



UNIVERSITY OF NORTHERN IOWA
FACILITIES PLANNING

OWNER'S CONSTRUCTION REPRESENTATIVE PROCEDURE GUIDE
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.

UNIVERSITY OF NOTHERN IOWA
FACILITIES PLANNING

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CONSTRUCTION PHASE

TABLE OF CONTENTS

- I. TYPE OF PROJECT
- II. CONSTRUCTION PHASE – TYPE 1 PROJECT
 - A. Project files and Pre-Construction Procedures
 - 1. Set up project files.
 - 2. Notice of Award.
 - 3. Sub-contractor List
 - 4. Contract, Bond, and Insurance Certificates
 - 5. Construction schedule, submittal schedule, on-site personnel list
 - 6. Pre-construction meeting
 - 7. Construction Progress Meeting
 - 8. Site Inspection/pre-construction damage survey
 - 9. Specifications
 - 10. Shop Drawings and Product Data
 - 11. Proposal Request/Construction Change Directive
 - 12. Supplemental Instructions
 - 13. Change Order
 - 14. Application for Payment
 - 15. Bid/Award Contract Data
 - 16. Budget Status Data
 - 17. General Correspondence/Data Files
 - 18. Construction Logs
 - 19. Stick File of Contract Drawings and Specifications
 - B. Procedures/Routing
 - 1. Shop Drawings and Product Data
 - 2. Samples
 - 3. Contract Document Revision
 - 4. Proposal Request
 - 5. Construction Change Directive
 - 6. Supplemental Instructions
 - 7. Change Orders
 - 8. Application for Payment
 - 9. Coordination Meetings
 - 10. Project Close-Out/Substantial Completion
 - 11. Project Close-Out/List of Incomplete Items/Final Observation
 - 12. Project Close-Out/Acceptance/Final Payment
 - 13. Project Close-Out/Record Documents/O & M Manuals/Files
- III. CONSTRUCTION PHASE – TYPE 2 PROJECT
- IV. CONSTRUCTION PHASE – TYPE 3 PROJECT

APPENDIX

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

Pre-Construction Meeting Agenda

Proposal Request

Construction Change Directive

Supplemental Instruction

Change Order

List of Incomplete Items

Certificate of Substantial Completion

Application for Payment

Progress Meeting Agenda

Prebid Conference Agenda

Electronic Files Procedure

Contract Document Revision

Consent of Surety to Reduction in Retainage

Consent of Surety to Release Retainage

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

Submittal Transmittal

PR/CCD Transmittal

Change Order Transmittal

Authorization for Acceptance of Completed Project (Final Acceptance)

Record Document Transmittal

PROJECT MANAGEMENT PROCEDURE GUIDE
CONSTRUCTION PHASE

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

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.
3. Receive sub-contractor list from Contractor within 48 hours of notice of award/purchase order. (OCR)
4. Receive 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 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 by OCR. 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. Contractor to document unusual conditions and any damage to facility prior to Contractor occupying the site.
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. Circulate submittal list from specifications to Physical Plant and Facilities Planning users to determine who is interested in what submittals. This will determine number of copies required.
 - b. Set up file folder for each material specification section. Keep all marked submittals with comments in this file until file consolidation at project completion; then retain only final approved sets.
 - c. Receive submittal schedule from Contractor (copy to Design Professional).
 - d. Start master shop drawing tracking log on standard form.
 - 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.
 - f. Electronic submittals may be used if agreed to by the Owner and Design Professional.
11. Proposal Request (PR)/Construction Change Directive (CCD)
- a. Design Professional to complete CDR form for each contract change.
 - b. Start master log on standard form.
 - c. Use standard PR/CCD form (contract information). (See Appendix)
 - d. Start file.
12. Supplemental Instructions (SI)
- a. Start master log on standard form.
 - b. Use standard SI form. (See Appendix)
 - c. Start file.
13. Change Order (CO) See Appendix
- a. Start master log on standard form.
 - b. Start file.
14. Application for Payment
- a. Application for Payment standard form is available on our website at www.vpaf.uni.edu/fs. Form completed by UNI on unit price contracts. (by clerical) (See Appendix)

- b. Receive schedule of values. Not required for unit price contracts. (by Design Professional, OCR)

15. Bid/Award Contract Data

- a. Start file. Note: 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. Start special files as needed by subject – will vary for each project by date order. (i.e. windows/testing; bricks; telephone; roof; well; progress meeting minutes; schedules; etc.) (file by descending date order)

18. Construction Logs

- a. Start file for Design Professional observation information.
- b. Start file for Contractor's daily logs.

19. Stick File of Contract Drawings and Specifications

- a. Hang contract drawings and specifications (bidding phase set).
- 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.
- 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 for review and acceptance.
- b. Contractor submittals are numbered with applicable specification section and identifying subnumber. Submit to Design Professional (5 copies) and OCR (4 copies). Note: The number of copies may vary for each project. Electronic submittals may be substituted for hard copies if agreed to by the OCR and the Design Professional.
- c. Shop drawing entered on master log and section tracking log. (by OCR or clerical)
- d. Shop drawing sent to affected persons for review/comments using standard transmittal (See Appendix) or email transmittal for electronic submittals. Assign action date. (Typically 5 work days) (by OCR or clerical)

Project Design Manager
 Owner's Construction Representative
 Technical/Engineers as appropriate
 Physical Plant Personnel
 User

- e. OCR receives and edits comments, resolves any conflicts and forwards information to Design Professional.
- f. Design Professional notes comments submitted by FP and responds to Contractor according to the accepted submittal schedule:
 - 1. Reviewed
 - 2. Reviewed with comment
 - 3. Return for correction
 - 4. Rejected

Design Professional sends to Contractor (1 copy, total may vary) and FP (2 copies). Date recorded on master and section logs. (by OCR or clerical)
 Design Professional retains 2 copies also.

- g. Resubmitted shop drawings handled by similar procedure as original submittals. A R1 for first resubmittal and increase the number for each consecutive submittal.
- h. File one copy of shop drawings at all above steps along with transmittals and comments. (All submittals are retained until final consolidation at project completion; then retain only one final approved sets.)

2. Samples

- a. Contractor submits samples, a minimum of one each, to the Design Professional and OCR.

- b. Sample entered on shop drawing master log and section log. (by OCR or clerical)
- c. Sample sent to affected persons for review/comments using standard transmittal (See Appendix). Assign action date. (Typically 5 work days) (by OCR or clerical)

Project Design representative (actual sample)
 Owner's Construction Representative
 Technical/Engineers – transmittal only
 Physical Plant Personnel – transmittal only

- 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

f. Samples retained by OCR.

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. This may be issued to the OCR simultaneously with the Proposal Request or CCD.

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 or by OCR only with CDR.
- b. Design Professional or OCR prepares PR on standard form (See Appendix) and sends to Contractor for pricing with copy to OCR or Design Professional.
- c. PR sent to affected persons for comments if necessary.

Example:
 Associate Vice President for Facilities
 Project Design Representative

Owner's Construction Representative
Technical/Engineers

- d. Contractor sends PR with prices and signature with itemized cost information to Design Professional and a copy to OCR.
- e. PR with prices and Contractor signature sent 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 sends one signed copy to OCR.

- 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 sent to Contractor (1 copy) and Design Professional (1 copy). One signed copy retained by OCR for PR file. (by OCR or clerical)
 - i. PRs incorporated into Change Order by OCR, monthly.
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 or OCR only with CDR.
- b. Design Professional or OCR prepares the CCD on the standard form (See Appendix), signs and sends to the Contractor 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 sends 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. Executed CCD is sent to Contractor. One copy retained by OCR for the CCD file (by OCR or clerical) and one copy sent to 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 CCDs incorporated into Change Order.
6. Supplemental Instructions (SI)
- Definition: Written instruction or clarification from the Design Professional to supplement the contract documents. Does not change contract price or time.
- a. Design Professional prepares and signs SI on standard form when necessary and sends to FP. (See Appendix)
 - b. Design Professional sends SI to Contractor for signature and returns.
 - c. Contractor sends signed SI to OCR and Design Professional. (file)

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).
8. Application for Payment
- a. Contractor, Design Professional and OCR meet to discuss what should be included on the application.
 - 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. (FP – clerical)
9. Coordination Meetings
- a. The OCR shall 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 M)
- 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)
- h. Certificate filed in substantial completion file. (by OCR or clerical)
- i. Notify 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 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.
- 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.