**300.1 – Phase A Checklist for the Architect-Engineer**

This checklist is to be used by the Architect-Engineer and shall be included in the Phase A submittal.

**Instructions:** The Architect-Engineer will mark the box below indicating completion of each action in accordance with the requirements in the EKU DFMS Procedures Manual (including applicable laws, regulations, and requirements) or that the action is not applicable to the Project.

**Project Administration:**

YES N/A

**Architect’s-Engineer’s Contract:** The Contract has been received and the Phase A fee reviewed by the Architect-Engineer.

**Pre-Design Checklist:** The Architect-Engineer has reviewed the Pre-Design Checklist and has included an updated version as an attachment.

Note: This Pre-Design Checklist shall be discussed at the Initial Meeting.

**Federal or other Grant Funding: University (**Sponsor Programs) has notified DFMS Project Management and the Architect-Engineer as to the entity required for federal or other review of the Project. If the Architect-Engineer has contacted the reviewing entity, then documentation of the meeting is required in the submittal.

**Initial Project Meeting:** The initial project meeting, scheduled by the Project Manager and conducted/documented by the Architect-Engineer, has been held. Documentation of the meeting has distributed to all attendees.

**Phase A Commissioning Meeting:** This meeting has been scheduled, conducted, and documented by Commissioning Authority. Documentation of the meeting has been distributed to all attendees.

**Project Directory:** The Project Directory has been prepared and distributed.

**Correspondence Distribution:** The Architect-Engineer has developed and implemented a system of routing and distribution of Project correspondence. Documentation of the system is included in the Phase A submittal.

**“As-Built” or “Record Drawings”:** The Architect-Engineer and/or the Project Manager has obtained and distributed existing “as-built” or “record drawings” to the Design Team.

**Rendering:** The need for a rendering has been determined with and negotiated with Project Manager , and included in the Phase A submittal.

**Subsurface, Topographic and other Surveys:** The Architect-Engineer has coordinated and received subsurface, topographic and other surveys necessary to the Project. These services were obtained under contract to DFMS Project Management. **See Section 210 Survey Requirements*,* Section 211Subsurface Investigations and Section 212 Hazardous Materials.**

**Facilities Management and Safety MEP Submittal: See Section 303.3 for submittal requirements.**

**Code and Regulatory Requirements:**

YES N/A

**Code and Regulatory Requirements:**A list and status of all code and regulatory requirements applicable to the Project has been provided in the Phase A submittal.

**Occupancy Load:** The Architect-Engineer has defined the occupancy load for each building area or space and forwarded this information to sub-consultants.

**Seismic Issues:** The services of a Structural Engineer have been obtained to investigate seismic issues. The Structural Engineer has prepared a report on their review of applicable seismic regulations.

**Preliminary Storm Water Pollution Prevention Plan:** For Projects that are one acre or greater, the Architect-Engineer has developed a preliminary SWPPP for the Project **(See Section 220).**

**Project Development:**

YES N/A

**Requirements in Chapter 3:** The requirements in **Sections 301, 304, 305, 306, 307, 308 and 309** have been reviewed by the Architect-Engineer have been incorporated into the Phase A Documents.

**Project Program and/or DFMS Project Management’s Project’s Project Requirements:** The Architect-Engineer has defined the Project Scope of work in conjunction with the Commissioning Authority. The Project Program and the DFMS Project Management ’s Project Requirements are included in the Phase A submittal.

**ADA Review:** The Architect-Engineer has consulted with the University concerning ADA Compliance Disabilities and completed a list of Design/Renovation suggestions to be considered for the project (**See Section 310**).

**Functional Space Plans:** The Architect-Engineer has prepared functional space plans for the Project along with pertinent program information and distributed this to all engineers and consultants.

**Consultant Coordination:** Architectural schematic functional space plans have been reviewed with all consultants and conducted consultant coordination meetings as necessary.

**MEP Systems:** The Architect-Engineer has analyzed **comparative MEP systems** with engineers and consultants. Systems have been selected to be used in the Project. Systems space and location requirements have been determined.

**Systems Compatibility:** The selected MEP and structural systems have been determined to be compatible.

**Special Equipment or Fixtures:** The Architect-Engineer has created or obtained lists of special equipment and fixtures required by DFMS Project Management. These have been distributed to consultants

**Site Design:** Phase A Schematic Site Design documents have been prepared that adhere to the project requirements and ADA requirements.

**Phase A Schematic Design:** Phase A Schematic Design documents have been prepared that adhere to Project requirements and construction budget.

**Regulatory Reviews:** Status of all regulatory review and permitting requirements has been updated.

**Rendering:** A rendering has been obtained if required by the Contract.

**Initial Budget and Scheduling:**

YES N/A

**Project Budget:** The construction budget amount has been received from DFMS Project Management.

**Project Schedule:** The Architect-Engineer has received the anticipated design and construction time upon which the Project Schedule is to adhere.

**Final Budget, Area Calculations and Scheduling Deliverables:**

YES N/A

**Construction Cost Estimate:** An estimate of probable construction cost has been prepared based upon schematic design and all available data. The Phase A Estimate of Construction Cost estimate incorporates each consultant’s estimate. **See Section 309 - Phase A Estimate of Construction Cost.**

**Area Calculations:** Gross area calculations have been prepared and included in the Space Study Statement of the Phase A Estimate of Construction Cost. **See Section 309.**

**Project Schedule:** The Architect-Engineer has developed a project schedule. It is included in the Phase A Estimate of Construction Cost. **See Section 309.**

**Energy Usage Cost:** The projected energy usage cost has been determined and provided to the Owner for inclusion in their future operating budget. The DFMS Project Management shall apply a contingency in developing their projected operating costs.See Phase A Owner **Section 302**.

**Projects Seeking LEED Certification**

The following actions are required for Projects seeking LEED Certification. The Architect-Engineer shall mark the appropriate box identifying whether the submittal contains each item or whether the item is not applicable to the Project.

YES N/A

**Registration:** The Project has been registered as a LEED project with the USGBC.

**Checklist:** A proposed LEED checklist has been developed with the proposed LEED credits appropriate for the Project.

**Energy Model:** The Preliminary Energy Model has been developed documenting compliance with the required number of points for Energy and Atmosphere Credit 1.

**Basis of Design:** The Basis of Design (BOD) based on the EFMS Project Management’s Project Requirements (OPR) has been developed.

**Phase A Review and Approval**

YES N/A

**Copies:** Two hard copy sets and one electronic set of Phase A documents have been submitted to the Project Manager.

**Review Meeting:**  The Architect-Engineer has conducted the Phase A Review Meeting.

**Comments from the Review Meeting**: Revisions and changes from the Review Meeting have been incorporated into Phase A Documents.

**Approval of MEP Services Submittal:** The Architect-Engineer has obtained the approval of the MEP Services submittal from Facilities Management **See Section 303.3 for submittal requirements.**

**Phase A Submittal Checklist**

The following documents are required to be provided in the Phase A submittal unless they are not applicable. The Architect-Engineer shall mark the appropriate box identifying whether the submittal contains each item or whether the item is not applicable to the Project.

Provided N/A

Completed copy of the Pre-Design and Phase A Architect-Engineer checklists.

Completed copy of the Phase A Estimate of Construction Cost. See Section 309.

Design Narrative describing the proposed design, materials and equipment.

Revised Commissioning Plan to reflect the Phase A Schematic Design. See The Phase A Commissioning Plan requirements at the end of this section and the Phase A Commissioning Plan Checklist Section 300.4.

**DRAWINGS:** Provide **Phase A Schematic Design Drawings** in 8-1/2” x 11” or 11” x 17” bound and PDF format. Include at a minimum the following:

Provided N/A

Site Plan Schematic

Site Utility Schematic

Architectural Floor Plans

Architectural Elevations

Structural Schematics

**Division 210000 Fire Suppression drawings:**

Provided N/A

Identified Demolition Requirements

Location of Utilities

Location of Entry and Stand Pipes

Fire Suppression Legend

**Division 220000 Plumbing drawings:**

Provided N/A

Identified Demolition Requirements

Location of Utilities

Location of Pipe Chases

Routing of Distribution Mains (Storm, Sanitary and Domestic Hot & Cold Water)

Equipment Locations

Location of Major Equipment in Mechanical Rooms

Plumbing Legend

**Division 230000 HVAC drawings:**

Provided N/A

Identified Demolition Requirements

Identified all Systems

HVAC Systems Flow Schematic Diagrams

Identified Special Occupancy Zones

Air Intake & Discharge Locations

Location of Utilities

Location of Mechanical Rooms & Pipe / Duct Chases

**Division 230000 HVAC drawings: (continued)**

Provided N/A

Preliminary Routing of Piping Distribution Mains

Preliminary Routing of Air Distribution Mains

Control & Instrumentation Diagrams

Location of Major Equipment in Mechanical Rooms

Mechanical Legend

**Division 250000 Integrated Automation drawings:**

Provided N/A

Identified Legacy System / Demolition Requirements

Identified all Systems / Interface Requirements

Identified Special Occupancy Zones

System Architecture

Connection to Utilities

Panel Server Locations & Space Requirements

Preliminary Bus / Cable Tray Routing

Integrated Automation Legend

**Division 260000 Electrical drawings:**

Provided N/A

Identified Demolition Requirements

Identified all Systems

Single Line Diagram

Zone Lighting Level Requirements

Presentation of Special Lighting

Location of Utilities / Vault

Location of Electrical Room / Closets

Location of Major Equipment in Electrical Rooms

Electrical Legend

**Division 270000 Communications drawings:**

Provided N/A

Identified Legacy System / Demolition Requirements

Identified all Systems / Interface Requirements

System Architecture

Server Locations and Space Requirements

Connection to Utilities

Preliminary Bus / Cable Tray Routing

Communications Legend

**Division 280000 Electronic Safety & Security:**

Provided N/A

Identified Legacy System / Demolition Requirements

Identified all Systems / Interface Requirements

Identified Special Occupancy Zones

Location of Panel

Connection to Utilities

Safety & Security Legend

**OUTLINE SPECIFICATIONS / DESIGN NARRATIVE:** Submit **Phase A Outline Specifications/Design Narrative** in 8-1/2” x 11” bound and PDF format. See Section 307.1 through 307.9. The following items shall be included in the outline Specification/Design Narrative:

**Division 21 Fire Suppression:**

Provided N/A

Detailed Design Deliverables Checklist for Subsequent Phases

Systems Basis of Design Document

Cost Projections

**Division 22 Plumbing:**

Provided N/A

Detailed Design Deliverables Checklist for Subsequent Phases

Systems Basis of Design Document

Cost Projections

**Division 23 HVAC:**

Provided N/A

Detailed Design Deliverables Checklist for Subsequent Phases

Preliminary Design Calculations

Code Requirements

Systems Basis of Design Document

Energy Life Cycle Evaluations

Cost Projections

**Division 25 Integrated Automation:**

Provided N/A

Detailed Design Deliverables Checklist for Subsequent Phases

Identified Agency Standards/Requirements

Systems Basis of Design Document

Cost Projections

**Division 26 Electrical:**

Provided N/A

Detailed Design Deliverables Checklist for Subsequent Phases

Code Requirements

Light Fixture Cut Sheets

Systems Basis of Design Document

Cost Projections

Energy and Life Cycle Evaluations

**Division 27 Communications:**

Provided N/A

Detailed Design Deliverables Checklist for Subsequent Phases

Systems Basis of Design Document

Cost Projections

Location of Communications Room or Closet

Coordinate with University IT Office

**Division 28 Electronic Safety & Security:**

Provided N/A

Detailed Design Deliverables Checklist for Subsequent Phases

Systems Basis of Design Document

Cost Projections

**Division 32 Exterior Improvements:**

Provided N/A

Identified Agency Standards/Requirements

Cost Projections

**PHASE A COMMISSIONING PLAN:**

Provided N/A

**The Phase A Commissioning Plan** has been prepared by the Commissioning Authority (See Division 011913 Commissioning Authority documents). The following items, prepared by the Commissioning Authority, have been included in the Phase A submittal:

**Division: 011913 Commissioning Authority**

Provided N/A

Detailed Design Deliverables Checklist for Subsequent Phases

Updated Owner’s Project Requirements

Design Team Selection Process

Project Design Options Document

Systems Basis of Design Document

Project Communications Plan

Updated Commissioning Plan

**End of Phase A Checklist for the Architect-Engineer**