



UNIVERSITY OF NORTHERN IOWA

FACILITIES PLANNING

OWNER'S CONSTRUCTION REPRESENTATIVE PROCEDURE GUIDE
USING CENTRIC PROJECT

CONSTRUCTION PHASE

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.

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 regards to the content of the manual shall be directed to the Associate Director of Construction Administration.

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CONSTRUCTION PHASE

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Under www.vpaf.uni.edu/fs/contractinfo/procedures_manual.shtml

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Under www.vpaf.uni.edu/fs/organization/staff_resources.shtml

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OWNER'S CONSTRUCTION REPRESENTATIVE PROCEDURE GUIDE
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I. TYPE OF PROJECT

- I. Design by Design Professional (DP)
Construction by Contractor
Administration and Project Management by Design Professional/Facilities Planning
- II. Design by Design Professional
Construction by Contractor
Administration and Project Management by Facilities Planning

II. CONSTRUCTION PHASE – TYPE 1 PROJECT

A. Project files and Pre-Construction Procedures

All design information must be posted in Centric Project including contracts and reports.

- 1. Set up project files. All projects over \$1,000,000 and selected other projects will be handled with Centric Project (Internet Based Project Management System).
- 2. Notice of award letter sent to Contractor and published in Centric Project.
- 3. Receive sub-contractor list from Contractor within 48 hours of notice of award/purchase order. (OCR)
- 4. Receive and publish contract, bond, insurance certificates from Contractor.
- 5. Upon the receipt of the notice of award by the Contractor, the OCR will set up pre-construction meeting. Receive and publish construction schedule, submittal schedule and on-site personnel list with qualifications and after hours phone numbers from Contractor prior to pre-construction meeting.
- 6. Pre-construction meeting – review schedule/procedures. Distribute contractor rating form. Meeting conducted by OCR. Minutes prepared by OCR and published on Centric Project. Follow standard agenda.
- 7. Set up construction progress meetings – weekly, bi-monthly or monthly as determined by contract of project. Announce at pre-construction meeting. Minutes by Design Professional. Meeting run by Contractor. Use standard agenda. (See Appendix)
- 8. Conduct site inspection/pre-construction damage survey with the Contractor. Contractor to document unusual conditions and any damage to facility prior to Contractor occupying the site. Photos of damage to be published on Centric Project.

9. OCR shall review specifications and make a list of required tests, extra materials, warranties, training, special meetings and other job requirements.
10. Shop Drawings and Product Data
 - a. All submittals shall be processed in PDF format through Centric Project. Contractor shall post the submittal.
 - b. Contractor to post submittal schedule on Centric Project as first submittal with numbers and descriptions.
 - c. OCR to forward comments on submittals to Design Professional via T Mail.
 - d. Design Professional to respond to Contractor with approval or corrections posted to Centric Project.
 - e. Establish Contractor submittal numbering system required for tracking all submittals. Contractor numbers all submittals. Single contract – Consecutive numbering system for all submittals. Each submittal shall also include the specification section number.
11. Proposal Request (PR)/Construction Change Directive (CCD)
 - a. Design Professional to complete CDR form for each contract change.
 - b. Start master log posting to Centric Project in CDR log.
 - c. Use standard PR/CCD form (contract information). (See Appendix)
12. Supplemental Instructions (SI)
 - a. Start master log on Centric Project.
 - b. Use standard SI form (See Appendix).
13. Change Order (CO)
 - a. Start master log on Centric Project.
14. Application for Payment
 - a. See Appendix for Application for Payment standard form. Application for Payment to be posted on Centric Project. Form completed by UNI on unit price contracts. (by clerical)
 - b. Receive schedule of values. Not required for unit price contracts. (by Design Professional, OCR)
15. Bid/Award Contract Data

- a. All data shall be in one file (Owner/Design Professional agreement, form of bid, form of agreement, payment and performance bond, insurance certificates, notice of award, etc.). Copies sent to OCR.

16. Budget Status Data

- a. Start file for project update tabulation.
- b. Maintain job cost ledger (Contractor and Consultant). Facilities Planning Dept. Secretary.
- c. Maintain project cost system by Physical Plant.
- d. Start file for monthly job printouts.

17. General Correspondence/Data Files

- a. All pertinent correspondence shall be done on T-Mail in Centric Project and maintained in the T-Mail log.

18. Construction Logs

- a. Design Professional observation reports are filed on Centric Project.
- b. Contractor's daily logs are filed on Centric Project.

19. Stick File of Contract Drawings and Specifications

- a. Hang contract drawings and specifications (bidding phase set). Also post on Centric Project.
- b. Include all addenda with bid set.
- c. Maintain bid set in plan room until completion of construction.
- d. Place construction set in plan room and post on Centric Project.
- e. Revise construction set for changes by change order, RFI and supplemental instructions.

B. Procedures/Routing

1. Shop Drawings and Product Data

- a. Contractor submits schedule of submittals as the first submittal for review and acceptance by the Design Professional.
- b. Contractor submittals are numbered sequentially and with applicable specification section and identifying subnumber. Contractor to post on

Centric Project with the Design Professional as the responsible user and a copy to the OCR.

- c. Copy of email notification of submittal is sent to affected persons for review/comments by the OCR.

Project Design Manager
Technical/Engineers as appropriate
Physical Plant Personnel
User

- d. OCR receives and edits comments, resolves any conflicts and forwards information to Design Professional for inclusion in final comments.
- e. Design Professional notes comments submitted by FP and publishes to Contractor with notice to OCR.
- f. Resubmitted shop drawings handled by similar procedure as original submittals. A new number shall be used for resubmittals.

2. Samples

- a. Contractor submits samples, a minimum of one each, to the Design Professional and one is maintained on site for view by the Owner.
- b. Sample entered on submittal log by Contractor.
- c. Various people notified of availability of the sample on site. Comments returned to OCR.

Project Design representative
Technical/Engineers – transmittal only
Physical Plant Personnel

- d. Comments sent to Design Professional by OCR.
- e. Design Professional notes comments submitted by OCR and responds to Contractor in accordance with agreed upon submittal schedule:
 - 1. Review
 - 2. Reviewed and noted
 - 3. Return for correction
 - 4. Rejected

3. Contract Document Revision (CDR)

Any contract change must be preceded by completion of the CDR form and approval by the OCR and Associate Director. (See Appendix)

The CDR should describe the change and reason for the change. The CDR is posted on Centric Project by the Design Professional with the OCR as the responsible user.

4. Proposal Request (PR)

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

- a. Request initiated by Design Professional with CDR or by OCR. CDR proposed by Design Professional and publish with OCR as responsible person. OCR to obtain signatures and republish to Design Professional.
- b. Design Professional or OCR prepares PR on standard form (See Appendix) and publishes on Centric Project with Contractor as responsible party for pricing with copy to OCR or Design Professional.
- c. PR forwarded to affected persons for comments if necessary.

Example:

Associate Vice President for Facilities
Project Design Representative
Owner's Construction Representative
Technical/Engineers

- d. Contractor republishes PR with prices and signature with itemized cost information with Design Professional as responsible party and a copy to OCR.
- e. PR with prices and Contractor signature forwarded to affected persons for comments as needed.
- f. Design Professional responds as follows:
 1. Recommends acceptance
 2. Does not recommend acceptance
 3. Other

Design Professional signs and republishes to OCR as responsible user.

- g. Send a copy of PR to be routed under \$25,000 to Associate Director of Construction Administration and over \$25,000 to Associate Vice President for Facilities for Owner signature using PR/CCD transmittal form. (See Appendix)
- h. Executed PR is republished to Contractor with a copy to the Design Professional and OCR.
- i. PRs incorporated into Change Order by OCR, monthly or as needed.

5. Construction Change Directive (CCD)

Definition: 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. Generally a field directed change.

- a. Request initiated by Design Professional with CDR or OCR.
- b. Design Professional or OCR prepares the CCD on the standard form (See Appendix), signs and publishes on Centric Project with the Contractor as responsible person for pricing within 2 days of request (not-to-exceed-amount) and a copy to the OCR. Receipt of CCD by Contractor authorizes the start of work.
- c. Contractor publishes CCD with not-to exceed-price and signature to OCR, with copy to the Design Professional.
- d. CCD with prices and Contractor signature sent to Associate Director, Construction Administration for signature with PR/CCD transmittal attached. (See Appendix) Price may be accepted as final or held as NTE for detailed review.
- e. CCD is published to Contractor and copied to OCR and Design Professional.
- f. If the original price is not accepted as final, on completion of the work the Contractor submits detailed labor and material breakdown of actual job expenses. Includes time sheets, payroll records and receipts if requested.
- g. The final amount of the CCD is incorporated into a Change Order.

6. Supplemental Instructions (SI)

Definition: Written instruction or clarification from the A-E to supplement the contract documents. Does not change contract price or time.

- a. Design Professional prepares and signs SI on standard form when necessary (See Appendix) and publishes on Centric Project for Contractor and copy for OCR.
- b. Contractor signs and republishes on Centric Project with copy to OCR and Design Professional.

7. Change Orders (CO)

Definition: A Change Order is a document authorizing an increase/decrease in contract price or an adjustment of contract time period. Change Orders include only previously approved Proposal Requests (PR) and/or Construction Change Directive (CCD). A single Change Order may include multiple PR's and/or CCD's. (See Appendix)

- a. The Owner determines which Proposal Requests and Construction Change Directives are to be included in a Change Order and prepares the Change Order. Change Orders under \$50,000 can be approved within the University with the exception of Change Orders requiring budget or scope increases. Change Orders over \$50,000 must be sent to the Board of Regents (BOR) for approval. Wording on Change Orders shall be consistent with or similar to the wording on approved Proposal Requests and Construction Change Directives.
- b. The OCR prepares and signs the CO and sends TWO copies to the Contractor for signature. (three copies if CO requires BOR approval). Enter CO into Change Order log. (by clerical) When Board of Regent approval is required, change approval line from Associate Vice President for Facilities to Executive Director, Board of Regents.

Change Orders are official contract documents and original copies with original signatures are required for both contracting parties.

- c. The Contractor signs all copies and forward to the OCR for Owner signatures. The OCR signs the CO and completes the Change Order transmittal form (See Appendix) and distributes the signed copies for further processing.
- d. Owner's Construction Representative receives the CO and signs all original copies of the CO, and routes it with the CO transmittal form.
- e. Associate Vice President for Facilities signs the CO (except over \$50,000) and forwards to the clerical staff.
- f. Clerical staff distributes the fully executed CO to Controller's office (copy), Contractor (original), Design Professional (copy), OCR (copy) and FP (original) and publishes on Centric Project.

8. Application for Payment

- a. Contractor, Design Professional and OCR meet on the day of the regular progress meeting to review the Application for Payment.
- b. Contractor submits four (4) copies to Design Professional and one (1) to OCR.
- c. Every Application for Payment must include updated schedules, NPDES reports and plan revisions. Receipts are required for all stored materials, insurance for material stored off site in an approved location.
- d. Design Professional reviews/signs and sends 3 copies to UNI. (FP – clerical)
- e. Application for Payment sent to affected persons for comment/signature. (FP – clerical)

Example:

Owner's Construction Representative – Associate Director of Construction
Associate Vice President for Facilities
University Client

- f. OCR or clerical shall notify Contractor and Design Professional in the event of non-payment or modification to the pay application.
 - g. Two signed copies forwarded to Controller's Office for payment. (FP – clerical)
 - h. Signed Application for Payment copy filed and published on Centric Project. (FP – clerical)
9. Coordination Meetings
- a. The OCR may schedule a coordination meeting with Physical Plant, user groups, transportation and interior design starting a minimum of 4 months prior to project completion. Obtain required closeout schedule from the Contractor prior to the first meeting.
 - b. At least 30 days prior to the proposed Substantial Completion the OCR shall schedule a coordination meeting with the Contractor, the building occupants, Physical Plant, Interior Design (furniture), transportation, building services, ITS and others that may be affected by the completion of the building. To discuss plans to switch over phones, computers, final cleaning, move in and other issues. A schedule should be developed to coordinate everyone's efforts and address concerns.
 - c. 7 to 14 days prior to Substantial Completion the OCR will schedule a repeat of the coordination meeting with the same groups. This meeting should include a review of the site conditions. Determine what remains to be done and what can be delayed until after occupancy. Refine the schedule and details, verify commitments to the schedule and develop alternate plans as needed to accommodate unforeseen conditions.
 - d. Utility Outages
Outages not already scheduled in specification, send email with advanced notice.
 - e. Physical Plant Work – send email.
10. Project Close-Out/Substantial Completion
- a. At least 30 days prior to the request for substantial completion, 2 draft copies of the O & M manual shall be submitted for review. One to OCR and one to the Design Professional. OCR shall have reviews of the draft and provide comments to the Design Professional.

- b. Contractor notifies OCR/Design Professional in writing that the project, or a designated portion thereof is substantially complete. Contractor encloses a list of incompleting items including dates when each item will be completed. At this time the Contractor shall submit the “as-built” blue line drawings and two preliminary copies of the O & M manual. OCR reviews for any outstanding items before forwarding to the Design Professional.
 - c. Design Professional and OCR conduct a review of the project and Design Professional prepares a list of items found not completed or not in compliance with contract documents using standard form (See Appendix)
 - d. Design Professional prepares a certificate of substantial completion using standard form (See Appendix) including the following items:
 - 1. List project or designated portion.
 - 2. Date of substantial completion. (Date of final observations)
 - 3. Number of days to complete the list of incomplete items (length of time determined by OCR and Design Professional – 30 days maximum)
 - 4. List any responsibilities of Owner and Contractor. (i.e. insurance)
 - 5. List of incomplete items. (including items such as O & M manuals, testing and balancing report, spare parts, TSB final reporting form, return of keys, etc.)
 - e. Design Professional signs certificate and sends to Contractor (3 original copies) for signature and 1 copy to OCR.
 - f. Contractor signs certificate and sends all three copies to OCR.
 - g. Owner signs certificate (Associate Director, Construction Administration) and sends signed copies to Contractor and Design Professional (by OCR or clerical) and publishes on Centric Project.
 - h. Certificate filed in substantial completion file. (by OCR or clerical)
 - i. OCR notifies users and Physical Plant that UNI has accepted the project as substantially complete and that Physical Plant should be the first contact for all maintenance issues.
 - j. OCR to complete rating forms for Contractor and Design Professional and send to Associate Director.
11. Project Close-Out/List of Incomplete Items/Final Observation
- a. Consultant returns marked up O & M manuals to OCR.
 - b. If needed, OCR returns O & M manuals to Contractor for corrections.
 - c. Contractor proceeds to complete list of incomplete items.

- d. Contractor submits final copies of Operation and Maintenance Manuals with warranty manual and commissioning manual to OCR.
- e. Contractor submits TSB Final Payment Reporting Form and keys to OCR. (FP, secretarial staff)
- f. Contractor submits spare parts, keys and maintenance materials to OCR. Contractor shall prepare transmittals for all materials for signature by OCR.
- g. Contractor notifies OCR/Design Professional of completion of substantial completion list of incomplete items and requests final observation. The Contractor includes a copy of the list with every item checked off and initialed by subcontractor and general contractor.
- h. Intermediate Application for Payment for reduced retainage can be requested by the Contractor by following procedure outlined in specifications. (01 70 00 1.11)
- i. If the list is not completed in the specified time the Owner may take over the work.
- j. Contractor submits final Application for Payment.
- k. OCR shall notify FP Associate Director regarding project close-out/acceptance for Board of Regents acceptance procedures.
- l. Design Professional and OCR conduct final observation. Design Professional issues a letter of acceptance with exceptions listed in a revised list of incomplete items.
- m. Design Professional notifies Contractor of any items not completed. (Note: The Contractor must complete all items prior to acceptance.) Repeat as needed until all items are complete. Contractor is responsible for cost of additional observations.

12. Project Close-Out/Acceptance/Final Payment

- a. UNI processes final Application for Payment. 5% of contract amount is withheld for 30 days. The Contractor may request a reduction in retainage as outlined in the Contract Documents. Design Professional prepares letter recommending acceptance of project and sends to OCR.
- b. Authorization form for acceptance of completed construction contract is prepared by clerical and sent to OCR for completion. (Contracts > \$1,000,000 require 10 day pre-acceptance notice to Board Office.) (by V.P. office) (See Appendix)
- c. Acceptance date is established by Associate Director, Construction Administration signature. Letter of acceptance is sent to Contractor by

Associate Director, Construction Administration.

- d. 30-day period to hold balance of retainage amount begins at acceptance date. If claims exist after 30 days, continue to hold the retainage balance or two times amount of claims (lessor of two amounts) until claims are settled.
- e. Contractor submits pay application for the retainage amount during the 30 day period.
- f. Final payment made to Contractor.

13. Project Close-Out/Record Documents/O & M Manuals/Files

- a. Design Professional submits record document data per Design Professional contract. (See Appendix)
- b. Forward record documents to FP Drafter for verifying electronic documents with transmittal. (See Appendix)
- c. Review record documents and notify Design Professional of any discrepancies.
- d. Record documents to plan files/archives. (by OCR & clerical)
- e. Send 2 copies of O & M Manuals and 1 copy of Record Documents to Physical Plant. (by OCR & clerical)
- f. Consolidate all files and file in archives. (Clerical)
- g. Design Professional submits final pay request (so marked) and recommends that project be closed.
- h. OCR to complete Project Closeout Checklist and forward to Associate Director.

III. CONSTRUCTION PHASE – TYPE 2 PROJECT

Owner's Construction Representative involved in all steps. Design Professional involved with (B.1) Shop Drawings, (B.2) Samples, (B.11.a) As-Builts, (B.9.g) O & M Manuals.

IV. CONSTRUCTION PHASE – TYPE 3 PROJECT

OCR involved in all steps.