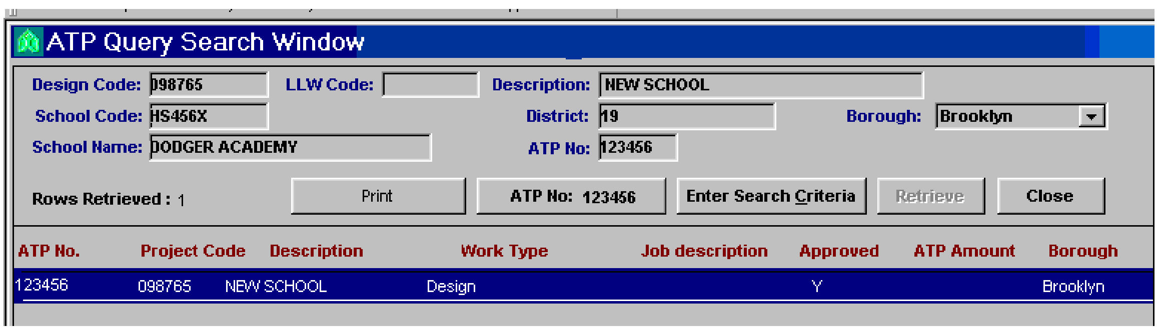
1. ATP Query

a) From your main menu, select *ATP Query*

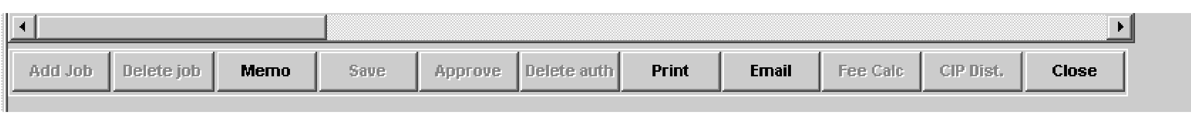
b) The *ATP Query Search Window* will provide several options to locate an ATP. In this example the ATP No. is used. After the ATP No. has been entered, click *Retrieve*.



c) Double click the highlighted for the ATP you wish to print or click *ATP No. ######.*



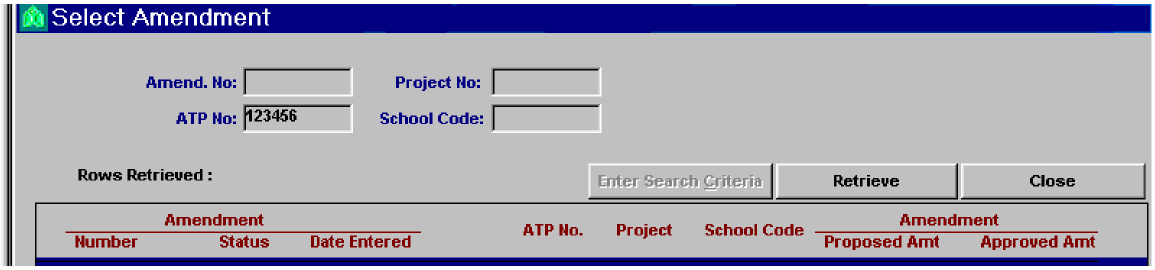
d) The *Print* option is located at the bottom of the of the ATP screen.



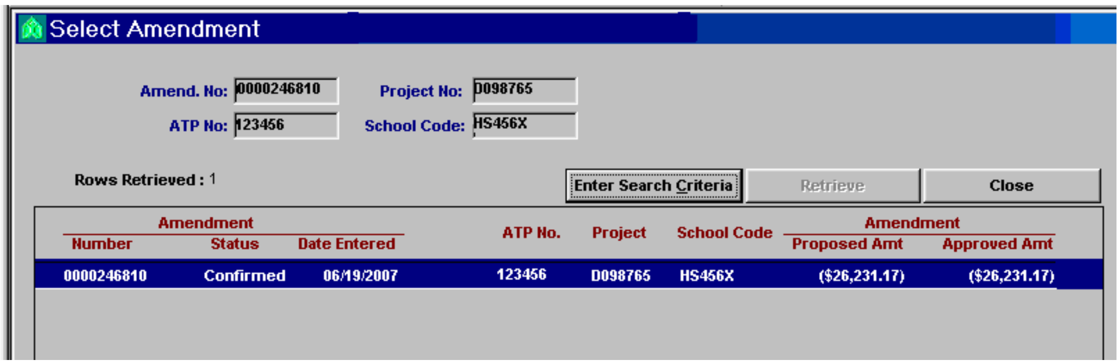
2. Amendment Query

a) From your main menu, select *Amend Query*

b) The *Select Amendment Window* will provide several options to locate an ATP Amendment. In this example the ATP No. is used. After the ATP No. has been entered, click *Retrieve*.



c) Highlight the line for the ATP Amendment you wish to print, and then double click.



d) The *Print* option is located at the bottom of the of the *View Amendment* screen.

APPENDIX G - Asbestos Coordination ATPs

PLEASE NOTE - Asbestos Coordination was NOT part of Basic Services in CIP contracts executed prior to 2007.

1. Why is the Asbestos Coordination ATP issued?

When a Design Consultant is issued their ATP for Design Phase (Phase 2) Fee, an ATP for Asbestos Coordination is also issued. This Design Reimbursable ATP compensates the Design Consultant for administration, coordination and integration of Asbestos Abatement Drawings and Specifications (prepared by others) with the contract documents.

2. When can the Asbestos Coordination ATP be billed against?

The asbestos coordination ATP can be billed upon 100% completion of coordination and after the 100% design drawings have been submitted to The Authority.

3. What supporting documents are required when billed against?

NO SUPPORTING DOCUMENTS ARE REQUIRED WHEN BILLING. During the RFP review process, the assigned Design Project Manager will confirm if asbestos coordination services were performed.

4. What is the Asbestos Coordination fee based?

The asbestos coordination fee is based on the construction cost estimate at the end of Phase 1 and which does not include costs for asbestos abatement and hazardous wastes, construction allowance, provisions, labor premium and phasing (includes custodial and security costs).

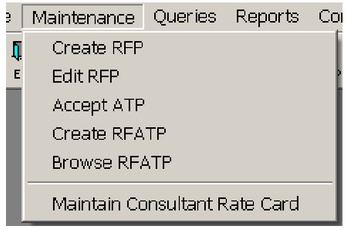
5. How is the Asbestos Coordination fee calculated?

The asbestos coordination fee is calculated based on the fee schedule below. This schedule is in the A&E Services contract for Capital Improvement Projects, Appendix A, Part 2 (Compensation and Payment), Section 4.1.1.C.3.

Estimated Construction Cost	Fee
$35,000	$700.00
$1,000,000	$2,000.00
$5,000,000	$5,000.00
$10,000,000 and above	$7,500.00 (Maximum)

APPENDIX H – Rate Card Maintenance

From the main ORCMS screen, click **Maintenance > Maintain Consultant Rate Card.**



<u>1. New Employee</u>

a.) If you wish to add a new employee rate card, click **New Employee**. Enter new employee rate information. Click **Submit Rate**.

Click **Employee's List** if you wish to create another new employee record. The TITLE field is a data entered field except for the title of *Principal* which is available on the drop down menu. When the *Principal* title is selected, ORCMS prevents the user from entering a pay rate or pay rate period. When billing for service provided by the Principal of a firm, ORCMS refers to the Principal rate included in the firm's design consultant contract.

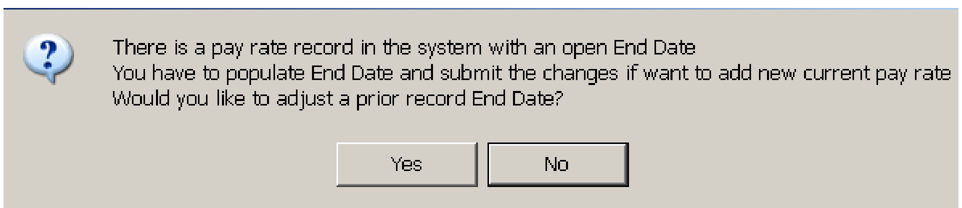
Repeat step a) as needed or click **Close** to end session.

<u>2. Update Current Employee</u>

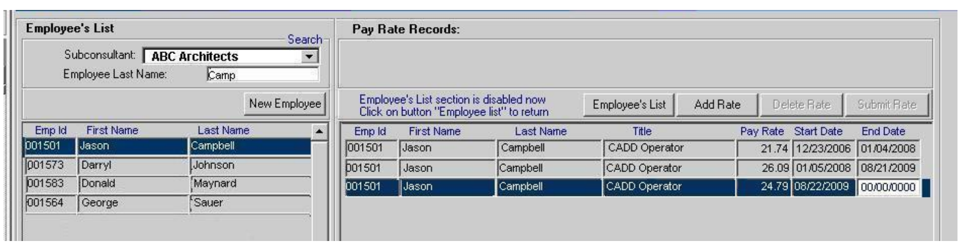
a.) Double click on the employee name

b.) This will display all entered rates for an employee. Click **Add Rate** to enter new rate for employee.

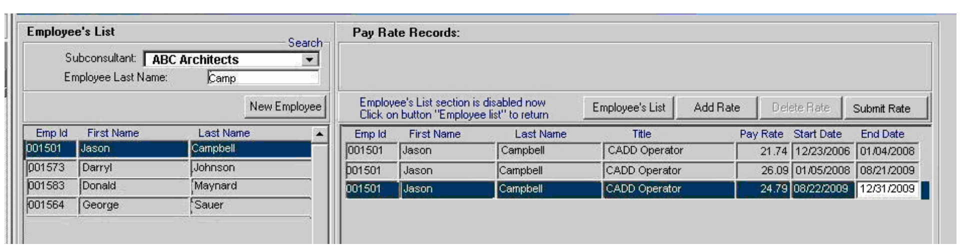
You will see the following message:



c.) If you want to add a *new current* rate, click YES.



ORCMS will force you to place an End Date onto the existing current rate before entering an employee's updated rate. Click Submit Rate.



Click *Add Rate*. On the provided line, enter the updated pay rate information. The TITLE field is a data entered field except for the title of *Principal* which is available on the drop down menu.

d.) If you want to add an older rate, click NO. ORCMS will provide a new line for data entry.

e.) Enter rate information. Click **Submit Rate**.

f.) Click **Employee's List** if you wish to select another employee record or click **Close** to end session.

<u>3. Delete/Correct/Update An Employee Pay Rate</u>

a.) Delete an Employee Rate

1. Double click on the employee name

2. This will display all entered rates for an employee. Highlight the rate you wish to delete.

3. Click **Delete Rate. PLEASE NOTE – It is not possible to delete a pay rate if it has been billed against on a saved, submitted and/or approved RFP in ORCMS.**

b.) Correct an Employee Rate

1. Double click on the employee name

2. This will display all entered rates for an employee. Highlight the rate you wish to correct.

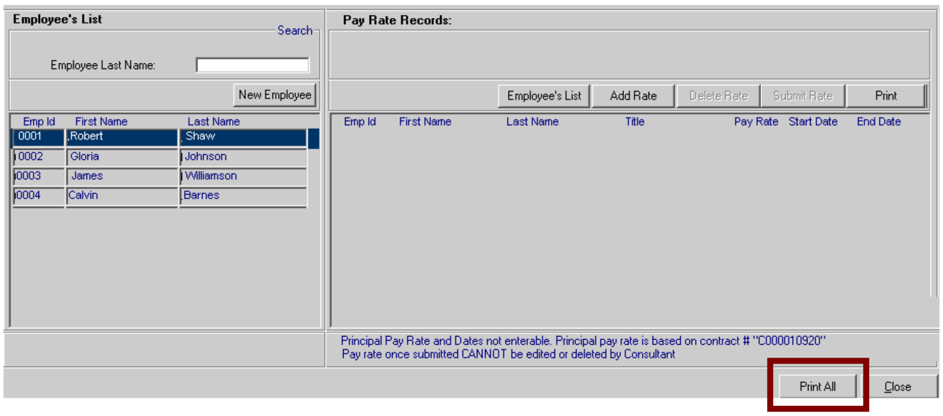
3. Corrections can be made to an Employee's Title, Pay Rate, Start Date and or End Date. Click **Submit Rate.**

PLEASE NOTE

- **It is not possible to correct a pay rate if it has been billed against on a saved, submitted and/or approved RFP in ORCMS.**
- **It is not possible to correct the start or end date of a selected rate period if it overlaps a previously submitted rate period.**
- **It is not possible to correct the start or end date of a selected rate period if has been billed against *within the selected rate period* on a saved, submitted and/or approved RFP in ORCMS.**
- **When it is the only correction being made, it is possible to correct the employee title at any time.**

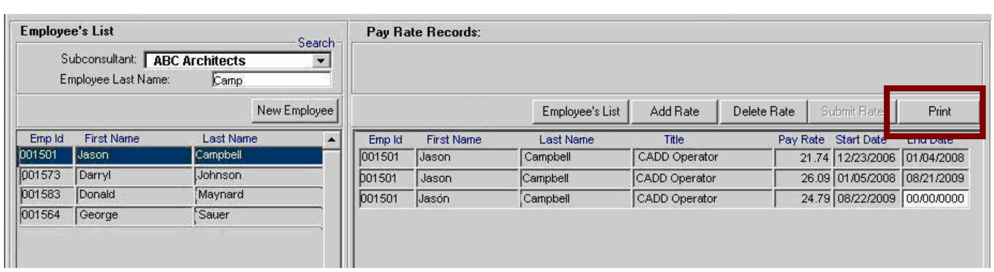
<u>4. Printing Rate Card</u>

a.) Printing all Employee Rates
From the Employee Rate Card screen, click *Print All* on the bottom of the Employee Rate Card screen.



b.) Printing an Individual Employee Rate
From the Employee Rate Card screen, double click on the employee name

This will display all entered rates for the selected employee. Click Print for a hard copy of the employee's rate card.



APPENDIX I – Identity, Address and/or Tax ID changes

Below is a list of documentation required by the NYC Comptroller's Office to make the most common modifications to a Design Consultant's vendor records.

It is very important that these documents are submitted timely and as soon as the changed information becomes available. Failure to do so can and will result in a delay in payment from the SCA. In the worst case scenario, no ATPs can be authorized and no payments can be approved until identity, address and/or tax ID issues are resolved.

ADDRESS Change

- A letter on the firm's letterhead requesting a change of address. The letter should state the old address, the new address and any address the firm may want to deactivate.
- Substitute W-9 (available from your CCFU Operations Manager)

NAME CHANGE (same tax ID)

- Substitute W-9 (available from your CCFU Operations Manager)
- Certificate of Amendment or a Certificate of Incorporation
- IRS Letter 147C (Contact the IRS for assistance)

ADDING a DBA

- Substitute W-9 (available from your CCFU Operations Manager)
- Certificate of Assumed Name

TAX ID CHANGE

- A letter on the firm's letterhead.

- The letter should state the firm is no longer/will no longer operate under the old tax ID.
- If applicable, it should state any addresses which should be deactivated.
- The letter should formally request that all contracts and projects under the old tax ID number be assigned to the new tax ID number.

- Substitute W-9 (available from your CCFU Operations Manager)
- Certificate of Authority
- IRS Letter 147C (Contact the IRS for assistance)