



UNIVERSITY OF NORTHERN IOWA
FACILITIES PLANNING

CONSTRUCTION PHASE PROCEDURES

DESIGN PROFESSIONAL

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 Project Manager (CPM) for the project.

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Prebid Meeting Agenda

Preconstruction Meeting Agenda

Progress Meeting Agenda

Proposal Request

Interim Directed Change

Supplemental Instructions

Application for Payment

Punchlist

Certificate of Substantial Completion

Electronic Files Procedures

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1. Upon the receipt of the Notice of Award by the Constructor, 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 Construction Project Manager (CPM).
 - 1.1 All projects will be handled with an internet based Project Management System based on Sharepoint, called Panther Projects. All project documents and correspondence shall be published and republished on the Project Management System to maintain complete documentation. After the initial publication all future versions shall be republished with the exact name as the original document to maintain consistent filing.
2. **Pre-Construction Meeting**
 - 2.1 The CPM schedules a pre-construction meeting with the Constructor and the Design Professional at a location designated by the CPM.
 - 2.2 The CPM shall conduct the meeting (according to a standard outline). See www.vpaf.uni.edu/fp/admin/staff_resources.shtml. The outline shall be customized as needed for requirements of the project.
 - 2.3 The Design Professional, CPM and Constructor 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 Design Professional shall prepare minutes of the pre-con meeting and publish them on the Project Management System.

3. **Project Progress Meetings**

- 3.1 Project progress meetings shall be conducted by the Constructor in accordance with the outline in www.vpaf.uni.edu/fp/admin/staff_resources.shtml at intervals established in the pre-construction meeting.
- 3.2 The Design Professional shall prepare and publish minutes of the progress meetings on the Project Management System.

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 and shall be published on the Project Management System.
- 4.2 The Design Professional shall keep meeting minutes of each progress and special meeting and publish the minutes on the Project Management System for review by the CPM and Constructor.
- 4.3 The Design Professional shall provide specific construction observation if required by Owner/Design Professional agreement and publish all observation reports on the Project Management System.

5. **Shop Drawings/Product Data/Samples**

- 5.1 The Design Professional shall provide as directed in Division 1 of the specifications, a complete list of submittals to be provided as required by the individual specifications sections.
- 5.2 The Design Professional reviews shop drawings as posted on the Project Management System by the Constructor as required by the project specifications. Each submittal shall be numbered consecutive by the

Constructor and shall also be marked with the specification section and a sub number (i.e. 03 30 00-1). A resubmittal would be numbered 03 30 00-1R1.

All submittals shall be processed on the Project Management System.

5.3 The CPM 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. If no comments are received in one week, the Design Professional shall proceed to issue their comments.

5.4 The Design Professional shall review each submittal for conformance with the contract documents and take appropriate action as follows:

1. Approved – No exception taken
2. Approved As Noted.
3. Revise and Resubmit.
4. Rejected.
5. No action required.

Submittals shall be processed in accordance with the approved submittal schedule with a maximum review time of 14 calendar days unless agreed otherwise by CPM and Constructor. Comments shall be posted in the Project Management System for use by the project team.

5.5 Final decisions on finish materials and color selections shall be reviewed with and approved by Facilities Planning before instructions are given to Constructors for ordering of material. All decisions shall be recorded in the Project Management System. Submit color schedules or charts and samples in duplicate for Owner review.

6. **Proposal Request (PR)**

6.1 A proposal request is a document to be used to obtain cost information from the Constructor for work items proposed to be added or deducted to the

project that were not included in the original contract documents. See www.vpaf.uni.edu/fp/admin/staff_resources.shtml for the standard form used.

6.2 The Design Professional or CPM shall determine the need to initiate a PR based upon the following:

1. Circumstances of the project.
2. Requested by CPM/Owner.

A PR may also be issued by the CPM to cover Owner initiated changes. To maintain document consistency, PRs shall be published with a title as follows PR #. They shall be numbered consecutively with the Interim Directed Changes (IDC's).

6.3 The Design Professional shall prepare a PR as needed on the standard form within 2 weeks. The PR shall include a clear, detailed description of the additional work to be performed and work that was deleted plus any supporting drawings or specifications required. The Design Professional shall review the PR with the CPM and when both agree they will publish the PR on the Project Management System for the Constructor to obtain pricing. These copies are not signed by the Design Professional at this time.

6.4 The Constructor provides pricing information on the PR and signs the document, then republishes the PR on the Project Management System for review by the Design Professional and the CPM simultaneously.

6.5 The Design Professional sends comments to the CPM based upon the signed copy with cost and schedule information received from the Constructor.

6.6 The Design Professional reviews the proposal request received from the Constructor and the comments received from the CPM and responds as follows:

1. Recommend acceptance.
2. Does not recommend acceptance.
3. Other.

The Design Professional signs the PR received from the Constructor and republishes it on the Project Management System.

- 6.7 The Owner signs the PR and republishes it on the Project Management System. For PR's issued by the CPM all reviews and recommendations will be handled by the CPM but will still be published on the Project Management System.
- 6.8 The approved proposal request shall be incorporated into a change order by the CPM in a timely manner.

7. Interim Directed Change (IDC)

- 7.1 An Interim Directed Change is a document to be used to obtain cost information from the Constructor for an immediate change and/or modification to the contract documents. An IDC is generally a field directed change and should be issued within 2 days. See www.vpaf.uni.edu/fp/admin/staff_resources.shtml for standard form used.
- 7.2 The Design Professional or CPM shall determine the need to initiate an IDC based upon the circumstances of the project. IDC's shall be published with a title as follows IDC #. They shall be numbered consecutively with the PR's.
- 7.3 The Design Professional or CPM shall prepare an IDC as needed on the University's standard form. The IDC 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 IDC and publish it on the Project Management System for the Constructor to obtain pricing. The original version is signed by the originator of the IDC when it is issued to

authorize the start of work.

- 7.4 The Constructor republishes the IDC with a not to exceed (NTE) price and signature on the Project Management System.
- 7.5 IDC with prices and Constructor signature are republished on the Project Management System to the CPM for the Associate Director of Design & Construction's signature.
- 7.6 Executed IDC are republished on the Project Management System for review and use by the project team. The initial price can be accepted as final similar to a PR or held as a NTE price until the work is complete.
- 7.7 On completion of the work the Constructor submits detailed labor and material breakdown of actual job expenses. Including time sheets and receipts if requested. All information is to be republished in the Project Management System.
- 7.8 The final amount of the IDC when agreed on will be incorporated into a Change Order.

8. **Request for Information (RFI)**

- 8.1 An RFI is a form for the Constructor, requesting the Design Professional to clarify something or provide missing information required for construction. The Constructor shall publish the RFI on the Project Management System and the Design Professional shall republish the answer within 5 days of the request.

9. **Supplemental Instructions (SI)**

- 9.1 A supplemental instruction document is a written instruction or a clarification from the Design Professional to supplement the contract documents. See www.vpaf.uni.edu/fp/admin/staff_resources.shtml for standard form used.

9.2 The Design Professional prepares a supplemental instruction document when necessary due to circumstances of the project and publishes it on the Project Management System for review. This document does not change contract price or time.

9.3 After review by the CPM, the Design Professional signs and publishes the document to the Project Management System for the Constructor to sign. The Constructor signs and republishes the document on the Project Management System.

10. **Change Order (CO)**

10.1 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 interim directed changes.

10.2 Approved proposal requests and interim directed changes will be incorporated into a change order by the CPM. When possible, Change Orders will be prepared monthly to allow for proper billing. Change Orders exceeding \$50,000 for projects with a budget of \$1,000,000 or more must be approved by the Executive Director of the Board of Regents. Wording on the CO shall be consistent with the approved proposal requests and interim directed changes.

10.3 The CPM shall prepare the CO and send 2 copies to the Constructor for signature and return to the CPM. (3 copies if Board approval is required)

10.4 The Constructor signs the CO and sends all original signed copies to the CPM.

10.5 The CPM receives the signed copies of the CO and distributes them for signature and further processing.

10.6 Once the CO is signed by the Owner, an original is sent to the Constructor and the final Change Order is published on the Project Management System.

11. **Application for Payment**

11.1 The CPM shall provide the standard format for the application for payment to the Constructor. This form shall be used unless otherwise approved by the Owner. See www.vpaf.uni.edu/fp/admin/staff_resources.shtml for standard form.

11.2 Prior to the first application for payment, the Constructor shall prepare and publish a schedule of values allocated to various portions of the work. This shall be published on the Project Management System for review and approval by the CPM and Design Professional. The Design Professional shall review the schedule of values and advise the CPM of his recommendation. This schedule, when approved by the CPM, shall be used as a basis for the Constructor's applications for payment. A schedule of values will not be required on unit price contract projects.

11.3 Three days prior to the pay application review meeting, the Constructor shall publish a preliminary application on the Project Management System for review by the Owner and Design Professional. If payment for stored materials will be requested, the invoices must be submitted one week in advance of the pay application review meeting.

11.4 The Design Professional, Constructor, and CPM shall meet at the project site to review the project status and determine what can be submitted on the Application for Payment. This meeting and application process can only take place once a month.

11.5 The final Application for Payment shall include photocopies of priced invoices for all stored materials. Materials stored off site requires prior approval by the

CPM and insurance certificates. Off site storage must be dealt with prior to the application for payment meeting.

- 11.6 After all items have been agreed to at the meeting, three (3) copies of the Application for Payment approved by the Design Professional shall be sent to the CPM. The CPM shall complete the processing for release of payment to the Constructor. Facilities Planning will post the final signed Application for Payment to the Project Management System.

12. **Substantial Completion of Construction**

- 12.1 Before Substantial Completion can be awarded, the Constructor shall submit as-built information and O & M manuals for the CPM and Design Professional review.
- 12.2 The Constructor notifies the CPM and the Design Professional in writing that the project or a designated portion thereof is substantially complete. The Constructor shall provide a preliminary list of incomplete items with dates indicating when the work will be done. This list shall be published on the Project Management System as Constructors preliminary list of incomplete items.
- 12.3 The Design Professional shall schedule a site observation for substantial completion upon receipt of notice and listing of incomplete items from the Constructor. The Design Professional and CPM shall conduct the observation with the Constructor and the Design Professional shall prepare a punchlist of incomplete items (See www.vpaf.uni.edu/fp/admin/staff_resources.shtml for standard form used) of any additional items found not completed or not in compliance with the contract documents. The Constructor shall note dates when each item will be completed. This list shall be published in the Project Management

System under punchlists.

12.4 The Design Professional shall prepare a certificate of substantial completion using the University's standard form including the following items:

1. List project or designated portion.
2. Date of substantial completion.
3. Number of days to complete punchlist of incomplete items, (30 days or less).
4. List any responsibilities of the Constructor and Owner (i.e. complete list of incomplete items, insurance, utilities, etc).
5. Attach list of incomplete items with dates when they will be completed. (including any remaining procedural item such as O&M manuals, TSB forms, spare parts, etc.)

12.5 The Design Professional signs the certificate and publishes it on the Project Management System.

12.6 The Constructor signs the certificate and republishes it on the Project Management System.

12.7 The Owner signs the certificate and republishes it on the Project Management System.

13. Project Close-Out/Punchlist

13.1 The Constructor proceeds to complete the punchlist of incomplete items.

13.2 The Constructor submits TSB final payment reporting form and building keys to the CPM.

13.3 Prior to the Substantial Completion Inspection, the Design Professional returns operation and maintenance manuals and warranties with comments as needed to the Constructor for revisions.

13.4 The Constructor returns final operations and maintenance manuals,

commissioning manuals, and warranties to the CPM and publishes final copy on Project Management System. These items shall be completed before the building is occupied by the owner.

- 13.5 The Constructor notifies the CPM and the Design Professional in writing upon completion of the substantial completion punchlist of incomplete items, by publishing a copy of the punchlist of incomplete items with all items signed as being completed by the affected subcontractor and accepted by the Constructor, and requests final observation by CPM and Design Professional.
 - 13.6 The Constructor publishes the final application for payment for review.
 - 13.7 The Design Professional schedules the final observation and the CPM and Design Professional conduct the observation.
 - 13.8 The Design Professional notifies the Constructor in writing of any punchlist of incomplete items (Note: The Constructor must complete all of the incomplete items prior to final acceptance.) and establishes a new deadline.
 - 13.9 The Design Professional prepares a final acceptance letter for the project and publishes with a list of items that remain to be finished and verified by the Owner.
 - 13.10 The Constructor shall notify the CPM and the Design Professional promptly when remaining items are completed so that final acceptance of the contract may proceed.
 - 13.11 This process shall be repeated until all the punchlist of incomplete items are satisfactorily completed or until the Owner takes over the work.
14. **Project Close-Out/Record Documents/Operation and Maintenance Manuals.**
- 14.1 The Design Professional submits one hard copy and an electronic "as-built" record document drawing data to CPM.
 - 14.2 The CPM 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 one hard copy and one set of electronic documents are submitted.

14.3 The Design Professional submits other required record document data in accordance with the contract.

14.4 The Design Professional submits the final pay invoice to the CPM.

14.5 The CPM releases final payment to the Design Professional pending receipt of all "as-built" record documents.

15. Project Close-Out/Acceptance/Final Payment

15.1 The Design Professional shall review, sign and republish the final pay application to the Project Management System for further processing. All change orders are required to be approved prior to the final pay application.

15.2 The CPM 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 Constructor and copies to the Design Professional.

15.5 The Owner makes final payment to the Constructor at the end of the 30 day period. A new pay application is required for reduction and release of retainage.