



UNIVERSITY OF NORTHERN IOWA

FACILITIES PLANNING

CONSTRUCTION PHASE PROCEDURES

UNI PROJECT ADMINISTRATION

TYPE II PROJECT

CONTRACTOR

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 manual is intended to be used in conjunction with the specifications.

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

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

Note: A Type II project is one where the Design Professional performs limited services during the construction phase

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Application for Payment

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Change Order (CO)

Progress Meeting Agenda

List of Incomplete Items

CONSTRUCTION PHASE PROCEDURES
CONTRACTOR

1. Upon the receipt of the notice of award by the Contractor, the construction phase begins.
All correspondence with the Owner shall be through the Owners representative who shall be referred to as the Owner's Construction Representative (OCR). The construction phase ends with the acceptance of the project by the Owner. The one year warranty period begins at the date of substantial completion unless otherwise noted in the Certificate of Substantial Completion.
2. **Award of Contract/Pre-Construction Meeting.**
 - 2.1 Upon receipt of the notice of award letter, contract agreement and contract performance and payment bond, the Contractor completes and signs the agreement between Contractor and Owner and the contract performance and payment bond and returns all five copies of each to the Owner. Included with these documents, the Contractor shall submit five copies of the certificate of insurance. All completed documents must be in the hands of the Owner no later than ten days after receipt of the Notice of Award. The contract time as indicated in Article 2 of the Form of Agreement starts on the date of the Notice of Award.
 - 2.2 The Contractor shall furnish to the OCR in writing within forty-eight hours after the receipt of the notice of award, a list of the names of subcontractors who will work on the project on the standard UNI form. This will serve as the basis for issuing tax exemption certificates.
 - 2.3 The OCR shall notify the Contractor of the date and time of pre-construction meeting.
 - 2.4 The Contractor shall submit a preliminary construction schedule along with a

list of key on-site personnel with qualifications to the OCR as outlined in the Supplementary Conditions and Division 1 of the specifications. A detailed schedule and submittal schedule shall be submitted prior to the first pay application. The construction schedule shall be revised at appropriate intervals due to circumstances of the project, an updated schedule and submittal schedule indicating current progress shall be submitted with each application for payment. The completion date shall not change unless amended by a Change Order.

2.5 The Owner shall return one completed copy of the agreement between Contractor and Owner to the Contractor. No work shall commence at the project site until insurance certificates have been received by the Owner.

2.6 The Contractor superintendent along with representatives from major sub-contractors shall attend the pre-construction meeting. The OCR shall conduct the meeting and issue minutes. Phases and procedures during the construction time period shall be discussed at this meeting.

3. **Keys**

3.1 Any keys required by the Contractor during the construction project shall be issued upon approval of the Owner. The OCR shall determine what keys will be issued to the Contractor. Allow one week for construction cores and key requests to be processed. Building access prior to construction keying shall be arranged through the OCR.

3.2 The Owner shall notify the Contractor once the keys have been prepared for issue. The Contractor shall obtain keys from the Facilities Planning office by signing a receipt stating that the keys have been received and that the Contractor is responsible for the keys issued.

3.3 The Contractor shall return the issued keys upon completion of the list of

incomplete items, but no later than seven (7) days after the date the list is completed, to the Facilities Planning office. The Owner shall issue a receipt to the Contractor stating that the keys have been returned.

- 3.4 The Contractor shall be responsible for any costs incurred by the Owner for any re-keying or changing of locks should the keys be lost by the Contractor. Re-keying or changing locks, when commenced, will not be stopped in the process should the Contractor find the keys after notifying the Owner that the keys are lost.

4. **Application for Payment**

- 4.1 The standard format for the application for payment is available on our website at www.vpaf.uni.edu/fs to the Contractor. This form shall be used unless otherwise approved by the Owner. (See Appendix).
- 4.2 Prior to the first application for payment, the Contractor shall submit to the OCR, a schedule of values allocated to various portions of the work as outlined in Section 01 10 20. This schedule, when approved by the OCR, shall be used as a basis for the Contractor's application for payment. A schedule of values will not be required on unit price contract projects.
- 4.3 The Contractor, not more than once a month and as appropriate to the progress of the work, shall schedule a meeting with the OCR to agree on items to be included on the application for payment (See 01 20 00 1.3). After an agreement has been reached the Contractor shall submit four copies of the application for payment to the OCR with an updated construction schedule. The Contractor shall provide copies of invoices for payment of on site and off site stored material in accordance with the general conditions of the project specifications. The Contractor shall provide insurance for all off site stored materials, and the storage area shall be approved by the OCR.

5. Shop Drawings/Product Data/Samples

- 5.1 The Contractor shall prepare a submittal schedule coordinated with the construction schedule that establishes dates for submittals. The Design Professional must accept the submittal schedule.
- 5.2 The Contractor shall submit shop drawings, product data and samples according to the construction contract documents. Electronic submittals may be used if agreed to by the Design Professional and OCR.
- 5.3 The Contractor shall submit shop drawings, product data and samples for items specified in the contract documents and required for the project to the OCR and Design Professional for review as follows:
1. Owner - 4 copies
 2. Design Professional - 5 copies (min. total number may vary)

The number of submittals sent to the Design Professional for review may vary depending upon circumstances of the project and the number of approved copies needed by the Contractor. The five copies noted above reflect one approved submittal returned to the Contractor, if additional approved submittals are required additional copies must be submitted to the Design Professional. Each submittal shall be numbered according to the specification section with a sub number (03300-1).

- 5.4 The Owner and the Design Professional shall review submittals and the Design Professional shall respond as follows:
1. Reviewed.
 2. Reviewed with comment.
 3. Return for correction.
 4. Rejected.

5.5 The Design Professional shall distribute reviewed shop drawing copies as follows:

1. OCR - 2 copies
2. Contractor - 1 copy (or additional as submitted)
3. Design Professional - 1 copy, 1 copy subconsultant.

5.6 Revised submittals shall have a R1 added to the submittal number.

6. **Proposal Request (PR)**

6.1 A proposal request is a document (See Appendix) to be used to obtain cost information from the contractor for work items proposed to be added to or deducted from the project. A PR is not a change order nor a direction to proceed with the work.

6.2 The OCR shall send the PR when required by the circumstances of the project to the Contractor.

6.3 The Contractor shall complete and sign the PR and then return it to the OCR for further processing. The PR shall include a detailed breakdown of add and deduct costs as identified in Specification Section 01 20 00.

6.4 The OCR shall review the completed PR and respond as follows:

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

The Owner then reviews and accepts or rejects the PR and distributes as follows:

1. 1 copy - Contractor
2. 1 copy – OCR

A signed and approved PR does give permission to proceed with the work.

6.5 Approved proposal requests shall then be incorporated into a change order

by the OCR as required.

7. Construction Change Directive (CCD)

7.1 A construction change directive is a document (See Appendix) to be used to obtain cost information from the Contractor for an immediate change and/or modification to the construction documents. A CCD is generally a field directed change. The Contractor shall proceed with the changes as soon as a signed copy of the document is presented to him.

7.2 The OCR shall send the signed CCD when required by the circumstances of the project to the Contractor.

7.3 The Contractor shall complete and sign the CCD including a not to exceed price and time change if any and then send the signed copy to the OCR.

7.4 The OCR shall review the completed CCD. The Owner shall sign the CCD and the Owner shall distribute as follows:

1. 1 copy - Contractor
2. 1 copy – Owner

7.5 If the NTE price is not accepted as final, on completion of the work the Contractor shall submit a detailed time and material breakdown of actual job expenses, as itemized in 01 20 00 1.4. Including but not limited to time sheets, verification of hourly rates and material receipts if requested.

7.6 The final amount of construction change directives shall be then incorporated into a change order by the OCR.

8. Request for Information (RFI)

8.1 When the Contractor needs clarification of the drawings and/or specifications he shall submit a written Request for Information to the OCR. (See Appendix)

9. Supplemental Instructions (SI)

- 9.1 A supplemental instruction document (See Appendix) is a written instruction or a clarification from the Design Professional to supplement the contract documents. A SI does not change the contract sum or contract time.
- 9.2 The Design Professional shall send the SI as required by circumstances of the project to the Contractor for signature.
- 9.3 The Contractor shall sign and return the signed document to the OCR for copying and distribution.
- 9.4 The Contractor shall receive one final copy of the SI and shall complete the work accordingly.

10. **Change Orders (CO)**

- 10.1 A change order is a document (See Appendix) authorizing an increase/decrease in contract price or an adjustment of the contract time period. Change orders only include previously approved proposal requests and/or construction change directives. A single change order may include multiple PR's and CCD's.
- 10.2 The OCR prepares the CO, signs and sends two copies to the Contractor for signature. The Contractor signs the CO and returns both copies to the OCR.
- 10.3 Once the CO has been approved by the Owner, the Owner shall distribute a copy to the Contractor. The Contractor may then include payment of the CO work via the application for payment.

11. **Construction Progress Meetings**

- 11.1 The Contractor shall be responsible to conduct progress meetings during the construction period. Frequency of said meeting shall be determined at the preconstruction conference at a mutually agreed time and location. Time between meetings generally shall not be greater than two weeks. When minimal work is being done, progress meetings may be held at agreed times

due to circumstances of the project. The Contractor shall prepare a written agenda for each meeting, similar to the outline contained in the Appendix.

11.2 The Contractor, major subcontractors and the OCR shall attend all meetings.

11.3 The Contractor shall present a current updated construction schedule and submittal schedule with each monthly pay request. If construction conditions warrant, updating may be required more often as outlined in Division 1 of the specifications.

11.4 The OCR shall be responsible to provide minutes of each progress meeting to all parties.

12. **Testing**

12.1 The Contractor shall notify the OCR a minimum of 24 hours in advance of all tests whether conducted by the Contractor or the Owner's Independent Testing Agency.

12.2 The Contractor shall document the results of all tests that he performs and provide copies of the documentation to the OCR (See Div. 1). Additional copies shall be provided as part of project closeout.

13. **Substantial Completion of Construction**

13.1 Substantial completion is the stage in the progress of the work when the work or a designated portion is sufficiently complete in accordance with contract document so the Owner can occupy or utilize the work for its intended use.

13.2 The Contractor shall notify the OCR in writing when the project or a designated portion thereof is substantially complete. A list of any incompleting items shall also be included with dates of when each item will be complete. The Contractor submits one preliminary copy of the O & M Manual with warranties to the OCR for review. The Contractor submits as-built data to the OCR for review.

- 13.3 The OCR shall schedule a substantial completion observation upon receipt of notice from the Contractor. The OCR along with the Contractor shall conduct the observation and the OCR shall prepare a list (See Appendix) of any items found not completed or not in compliance with the contract documents.
- 13.4 The OCR shall issue two copies of the certificate of substantial completion to the Contractor for signature. The certificate shall list any responsibilities of the Contractor and Owner and shall also state the number of days allowed to complete the list of items. A copy of the list of items shall also be attached.
- 13.5 The Contractor shall sign the certificate of substantial completion and send both copies to the OCR for further processing.
- 13.6 The Owner signs the certificate and returns a copy to the Contractor.

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

- 14.1 The Contractor proceeds to complete the list of incomplete items.
- 14.2 The Contractor shall submit TSB final payment reporting form and keys to the OCR.
- 14.3 The OCR returns operations and maintenance manuals and warranties with comments as needed to the Contractor for revisions.
- 14.4 The Contractor shall submit three (5 for D.O.R. projects) final sets of operations and maintenance manuals with warranties to the OCR.

- 14.5 The Contractor shall notify the OCR in writing upon completion of the substantial completion list of incomplete items and request final observation. The Contractor shall return the list with each item signed off as completed and approved by both the subcontractor and the general contractor.
- 14.6 The Contractor shall submit final pay application to the OCR to begin processing.
- 14.7 The OCR conducts the final observation. The OCR shall notify the Contractor of any items not completed.
- 14.8 If items remain, the Contractor shall complete promptly so acceptance may proceed. All items must be completed prior to acceptance. Final observation shall be repeated until all items are complete. The Contractor is responsible for additional costs due to extra observations.

15. **Project Close-Out/Acceptance/Final Payment**

- 15.1 The OCR shall process the final pay application. Five percent of the contract amount is withheld at this time.
- 15.2 The Owner establishes the acceptance date and sends a letter of acceptance to the Contractor.
- 15.3 The Owner makes final payment to the Contractor, an additional Application for Payment is required to reduce or release retainage.