



UNIVERSITY OF NORTHERN IOWA
FACILITIES PLANNING

CONSTRUCTION PHASE PROCEDURES
USING CENTRIC PROJECT

DESIGN PROFESSIONAL

March 2008

PREFACE

The information provided within this manual is merely intended as a guide in which the user may refer to throughout the construction phase of a contract awarded project at the University of Northern Iowa. This information is intended to supplement the specifications and the Design Professional contract with UNI.

Within the manual is information relating to the various phases of a project including samples of standard documents to be used and routing procedures.

Specific questions with regard to the content of the manual shall be directed to the Owner's Construction Representative for the project.

UNIVERSITY OF NORTHERN IOWA
FACILITIES PLANNING

CONSTRUCTION PHASE PROCEDURES
USING CENTRIC PROJECT
DESIGN PROFESSIONAL

TABLE OF CONTENTS

	<u>Page</u>
1. Introduction/Definition	1
2. Pre-Construction Meeting	1
3. Project Progress Meetings	1
4. Site Visits	2
5. Shop Drawings/Product Data/Samples	2
6. Contract Document Revision	3
7. Proposal Request	4
8. Construction Change Directive	5
9. Request For Information	6
10. Supplemental Instructions	6
11. Change Order	7
12. Application for Payment	7
13. Substantial Completion of Construction	9
14. Project Close-Out/List of Incomplete Items/Final Observation	10
15. Project Close-Out/Acceptance/Final Payment	11
16. Project Close-Out/Record Documents/Operation and Maintenance Manuals	12

Appendix: (www.vpaf.uni.edu/fs/contractinfo/procedures_manual.shtml)

Preconstruction Meeting Agenda

Progress Meeting Agenda

Contract Document Revision

Proposal Request

Construction Change Directive

Supplemental Instructions

Change Order

Application for Payment

List of Incomplete Items

Certificate of Substantial Completion

Electronic Files Procedures

CONSTRUCTION PHASE PROCEDURES
USING CENTRIC PROJECT

DESIGN PROFESSIONAL

1. Upon the receipt of the Notice of Award by the Contractor, the construction phase begins. The construction phase ends with acceptance of the project by the Owner and the Design Professional furnishing the record documents to the Owner. Unless designated otherwise, UNI's representative shall be the Owner's Construction Representative (OCR).
 - 1.1 All projects in excess of \$1,000,000 and selected other projects will be handled with an internet based project management system, Centric Project. All project documents and correspondence shall be published and republished on Centric Project to maintain complete documentation. After the initial publication all future versions shall be republished with the exact name as the original document.
2. **Pre-Construction Meeting**
 - 2.1 The OCR schedules a pre-construction meeting with the Contractor and the Design Professional at a location designated by the OCR.
 - 2.2 The OCR shall conduct the meeting (according to a standard outline). See Appendix. The outline shall be customized as needed for requirements of the project.
 - 2.3 The Design Professional, OCR and Contractor shall set the day and time of the project progress meetings at the pre-construction meeting. Frequency of progress meetings shall be determined based on the scope of the project generally no more than two weeks apart.
 - 2.4 The OCR shall prepare minutes of the pre-con meeting and publish them on Centric Project.
3. **Project Progress Meetings**

- 3.1 Project progress meetings shall be conducted by the Contractor in accordance with the outline contained in Appendix at intervals established in the pre-construction meeting.
- 3.2 The Design Professional shall prepare and publish minutes of the progress meeting on Centric Project.

4. Site Visits

- 4.1 The Design Professional shall visit the site periodically to monitor construction progress and shall prepare a construction observation report for each visit. The report shall be separate from the meeting minutes and shall be published on Centric Project.
- 4.2 The Design Professional shall keep meeting minutes of each progress and special meeting and publish the minutes on Centric Project for review by the OCR and Contractor.
- 4.3 The Design Professional and Consultants shall visit the site at intervals as required by the Design Professional contract or as needed based on the progress of the work. Observation reports from the visit shall be published on Centric Project.
- 4.4 The Design Professional shall provide construction observation if required by Owner/Design Professional agreement and publish all observation reports on Centric Project.

5. Shop Drawings/Product Data/Samples

- 5.1 The Design Professional shall provide in Division 1 of the specifications a complete list of submittals to be provided as required by the specifications.
- 5.2 The Design Professional reviews shop drawings as posted on Centric Project by the Contractor of items as required by the project specifications. Each submittal shall be numbered consecutive by the Contractor and shall also be

marked with the specification section and a sub number (i.e. 03300-1). All submittals shall be processed on Centric Project.

5.3 The OCR shall provide comments pertaining to the submittal to the Design Professional within 1 week of receipt for review prior to the Design Professional taking action on the submittal. If no comments are received in one week the Design Professional shall proceed to issue with their comments.

5.4 The Design Professional shall review each submittal for conformance with the contract documents and take appropriate action as follows:

1. Reviewed.
2. Reviewed with comment.
3. Return for correction.
4. Rejected.

Submittals shall be processed in accordance with the approved submittal schedule with a maximum review time of 14 calendar days. Comments shall be posted in Centric Project for use by the project team.

5.5 Final decisions on finish materials and color selections shall be reviewed with and approved by Facilities Planning before instructions are given to contractors for ordering of material. All decisions shall be recorded in Centric Project. Submit color schedules or charts and samples in duplicate for Owner review.

6. **Contract Document Revision (CDR)**

6.1 Prior to issuing any change document the CDR form (see Appendix) shall be completed by the Design Professional, and approved by the OCR and Associate Director. This original and subsequent copies shall be published and republished on Centric Project.

7. **Proposal Request (PR)**

7.1 A proposal request is a document to be used to obtain cost information from the Contractor for work items proposed to be added or deducted to the project that were not included in the original contract documents. See Appendix.

7.2 The Design Professional or OCR shall determine the need to initiate a PR based upon the following:

1. Circumstances of the project.
2. Requested by OCR.

A PR may also be issued by the OCR to cover Owner initiated changes. To maintain document consistency, PRs shall be published with a title as follows xxx – PR – No. xxx is the 3 letter building. No. is the consecutive numbering.

7.3 The Design Professional shall prepare a PR as needed on a standard form (Appendix) provided by the OCR within 1 week. The PR shall include a clear, detailed description of the additional work to be performed and work that was deleted plus any supporting drawings or specifications required. The Design Professional shall review the PR with the OCR and when both agree they will publish the PR on Centric Project for the Contractor to obtain pricing and one copy to the OCR. These copies are not signed by the Design Professional at this time.

7.4 The Contractor provides pricing information on the PR and signs the document. The Contractor then republishes the PR on Centric Project for review by the Design Professional and the OCR simultaneously.

7.5 The Design Professional sends comments to the OCR based upon the signed copy with cost and schedule information received from the Contractor.

7.6 The Design Professional reviews the proposal request received from the Contractor and the comments received from the OCR and responds as follows:

1. Recommends acceptance.
2. Does not recommend acceptance.
3. Other.

The Design Professional signs the PR received from the Contractor and republishes it on Centric Project.

7.7 The Owner signs the PR and republishes it on Centric Project.

For PR's issued by the OCR all reviews and recommendations will be handled by the OCR but will still be published on Centric Project.

7.8 The approved proposal request shall be incorporated into a change order by the OCR in a timely manner.

8. **Construction Change Directive (CCD)**

8.1 A construction change directive is a document to be used to obtain cost information from the Contractor for an immediate change and/or modification to the contract documents. A CCD is generally a field directed change and should be issued within 2 days. (See Appendix)

8.2 The Design Professional or OCR shall determine the need to initiate a CCD based upon the following:

1. Circumstances of the project.

8.3 The Design Professional or OCR shall prepare a CCD as needed on the University's standard form. The CCD shall include a description of the work to be performed and the work to be deleted, plus any supporting drawings required. The Design Professional shall sign the CCD and publish it on Centric Project for the Contractor to obtain pricing. The original version is

signed by the originator of the CCD when they are issued to authorize the start of work.

- 8.4 The Contractor republishes the CCD with a not to exceed price and signature on Centric Project.
- 8.5 CCD with prices and Contractor signature are republished on Centric Project to Associate Director, Construction Administration for signature.
- 8.6 Executed CCD is republished on Centric Project for review and use by the project team. The initial price can be accepted as final or held as a NTE price until the work is complete.
- 8.7 On completion of the work the Contractor submits detailed labor and material breakdown of actual job expenses. Including time sheets and receipts if requested. All information is to be republished in Centric Project.
- 8.8 The final amount of the CCD when agreed on will be incorporated into a Change Order.

9. Request for Information (RFI)

- 9.1 An RFI is a form for the Contractor, requesting the Design Professional to clarify something or provide missing information required for construction. The Contractor shall publish the RFI on Centric Project and the Design Professional shall republish the answer within 3 days of the request.

10. Supplemental Instructions (SI)

- 10.1 A supplemental instruction document is a written instruction or a clarification from the Design Professional to supplement the contract documents. See Appendix.
- 10.2 The Design Professional prepares a supplemental instruction document when necessary due to circumstances of the project and publishes it on Centric Project for review. This document does not change contract price or

time.

- 10.3 After review by the OCR, the Design Professional signs and publishes the document to Centric Project for the Contractor to sign. The Contractor signs and republishes the document on Centric Project.

11. Change Order (CO)

- 11.1 A change order is a document authorizing an increase/decrease in contract price or an adjustment of the contract time period. Change orders generally include previously approved proposal requests and/or construction change directives. (See Appendix)

- 11.2 Approved proposal requests and construction change directives will be incorporated into a change order by the OCR. When possible, Change Orders will be prepared monthly to allow for proper billing. Change Orders exceeding \$50,000 must be approved by the Executive Director of the Board of Regents. Wording on the CO shall be consistent with the approved proposal requests and construction change directives.

- 11.3 The OCR shall prepare the CO (Appendix) and send 2 copies to the Contractor for signature and return to the OCR. (3 copies if Board approval is required)

- 11.4 The Contractor signs the CO and sends both original signed copies to the OCR.

- 11.5 The OCR receives the signed copies of the CO and distributes them for signature and further processing.

- 11.6 Once the CO is signed by the Owner, an original is sent to the Contractor and the final Change Order is published on Centric Project.

12. Application for Payment

- 12.1 The OCR shall provide the standard format for the application for payment to

the Contractor. This form shall be used unless otherwise approved by the OCR. (See Appendix)

- 12.2 Prior to the first application for payment, the Contractor shall prepare and publish a schedule of values allocated to various portions of the work as outlined in 01 20 00. This shall be published on Centric Project for review and approval by the OCR and Design Professional. The Design Professional shall review the schedule of values and advise the OCR of his recommendation. This schedule, when approved by the OCR, shall be used as a basis for the Contractor's applications for payment. A schedule of values will not be required on unit price contract projects.
- 12.3 Three days prior to the pay application review meeting, the Contractor shall publish a preliminary application on Centric Project for review by the Owner and Design Professional. If payment for stored materials will be requested, the invoices must be submitted one week in advance of the pay application review meeting.
- 12.4 The Design Professional, Contractor and OCR shall meet at the project site to review the project status and determine what can be submitted on the Application for Payment. This meeting and application process can only take place once a month.
- 12.5 The final Application for Payment shall include photocopies of priced invoices for all stored materials. Materials stored off site requires prior approval by the OCR and insurance as outlined in 01 20 00. Off site storage must be dealt with prior to the application for payment meeting.
- 12.6 After all items have been agreed to at the meeting, four (4) copies of the Application for Payment approved by the Design Professional shall be sent to the OCR. The OCR shall complete the processing for release of payment to

the Contractor.

13. Substantial Completion of Construction

13.1 A minimum of 30 days prior to the request for Substantial Completion, the Contractor submits as-built information and O & M manuals for the OCR and Design Profession review.

13.2 The Contractor notifies the OCR and the Design Professional in writing that the project or a designated portion thereof is substantially complete. A list of incomplete items shall also be included with dates indicating when the work will be done. This list shall be published on Centric Project as Contractors preliminary list of incomplete items.

13.3 The Design Professional shall schedule a site observation for substantial completion upon receipt of notice and listing of incomplete items from the Contractor. The Design Professional and OCR shall conduct the observation with the Contractor and the Design Professional shall prepare a list of incomplete items (See Appendix) of any additional items found not completed or not in compliance with the contract documents. The Contractor shall note dates when each item will be completed. This list shall be published in Centric Project under punchlists.

13.4 The Design Professional shall prepare a certificate of substantial completion using the University's standard form (See Appendix) including the following items:

1. List project or designated portion.
2. Date of substantial completion.
3. Number of days to complete list of incomplete items, (30 days or less).
4. List any responsibilities of the Contractor and Owner

(i.e. complete list of incomplete items, insurance, utilities, etc).

5. Attach list of incomplete items with dates when they will be completed. (including any remaining procedural item such as O&M manuals, TSB forms, spare parts, etc.)

13.5 The Design Professional signs the certificate and publishes it on Centric Project.

13.6 The Contractor signs the certificate and republishes it on Centric Project.

13.7 The Owner signs the certificate and republishes it on Centric Project.

14. Project Close-Out/List of Incomplete Items/Final Observation

14.1 The Contractor proceeds to complete list of incomplete items.

14.2 The Contractor submits TSB final payment reporting form and keys to the OCR.

14.3 Prior to the Substantial Completion Inspection, the Design Professional returns operation and maintenance manuals and warranties with comments as needed to the Contractor for revisions.

14.4 The Contractor returns final operations and maintenance manuals, commissioning manuals and warranties to the OCR.

14.5 The Contractor notifies the OCR and the Design Professional in writing upon completion of the substantial completion list of incomplete items, by publishing a copy of the list of incomplete items with all items signed as being completed by the affected subcontractor and accepted by the Contractor, and requests final observation.

14.6 The Contractor publishes the final application for payment for review.

14.7 The Design Professional schedules the final observation and the OCR and Design Professional conduct the observation.

14.8 The Design Professional notifies the Contractor in writing of any list of

incomplete items (Note: The Contractor must complete all of the incomplete items prior to final acceptance.) and establishes a new deadline.

14.9 The Design Professional prepares a final acceptance letter for the project and publishes with a list of items that remain to be finished and verified by the Owner.

14.10 The Contractor shall notify the OCR and the Design Professional promptly when remaining items are completed so that final acceptance of the contract may proceed.

14.11 This process shall be repeated until all the list of incomplete items are satisfactorily completed or until the Owner takes over the work.

15. Project Close-Out/Acceptance/Final Payment

15.1 The Design Professional shall review, sign and republish the final pay application to Centric Project for further processing. All change orders are required to be approved prior to the final pay application.

15.2 The OCR shall process the final pay application. Five percent of the contract amount is withheld at this time as the 30-day period to hold five percent of the contract amount begins at the final acceptance date. If any claims exist after the 30-day period has expired, continue to hold five percent or two times the amount of the claims (lesser of two amounts) until claims are settled.

15.3 Authorization form for acceptance of completed contract is prepared by the Owner.

15.4 The Owner establishes the acceptance date and sends a letter of acceptance to the Contractor and copies to the Design Professional.

15.5 The Owner makes final payment to the Contractor at the end of the 30 day period. A new pay application is required for reduction and release of retainage.

16. **Project Close-Out/Record Documents/Operation and Maintenance Manuals.**

- 16.1 The Design Professional submits one hard copy and an electronic "as-built" record document drawing data to OCR.
- 16.2 The OCR reviews the "as-built" record drawing data and notifies the Design Professional of any discrepancies. The Design Professional shall revise and re-submit as needed. When electronic documents are in the correct format three hard copies, one set of reproducible and one set of electronic documents are submitted.
- 16.3 The Design Professional submits other required record document data in accordance with the contract.
- 16.4 The Design Professional submits the final pay invoice to the OCR.
- 16.5 The OCR releases final payment to the Design Professional pending receipt of all "as-built" record documents.