

DESIGNER'S GUIDE

III. Construction Phase Procedures

(Revised: February 26, 2010)



**Yale University
Facilities Planning & Construction**

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III. CONSTRUCTION PHASE PROCEDURES

FIELD REPORTS

Per the Yale contract with Design Teams, Field Reports are required. The importance of these reports to Yale University Facilities Planning & Construction is that they allow the Yale Project Manager to leverage their time by relying on the outside professional to administer the Contract and monitor the work in process. The frequency of these reports should average every other week and the walk-through required to prepare these reports can usually be scheduled before or after a regularly scheduled job meeting. The report should indicate, in a general sense, the current status of the work in the field and indicate any areas of concern. These reports are of particular importance in the event of a construction deficiency or mishap, in that they allow others to reconstruct the sequence of events.

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REVIEW OF CONTRACTOR INVOICES

Contractors' invoices are first to be submitted to the Architect of Record for review. It is the expectation of Yale University that the Design Professionals will review this application for its accuracy and for its conformance to the signed Owner/Contractor Agreement. Thus, the Architect of Record is "administering the Contract" and needs to review the terms of the Agreement between Owner and Constructor, particularly the agreed-upon allowable mark-ups. Once approved and signed by the Architect, the Application for Payment is submitted to the Project Manager for processing. The Yale University Project Manager will only be doing a spot check of the invoice, in that we are relying on the outside Design Professional to have reviewed the Application.

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REVIEW OF CONSTRUCTION CHANGE DIRECTIVES/CHANGE ORDERS (change #5, 2/26/10)

The process by which changes to the work get officially "approved" is as follows:

The Prime Design Professional initiates the process by filling out a CCD and forwarding this to the Constructor. The Constructor obtains cost information from the appropriate sub-contractors and applies the appropriate administration cost and mark-ups and forwards this response to the Prime Design Professional. This Design Professional then is responsible for reviewing this response either directly or with the appropriate Subcontracting Design Professional. If upon review it is agreed that the costs are appropriate for the scope, the Design Professional directs the constructor to submit a completed Construction Change Directive to the YSM Project Manager for sign off. Exhibit A in the Appendices shows the Change Directive which should be used for this purpose. When the Construction Change Direction has been signed by all the appropriate parties, the Constructor is authorized to implement the scope change. However, the contract underlying this effort needs to be changed as well. The mechanism for changing this is through the Change Order process. Typically, multiple approved Construction Change Directives are included within on Change Order.

Yale University form YGMP-17 change order.doc (Exhibit B) is to be used to initiate the Change Order process. This form should reference the CCD numbers and dates of the signed CCDS. These are attached as backup to the Change Order. In the Change Order process the Change Order form is initiated by the Design Professional and is signed first by the Constructor and then the Design Professional and then by Yale University. Note that since the Change Order is a change to the underlying Contract and since the Contract is with Yale University, not with Yale University School of Medicine, the Change Order form needs to reflect this in the line for the Owner's signature. Unsigned Change Orders should be submitted by the Design Professional to the YSM Project Manager for internal processing. When the Change Order has been signed by all parties, the Purchase Order, which is the Yale University vehicle for disbursements, is then also changed to reflect the new total of the Contract, after which applications for payment reflecting these costs can be processed.

The Yale University address shown on Change Orders should be 2 Whitney Avenue, New Haven, CT 06510 NOT 100 Church Street South. The signatory is John H. Bollier, Associate Vice President for Facilities.

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CERTIFICATE OF SUBSTANTIAL COMPLETION

The date of Substantial Completion is an important day in the life of any project within the University. This date comes into play on many internal procedures relating to a Capital or Non-Capital project. As a result, each project needs a Certificate of Substantial Completion to document the date at which the project was ready for beneficial occupancy by Yale University, the Owner of the project. The prime Design Professional, usually the Architect, is responsible for preparing this Certificate of Substantial Completion and for attaching to it a Punchlist which represents those outstanding items which are contractually owed and have not been completed at the date of Substantial Completion. Three copies of the Certificate of Substantial Completion and the associated Punchlist are required. These are to be signed by the Architect, the Constructor, and lastly Yale University School of Medicine. (Note: The Director of Project Management at Yale University School of Medicine will be signing these documents as Yale University School of Medicine signatory.) When signed, a copy will be returned to both the Constructor and to the Design Professional for their files.

Since by definition on the date of Substantial Completion the Owner is responsible for the maintenance and upkeep of the completed project area, it is important that Operating and Maintenance Manuals (O&M Manuals) are turned over to the YSM Project Manager on or prior to the date of Substantial Completion. These manuals must have already been reviewed and approved by the Design Team. The turning over of the O & M manuals is extremely important from our point of view. Without the O&M Manuals, our ability as a facilities organization to respond to problems in the field is compromised and our reputation and performance with our customers is compromised.

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Construction Change Directive

Project:

CCD No: ____

Project No:

Construction Manager:

Date:

Project Contact:

Department: Facilities Planning & Construction

The Construction Manager is hereby directed to perform the following as a change to the Professional Services Agreement between Owner and Construction Manager for the Project listed above. Contractor shall proceed with such services expeditiously. All Work shall be performed in accordance with the Drawings, Specifications, Project Conditions, the terms and conditions of the Contract Documents, and the latest accepted Schedule, as are modified hereby. By signing below, the Construction Manager and Architect confirm that they have reviewed the costs presented herein and attest to their appropriateness for the work scope described.

(description of directive(s))

PROPOSED ADJUSTMENTS

1 The proposed basis of adjustment to the contract Sum or Guaranteed Maximum Price is:

- Lump Sum (increase) (decrease) of \$
- Unit Price of \$ _____ per
- As provided in Article 6.3 of the Agreement.
- As follows:

The Contract Time is proposed to (be adjusted by (an increase) (a decrease) of days.) (remain unchanged).

Agreed to by:
(Construction Manager)

Recommended by:
(Architect)

Agreed to by:
Yale University

(Name)

(Name)

(Name)

Date: _____

Date: _____

Date: _____

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[CCD Word Document](#)

Change Order

Project:
Project No:
Purchase Order No:

Change Order No: ____

Construction Manager:

Date:
Yale Project Contact:

The Professional Services Agreement between Owner and Construction Manager for the Project listed above is hereby revised in the following manner:

(description of change(s))

All Work shall be performed in accordance with the Drawings, Specifications, Project Conditions, terms and conditions of the Contract Documents, and the latest accepted Schedule, as they are modified hereby.

This Change Order constitutes a final settlement of all matters relating to the change(s) described above, including, but not limited to, all direct costs associated with such change(s), as well as all indirect costs such as claims for delays, disruptions, acceleration, impacts, lost overhead, and/or lost profits resulting from, caused by, or incident to the Work on which this Change Order is based.

ORIGINAL GUARANTEED MAXIMUM PRICE:	\$XX,XXX,XXX.XX
NET CHANGES BY PREVIOUSLY AUTHORIZED CHANGE ORDERS:	<u>\$X,XXX,XXX.XX</u>
GMP PRIOR TO THIS CHANGE ORDER:	\$XX,XXX,XXX.XX
GMP TO BE [INCREASED][DECREASED] BY THIS CHANGE ORDER:	<u>\$XXX,XXX.XX</u>
REVISED GMP, INCLUDING THIS CHANGE ORDER:	\$XX,XXX,XXX.XX

The Contract Time shall be [unchanged] [reduced by ____ Days] [extended by ____ Days] as a result of this Change Order. [The Work of this Change Order shall be completed by ____.]

Agreed to by:
(Construction Manager)

Recommended by:
(Architect)

Agreed to by:
Yale University

(Name)

(Name)

(Name)

Date: _____

Date: _____

Date: _____