



UNIVERSITY OF NORTHERN IOWA
FACILITIES PLANNING

CONSTRUCTION PHASE PROCEDURES
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.

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

Prebid Meeting Agenda

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

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).
2. **Pre-Construction Meeting**
 - 2.0 All projects in excess of \$1,000,000 will be handled with an internet based project management system.
 - 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 and distribute minutes of the pre-con meeting to the Contractor, Design Professional and other concerned parties promptly.
3. **Project Progress Meetings**
 - 3.1 Project progress meetings shall be conducted by the Contractor in accordance with the outline contained in the Appendix at intervals set up in the pre-construction meeting.
 - 3.2 The Design Professional shall prepare and distribute minutes of the progress meeting to the OCR, Contractor, and other concerned parties.

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.
- 4.2 The Design Professional shall keep meeting minutes of each progress and special meeting and distribute copies to 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 and based on the progress of the work.
- 4.4 The Design Professional shall provide construction inspection if required by Owner/Design Professional agreement.

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 per specifications.
- 5.2 The Design Professional receives shop drawings of items as per the project specifications from the Contractor for review. Generally copies are received from the Contractor by the Design Professional (5) and OCR (4) simultaneously unless otherwise determined. The total number of copies received by the Design Professional may vary due to the number of approved copies required by the Contractor and Design Professional. Each submittal shall be numbered by the Contractor with the specification section and a sub number (i.e. 03300-1). Electronic submittals are acceptable when agreed to in advance by the Owner and the Design Professional.
- 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.

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.

5.5 The Design Professional shall then distribute the final shop drawing copies as follows:

1. OCR - 2 copies.
2. Contractor - 1 copy. (This total may vary due to project circumstances)
3. Design Professional - 1 copy. (and 1 copy to Subconsultants)
4. Electronic copies shall be provided electronically as needed.

5.6 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. 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 shall be completed by the Design Professional or the OCR and approved by the Associate Director and the OCR. (See Appendix)

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.

7.3 The Design Professional shall prepare a PR as needed on a standard form 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 required. The Design Professional shall review the PR with the OCR and when both agree they will send the PR to the Contractor to obtain pricing and one copy to the OCR simultaneously. 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 sends the PR to the Design Professional and a copy to 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

sends it to the OCR for further processing.

7.7 The Owner signs the PR and distributes as follows:

1. Contractor - 1 copy.
2. Design Professional - 1 copy.
3. Owner - retains 1 copy.

For PR's issued by the OCR all reviews and recommendations will be handled by the OCR but a copy will be provided to the Design Professional.

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.
2. Requested by OCR.

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 send it to the Contractor to obtain pricing and a copy to the OCR simultaneously. These copies are signed by the originator of the CCD when they are issued to authorize the start of work.

8.4 The Contractor sends the CCD with a not to exceed price and signature to

the OCR and to the Design Professional.

8.5 CCD with prices and Contractor signature sent to Associate Director, Construction Administration for signature.

8.6 Executed CCD is sent to Contractor and Design Professional. One signed copy retained by OCR.

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.

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 clarify something or provide missing information required for construction. RFI's should be answered within 3 days of the request. Copies of RFI's should be sent to the OCR at each step.

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 sends a copy to the OCR for review. This document does not change contract price or time.

10.3 After review by the OCR, the Design Professional signs and sends the document to the Contractor for signature. The Contractor signs and returns the document to the Design Professional.

10.4 The Design Professional sends one signed copy to the OCR and retains one

copy.

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. Total amount of each CO shall not exceed \$50,000. Change Orders exceeding \$50,000 must be approved by the Executive Director of the Board of Regents. Wording on the CO shall be consistent/similar to the approved proposal requests and construction change directives.
- 11.3 The OCR shall prepare the CO (See Appendix) and send 2 copies to the Contractor for signature and return to the OCR.
- 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 a copy sent to the Design Professional.

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 submit to the

OCR and Design Professional, a schedule of values allocated to various portions of the work as outlined in 01 20 00. 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 The Design Professional, Contractor and OCR shall meet at the project site to review the project status and what can be submitted on the Application for Payment. This meeting and application process can only take place once a month.

12.4 The Contractor shall submit 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.

12.5 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 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.

13.2 The Contractor submits as-built information and O & M manuals for OCR and Design Professional review.

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 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.

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 (including any remaining procedural item such as O&M manuals, TSB forms, spare parts, etc.)

13.5 The Design Professional signs three copies of the certificate and sends all original copies to the Contractor for signature and one copy to the OCR for review.

13.6 The Contractor signs the three original copies and sends all three copies to the OCR for further processing.

13.7 The Owner signs the three original copies and distributes one copy to the Contractor and one copy to the Design Professional.

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 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, returns 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 submits the final application for payment to the Design Professional to begin processing.
 - 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 attaches 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 and submit the final pay application to

the OCR 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.