



UNIVERSITY OF NORTHERN IOWA
FACILITIES PLANNING

OWNER'S CONSTRUCTION REPRESENTATIVE PROCEDURE GUIDE

CONSTRUCTION PHASE
TYPE II PROJECT

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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TYPE II PROJECT
CONSTRUCTION PHASE

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

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

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Change Order Transmittal

Authorization for Acceptance of Completed Project (Final Acceptance)

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NOTE: The OCR should sign all forms in the space designed for the A-E and list FP Construction as the A-E.

OWNER'S CONSTRUCTION REPRESENTATIVE PROCEDURE GUIDE

CONSTRUCTION PHASE

TYPE II PROJECT

I. TYPE OF PROJECT

1. Design by Design Professional (DP)
Construction by Contractor
Administration and Project Management by Design Professional/Facilities Planning
2. Design by Design Professional
Construction by Contractor
Administration and Project Management by Facilities Planning
3. Design by UNI
Construction by Contractor
Administration and Project Management by Facilities Planning

II. CONSTRUCTION PHASE – TYPE 2 PROJECT

A. Project files and Pre-Construction Procedures

1. Set up project files
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 receipt of the notice of award by the Contractor, the OCR will set up pre-construction meeting. Receive construction schedule and on-site personnel list with qualifications and after hours phone numbers from Contractor prior to pre-construction meeting.
6. Pre-construction meeting – schedule/procedures. Distribute contractor rating form. (meeting and minutes by OCR) (See Appendix)
7. Set up construction progress meetings – weekly, bi-monthly or monthly as determined by the OCR on project. Announce at pre-con meeting. Minutes by OCR. Run by Contractor. (See Appendix)
8. Conduct site inspection/pre-construction damage survey, document unusual conditions by the Contractor and OCR.
9. Shop Drawings and Product Data

- a. 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 one final approved set.
 - b. Receive submittal schedule and product list from Contractor.
 - c. Start master shop drawing tracking log on standard form.
 - d. 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.
10. Proposal Request (PR)/Construction Change Directive (CCD)
- a. Start master log on standard form.
 - b. Use standard PR/CCD form (contract information). (See Appendix)
 - c. Start file.
11. Supplemental Instructions (SI)
- a. Start master log on standard form.
 - b. Establish standard SI form (See Appendix).
 - c. Start file.
12. Change Order (CO) See Appendix
- a. Start master log on standard form.
 - b. Start file.
13. Application for Payment
- a. Application for Payment standard form is available on our website. Form completed by UNI on unit price contracts. (by clerical) (See Appendix)
 - b. Receive schedule of values. Not required for unit price contracts. (OCR)
14. Bid/Award Contract Data
- a. Start file. Note: All data shall be in one file. I.e. Owner/Design Professional agreement, form of bid, form of agreement, payment and performance bond, insurance certificates, notice of award, etc.
15. Budget Status Data

- a. Start file for project update tabulation.
 - b. Maintain job cost ledger (Contractor and Design Professional). Facilities Planning Dept. Secretary.
 - c. Maintain project cost system by Physical Plant.
 - d. Start file for monthly job printouts.
16. 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)
17. Construction Logs
- a. Start file for owner job log information.
18. Stick File of Contract Drawings and Specifications
- a. Hang contract drawings and specifications (bidding phase set).
 - b. Revise for changes by addendum.
 - c. Remove bidding phase set and hang construction set documents. Save bid set.
 - d. Revise for changes by change order, RFI and supplemental instructions.

B. Procedures/Routing

1. Shop Drawings and Product Data
- a. Contractor submits schedule of submittals.
 - b. Contractor submits consecutively numbered submittals with applicable specification section noted 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). 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

- 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 as follows:
 - 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 final approved sets.)

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 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 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 as follows:

1. Review
2. Reviewed and noted
3. Return for correction
4. Rejected

f. Samples retained by OCR.

3. 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 or deducted to the project that were not included in the original contract documents. See Appendix.

- a. Request initiated by OCR only.
- b. OCR prepares PR on standard form (See Appendix) and sends to Contractor for pricing.
- c. PR sent to affected persons for comments. (by OCR or clerical)

Example:

Facilities Planning Director
Project Design Representative
Owner's Construction Representative
Technical/Engineers

- d. Contractor sends PR with prices and signature with itemized cost information to OCR.
- e. PR with prices and Contractor signature sent to affected persons for comments as needed.
- f. OCR responds as follows:
 1. Recommends acceptance
 2. Does not recommend acceptance
 3. Other

And signs the PR.

- g. Send 2 signed copies 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). One signed copy retained by OCR for PR file. (by OCR or clerical)
- i. PRs incorporated into Change Order by OCR, monthly.

4. 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 OCR only.
 - b. OCR prepares the CCD on the standard form (See Appendix), signs and sends to the Contractor for pricing (not-to-exceed-amount). Receipt of CCD by Contractor authorizes the start of work.
 - c. Contractor sends CCD with not-to exceed-price and signature to OCR
 - 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)
 - 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 and receipts if requested.
 - g. The final amount of the CCDs incorporated into Change Order (by OCR).
5. 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 SI on standard form when necessary and sends to FP. (See Appendix)
 - b. Design Professional sends SI to Contractor for signature and return.
 - c. Design Professional sends signed SI to OCR (file).
 - d. Executed SI filed at all above steps along with transmittals and returned documents.
6. 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. 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. Once completed, the OCR sends TWO copies to the Contractor for signature. (three copies if CO requires BOR approval). Enter CO into Change Order log. (by clerical)
- c. The Contractor signs all copies and returns them 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. Facilities Planning Director signs the CO and forwards to the clerical staff.
- f. Clerical staff distributes the fully executed CO to Controller's office, Contractor and OCR. Original stays in file.

7. Application for Payment

- a. Contractor submits application for payment to OCR (5 signed copies). (See Appendix)
- b. OCR reviews pay application.
- c. Application for Payment sent to affected persons for comment/signature. (FP – clerical)

Example:

Owner's Construction Representative
 Facilities Planning Director
 University Client

- d. OCR shall notify Contractor and Design Professional in the event of non-payment or modification to the pay application.
- e. Two signed copies forwarded to Controller's Office for payment. (FP – clerical)
- f. Signed Application for Payment copy filed. (FP – clerical)

8. Project Close-Out/Substantial Completion

- a. Contractor notifies OCR in writing that the project, or a designated portion thereof is substantially complete. Contractor encloses a list of incompleting items. At this time the Contractor shall submit the "as-built" blue line drawings. OCR reviews for any outstanding items.
 - b. OCR conducts an observation and prepares a list of any items found not completed or not in compliance with contract documents using standard form (See Appendix). List of incomplete items to include all paperwork and procedural items.
 - c. OCR 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)
 - 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)
 - d. OCR signs certificate (on Design Professional side) and sends to Contractor (2 original copies) for signature.
 - e. Contractor signs certificate and returns both copies to OCR.
 - f. Owner signs certificate (Associate Director, Construction Administration) and sends signed copy to Contractor. (by OCR)
 - g. Certificate filed in substantial completion file. (by OCR or clerical)
 - h. 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 and the one year warranty period has begun.
9. Project Close-Out/List Of Incomplete Items/Final Observation
- a. Contractor proceeds to complete list of incomplete items.
 - b. Contractor submits 1 copy of Operation and Maintenance Manuals with warranties to OCR for review.
 - c. Contractor submits TSB Final Payment Reporting Form and keys to OCR. (FP, secretarial staff)
 - d. Contractor submits spare parts and maintenance materials to OCR. (Physical Plant)

- e. OCR returns Operation and Maintenance Manuals and warranties with comments to Contractor for revisions.
- f. Contractor submits final copies of Operation and Maintenance Manuals and warranties to OCR (3 copies).
- g. Contractor notifies OCR of completion of substantial completion list of incomplete items and requests final observation. The Contractor includes a copy of the list of incomplete items with every item checked off and initialed by subcontractor and general contractor.
- h. Contractor submits final pay application.
- i. OCR shall notify FP Associate Director regarding project close-out/acceptance for Board of Regents acceptance procedures.
- j. OCR conducts final observation.
- k. OCR notifies Contractor of any items not completed. (Note: The Contractor must complete all list of incomplete items prior to acceptance.) Repeat as needed until all items are complete.

10. 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.
- 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 Assoc. Director, Construction Administration. signature. Letter of acceptance is sent to Contractor by Assoc. Director, Construction Administration.
- d. 30-day period to hold 5% of contract amount begins at acceptance date. If claims exist after 30 days, continue to hold 5% 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. (5% retainage)

11. 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 Associate Director. (by OCR & clerical)
- f. Consolidate all files and file in archives.
- g. Design Professional submits final pay request (so marked) and recommends that project be closed.

III. CONSTRUCTION PHASE – TYPE 3 PROJECT

OCR involved in all steps.