Project Management Manual

April 2012

KU
THE UNIVERSITY OF
KANSAS

Office of Design & Construction Management

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The Office of Design and Construction Management
The University of Kansas
Carruth O'Leary Hall, 114
1246 West Campus Road
Lawrence, KS 66045-7505

Phone: 785.864.3431

http://www.dcm.ku.edu

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Project Management Manual

April 2012

Office of Design & Construction Management

The University of Kansas

Lawrence, Kansas

Bernadette Gray-Little
Chancellor

Jeffrey S. Vitter
Provost

Diane Goddard
Vice Provost for Administration & Finance

Barry Swanson
Associate Vice Provost for Operations

James E. Modig
Director, Office of Design & Construction Management
University Architect

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EXECUTIVE SUMMARY

The Office of Design and Construction Management (DCM) has been assigned by The University of Kansas administration and the Kansas Secretary of Administration the responsibility for oversight of all design and construction projects under management authority of the Lawrence campus. All KU departments and affiliates are required to submit project requests for DCM to provide feasibility studies, design services or consultant oversight, code compliance, construction management and required approvals for campus development projects.

The DCM Project Management Manual illustrates our commitment to providing excellence in project delivery to our University clients. The manual has been developed in collaboration with over 50 entities within the KU community and will serve as a communication tool to provide a better understanding of the project delivery process and the services that the Office of Design and Construction Management provides. The manual will also serve as a guide for DCM's Project Managers (PM) to deliver projects with systematic best practice policies and procedures.

Currently, there are over 140 possible variations to the project delivery process based upon the potential cost of the project, funding types, and design and construction procurement options. This document helps to organize and streamline these processes based upon the type of funding and the estimated construction cost of the project.

The manual describes a standardized process for each of the five phases of project delivery --- project initiation, funding, design, construction, and close out --- including required approvals and deliverables, a project management checklist, applicable forms and templates, and graphic representations of the processes.

Quality control procedures have been identified. The quality controls are risk management tools that will help DCM ensure adherence to project budgets, scopes of work, schedules, and procurement regulations. We endeavor at all times to be good stewards of the University's assets and resources.

It is DCM's intent to post updates periodically. Visit www.dcm.ku.edu for the latest version of the manual and associated forms.

Office of Design and Construction Management

James E. Modig, Director

Mission

The Office of Design & Construction Management strives to support and enhance the environment for teaching, research, and support facilities at the University of Kansas by delivering buildings and other campus infrastructure that are functional, aesthetically appropriate, cost-effective, sustainable, compatible with the University's mission and policies, and inspiring.

Core Values

The KU Office of Design & Construction Management strives to embody the following core values in every project and every interaction with our clients, partners, and all members of the University that we serve:

- **Health and Safety**: Public health, safety and welfare are of paramount importance in all that we do. Life safety is the most critical component of any project we manage involving occupancy. We look for opportunities to optimize life safety features, accessibility, and healthful, sustainable environments in our projects.

- **Integrity**: Our work must comply with building codes and other applicable requirements. Our conduct is consistent with the rules and code of ethics of our professions. Our words and actions engender trust because we deliver on commitments.

- **Quality**: The projects we deliver meet or exceed customer needs and expectations. Buildings, building systems and infrastructure function properly and are aesthetically appropriate. The University is better positioned to attract students, researchers and professors due to the excellent spaces and environments we create.

- **Customer Service**: We routinely deliver projects on time and within budget; when this is not possible, we make every effort to minimize schedule and cost overruns. We treat our clients, partners and all members of the University with respect and a helpful attitude. We're open to suggestions for improvement and we continuously strive to improve our services.

The University of Kansas
Office of Design and Construction Management
1246 West Campus Rd, Room 114
Lawrence, KS 66045
Phone (785.864.3431)
Website: (http://www.dcm.ku.edu)

Process Summary for Design & Construction Management (DCM) Projects

START → COMPLETION

PROJECT INITIATION

FEASIBILITY STUDY SERVICES ASSESSMENT/PROGRAM DOCUMENTS

Projects exceeding $500,000 are submitted by the KU client group to CPSM for the CPC review process. CPAC and DCM may assist in preparing the required assessments. Once approved, the project is submitted to DCM.

For approved projects from the CPC process and/or new project requests for projects under $500k, the project is submitted to DCM from review of appropriateness and assignment of a DCM Project Manager to coordinate the preparation of a Planning/Programming Study (if over $500k) or a Feasibility Study (if under $500k).

Study Service Providers

TIMELINE (SHORTEST → LENGTHY)

DCM
Feasibility Study Includes Budget & Timeline
Limit: $750,000 Est. Construction Cost - Arch. Services
$500,000 Est. Construction Cost - MEP Services
$1,000,000 on Union and Athletic Funds

On-Call Consultants
DCM selects state approved firms - 3 yr contracts for programming, cost estimating, scheduling and design services.

Consultant Procurement
Fund type dictates method to acquire services
Max $5,000 if contracted directly with university funds
No limit if advertised with private funds

OFPM
Kansas Division of Facilities Management in Topeka, KS
(Typically not used)

APPROVALS

Approvals Required Prior to Feasibility Study

- KU DCM Director
- KU Requestor

Approvals Required Prior to Program Study

- KU Requestor
- CPSM
- CPC
- Funding Authority
- KU DCM Direcor
- Chief Business/Financial Planning Officer (for selected projects)

FUNDING APPROVAL OF PROJECT

The project requestor receives the Feasibilty Study or Program from the Project Manager and proceeds to determine source of funding for the project and aquires all university required approvals. The requestor submits the (PPMR) form to DCM with funding source identified and approved.

Funding Sources

Non-State Funds

Gift

Non-State	(Affiliated Corporation Funds - ACF)
Grant/Bond	KU Center for Research (KUCR)
Operating	Kansas Memorial Unions
Operating	Kansas Athletics (and Bonds)

Non-State (University Accounts)
Funds 87-796 (Approx. 130 Comptroller's Non-State funds)

Fund 99	**Tuition Enhancement Funds (TE) for Improvements to Classrooms**
Fund 180	**University Interest Funds (UI) for Deferred Maintenance**
Fund 700	**Restricted Fee Income (RF)**

Non-State (Federal Accounts)

Fund 711	Federal Family Education Funds (SGF)
Fund 712	Federal - Other Agencies
Fund 715	**Federal ARRA Projects**
Fund 716	Federal Fiscal Stabilization - ARRA
Fund 717	Federal Restricted FEES Projects
Grant/Bond	KU Center for Research (KUCR)

State Funds

Fund 003	**Operating State General Funds (SGF)**
Fund 30-37	Various State Fund Accounts
Fund 185	**State Tax Funds - Infrastructure Maint. (IMP)**
Fund 190	**Renovation and Repair Projects, etc. (EBF)**

Approvals Required Prior to Start of Design Services

< $500,000 Projects (State and Non-State)
- KU Requestor
- Funding Source Identified
- KU Capitol Planning Advisory Committee
- KU Chief Business/Financial Planning Officer
- Kansas Board of Regents staff approval
  (under $500k for RR)
  (under $750k for Cap. Impr.)

> $500,000 Projects (State and Non-State)
- KU Requestor
- Funding source identified
- KU Program Committee
- KU Provost
- KU Chief Business/Financial Planning Officer
- KU Chancellor/CPC Process·
- Kansas Board of Regents full review and approval ($750k)
- State Governor and Legislature (only state funds) and State Joint Committee on State Building Construction

DCM DETERMINES PROCESS FOR SERVICES

DCM reviews the funding sources and then determines (based on federal, state, university, and funding regulations) which process the project will follow for design and construction services.
The funding dictates how the design services will be procured (assigned or advertised) and what state and university approvals are required prior to procuring the services.

Process Options

Non-State Funds
(includes funds other than taxpayer generated funding)

Process: The State Educational Institution Project Delivery Construction Procurement Act process (KSA 76-7,125 et seq.) through the Office of DCM and KU Purchasing.

State Funds

Process: State mandated process through the Office of Facilities and Property Management (OFPM) in the Kansas Dept. of Administration. *Note: if any state funds are involved within the project, the OFPM process applies.

DESIGN

DESIGN SERVICES

Based on funding source and type of project, the most expedited method of procuring design services is initiated.

Design Service Options

DCM ASSIGNS

KU Design & Construction Management (State/Non-State Funds)
Production Services Division
Limit: $750,000 Est. Construction Cost - Arch Services
$500,000 Est. Construction Cost - MEP Services

On - Call Consultant (State/Non-State Funds)
Design Firms Under 3 yr Contract with State
Limit: $750,000 Est. Construction Cost - Arch Services
$500,000 Est. Construction Cost - MEP Services

KU PURCHASING ADVERTISES

Consultant (Non-State Funds)
Advertised through DCM/KU Purchasing
Design Firms Submit Qualifications Statements
If Short Listed - Interviewed and Selected by Committee
No dollar limit on services

Consultant (Non-State Funds)
Advertised through OFPM/State Purchasing
Design Firms Submit Qualifications Statements
If Short Listed - Interviewed and Selected by Committee
No dollar limit on services

STATE PURCHASING ADVERTISES

Design Build (State/Non-State Funds) (CM @ Risk)
Design/Construction Management Firms Submit Qualifications Statement to Applicable Procurement Committee (committee dependent upon state or non-state funds)
Short Listed - Submit Proposal - Interviewed and Selected by Applicable Negotiating Committee (committee dependent upon state or non-state funds)
No dollar limit on services

Approvals Required During Design Phase

< $500,000 Projects (State and Non-State)
- KU Requestor
- KU Purchasing (Only Non-State)
- KU Chief Business/Financial Planning Officer
- KU Chancellor
- State Fire Marshall
- State Division of Facilities Management
- State Secretary of Administration

> $500,000 Projects (State and Non-State)
- KU Requestor
- KU Purchasing (Only Non-State)
- KU Building Committee
- KU DCM Director
- KU Capital Planning Advisory Committee
- KU Vice Provost of Admin./Finance
- KU Provost
- KU Chief Business/Financial Planning Officer
- KU Chancellor
- KBOR Negotiating Committee (Only Non-State)
- State Negotiating Committee
- State Division of Facilities Management
- Kansas Board of Regents Full Review and Approval

CONSTRUCTION

CONSTRUCTION SERVICES

Based on funding source and type of project, the most expedited method of procuring construction services is initiated.

Construction Options

DCM ASSIGNS

KU Facilities Services (State/Non-State Funds)
Projects - Remodels, Dollar Limit = Under $750,000 (Typ)

Job Order Contracting (State/Non-State Funds)
Projects - Remodels, No Dollar Limit

On - Call (State/Non-State Funds)
Projects - Remodels, Dollar Limit = Under $250,000

KU PURCHASING ADVERTISES

Alternate Bid - Affiliated Corps. (Non-State Funds)
$1,000,000 Limit on Union/Athletics, No Limit on KUCR

Alternate Project Delivery (Non-State Funds)
Projects - Any, No Dollar Limit (CM @ Risk)

Negotiated Procurement (State/Non-State Funds)
Projects - Typ. Building System, No Dollar Limit

Competitive Bid (Non-State Funds)
Projects - Any, No Dollar Limit

STATE PURCHASING ADVERTISES

Alternative Project Delivery - OFPM
Projects - Any, No Dollar Limit (CM @ Risk) (State Funds)

Competitive Bid - OFPM (State Funds)
Projects - Any, No Dollar Limit

Design Build (State Funds) (Future SB9 - Non-State Funds)
Projects - Any, No Dollar Limit

Approvals Required During Bidding and Construction Phase

< $500,000 Projects (State and Non-State)
- KU Requestor
- KU Purchasing (Only Non-State)
- KU Chief Business/Financial Planning Officer
- KU Chancellor
- State Division of Facilities Management
- State Secretary of Administration

> $500,000 Projects (State and Non-State)
- KU Requestor
- KU Purchasing (Only Non-State)
- KU Building Committee
- KU DCM Director
- KU Capital Planning and Development Committee
- KU Vice Provost of Admin./Finance
- KU Provost
- KU Chief Business/Financial Planning Officer
- KU Chancellor
- KBOR Negotiating Committee (Only Non-State)
- State Negotiating Committee (Only State)
- State Division of Facilities Management
- Kansas Board of Regents Full Review and Approval

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About DCM

The Office of Design & Construction Management is organized under the Vice Provost for Administration and Finance. The Director of DCM serves as the University Architect. DCM is comprised of about 25 employees consisting of architects, landscape architects, engineers, technicians and support staff. DCM provides design and construction services for over 200 University buildings (9.5 million gross square feet of space) and over 1,000 acres of University property on the Main and West Campuses in Lawrence, the Edwards Campus in Overland Park, the Kansas Law Enforcement Training Center in Hutchinson and other off-campus locations.

DCM provides several primary services that contribute to the University's mission of excellence in higher education:

- Provides professional project management services to the University for all facility renovations, alterations and new construction, including project planning, budgeting, scheduling, programming, design, estimating, bidding, procurement, construction, inspections, furnishing, facility occupancy and records management.

- Establishes and manages design standards for compliance with applicable codes, regulations, environmental requirements, and other standards for construction.

- Participates in campus planning, programming and project development through collaboration with the Office of Space Management and Planning, the Campus Master Plan, the Campus Landscape Master Plan, the Way Finding Plan, Capital Projects Advisory Committee, Campus Historic Preservation Board, and other committees.

- Conducts fire code reviews and inspections under commissioned authority of the State Fire Marshal through the University Fire Marshal Authority, which includes issuing citations and resolving code or life safety issues as necessary.

The entire staff works as a team to effectively complete the mission of DCM and the professional services the office provides. A more detailed explanation of these services is provided below:

- **Large Capital Project Management Services (project construction over $500,000 for engineering and $750,000 for architectural):**
  Project Managers (PM) provide oversight and management of the consultant design services and contracted construction services for:
  - Development of the program, scope of work and budget.
  - Preparation of consultant contracts and processing of project invoices.
  - The process and deliverables of the Architectural/Engineering (A/E) consultants throughout design, construction documents, bidding and construction.
  - Adherence to the project schedule and budget.
  - Completion of project close-out and internal records management through the final commissioning of the new or renovated facility.

- **Small Capital Project Management Services (project construction under $500,000 for engineering and $750,000 for architectural):**
  Project Managers provide in-house services for:
  - Preparation of feasibility studies including scopes of work, cost estimates and preliminary schedules.
  - Production of design and construction documents or the management of consultant design and CDs, as applicable.
  - Oversight of the bid process, contracts for general contractors and construction administration.
  - Adherence to the project schedule and budget.
  - Issuance of close-out documentation and management of internal records.

- **University Fire Marshal (UFM) Services:**
  The University Fire Marshal acts on behalf of the Kansas State Fire Marshal to conduct annual fire inspections and complaint resolution. The UFM provides:
  - Code consultations and construction plan/ Code Footprint reviews.
  - Building permit administration and guidance/standards on fire and life safety systems such as:
    - Fire sprinklers and alarms
    - Emergency and temporary exiting
    - Training and inspection services

- **Campus Standards:**
  DCM is responsible for maintaining the KU Design Standards that project teams are required to incorporate into the project's design, construction documents, and construction. These standards provide consistent practices and stewardship of KU's assets, resources and the campus environment.

- **Capital Planning:**
  DCM management and staff provide support to KU administrators and the Office of Capital Planning and Space Management for the alignment of capital plans with strategic planning for the academic and research goals and available resources of the University. DCM follows a systematic process developed to evaluate and approve projects while promoting best practices and collaboration.

- **Campus Planning:**
  DCM's management provides support to the University administration and the Office of Capital Planning and Space Management to ensure effective land and building utilizations through ongoing planning efforts and a comprehensive program of professional facility planning and capital development.

- **Executive Presentations and Reports to Regulatory Agencies:**
  DCM provides support to the campus administration for presentations to state and local agencies, the Board of Regents, and the Kansas Legislature.

- **Maintenance of Archives:**
  DCM maintains the University's historical repository for building and project files.

The University of Kansas
Office of Design & Construction Management
1 February 2012

The Design and Construction Management Project Team

This section briefly defines the role of each member of the DCM Project Team, to clarify those roles for all persons involved in capital projects at the University of Kansas.

- **Director:**
  The DCM Director serves as the University Architect and is responsible for providing overall guidance and direction on all efforts of the DCM staff. The Director is DCM's official contracting and signature authority, responsible for reviewing, approving or delegating contract-related items. The position serves as the principal DCM liaison with KU administrators and department heads in the areas of planning, programming, capital project initiatives and regulatory support.

- **Deputy Director:**
  The Deputy Director works closely with the Director on day-to-day operations of the office performing high-level senior office management, policy and procedure administration, workload management, and oversight of all project management staff.

- **Associate Director – Design and Production Services:**
  The Associate Director is responsible for providing guidance and direction to the professional architectural, engineering and landscape architectural staff on all phases of DCM's feasibility studies, planning, programming, and in-house production services. The Associate Director will advise Project Managers and team members on questions of procedure and protocol.

- **Assistant Director – Design and Production Services:**
  The Assistant Director is responsible for providing oversight of the DCM Project Team on small capital projects involving in-house design. The Assistant Director will advise Project Managers and team members on questions of procedure and protocol.

- **Assistant Director - Consultant Services:**
  The Assistant Director is responsible for providing guidance and direction to the professional architectural, engineering and landscape architectural Project Managers on all phases of DCM's planning and programming for large capital projects involving outside consultants. The Assistant Director will advise Project Managers and team members on questions of procedure and protocol.

- **DCM Project Manager (PM):**
  The Project Manager is the DCM staff person assigned to serve as the University's project representative throughout all phases of the project. The DCM PM serves as the primary point of contact for the project and will usually fill one or more of the support roles in addition to the PM role. The PM is responsible for managing all aspects of the project per the process identified by DCM to include:
  - Assisting in the preparation of project programming, planning, and the consultant selection process.
  - Ensuring that the project is completed within the agreed upon scope, schedule, and budget.

- Ensuring that the project follows the correct process and that all team members are addressing their responsibilities in a thorough and timely manner.
- Facilitating communications between the University client, user groups, other University departments, outside state agencies or municipalities, consultants, and contractors.
- Coordinating the Project Team, which will include DCM professionals in the support areas listed below, with other members of the design and construction teams.
    - Engaging all appropriate team members in order to provide informed and timely decisions throughout each project phase.
    - Soliciting reviews and comments at the periodic submittal stages from the appropriate Project Team members to provide to the A/E.
    - Verifying the submittal of required documents to the University Fire Marshal (UFM), the Office of Facilities and Property Management (OFPM) and other regulatory agencies.
    - Ensuring the delivery of complete and accurate construction documents.
    - Managing the process for bidding or delivery to FO construction.
- Collaborating with the Assistant/ Associate Director and Deputy Director on issues that vary from the approved program, budget, or schedule, or that may call into question issues related to the campus context, variances from design and industry standards, or best practices.
- Maintaining accurate and complete project files and database information.
- Reviewing and approving pay applications and invoices for processing.
- Completing all close-out and warranty requirements.

DCM Support Team:

A team of professionals with expertise in the following areas will be assigned to each project, as appropriate. Each DCM support person will be responsible for advising and guiding the team's decision-making on issues within their area of expertise. They will also be responsible for advising the Project Manager on changes or issues encountered during the bidding, construction or post-construction phases related to their areas of expertise. A DCM project team could typically include the following personnel:

- **Planning Support**: The DCM Planning Support person is responsible for assisting the DCM Director in:
    - Providing support to the Office of Capital Planning and Space Management in the development of planning and programming documents.
    - Serving as a liaison for project planning and contact with the City of Lawrence or contacts within the University system.
    - Addressing the planning and implementation of special projects.

  The Planning Support person is also responsible for:
    - Assisting and advising the PM on planning issues related to the project.

- **Architectural Support**: The DCM Architectural Support person is responsible for advising and guiding the team's efforts on issues related to architectural and structural design, in coordination with and assisted by the DCM Project Manager. This role varies, depending upon whether projects are designed within DCM or through a consultant. The role of the Architectural Support includes:

- Assisting and advising the PM on architectural planning issues.
- Developing or reviewing and commenting on proposed programs, budgets and schedules.
- Preparing documents or providing reviews and comments at the periodic submittal stages to include issues related to design, code compliance, ADA compliance and best practices.
- Verifying that DCM professionals and/or consultants are following the appropriate campus and industry design standards in developing their architectural documents.
- Consulting with FO personnel on issues that may affect FO's ability to operate or maintain proposed systems or components.
- Responding to questions that arise during construction that may affect aesthetics or design issues.
- Forwarding questions related to proposed impacts on the campus's overall context, variances from the campus design standards and best practice industry standards for determination in collaboration with the DCM PM, AD and Deputy Director.

- **Engineering Support**: The DCM Engineering Support person is responsible for advising and guiding the team's efforts on issues related to engineering design, in coordination with and assisted by the DCM Project Manager. This role varies, depending upon whether projects are designed within DCM or through a consultant. The role of the Engineering Support includes:
  - Assisting and advising the PM on engineering planning issues, both for specific projects and within the context of the overall campus infrastructure needs and long-range plans.
  - Developing or reviewing and commenting on proposed programs, budgets and schedules.
  - Preparing documents or providing reviews and comments at the periodic submittal stages.
  - Verifying that DCM professionals and/or consultants are following the applicable campus design standards and best practice standards in developing their engineering documents.
  - Consulting with FO personnel on issues that may affect FO's ability to operate or maintain proposed systems or components.
  - Responding to questions that arise during construction that may affect engineering design issues.
  - Forwarding questions related to proposed impacts on the campus's overall context, variances from the campus design standards and best practice industry standards for determination in collaboration with the DCM PM, AD and Deputy Director.

- **Landscape Support**: The DCM Landscape Support person is responsible for advising and guiding the team's efforts on issues related to landscape and site design, in coordination with and assisted by the DCM Project Manager. This role varies, depending upon whether projects are designed within DCM or through a consultant. The role of the Landscape Support includes:

- Assisting and advising the PM on landscape or site planning issues.
- Developing or reviewing and commenting on proposed programs, budgets and schedules.
- Preparing documents or providing reviews and comments at the periodic submittal stages to include issues related to design, ADA compliance and sustainability.
- Verifying that DCM professionals and consultants are following the applicable campus and industry design standards in developing their landscape and site documents.
- Consulting with FO personnel on issues that may affect FO's ability to operate or maintain proposed systems or components.
- Responding to questions that arise during construction that may affect landscape or site development issues.
- Forwarding questions related to proposed impacts on the campus's overall context, variances from the campus design standards and best practice industry standards for determination in collaboration with the DCM PM, AD and Deputy Director.

- **University Fire Marshal (UFM)**: It is the goal of the University of Kansas Fire Marshal to provide and maintain safe conditions throughout the campus and to follow operating practices that safeguard all employees, students and visitors by:
  - Complying with the State of Kansas Fire and Life Safety Codes as adopted by the Kansas State Fire Marshal's Office (KSFM).
  - Advising and guiding the Project Team's efforts, in coordination with the DCM Project Manager, on issues related to code compliance.
  - Managing current State Fire Marshal citations for KU and related projects that are currently underway or planned to address those citations in coordination with the DCM PM.
  - Serving as the primary contact for University projects in all reviews of code or life safety issues which include the State Fire Marshal, OFPM or the City of Lawrence.
  - Requesting that projects affecting or near areas that have been cited by the State Fire Marshal may be required to include provisions to address those citations.

- **Construction Manager (CM)**: The DCM Construction Manager is responsible for:
  - Monitoring the day-to-day construction activities during the construction stage of a project, in coordination with the DCM Project Manager.
  - Consulting with the PM and other DCM support staff, as appropriate, on questions or concerns impacting the client or user group, code issues, design issues, aesthetics, the budget or the project schedule.
  - Coordinating with the DCM PM, the client, and other applicable project team members to determine the best course of action as issues arise.
  - Referring items that cannot be decided by consensus among the team to the appropriate sequential supervisory levels within DCM for resolution.
  - Maintaining appropriate project documentation during construction and completion.

- Reviewing submitted shop drawings, change orders and pay requests and providing recommendations to the DCM PM for processing.

- **DCM Accounting**:
  The accounting department provides support services within the office and to DCM project managers. DCM Accounting:
  - Coordinates with the budget office to set up project cost centers and to transfer funds.
  - Works with the Comptroller's office at year's end to monitor funded projects.
  - Processes payments for vendor, consultant, and construction invoices.
  - Provides budget reporting, analysis, and recommendations for DCM administrators.
  - Tracks and processes construction contracts, change orders, and addendums.
  - Coordinates with KU Purchasing and the Office of General Counsel on the processing of design and construction contracts.
  - Maintains bonds, insurance, and project financial archives.
  - Handles tax exemption certificates.
  - Provides processing for government grant invoices.
  - Prepares quarterly reports for KBOR approval (EBF, ARRA, and Deferred Maintenance).

DCM TEAM CONTACTS

EXECUTIVE MANAGEMENT

Director
Jim Modig, RA
785.864.3493
jmodig@ku.edu

Deputy Director
Paul Graves
785.864.3875
pgraves@ku.edu

Admin. Associate, Sr.
Sharon Anthony
785.864.3433
santhony@ku.edu

CONSULTANT SERVICES

Assistant Director
Steve Scannell, RA, CCS
785.864.5649
sscannell@ku.edu

Architectural Project Manager
Jessica Small, RA
785.864.5692
jsmall@ku.edu

Engineering Project Manager
Gary Lawson, PE
785.864.5648
dcmgwl@ku.edu

Architectural Project Manager
Laura Gagliano, RA
785.864.5675
lgagliano@ku.edu

Architectural Project Manager
John Eye
785.864.5637
johneye@ku.edu

Engineering Project Manager
Leigh Myers, PE, LEED AP
785.864.5651
lgmyers@ku.edu

Planning/ LA Project Manager
Peg Livingood, RLA
785.864.5627
peggyl@ku.edu

Planning Assistant
Alli Gerth
a925g164@ku.edu

QUALITY CONTROL

KU Fire Marshal
Bob Rombach, RA
785.864.2717
brombach@ku.edu

Compliance Coordinator
Monita Ireland, RA
785.864.3286
mireland@ku.edu

Admin. Associate, Sr.
Tanya Shaw
785.864.8089
tshaw@ku.edu

DESIGN AND PRODUCTION SERVICES

Associate Director
Mark Reiske, RA
785.864.5644
dcmmlr@ku.edu

Assistant Director
Phil Ellsworth, PE, LEED AP
785.864.5638
pellsworth@ku.edu

Landscape Architect
Marion Paulette
785.864.3306
marion@ku.edu

Architectural Project Manager
Cathy Clark, RA
785.864.5640
imajhwk1@ku.edu

MEP Engineer
Russell Benke, PE
785.864.5657
dcmrpb@ku.edu

Civil Engineer
Dennis Crupper, PE
785.864.8192
dcrupper@ku.edu

Construction Manager
Roger Harmon
785.864.5636
dcmrlh@ku.edu

Architectural Designer
Janet Getz, LEED GA
785.864.5933
jgetz@ku.edu

Engineering Technician
Dean Noll
785.864.8088
djnoll@ku.edu

Landscape Arch. Intern

ACCOUNTING

Accounting Manager
Eunice Clifton
785.864.5666
eclifton@ku.edu

Admin. Associate, Sr.
Debbie Riggs
785.864.5689
driggs@ku.edu

Fiscal Analyst
Lisa Miller
785.864.5573
llmiller@ku.edu

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The Project Team | A Collaborative Effort

The process to complete a construction or renovation project at the University requires the collaboration of a diverse group of people --- the "Project Team" --- representing various entities and units on campus and within state and local government. Project Team members provide expertise from their respective areas in support of the DCM Project Manager (PM). Together the Project Manager, Client, and Project Team members form a cohesive unit in support of the project's overall objectives, as well as the University's long-term strategic planning.

PROJECT TEAM: DCM LEADERSHIP

Design and Construction Management (DCM) and Facilities Services (FS) are service divisions of the Provost's Office.

- DCM contributes to the physical development and enhancement of the University by providing planning, design, and project management services for the University's construction projects that require licensed professionals.

- FO operates and maintains the campus physical plant and manages maintenance projects that involve the replacement or repair of components of existing facilities and small construction projects that do not require design services or code review.

A Project Manager is assigned to every DCM project. The role of the DCM PM is to take the lead and supervise projects from planning through project close-out, while consistently exemplifying to our clients KU's core values of excellence, integrity, accountability, and stewardship at all times.

Based upon the type of funding, every construction project must follow identified processes for approvals, reviews, proposals, bid documents, and implementation in the project management process. It is the responsibility of the DCM PM to facilitate this process. The following graph on page 3 represents the role that the PM holds as the leader of the Project Team.

PROJECT TEAM: THE CLIENT

There are a variety of client groups associated with KU that may initiate a project request and maintain involvement throughout the various phases for the project. The client's role is to communicate the client's requirements, decisions, needs, and budget constraints to the Project Manager and Project Team. The client is responsible for:

- Securing the funding for the project.
- Communicating to the PM any changes they identify related to the budget, schedule or scope during the course of the project.
- Being actively engaged in the decision making process and the review and approval of final designs and budget estimates.

Potential client groups at the University include:

- The Chancellor
- The Provost
- KU Endowment (KUEA)
- KU Center for Research (KUCR)
- Kansas Athletics, Inc. (KAI)
- KU Memorial Unions
- Deans/ Directors/ Chairs

Detailed descriptions of the roles of these clients are outlined later in this chapter.

PROJECT TEAM: KU ADMINISTRATIVE REVIEW AND APPROVALS

KU maintains an established process for the review and approval of all capital projects. The process is outlined in detail later in this manual and may include the following KU entities:

- The Chancellor
    - Chief Business and Financial Planning Officer (CFO)
- Capital Projects Council (CPC)
- Office of General Counsel
- The Provost (Executive Vice-Chancellor)
    - Vice Provost for Administration and Finance
    - Capital Planning and Advisory Committee (CPAC)
    - Office of Capital Planning and Space Management (CPSM)
    - Deans, Directors, or Chairpersons
    - Program Committee
    - Building Committee
    - Campus Historic Preservation Board (CHPB)
- KU Endowment (KUEA)
- Affiliated Corporations
    - Kansas Athletics, Inc. (KAI)
    - Kansas Memorial Unions
    - KU Center for Research (KUCR)

The DCM Project Manager is assigned to serve as the University's project representative throughout all phases of the project. The Project Manager serves as the primary point of contact with the Project Team, facilitating communications between the University's administration, the client, user groups, consultants, and contractors.

The Office of the Chancellor:

The Chancellor (Bernadette Gray-Little) is the chief executive officer of The University of Kansas, overseeing campuses in Lawrence, Kansas City, Overland Park, Salina and Wichita in addition to research and educational centers in Topeka, Hutchinson, Parsons and elsewhere in the state. The Chancellor:

- Provides a vision and direction for academic programs and the related development of the University's built environment.
- Holds final authority on all decisions made at the University level.
- Works with the state Legislature to secure required project approvals and public funding.
- Collaborates with KU Endowment to secure private funding.
- Provides review and approval during the capital project process.
    - Approves the initiation of all proposed capital improvement projects in concert with the Provost through the CPC process.
    - Reviews and approves the final program and funding source for large capital projects prior to submission to the Kansas Board of Regents.
    - Reviews and approves the design documents at DD and Final CD phases.

1. **Chief Business and Financial Planning Officer:** The Chief Business and Financial Planning Officer (Theresa Gordzica) reports to the Chancellor and serves in the following capacities:

    - Manages a variety of University-wide financial matters, including oversight of the finances of all entities reporting directly to the Chancellor.
    - Serves as the liaison with a number of affiliated corporations, the Kansas Board of Regents, and other state agencies.
    - Manages all aspects of bond financing for the University including the review and approval of all bond financing, oversight for compliance with bond covenants, and monitoring bond ratios and debt capacity of the University's campuses.
    - Monitors insurance for the University's buildings and their contents.
    - Prepares and submits the University agenda items to the Kansas Board of Regents and prepares Director's Approvals for routine items.
    - Reviews and approves the capital budget request for the Lawrence and Medical Center campuses.
    - Provides oversight and submission of the annual Repair and Renovation list for each campus.
    - Coordinates with KU Endowment staff on real estate, property, and lease related issues and coordinates campus real estate issues.
    - Works with KU Endowment staff on any financial matters related to accounts controlled by the Chancellor and bequests made to the University.
    - Maintains a role in the capital projects process:
        - Approves the final building program for each capital project.
        - Presents the project to the Board of Regents.
        - Provides approvals and serves as signatory for contracts.

2. **Capital Projects Council (CPC):** The Capital Projects Council is chaired by the Chancellor and comprised of key leaders representing the academic, research, financial, philanthropic, architectural, and operations units of the University. The CPC meets quarterly and:

   - Provides oversight for the review, modification, and prioritization of proposed capital improvements over $500,000, R&R projects over $1,000,000 and any new use of University land.
   - Reviews all capital projects that fit into this category, including those that come from University affiliates and auxiliaries, such as Kansas Athletics, KU Center for Research, and Student Housing at the Lawrence and Edwards campuses as well as the KU Medical Center.
   - Maintains the overall responsibility for all master planning.
   - Determines the final commitments for the annual April 1st submittal of the capital improvements request to the Kansas Board of Regents.
   - Maintains overall responsibility for the initial review of Large Capital Project requests to include an evaluation of:
     - Program need.
     - Consistency with the University's strategic initiatives.
     - Financial feasibility.
     - Appropriate fit to the campus master plan.
   - The CPC is comprised of:
     - The Chancellor (chair)
     - The Provost & Executive Vice-Chancellor
     - Executive Vice Chancellor & Executive Dean KUMC/ School of Medicine
     - Vice Chancellor for Research – KUMC
     - Vice Chancellor for Research & Graduate Studies – KU Lawrence
     - Vice Chancellor for Administration – KUMC
     - Chief Business and Financial Planning Officer
     - Vice Provost for Administration & Finance – KU Lawrence
     - Chief of Staff
     - KU Endowment President
     - Associate Vice Provost for Operations – KU Lawrence
     - University Architect – KU Lawrence
     - Assistant Vice Provost for Capital Planning & Space Management – KU Lawrence

3. **The Office of General Counsel (OGC):** The Office of General Counsel reviews and approves all contracts prior to execution by the University. OGC works with DCM to develop approved contract templates and provides other legal counsel as required for the DCM office.

The Office of the Provost (Executive Vice-Chancellor):

The University Provost (Jeff Vitter) is responsible for directing the operations of the Lawrence and Edwards campuses. The Provost:

- Reviews and recommends to the Chancellor and the CPC the approval of proposed capital improvement projects, verifying their compliance with:
    - The strategic plan.
    - The academic and research needs of the University.
- Maintains a role throughout the process to:
    - Approve the project program.
    - Assign the building committee.
    - Approve the final funding package.

1. **Vice Provost for Administration and Finance:** The Vice Provost for Administration and Finance (Diane Goddard) is responsible for managing the budget and other fiscal affairs of the Lawrence campus, and oversees:

    - The Associate Vice Provost for Operations
    - Budget Management and Fiscal Services
    - The Office of the Comptroller
    - KU Purchasing
    - KU Information Technology
    - Human Resources and Equal Opportunity
    - The KU Card Center
    - Facilities Services
    - Design and Construction Management
    - Parking and Transit
    - Public Safety Office
    - Environment, Health and Safety
    - The Center for Sustainability
    - The Office of Space Management

2. **Capital Planning Advisory Committee (CPAC):** CPAC functions in an advisory capacity to assist in the capital planning process in areas of planning, capital budgeting, and proposed R&R funding.

- Capital Planning and Space Management (CPSM) and CPAC work together to provide project information and recommendations necessary for review by the Capital Projects Council (CPC).
- CPAC is responsible for:
    - Ongoing review and updates to the master list of R&R projects as maintained by the Director of Facilities Services and the Director of Design & Construction Management.
    - Addressing the University's infrastructure needs within the R&R plan by assessing:
        - Facility conditions
        - ADA issues

        - Life safety concerns
        - Building sustainability
        - Strategic initiatives
    - Conducting a more in-depth review of each proposed capital project and proposed R&R funding.
        - This process will also be influenced by the capital projects that have been proposed, assessed through initial planning, and included in a capital budgeting process.
    - Reviewing the initial planning and recommendations for capital projects as presented by CPSM.
        - Reviews of proposed capital projects to focus on site options, infrastructure needs, and preliminary funding options.
        - The CPAC Chair may request architectural/ engineering studies, site analyses, preliminary cost estimates, and viable alternatives relating to capital projects from DCM and FO through their directors.
        - The Provosts Office may authorize financial resources for additional studies by outside consultants.
    - Establishment of a framework for capital budgets and related funding options.
        - Provides the background for ongoing development of the annual April 1st capital projects submittal and October 1st R&R submittal.
- CPAC meets biweekly and is comprised of members including:
    - The Director of Capital Planning (chair)
    - Associate Vice Provost of Operations
    - Associate Vice Provost for Capital Planning & Space Management
    - Associate Vice Chancellor for Research and Graduate Studies
    - Director of Design & Construction Management
    - Director of Information Technology
- Financial and budget representatives may be asked to work with CPAC as necessary to review budget alternatives for proposed projects.
    - This group is responsible for analyzing the viability of funding options as presented.
    - This financial group includes:
        - Vice Provost for Administration & Finance
        - Chief Business and Financial Planning Officer
        - KU Endowment representative
- When warranted, CPAC may also invite other representatives to provide important information related to projects.

3. **Office of Capital Planning and Space Management (CPSM):** The Office of CPSM was established in April 2011 as an effort to provide a first point of coordination for capital projects at KU-Lawrence due to:
    - Reductions in state funding.
    - Competition for donor funding.
    - The need for efficiencies in time and resources.
    - The need for a central and systematic framework for review, modification and prioritization of projects.

- Current staffing of CPSM includes the Asst. Vice Provost of Capital Planning & Space Management (Tracy Horstman) and the Director of Capital Planning (Tom Waechter).
- The CPSM role in capital planning includes:
    - Completing initial reviews of project ideas.
    - Maintaining an evolving list of capital projects.
    - Managing project scoping studies and early programming.
    - Supporting the development of the annual submittal to the Kansas Board of Regents for the 5 year rolling capital improvements request.
- CPSM continues its role in space management including:
    - Tracking, evaluating, and reporting changes in space,.
    - Analyzing space projections to ensure optimal use.
    - Allocating space among competing campus priorities.
    - Updating all policies and procedures related to space.
- CPSM serves as staff support for the Capital Projects Council

4. **Deans/Directors/Chairs:** These individuals direct the academic schools, departments or offices at the University and have authority to:
    - Recommend for approval capital improvement requests for their unit.
    - Identify departmental funding that may be applied to these projects.
    - Serve as Chairpersons of the Program or Building Committees, or delegate that role to others in their departments.
    - Recommend other faculty and staff persons to the Provost who may serve as committee members.
    - Work with the administration and KU Endowment, as appropriate, to identify the funding package and to approve the final program and design documents.

5. **Program Committee:** The Program Committee is named by the Provost early in the capital project review process to assist the project initiator, CPSM, and DCM in further developing the architectural program for a proposed large capital project, which defines in more detail:
    - The project's goals
    - Purpose
    - Space needs
    - Estimated costs
    - Proposed funding

6. **Building Committee:** The Building Committee is appointed by the Provost at the start of the Design phase to include the project's user group, A/E consultants and DCM staff as the guiding unit for the architectural design of a funded large capital improvement project.
    - The Committee is responsible for providing oversight for the project and compliance with the project program through all design review stages, construction progress meetings, inspections and final occupancy.

7. **Campus Historic Preservation Board (CHPB):** The CHPB is appointed by the Provost and responsible for conducting reviews of capital projects for their impacts on KU's historic resources.
   - Through an agreement with the State Historic Preservation Officer (SHPO), the CHPB has been authorized to provide the required regulatory review for the Lawrence campus for projects on KU or Endowment property.
     - The CHPB must follow SHPO regulations for publicly advertising meetings and maintaining minutes.
   - For campus projects falling within the 500 foot environs boundary of a historic property or district in the city of Lawrence, the project must first go through the CHPB which will then forward the project to the Lawrence Historic Resources Commission (LHRC) for their review.
   - For proposed projects within the City (outside of KU boundaries) which fall within an environs boundary of a KU property, the process is reversed, going first to the LHRC and then to the CHPB.
   - All reviews are ultimately submitted to the SHPO for final approval.

PROJECT TEAM: KU ENDOWMENT (KUEA)

- KU Endowment is the independent, non-profit organization serving as the official fundraising and fund-management organization for the University of Kansas. It is authorized to receive private donations on behalf of the University for programs and facilities and to invest and distribute the gift funds. The KUEA Vice-President of Real Estate Development (Monte Soukup) acts as KUEA's liaison to DCM and serves on the Project Team for capital improvement projects.

  - For KUEA funded (non-state funds) projects on state property, KUEA is allowed to follow the Project Delivery Construction Procurement Act process through the Board of Regents for consultant procurement and KU Purchasing for procurement of construction services.
  - For KUEA funded (non-state funds) projects on KU Endowment property, KUEA has contracting authority, however KUEA has indicated initial support for following the consistent process outlined within the Project Delivery Construction Procurement Act process.
  - For state funded projects on KU Endowment property, the project is required to comply with the regulations of the Board of Regents and the statutory procurement and review processes through the Office of Facility and Property Management (OFPM). In these situations, the KUEA property is generally leased or deeded to the State of Kansas upon project completion.
  - The City of Lawrence recognizes the West Campus property of KU Endowment as within the KU campus boundary for the terms of the 2005 agreement with the City and, as such, exempt from complying with all but a few City land use regulations. These are detailed under the "City of Lawrence" section later in this chapter.

- The Affiliated Corporations group includes Kansas Athletics, Inc. (KAI), Kansas Memorial Unions Corporation (KMUC) and the Kansas University Center for Research (KUCR).
  - Projects greater than $500,000 must follow the CPC/CPAC review and approval process.

1. **Kansas Athletics, Incorporated (KAI):** Kansas Athletics, a Kansas not-for-profit corporation, operates under the administrative jurisdiction of the University of Kansas and is subject to all regulations and administrative policies of the University.
   - KAI operates the varsity intercollegiate athletic program at KU in facilities that are owned by the University.
   - The primary sources of revenue and support for the programs are athletic event ticket sales, conference revenue distributions, and contributions.
   - Donations for athletic facilities are received and managed through KU Endowment.
   - One or more representatives of KAI are involved on the Project Team for athletic facilities.
   - KAI is governed by a board that provides initial project recommendation and approval for submission to the Capital Planning Council (CPC).
   - KAI has statutory authority to undertake construction projects under $1 million without going through the state.
   - KAI is required to comply with the applicable formal University procedures for all capital projects on university property.

2. **KU Memorial Unions Corporation (KMUC):** The Kansas Unions are a non-profit, self-supporting organization with revenues for operations derived from student fees (approx. 6%), dining services, merchandise sales, event service charges, and other campus-focused activities.
   - Student fees are used for debt service and support of non-revenue producing services.
   - The Unions maintain facilities at several sites on campus and manage all food service venues, including those within the residence halls.
   - The management of the Unions is under the direction of the University of Kansas Memorial Corporation Board of Directors, which provides initial project recommendation and approval for submission to the Capital Planning Council (CPC) for all proposed capital projects for the Unions.
   - KMUC has statutory authority to undertake construction projects under $1 million without going through the state.
   - KMUC is required to comply with the applicable formal University procedures for all capital projects on university property.
   - Representatives from the Unions are involved in all projects for Union facilities and those which may include a food venue.

3. **Kansas University Center for Research, Incorporated (KUCR):** The KU Center for Research, Inc. is a not-for-profit research foundation that operates for the benefit of the University under the administrative jurisdiction of the KU Office of Research and Graduate Studies.
   - KUCR's services encompass all sponsored research programs conducted throughout the Lawrence campus.

- KUCR is the entity responsible for submitting all proposals for external support of research, instructional and service projects.
- KUCR has an established grant approval process that must be followed before the project can be initiated.
- KUCR has statutory authority to contract directly for construction projects (no $ limit).
- KUCR assists research investigators by negotiating contracts, providing proposal and post-award services, administering compliance oversight, managing and constructing research facilities, and handling financial services, including investment of corporation resources.
- KUCR is required to comply with the applicable formal University procedures for all capital projects on University property.

PROJECT TEAM: STATE AGENCIES AND GOVERNANCE

Historically, all capital projects at KU have followed the statutorily mandated process through the Department of Administration's Office of Facilities and Property Management (previously the Office of Design and Facilities Management).

- This process requires the use of OFPM for project oversight, code reviews, procurement of consultant and construction services, and inspections.

In 2009, the State Educational Institution Project Delivery Construction Procurement Act (KSA 76-7,125 et seq.) altered the process for procurements and construction for University projects on state property that are funded with non-state moneys.

- This process allows KU to work through the Board of Regents structure for consultant procurement and KU Purchasing for the procurement of construction services.
- OFPM maintains a limited role in this process to complete code reviews and inspections.

All projects are still subject to the statutory threshold requirements of $500,000 for the engineering discipline and $750,000 for the architectural discipline for the estimated construction costs.

- Projects meeting or exceeding these limits must go through the legislative review/ approval process as outlined later in this chapter.

The roles of the following state entities vary, depending upon the source of funding and the scope of the project. The roles of these agencies are outlined below:

- The Governor
- The Kansas Legislature
    - The Joint Committee on State Building Construction

- Kansas Dept. of Administration
  - Office of Facilities and Property Management (OFPM)
  - State Building Advisory Commission (SBAC)
  - State Negotiating Committee
  - State Division of Purchases (DOP)
- Kansas Board of Regents (KBOR)
  - KBOR Procurement Committee (non-state funded projects)
  - KBOR Negotiating Committee (non-state funded projects)
- Kansas State Fire Marshal (KSFM)
- Kansas Dept. of Health and Environment (KDHE)
- State Historic Preservation Office (SHPO)
- Other State Agencies

The Governor:

The Governor of the State of Kansas has final signatory authority to approve state funding or otherwise authorize the construction of capital improvement projects for the State of Kansas. The Governor must approve all state-funded projects exceeding $500,000 or requiring bonding authority once these projects are approved by the Legislature.

Kansas Legislature:

The Kansas State Legislature establishes the laws and regulations that govern the planning, design, bidding and construction process that all state agencies and institutions must follow for capital projects. The Legislature establishes the maximum allowable spending limits that may be incurred on capital improvement projects and must approve projects using state funds or bonds.

- For state funded projects, once approved by the BOR, the Legislature must approve the architectural programs for all proposed large capital improvement projects exceeding $500,000 and the state funding for those projects, as applicable. The Legislature must also approve projects requiring bonding authority. Projects are forwarded to the Legislature through the Joint Committee on State Building Construction.
- For non-state funded projects, once approved bt the BOR, the Legislature may be advised of the project through the Joint Committee on State Building Construction, though these projects generally do not proceed beyond the advisory notice to the Joint Committee.

1. **Joint Committee on State Building Construction:** The Joint Committee of the Legislature reviews and approves proposed large capital improvement projects (exceeding $500,000 for engineering construction and $750,000 for architectural construction) for the State of Kansas before they are sent to the full Legislature for approval. Committee approval is also required to approve change orders over $125,000.
   - For state-funded projects or projects involving bonding authority, all projects must be submitted to the Board of Regents for prior approval and then forwarded to the Joint Committee for review and approval. Approved projects are then forwarded by the Joint Committee to the Legislature.

- For non-state funded projects, the project must be submitted to the Board of Regents for prior approval and then forwarded to the Joint Committee for advisement. The Joint Committee does not generally forward these projects to the Legislature.
- The annual Capital Improvement Request is submitted to BOR in March and then to the Joint Committee in July for hearings in the fall.
- The Joint Committee typically meets monthly throughout the year and agenda items are submitted 3-4 weeks in advance by the Board of Regents (Eric King) for the normal process or through KU's Chief Business and Financial Planning Officer (Theresa Gordzica) and/or the Director of DCM (Jim Modig) for supplemental submittals falling outside of the established schedule.

Kansas Department of Administration:

The Kansas Dept. of Administration is the state agency responsible for the administrative functions of the state. Several departments within the agency are involved with the construction process at the University. On state-funded projects, KU is required to work through the Dept. of Administration for consultant procurement services through the Office of Facilities and Property Management (OFPM) and construction bidding services through the state Division of Purchases.

1. **Office of Facilities and Property Management (OFPM)** (state funded projects and limited role in non-state funded projects): OFPM is the division within the Kansas Dept. of Administration that provides professional design and construction related services to state agencies. Their primary objective is to assist state agencies in the delivery of safe, high-quality facilities within established programs, budgets, and schedules.
   - For state-funded projects, OFPM is responsible for:
     - Managing the advertising and selection of A-E firms, negotiating fees, and writing contracts.
     - Managing the design, bidding, contract award and construction
     - Assisting in the administration of contracts for professional services and construction.
     - Interpreting and enforcing building codes, accessibility laws and construction standards.
     - Maintenance of archival records of state buildings.
     - Preparing submittals to the Joint Committee on State Building Construction.
     - Providing technical and administrative support for the State Negotiating Committee in monthly change order summaries and construction status reports.
   - OFPM and DCM collaboratively provide many similar services in managing the design and construction of capital projects at KU.
     - OFPM offers three levels of service and the OFPM on-line Building Design and Construction Manual outlines the minimum levels of service required of consultants on capital improvement projects.

    - KU's standards supplement those of OFPM, as appropriate, to meet the needs of the University.
- For non-state funded projects, OFPM provides a limited level of service to include their regulatory role for code and ADA compliance and for construction inspection.

2. **State Building Advisory Commission (SBAC)** (state funded projects only):
   - For state funded projects, the commission is responsible for reviewing the submitted A/E proposals requested by OFPM and provides a shortlist of qualified consultants to the State Negotiating Committee.
   - The State Building Advisory Commission is comprised of seven members. At least one member must be a member of a building trade union and at least one shall be a member of an association of building construction contractors. Membership includes:
     - The Secretary of Administration (typically a designee from the Office of Facilities and Property Management) serves as the chairperson.
     - The Deans of the School of Architecture at Kansas State University and the University of Kansas serve on the commission on alternate years.
     - The five remaining members are appointed by the Governor.
   - For non-state funded projects, the SBAC does not have a role.

3. **State Negotiating Committee (state funded projects only):**
   - On state funded projects, a Negotiating Committee is established to interview the nominated architectural or engineering firms and to select and negotiate fees with the selected firm.
   - The State Negotiating Committee has sole authority to approve changes to the project scope and budget on state-funded projects.
   - The Negotiating Committee is composed of three representatives:
     - The Kansas Board of Regents Director of Facilities.
     - A representative from the Governor's office delegated to the Secretary of Administration typically delegated to the OFPM.
     - A representative from the University of Kansas, typically delegated to the DCM Director.
   - For non-state funded projects, the Negotiating Committee does not have a role.

4. **State Division of Purchases (DOP) (state funded projects only):**
   - On state funded projects, KU is required to utilize the procurement services of the state Office of Facilities and Property Management (OFPM) and the state Division of Purchases in Topeka.
     - The Division of Purchases is responsible for soliciting, opening, and awarding bids for state funded capital projects. Bids are opened at the DOP offices in Topeka.
   - For non-state funded projects, the state DOP is not involved, though the use of the state DOP is still an available option.

Kansas Board of Regents (KBOR):

The KBOR has authority over all activities of the State's universities, including:

- All proposed large capital improvement projects must be approved by the KBOR before they are submitted to the state Legislature.
- Proposed building names must be approved by the KBOR.
- The KBOR Director of Facilities (Eric King) may attend the periodic design submittal review meetings.
- For state funded projects, the KBOR Director of Facilities also:
    - Represents the KBOR on the State Negotiating Committee.
    - Approves all matters related to contracting, fees and program revisions.
    - Approves the project submittals at the Design Development and final Construction Document stages.
- On non-state funded projects, the Project Delivery Construction Procurement Act process can be utilized by KU to procure A/E Services, Construction Management at Risk Services, and Competitive Bid Construction Services.

Refer to the reference list in Appendix B for the link to the KBOR Policies and Procedures manual.

The KBOR Board meets monthly from September through June on the third Thursday of the month and the preceding day.

- Agenda items are submitted through KU's Chief Business and Financial Planning Officer (Theresa Gordzica) at least 16 days prior to the meeting.
- The annual Capital Improvement request is submitted to KBOR in March

1. **KBOR Procurement Committee (non-state funded projects only):**
    - For A/E Services, the KBOR Procurement Committee reviews the submitted Statement of Qualifications and shortlists 3-5 potential firms.
    - The Procurement Committee for the A/E selection process includes:
        - The KBOR Director of Facilities (except for Affiliate Corporation projects)
        - An architect, engineer or planner representing the University
        - Another representative of the University as appointed by the chief executive officer of the University.
    - The shortlist is forwarded to the KBOR Negotiating Committee.
    - For Construction Management at Risk Services:
        - The KBOR Procurement Committee reviews the justification submitted by DCM and holds a public hearing.
        - If approved, the Statements of Qualifications are reviewed by the KBOR Procurement Committee and a list of 3-5 firms are then forwarded to the KBOR Negotiation Committee.
        - The KBOR Procurement Committee for the CM at Risk selection process is comprised of five members:
            - The KBOR Director of Facilities
            - The Director of KU Design and Construction Management
            - A representative of the Associated General Contractors of Kansas

        - A representative of the American Institute of Architects
        - A representative of the American Council of Engineering Companies

2. **KBOR Negotiating Committee (non-state funded projects only):**
    - The KBOR Negotiating Committee is responsible for interviewing, selecting, and negotiating the contracts for A/E services and Construction Management at Risk services.
        - The KBOR Negotiating Committee is comprised of 4 members:
            - The KBOR Director of Facilities (except for Affiliate Corporation projects)
            - The Director of Design and Construction Management
            - Two representatives designated by KU's Chancellor

Kansas State Fire Marshal (KSFM):

KSFM is the state agency responsible for inspecting and enforcing fire and life safety codes and regulations related to the use and operation of state buildings.

- KSFM personnel annually inspect KU buildings and issue citations on conditions that violate applicable codes and regulations.
    - These citations are received and managed by DCM on the University's behalf and may:
        - Generate projects to correct non-compliant conditions, or
        - Be incorporated into capital projects affecting or near the cited conditions.
    - The Plan of Corrections is submitted directly to the KSFM by the University Fire Marshal (UFM).
    - For both state funded and non-state funded projects, the Code Footprint is submitted by the project A/E to the UFM for review and transmittal to OFPM, who then forwards to the KSFM for review and approval.

Kansas Department of Health and Environment (KDHE):

KDHE is the state agency responsible for protecting the health and environment of all Kansans through permitting, inspections and reporting processes. Typically, KDHE may be involved with University projects involving:

- Stormwater runoff
- Hazardous materials
- Dining or Childcare facilities

Other permits may be required from KDHE depending on the nature of the project (e.g., . modifications to public water supply or sanitary sewer systems, air emission stationary sources, lead or asbestos abatement, solid waste landfills, etc.)

- KU Environmental Health & Safety (EHS) normally coordinates KU's efforts to address KDHE requirements.

State Historic Preservation Office (SHPO):

The Kansas State Historic Preservation Office (SHPO) is a division of the Kansas State Historical Society (a state agency). The SHPO fosters the preservation of the archeological, architectural, and cultural heritage of Kansas by administering historic preservation programs and offering technical assistance. The preservation office administers:

- State and federal preservation programs within Kansas (such as the National Register of Historic Places and the register of Historic Kansas Places).
- Federal and State Rehabilitation Tax Credits.

SHPO is involved in reviewing and approving the recommendations from the KU Campus Historic Preservation Board (CHPB) to assure adherence to historic preservation guidelines and to review and provide approval for tax credits.

Other State or Federal Agencies:

Other state or federal agencies may be involved in a review or permitting capacity for projects at the University, based upon the project scope and potential impacts (e.g., dining facilities, fill in a floodplain, work involving habitat for threatened or endangered species, maintenance or construction in a state highway right-of-way, work involving dams or stream modifications, use of surface water or groundwater, etc.)

Various federal agencies may also be involved with the types of situations listed above or with the administration of grant funds received for specific construction projects (e.g., ARRA funds or other funding through the Dept. of Education, the Dept. of Commerce, National Science Foundation, National Institute for Science and Technology, etc.)

PROJECT TEAM: LOCAL GOVERNMENT

Through a 2005 agreement with the City of Lawrence, KU projects constructed on state or KU Endowment property located within the campus boundary are not required to comply with City of Lawrence land use regulations with several exceptions as outlined later in this chapter. Municipal review entities may include the following, depending upon the location and the scope of the project:

The City of Lawrence

- Lawrence Douglas County Fire and Medical (LDCFM)
- Lawrence Historic Resources Commission (LHRC)
- Other city departments, as applicable

City of Lawrence:

KU projects constructed on state or KU Endowment property located within the campus boundary normally follow City standards for:

- Potable water service.
- Wastewater service for all new construction.
- Storm water management and detention for all new construction.

- Access to City public ROW and public streets, creation of curb cuts, and similar traffic control measures.
- Completion of transportation and pedestrian analyses for major projects or projects substantially increasing vehicular or pedestrian traffic.

As a courtesy, KU attempts to comply with all City of Lawrence regulations. Additionally, KU projects located within the 150-foot buffer of the external boundary must comply with the following:

- Maintain building height no greater than its set-back from the public ROW (with several specific KU properties exempted from this requirement).
- Provide on-site parking per City requirements for student housing structures built within the buffer.
- Create an ad hoc Community Program Advisory Committee with defined representation to provide input from adjoining property owners and community interests.
- Conduct an impact analysis.
- Comply with the City's Master Street Tree plans to the greatest extent possible.
- Comply with City noise standards.

A required process with specific actions and schedules has been established for City notification of planned development and construction within the 150-foot buffer or outside of the identified KU Boundary. Additionally, City of Lawrence officials are annually briefed on KU's 5 year capital projects plan and consulted on matters of joint interest. A link to the agreement with the City may be found in the reference list in Appendix B.

1. **Lawrence-Douglas County Fire and Medical (LDCFM):** The City of Lawrence provides firefighting services and medical response to KU.
   - Through the University Fire Marshal, KU coordinates major projects with LDCFM to insure that code improvements respond to and coordinate with their emergency response plans.
   - Construction activities that may impact LDCFM's ability to respond to an emergency are also reviewed with the department to protect the safety of the fire fighters and medical staff and allow adjustments to the emergency response.

2. **Lawrence Historic Resources Commission (LHRC):** The LHRC is responsible for conducting regulatory reviews of historic properties within the City of Lawrence through an agreement with the State Historic Preservation Officer (SHPO) in a manner similar to the review authority provided by the SHPO to the Campus Historic Preservation Board (CHPB) for reviews on University property.
   - For campus projects falling within the environs boundary of an historic property or district in Lawrence, the project must first go through the CHPB which will then forward the project to the LHRC for their review.
   - For proposed projects within the City (outside of KU boundaries) which fall within an environs boundary of a KU property, the process is reversed, going first to the LHRC and then to the CHPB.
   - All reviews are ultimately submitted to the SHPO for final approval.

3. **Other City Departments**
   Other city departments may be consulted as required:
   - Public Works Department
   - Lawrence Douglas County Planning Office
   - City Manager's Office
   - Lawrence Transit

PROJECT TEAM: THE DESIGN & CONSTRUCTION GROUP

The procurement and selection of project design consultants and construction services will depend upon the estimated size of the proposed project and the source of project funding.

Design services may be provided by:

DCM Architects, Engineers, and Landscape Architects
Architectural/ Engineering Consultants
Other Consultants

Construction services may be provided by:

Facilities Services Construction (FS)
General Contractors (GC)
Subcontractors
Construction Manager at Risk (CMR)

DCM Architects, Engineers, and Landscape Architects:

- For small capital projects (construction costs under $750,000 for architectural or $500,000 for engineering projects), DCM professional staff provide in-house design services.
- For large capital projects, DCM professional staff typically serve as Project Managers to facilitate the consultant design and construction process.

Architectural and Engineering Consultants(A/E):

Architectural and engineering firms are retained to provide professional design services on capital projects for the University of Kansas.

- The term A/E is used within this manual to generically refer to the party who is responsible for the design and construction administration of a project:
  - Architects, engineers, or landscape architects.
  - Private firms or in-house DCM staff.
- A/E firms may be acquired through:
  - On-call contracts through the state (OFPM) for small capital projects.
  - The state OFPM consultant procurement process (state-funded projects).
  - The KBOR consultant procurement process (non-state funded projects).

- **Other Consultants:**

  Other specialized professionals may be included on the Project Team or on a special project to provide services for peer review, commissioning agent, interior designer, acoustical engineer, lighting engineer, specialty equipment consultant and others.

- **Construction Manager at Risk (CM at Risk):**

  The CM at Risk process allows for the involvement of a contracted firm early in the design phase to provide construction management and general contractor services. The early coordination fosters collaboration and focuses the entire team on finding the best possible solutions for the construction project. The CM at Risk:
  - Works with the architect to examine alternate materials, systems, and equipment for cost, quality and availability.
  - Performs construction feasibility reviews and offers value engineering suggestions.
  - Coordinates all subcontractor bids and determine a guaranteed maximum price for construction.

- **General Contractor (GC):**

  The General Contractor is the construction firm awarded the contract to build a project.
  - Typically, both projects with state funding and non-state funding are:
    - Competitively bid and awarded to the lowest responsible and responsive bidder.
    - Contingent upon meeting the designated bidder qualifications and providing the specified bonds and insurance.
  - The general term of "contractor" is used to designate the firm under contract to construct any type of project, and may refer to a general contractor, a mechanical contractor, an electrical contractor or some other specialty contractor.

- **Subcontractors:**

  A Subcontractor is the contractor, vender or supplier that provides goods and services through the contract with the General Contractor or the CM at Risk.
  - Subcontractors generally provide the materials and labor for the construction of the project.

- **KU Facilities Services (FS):**

  Facilities Services coordinates responsibilities with DCM and the Provost's Office to fulfill the University's mission of excellence in facility support.
  - FO provides in-house construction services for small capital construction projects on campus.
  - The various FO departments and/or shops also attend the construction review meetings or are involved during the design process to ensure that facilities meet their standards for operations, maintenance and utilities.

FO is also responsible for:

- Maintaining the buildings, grounds, streets and infrastructure of the Lawrence campus.
- Overseeing day-to-day facility operations, maintenance, housekeeping and routine repairs.

PROJECT TEAM: OTHER KU DEPARTMENTAL SUPPORT & REVIEWS

Many departments and groups on campus assist in the process for capital projects. These groups are engaged in various phases of a project and are consulted for their specific expertise, for the specific services they provide within the project process or for their role in operating and maintaining the facility upon completion.

KU Purchasing (KUP):

KU Purchasing manages all University procurement processes. On non-state funded capital projects, the Project Delivery Construction Procurement Act process allows DCM and KU Purchasing to procure consultant and construction services. KU Purchasing:

- Advertises for procurements.
    - A/E and consultant services
    - Negotiated procurements
    - CM at Risk
    - Competitive bids
    - Vendors/ products
- Receives bids, statements of qualifications, and required submittals (including bonds, insurance, etc.)
- Opens bids and awards bids upon recommendation by DCM.

Environment, Health and Safety (EHS):

EHS is the KU department responsible for managing environmental, health and safety issues at the University of Kansas. EHS:

- Provides support services for projects undertaken or managed by DCM or FO in the areas of:
    - State permitting.
    - In-house hazardous materials testing.
    - Abatement.
    - Oversight services on projects of limited scope.
- Establishes acceptable practices and standards.
- Manages the work of outside environmental engineering consultants or contractors.
- Attends project design and construction review meetings, when appropriate.
- Provides guidance on issues related to laboratory design.

Campus Heritage Advisory Board (CHAB):

The Campus Heritage Advisory Board is a committee appointed by the Provost to:

- Review the Campus Heritage Plan.
- Assist in the recommendation of a historic district(s) in the core campus.
- Advise on future growth and development in the historic core of the campus.

Campus Architectural Barriers Committee (ABC):

The ABC is an advisory committee of faculty, staff, and students appointed by the Provost to review facility improvement projects and advise on matters related to accessibility for those with disabilities.

- The committee reviews both new construction and renovation projects and provides advice on meaningful solutions for ADA requirements.

KU Parking and Transit (P&T):

Parking and Transit is the office tasked with managing campus parking and transit services:

- Parking Services:
  - Parking is regulated through the campus Parking Commission in an advisory role to the Provost:
    - To protect student, staff, and faculty mobility in fulfilling class and work schedules.
    - To manage available parking spaces in the best interests of the entire university.
    - To maximize parking areas consistent with land needs for the academic function, topography, financial feasibility, and maintenance of the natural beauty of the campus.
  - Funding for construction and maintenance of all campus parking lots is generated through parking permit fees.
  - Parking manages approximately 13,000 parking spaces in 122 lots on campus.
  - For capital projects, the cost for building new or replacement parking for a specific project should be included within the project budget and is managed and maintained by Parking upon project completion.
  - Parking has historically funded large campus parking facilities (parking garages, Park & Ride, etc.)
- Transit Services:
  - Transit is regulated through the campus Transit Commission in an advisory role to the Provost:
  - KU on Wheels, JayLift, SafeRide, and SafeBus provide transit services to the Lawrence campus.
  - Funding for the operation of the campus transit system, including the procurement of fleet vehicles and operation of the transit maintenance facility, is generated through student fees, contributions from parking revenues, and cooperative agreements with the City of Lawrence.

    - Transit currently maintains 47 buses, 2 paratransit buses with 8 fixed routes, 1 coordinated route with the City of Lawrence Transit system, and 3 SafeBus routes.
- In the capital project process, P&T Staff:
    - Provides review of parking and transportation elements of construction projects.
    - Coordinates parking provisions for contractors.

KU Public Safety Office (PSO):

The Public Safety Office places a high priority on the personal safety of all persons on campus and the protection of property. PSO:

- Operates with the same power and authority as any police force.
- Operates an emergency communications center and dispatch.
- Manages and monitors the campus security systems.
- Provides project reviews of security and safety elements during design and construction phases of projects.
- Provides review and required approval for the use of security cameras and electronic locking systems on campus.

KU Information Technology (KUIT):

KUIT is the department responsible for installing, operating and maintaining the network, telecommunications, and audio/visual systems at the University of Kansas. KUIT:

- Establishes standards for campus telecommunication systems.
- Reviews and manages the work of outside consultants and contractors.
- Attends design and construction review meetings for capital projects.
- Provides review comments and guidance on issues related to their areas of expertise.
- Connects new facilities to the KU Network.
- Provides IT installations on small capital projects designed by DCM.

4

The Capital Planning Process

The capital planning process evolved in 2011 with the creation of a more formalized process to govern any and all large capital projects proposed within the University of Kansas system. Dwindling state funds, competition for donor funding, and the need for efficiencies in time and resources now require that a clear capital planning process be in place. The review, modification, and prioritization of proposed projects must be accomplished within a centralized and systematic framework in order to effectively manage future campus development. As university facilities become more specialized and funding models become more intricate, the capital planning process will require an increasingly collaborative effort from all involved. At KU, the capital planning process now includes:

- The Capital Projects Council (CPC)
- The Office of Capital Planning and Space Management (CPSM)
- The Capital Planning Advisory Committee (CPAC)

■ The Capital Projects Council (CPC)

The university-wide Capital Projects Council (CPC), chaired by the Chancellor, meets on a quarterly basis, and is comprised of key leaders representing the academic, research, financial, philanthropic, architectural, and operations units of the university.

CPC provides oversight for the review, modification, and prioritization of:

- Proposed capital improvements over $500,000.
- Repair and Rehabilitation Projects (R&R) exceeding $1 million.
- Any new use of university land.

CPC must review all capital projects that fit within these categories, including those that come from university affiliates and auxiliaries (such as Kansas Athletics, KU Center for Research, Memorial Union Corporation, Student Housing, etc.) within the Lawrence and Edwards campuses as well as the KU Medical Center. CPC approval is required before a project is presented or discussed by advisory groups, prospective donors, or organizations outside of KU.

In addition, this group has the overall responsibility for:

- All master planning.
- Final commitments to the annual April 1 submittal of the capital improvements request to the Kansas Board of Regents (KBOR).

The Capital Projects Council may potentially conduct two reviews of a proposed capital project. A typical review might include an evaluation of program need, consistency with the university's strategic initiatives, financial feasibility, and appropriate fit to the campus master plan.

■ Capital Planning and Space Management (CPSM)

The office of Capital Planning and Space Management was established in April 2011 within the Provost's office as an effort to provide a first point of coordination for capital project requests at

the KU Lawrence campus only. The Office of Space Management was renamed Capital Planning and Space Management in order to allow for the addition of a much needed capital planning component. The Assistant Vice Provost of Capital Planning and Space Management (Tracy Horstman) and the director of Capital Planning (Tom Waechter) are the current staff members in CPSM.

CPSM guides the capital planning process for the Lawrence campus by:

- Providing the initial review of project ideas.
- Maintaining an evolving list of capital projects.
- Managing project scoping studies and early programming.
- Supporting the development of the annual submittal to the Kansas Board of Regents for the 5-year rolling capital improvements request.

CPSM continues its role in university space management, including:

- Tracking, evaluating, and reporting changes in space.
- Analyzing space projections to ensure optimal use.
- Allocating space among competing campus priorities.
- Updating all policies and procedures related to university space.

Capital Planning Advisory Committee (CPAC)

The Capital Planning and Advisory Committee is chaired by the Director of Capital Planning (Tom Waechter) and meets every two weeks. The committee is comprised of members representing Facilities Services, Design & Construction Management, Information Technology, and Research & Graduate Studies. Other campus departments may be involved as requested. While CPSM guides the capital planning process and provides space-related information, CPAC provides the necessary support to further evaluate approved project concepts for the KU Lawrence campus only. CPAC is responsible for:

- Directing architectural/engineering studies.
- Analyzing site options and infrastructure needs.
- Reviewing preliminary cost estimates and funding alternatives.

CPSM and CPAC work together to provide project information and recommendations necessary for review by the Capital Projects Council.

Process Summary

The process for initiating a large capital project has transitioned in the past year with the creation of the office of Capital Planning and Space Management (CPSM). As the roles and responsibilities for DCM and CPSM become more clearly defined in the coming months, the process for large capital projects may still evolve.

For purposes of the KU Capital Planning process, most capital projects can be placed into one of three main categories:

1. **Category A**
    - New buildings or remodels with an estimated cost greater than $500k.
    - Repair and rehabilitation (R&R) projects with an estimated cost greater than $1 million.

- Any new use of University land.
- Projects meeting any of these criteria may NOT be presented or discussed by advisory groups, prospective donors, or organizations outside of KU without prior CPC approval.
- In order to move forward to design and construction, Category A projects must first receive:
    - KU Capital Projects Council (CPC) review, approval and prioritization, as outlined below.
    - Final approval of the Provost and Chancellor.
    - Full board approval by the Kansas Board of Regents (KBOR).
    - Approval from the legislature's Joint Committee on State Building Construction (for state-funded projects or projects requiring bonding authority) or advisement to the Joint Committee (for non-state funded projects)
    - Approval from the Legislature (for state-funded projects or projects requiring bonding authority)
    - Approval by the Governor (for state-funded projects or projects requiring bonding authority).

2. **Category B**
    - Projects in the estimated cost range of $100k - $500k.
    - May include time sensitive projects, typically funded by federal grants of faculty start-up commitments. Note: if these projects exceed $500k or require bonding authority, the approvals required for Category A projects at the KBOR and state levels will apply.
    - Category B projects typically only require CPSM, Provost Office, and /or Research & Graduate Studies review before proceeding directly to DCM for further study.
    - In order to move forward to design and construction, Category B projects must first receive:
        - Final approval of the Provost.
        - Administrative approval by the KBOR and advisement to the full board.
3. **Category C**
    - Projects with an estimated cost less than $100k, but involving more than aesthetic upgrades.
    - Construction in any area that may affect changes in room use.
    - Construction in any area that may affect changes in space assignment.
    - Category C projects may require CPSM review for additional study, but most are routed directly to DCM.
    - In order to move forward to design and construction, Category C projects must first receive:
        - Final approval of the Provost.
        - Administrative review by the KBOR.

Category A Review Process

The Capital Projects Council may potentially conduct two reviews of a proposed capital project.

1. **Phase One: Assessment of Project Concept**

The chart on the following page outlines the typical process for the initial submittal of a proposed Category A project to Capital Planning and Space Management.

Phase One is an assessment of the project concept only. Typically, a department (project sponsor) identifies a need and works through CPSM to complete a request for a project concept assessment.

CPSM reviews the proposal and forwards it to the appropriate KU administrators (Vice Provosts or Provost) for initial review. If supportive, CPSM will add the proposal to the agenda of the next CPC meeting. In cases of extreme time sensitivity, CPSM may forward the proposal directly to the Chancellor.

2. Category A Phase Two: Architectural and Funding Feasibility Assessment
Once the Phase One concept assessment is approved, the project can proceed to Phase Two of the CPC planning process, completing an Architectural and Funding Feasibility Assessment. The Phase Two chart immediately follows the Phase One chart below.

The project sponsor develops the Architectural and Funding Feasibility Assessment working in close collaboration with CPSM and the appropriate campus units and administrators. Although a Phase Two assessment is more detailed than a Phase One assessment, it is still a general evaluation of architectural and engineering requirements and, most importantly, an evaluation of funding options. This phase is primarily focused on reconciling the scope of the project requirements with the realistic funding options.

The Architectural Feasibility component of the Assessment includes:

- Detailed facility needs and scope
- Projected space use and program needs
- Site options and infrastructure needs
- Project budget and cost estimates
- Schedule and projected operating costs
- Staging issues and reuse of existing space

The Funding Feasibility component of the Assessment includes:

- Debt or internal loan
- Private donations evaluated by KU Endowment
- Self-supporting revenue
- Capital appropriations
- Grants
- Departmental funds

Based on this assessment, CPC will approve, modify, and/or prioritize the project as necessary for additional planning (such as the preparation of an Architectural Program document for the project) by those within and outside of the university, including allocation of resources to move the project forward. CPC may also disapprove the project at any point in the process or put it on hold for review at a later date.

Project Category A Capital Projects Council (CPC)
Phase One:
Assessment of Project Concept

- New building or renovation project more than $500,000
- R&R Project more than $1 million
- Any new use of university land

Project Category A Capital Projects Council (CPC)
Phase Two:
Architectural and Funding Feasibility Assessment

Which Office Receives Initial Capital Project Requests?

- Category A and B project Clients may submit an initial project request:
  - To the Office of Capital Planning and Space Management (CPSM).
    - CPSM will determine conceptual feasibility of a new building or building addition from a programmatic and funding perspective.

OR

  - To the Office of Design & Construction Management (DCM).
    - DCM will forward the project to CPSM for consideration if the project meets the Category A criteria.
    - Otherwise DCM will initiate a project number and assign a Project Manager (PM).
- Category C project Clients may submit an initial project request:
  - To CPSM for initial review.
    - CPSM may forward the project to DCM for project initiation.
  - To DCM for project initiation.

Each project is evaluated and sent to the appropriate office for the applicable process:

- Projects received by DCM are reviewed in the weekly DCM Project Assignment meeting and assigned to a DCM Project Manager and support team.
  - DCM may be requested to assist CPSM and CPAC in the preparation of feasibility assessments or architectural programs.

OR

- Projects received by the Office of Capital Planning and Space Management (CPSM) or the Capital Planning Advisory Committee (CPAC) are evaluated to determine if the Capital Projects Council should review the project.
  - The CPC must review all Category A capital projects.

Levels of Study

The four levels of potential study for projects are identified below. For projects assigned to DCM, the PM will work with the Assistant or Associate Director to determine the level of study that is appropriate for each project.

- **A DCM feasibility study** is:
  - A quick assessment of the scope and estimated cost of a project to assist the Client in determining if they choose to fund the project.
  - Generally used for **small capital projects** or for large capital projects that are limited in scope.
  - Typically completed within 30 days.

For projects forwarded to the Capital Projects Council, CPC may potentially conduct two reviews of a proposed capital project, the Phase One Concept Assessment and the Phase Two Architectural and Funding Feasibility Assessment.

- **A Capital Planning Phase One Project Concept Assessment:**
  - Is required for any large capital project exceeding $500,000, such as a new building or addition, $1 million for R&R projects, or any new use of university land.
  - Provides an assessment of the project concept only.
  - Establishes the project parameters:
    - Project description
    - Program needs
    - Consistency with the university's Strategic Plan
    - Funding ideas and options
  - Provides adequate preliminary information for the Client, CPSM , CPAC and/or CPC to determine whether the project should move forward in planning.
  - Typically completed within 1 – 3 months.

- **A Capital Planning Phase Two Architectural and Funding Feasibility Assessment:**
  - Is required after receiving CPC Phase One approval for large capital projects.
  - Is guided by a Program Committee appointed by the Provost's Office.
  - Establishes the general scope of work and estimated costs.
  - Serves to reconcile the realistic funding options with the proposed scope of work.
  - Provides adequate preliminary information for the Client, CPSM , CPAC and/or CPC to determine whether the project should move forward in planning.
  - DCM may be requested to assist in the preparation of the architectural feasibility assessment.
  - Typically completed within 1 – 3 months.
  - CPC will approve, modify, and/ or prioritize the project as necessary for additional planning by those within and outside the university.
    - Including allocation of resources to move the project forward.
  - CPC may also:
    - Disapprove the project at any point in the process.
    - Put it on hold for review at a later date.

Once Phase Two approval is received and the project is authorized to move forward, CPSM and CPAC serve to coordinate the preparation of an Architectural Program.

- **An Architectural Program:**
  - Is required after receiving CPC Phase Two approval and the project is authorized by CPC to move forward.
  - Is guided by a Program Committee appointed by the Provost's Office to provide oversight of the architectural program process.
  - Defines in more detail the project's goals, purpose, scope of work, space needs, site options, estimated costs, proposed schedule and proposed funding sources.
  - Serves as the comprehensive project document in the request for KBOR and Legislative approvals.
  - Typically completed within 2 – 6 months.
  - DCM may be involved with the preparation of this document.

THE LARGE CAPITAL APPROVAL PROCESS

Required Approvals

The Architectural Program and proposed funding for projects exceeding $500,000 (or $1 million for R&R) must be approved by:

- The Chancellor
- The Board of Regents
- The State Legislature (and/or committee)
    - State funded projects and projects requiring bonding authority – require approval by the Joint Committee on State Building Construction and the full Legislature.
    - Non-state funded projects – require notice to the Joint Committee in an advisory capacity.
- The Governor – approval required for state funded projects and projects requiring bonding authority.

Projects funded through KU Endowment require a letter from the Chancellor to KUEA and formal acceptance by KUEA before a project may proceed to the KBOR.

The funding approvals are the responsibility of the Provost, the Chief Business and Financial Planning Officer (Theresa Gordzica), and the Chancellor.

- These approvals usually take 18 to 24 months to complete through the identified university process, the KBOR and state levels.
- The DCM Director will often be involved with the presentations to the KBOR and the Joint Committee.

The Approval Process

After completing the internal review and approval process at KU, the normal process for the required KBOR and State approvals is time sensitive with identified schedules and agendas maintained by each State entity. This process includes:

1. **Chancellor**
    - The Chancellor must approve all KU projects before they are submitted to the Board of Regents.

2. **Kansas Board of Regents**
    - April 1 each year, KU submits an annual request to the KBOR to include:
        - The updated 5 Year Capital Project Report.
        - Architectural Programs for all large capital project requests for the year.
    - From April through July, the Board reviews the requests and hears presentations from KU to assist in their consideration for project approval.
    - For projects approved for possible state funding, the projects are forwarded in July by KBOR for inclusion in the Governor's agenda for budget preparation.

- For projects approved for the use of non-state funds, the projects are forwarded by KBOR to the Joint Committee on State Building Construction for advisement.

3. **Governor**
   - Proposed state funded projects are submitted to the Governor's office by the KBOR in July and included in the Governor's annual budget for presentation to the Legislature in January.
   - The Governor must also sign off on all projects later approved by the Legislature.

4. **Legislature**
   - Upon submittal of the project to the Legislature in January, the project completes a hearing process through the Joint Committee on State Building Construction.
     - State funded projects that are approved by the Joint Committee are forwarded to the full Legislature for approval.
     - Non-state funded projects are submitted to the Joint Committee in an advisory capacity and do not require approval by the Legislature.
   - If approved during the normal January – April legislative session, the project funding is available July 1, allowing KU to execute contracts for design services at that time.

If a time sensitive project misses the April 1 submittal to the KBOR for justifiable reasons, it is possible to fast track project approval through the process identified below.

- Prior to the Legislative Session (June-January), the Capital Improvement request can be amended and presented to the Joint Committee for approval.
- Current fiscal year state-funded projects must be taken to the Finance Council.

Bonding authority can also be reviewed and approved by the State Finance Council (chaired by the Governor) if the Legislature is not in session.

Typical Process Timeline

Approvals = 15- 18 Months

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Small Capital Projects

A project is considered a small capital improvement project:

- If the project's estimated construction costs are less than the $750,000 architectural/$500,000 engineering legislative limit, and it requires design services.

Overview

Types of projects:
Facility improvements that address construction or modifications for architectural, structural, mechanical, electrical, plumbing, building exteriors and envelopes, site development, ADA upgrades, space planning, signage, furniture upgrades, and any project requiring a code review.

Range of construction costs for typical projects: $500 - $750,000 for small capital projects

Timeline for feasibility study: <30 days

Approvals required: At the study phase there are no approvals required until the project is funded. Exception: for projects anticipated to exceed $500,000 in construction costs or involving a new use of land, the Office of Capital Planning and Space Management (CPSM) needs to review the project and may forward it to the Capital Planning Advisory Committee (CPAC) or the Capital Projects Council (CPC) for further review.

Process Summary

Clients may submit a project request through the web-based DCM Project Request form (the link is provided in the reference list in Appendix B) or to any DCM staff member by phone, e-mail, or in person. The person receiving the request:

- Enters the request information on the DCM database "Project Request" tab, filling in all fields of information.

DCM's project review team (DCM Director, Deputy Director, Associate and Assistant Directors, University Fire Marshal and Planning staff) meets weekly to review project requests:

- A list of all projects requested during the prior week is printed for distribution at the meeting.
- Each project is evaluated and:
  - Assigned to a DCM Project Manager (PM) for projects requiring design.
  - Forwarded to FO for projects that do not require design or code review.
  - Forwarded to the Office of Capital Planning and Space Management (CPSM) for evaluation if the project is anticipated to exceed $500,000 for R&R projects or for any new use of land.
    - CPSM will determine if the project should be submitted to the Capital Projects Council (CPC) for required review and approval.

Following the meeting the Deputy Director or designated staff initiate projects in the DCM database.

- The database automatically sends the client a letter notifying them that the request was received, approved, and assigned to a DCM PM or referred to FS or CPSM.

- For projects accepted by DCM, the letter includes the following information:
    - Project title and number.
    - DCM PM assigned to the project.
    - The target date for completion of a feasibility study.
    - Copied on the letter are: the Associate Vice Provost for Operations, Directors of Facilities Services, KUIT, and EHS.
- The database also sends an e-mail to the PM and their project team notifying them that they have a new project.
- During the feasibility study phase, the PM is responsible for:
    - Meeting with the client.
    - Establishing the scope of work.
    - Using the DCM database to generate the study cost estimate, Physical Plant Modification Request (PPMR) and study cover letter.
    - Sending the PPMR/feasibility study package to the client for funding approval within 30 calendar days of the project assignment.

The PPMR/feasibility study package is automatically e-mailed to the client through the database process for funding and approval processing.

- The feasibility study package includes the following forms that are generated through the database:
    - Cover letter
    - Cost estimate (1version for Client, 1 version for Director of Facilities Services)
    - PPMR form
- The client typically receives the PPMR/feasibility study back within 30 calendar days.
- About 30% of studies are funded.

Small Capital Project
< $750, 000
Project Request Submitted
Project Reviewed
Project Assigned
DCM A/E
Associate Director
Project Manager
Landscape Support
Engineer Support
Architect Support
Planner Support
Other KU Entities
Small Capital Project
Feasibility Study
Timeline = 30 Days
Client

Small Capital Project Funding Process

- Funding for all capital projects is determined by the client. Once the feasibility study is received by the client, they must identify the funding source and acquire the required approvals if they choose to proceed with the project.
    - If funding is not approved within 90 days, the database will notify the Project Manager to check with the client to confirm if the project should be abandoned.
    - To fund the project, the client completes the PPMR form included with the feasibility study by identifying the funding source and including signatures by the Dean, Director, Chairperson or Vice Provost on the "project recommended by" line.
    - The client returns the executed PPMR to DCM.
        - Clients are encouraged to electronically sign and e-mail executed PPMR forms to DCM.
    - The DCM Deputy Director reviews the project and funding source, signs the PPMR and forwards the PPMR to the Provost's office or the Chief Business and Financial Planning Office for approval, as required.
        - PPMRs with state funding sources (generally 09x(x= any number), 089 and 088) also require approval by the Vice Provost for Administration and Finance.
    - Once approved by all parties at KU, the proposed project is submitted through the DCM Director to the Board of Regents for approval.
        - If the project is under $500,000 it can be approved by the KBOR Director of Facilities.
        - If the project is over $500,000 it will need to be added to the monthly KBOR meeting agenda and submitted for full Board approval.
            - The KBOR Board meets monthly from September through June on the third Thursday of the month and the preceding day.
            - Agenda items are submitted through KU's Chief Business and Financial Planning Officer (Theresa Gordzica) at least 16 days prior to the meeting.
    - Once the Provost has acquired the KBOR required approvals, DCM will be given the approval to proceed with the design phase of the project.

Timeline of Approvals

The KU funding approval process is the responsibility of the client and will usually take one to three months.

- If the study estimate is over $500,000, the project must be reviewed by the CPAC and forwarded for approval by the Capital Projects Council (CPC) which meets on a quarterly basis.

Approvals = 1- 3 Months

Design Process Overview

Once project funding and approvals are in place, the project follows a consistent process throughout design:

1. **Project Set-Up in Accounting**
    - The DCM PM fills out the State of Kansas Project Number Data Request Form from the OFPM website and submits it to OFPM to acquire a state project account number (A#).
    - When a completed PPMR form is received, DCM accounting sets up the cost center and transfers funds into the project's account for projects over $10,000 (and all projects funded with R&R funds, regardless o project cost). Accounting transfers funds into the project's account when the project is awarded or released.
    - Clients provide accounting administration for projects under $10,000 and for Affiliated Corporations, Endowment, and Housing funded projects.

2. **Design Team Established**
    - The majority of small capital projects are designed by DCM's in-house Architects and Engineers.
        - If DCM in-house Architects and Engineers design the project, the project team for the feasibility study will typically continue throughout the process.
    - Occasionally, DCM uses the services of an on-call A/E firm or hires a consultant by the appropriate procurement process.

3. **Design Program Finalized**
    - Once the design team is established, the PM schedules a meeting with the client to review the scope of work and to finalize any program items.
    - Dependent upon the scope of work, other appropriate KU entities should attend this meeting.

4. **Code Footprint and ADAAG Review**
    - **A properly and timely developed Code Footprint is essential to the success of projects with life safety code requirements.**
        - If a Code Footprint is required, the A/E should prepare the Code Footprint as early in the project timeline as possible, with the submittal at the Design Development stage of the project, at the latest.
        - If the A/E does not believe a Code Footprint is needed, they should submit the OFPM Form "Is a Code Footprint Required?" to OFPM for determination.
        - At this time OFPM may also do an initial ADAAG review.
    - The construction documents continue to be developed during the review period.

5. **Final Design Reviews**
    - When the construction documents are completed, the PM schedules a final review meeting.
    - During this meeting, the plans are reviewed with the client and all involved entities

to insure that the programmatic needs and project issues have been addressed.

- At the end of the meeting, the client and other appropriate KU entities should sign the project acceptance on the cover sheet of the construction documents with the review comments shown.
- The construction documents are revised to reflect the comments from the review meeting for the final construction documents.

6. Final Design Approvals

- The final construction documents are sealed by the DCM A/E or consultant.
- The sealed documents are prepared for printing and distribution.

Bidding and Construction Options

The options for construction services are dependent upon the source of funding and the estimated construction costs:

1. **Construction through Facilities Services (FS):**
   - State or non-state funding.
   - No absolute limit on construction costs, though FO is typically used on small to medium sized projects.
   - The DCM PM maintains oversight of the project and works closely with the assigned FO project manager.

2. **Construction through Job Order Contracting:**
   - Non-state funds only.
   - No limit on construction costs for the current E&I vendor (Nouveau). Check with the AD on other contracts.
   - Job Order Contracting provides service options through existing contracts of the State of Kansas or a recognized consortium (such as the Educational and Institutional Cooperative Services, Inc.) for the procurement of construction services.
   - The DCM PM maintains oversight of the project, reviewing shop drawings, making periodic inspections, and ensuring compliance with the construction documents.
   - The DCM Construction Manager (CM) may provide construction oversight, making daily inspections, as needed.

3. **Construction through Competitive Bids (state funds):**
   - State funds only
   - Technically, no limit to construction costs --- Limited in this category only by the definition of a small capital project (less than $750,000 architectural and $500,000 engineering construction).
   - Bid process is through OFPM in Topeka.
   - The DCM PM maintains oversight of the project, ensuring that A/E reviews and approves shop drawings, makes periodic inspections, and confirms compliance with the construction documents.
   - The DCM CM may provide construction oversight, making daily inspections, as needed.

4. **Construction through Competitive Bids (non-state funds)**
   - Non-state funds only.
   - Technically, no limit to construction costs --- Limited in this category only by the definition of a small capital project (less than $750,000 architectural and $500,000 engineering construction).
   - Bid process is through DCM and KU Purchasing.
   - The DCM PM maintains oversight of the project, ensuring that A/E reviews and approves shop drawings, makes periodic inspections, and confirms compliance with the construction documents
   - The DCM CM may provide construction oversight, making daily inspections, as needed.

The Construction Process

1. On contracted projects, the DCM Project Manager maintains supervision of the project with the DCM Construction Manager assigned to the project to handle day to day construction management.

2. Once construction starts, the DCM Project Manager/Construction Manager generally coordinates:
    - The requests for information
    - Submittals
    - Change orders
    - Pay applications
    - Site observation visits
    - Meeting minutes
    - Scheduling with OFPM the reviews and inspections

3. When the project is nearing completion, a final inspection is set by the DCM Project Manager/Construction Manager.
    - The final inspection typically involves the A/E, Project Manager, Construction Manager, Client, Contractor, OFPM inspector and FO.
    - The A/E prepares a punch list of deficiencies from items noted during the inspection.
        - The punch list is distributed to all parties involved.

4. Once the final inspection is complete and only punch list items of work remain:
    - The project phase can change from "Construction" to "Substantial Completion."
    - Typically the Substantial Completion date is used to start the warranty period.
    - The OFPM inspector will request from their office a Certificate of Occupancy when all life safety systems are in place, tested and working properly.
    - Once the Certificate of Occupancy is received from OFPM, the Client may occupy the space.

5. When all punch list items are complete:
    - A punch list inspection is completed by the group involved with the previous inspection to confirm that all items have been completed.
    - The project can be moved to the "Construction Complete" phase.

Project Name/ KU Project Number:
Project Manager: Dates:

Project Name/ KU Project Number:		Y	N	N/A	Comments
1	**Project Initiation**				
	1. The DCM Director or DCM contact receives the project request from a client.				
	2. The DCM Director or DCM contact enters the project request information into the database (if received by other than web-based request) a. Enter the request information on the DCM database "Project Request" tab, filling in all fields of information.				
	3. DCM's project review team (DCM Director, Deputy Director, Associate and Assistant Directors, University Fire Marshal and Planning staff): a. A list of all projects requested during the prior week is printed for distribution at the meeting. b. Assigns project to a DCM Project Manager and support team for projects requiring a DCM Feasibility study. c. OR the DCM Director forwards the request to the Capital Planning Advisory Committee (CPAC) and/or CPSM for evaluation (see "Process Summary" comments at beginning of this section or Chapter 4 for listing of project requirements for CPAC/ CPC approval). d. OR the Deputy Director notifies the Client that the project has been rejected. e. OR the Deputy Director forwards the project directly to FS if design or code review are not required.				
	4. For assigned projects, the database automatically sends an e-mail to the DCM PM and their project team notifying them that they have been assigned the project.				
	5. For assigned projects, the database automatically sends an e-mail to the DCM PM and their project team notifying them that they have been assigned the project. a. Project title and number b. The DCM PM assigned to the project c. The target date for completion of a DCM Feasibility study or program d. Copied on the letter are the Associate Vice Provost for Operations (Barry Swanson), Director of Facilities Services (Vince Avila), KUIT and EHS. Re: Appendix B Reference List – Letter of Notification				
	6. OR the database notifies the Client that the project has been forwarded for review by CPSM and the identified capital planning process.				
2	**Capital Planning Process**				
	1. Refer to Chapter 4 of this manual for the outline of the Capital Planning and approval process.				
	2. The DCM PM may be involved in the preparation of the Phase 1 and Phase 2 Assessments, as well as the later Architectural Program document.				
	3. Once approved through the Capital Planning process, the Provost or Vice Provost for Administration and Finance (Diane Goddard) assigns the Program/Building committee for the project and notifies DCM.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
3	**DCM PM Begins Project Management**				
	1. PM and project team receive an e-mail generated from the database with notification they have been assigned the project.				
	2. PM confirms with the AD if project requires preparation of a Program document or a Feasibility Study.				
	3. If an Architectural Program document is warranted, follow the process outlined in Chapter 6 of this manual for Large Capital Projects.				
	4. The PM contacts the client to determine the scope of work and completes site verification if required.				
	5. PM gathers preliminary information about project scope from those who assigned the project (Deputy Director, AD.)				
	6. PM contacts DCM staff support assigned to the project for their input.				
4	**Prepare Feasibility Study**				
	1. PM, with assistance from the Project Team, prepares the cost estimate and project schedule through the database. a. *Include estimates from other entities as required (IT/audio-visual costs, EHS/ hazardous materials abatement, furniture moving, printing costs, contingency, DCM/ OFPM fees, etc.)* b. *Include schedule dates for design, bidding, and construction .*				
	2. PM prepares the feasibility study package through the database to submit to the client to include: a. Cover letter b. Cost estimate c. PPMR Form and the study letter Re: Appendix B Reference List – Cover Letter of Feasibility Study Re: Appendix B Reference List – Cost Estimate Re: Appendix B Reference List – PPMR Form				
5	**Feasibility Study Distributed**				
	1. PM confirms that the feasibility study is e-mailed by the automated database distribution function to the client. a. Database copies EHS, IT, FS, and other entities for review as required, and the Director, Deputy Director, and Associate Director.				
	2. Feasibility study package to be provided to client within 30 days of project assignment.				
6	**Client Reviews Study for Approval**				
	1. If client approves the study and chooses to pursue the project, they sign the PPMR form, identify the funding source, and return the PPMR form to DCM. a. Clients are encouraged to electronically sign and e-mail executed PPMR forms to DCM.				
	2. If Client has not returned signed PPMR to DCM within 90 days, PM contacts Client to determine if project may be abandoned.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
7	**Set up Project in DCM and OFPM Accounting**				
	1. 1. Upon receipt of a signed PPMR, the DCM Director's administrative associate completes the following: a. Provides the PPMR to the DCM Deputy Director for review and approval. i. The DCM Deputy Director forwards the project, as required, for additional KU approvals. b. Enters the approved cost, date of approval, and funding source account number into the DCM database. c. Changes the project stage from "Study Released" to "Design-Pending" in the database. i. This stage change triggers an automatic note from the database to the PM, notifying them that the project is approved. d. Scans the fully signed PPMR, e-mails it to the DCM Financial Analyst (Lisa Miller) to set up the DCM project account e. DCM Accounting places the scan in the project accounting folder.				
	2. Once the fully signed PPMR form is returned to DCM, the PM can move the project into Design or Design Pending.				
	3. The DCM Deputy Director includes the funded project on the list for Board of Regents review and approval. a. DCM design for small capital projects is typically allowed to proceed during the BOR approval process.				
	4. The DCM Financial Analyst coordinates with the University Comptroller and KU Budget Office to set up the KU cost center (seven digits) for the project and to transfer the funds into the project's account for projects over $10,000.				
	5. Verify funding type(s) (State, Federal, etc.). List in comments. Verify any restrictions or time limits for use of the identified funds.				
	6. Refer to the Appendix B Reference List of this manual for information on the various fund accounts and restrictions/timeframes for the use of specific funds.				
	7. The PM fills out the OFPM Form 'State of Kansas – Project number Data Request Form' (found on the OFPM website) that requests from OFPM an 'A' (account) number that will be assigned to the project. a. OFPM requires this for every project and any correspondence to OFPM concerning the project is required to have the 'A' number on the correspondence. b. A #'s are not needed for minor remodels that only involve finishes.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
8	**Establish the Design Team**				
	1. The majority of small capital projects are designed by DCM's in-house Architects and Engineers.				
	2. The Associate Director works with the Project Manager to determine the design team. a. Typically the feasibility study design team will be maintained throughout the project.				
	3. If warranted due to a specialized project scope or heavy DCM workload, an on-call A/E firm may be retained or an A/E consultant procured. a. If state funds have been identified for the project, the procurement process is required to be administered by OFPM in Topeka. b. If the project is funded through non-state resources, the procurement process can be administered by DCM through KU Purchasing (per the Project Delivery Construction Procurement Act process). c. On-call consultants are currently procured through the OFPM process and can be used for projects with either state or non-state funding for construction costs estimated not to exceed $750,000 for architectural or $500,000 for engineering projects. Re: Chapter 6 Checklist – Procurement procedures for State Funds Re: Chapter 6 Checklist – Procurement procedures for Non-State Funds				
9	**Finalize the Design Program**				
	1. The PM confirms if special conditions apply to the project which must be addressed during the design process: a. Projects located within 150 feet of the external campus boundary trigger the City Agreement process which includes development requirements, notification schedules and appointment of a Neighborhood Advisory Committee b. Projects located within the environs of historic properties trigger CHPB and/or LHRC review c. Projects disturbing more than one acre require submittal of a Notice of Intent to KDHE d. Other reviews and/or permitting may be required for flood plains, hazardous materials, storm water management, etc.				
	2. Once the design team is established, the PM schedules a meeting with the extended Project Team to review the scope of work, the cost estimate, and the timeline for the construction. This meeting includes the client and applicable KU entities such as: a. University Fire Marshal b. EHS c. KU IT d. Public Safety Office e. FS				
	3. PM completes field verification and pictures as needed.				
	4. PM reviews and finalizes the program with the Client. a. Consult the AD, as needed.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
10	**Design Phase**				
	1. The PM (or A/E) determines if a Code Footprint is required and includes this within the design process. a. If the PM (A/E) believes one is not necessary, then the PM completes the OFPM form "Is a Code Footprint Required?" and forwards it to the University Fire Marshall for submittal to OFPM. b. See below for submittal process for code footprint review. 2. The Design team completes the design (to Design Development phase) and begins the construction documents. a. Projects through OFPM require scheduled design phase submittals. Refer to the OFPM Manual for complete information. b. Small projects may not identify design phases (SD, DD, etc.), but it is critical that the PM receive Client approval of the design concept before proceeding to CDs. c. Upon approval of the Design Development submittal, a design freeze will occur. Significant changes made during subsequent phases must be resubmitted for approval by the AD and Deputy Director and may require other approvals. d. DD level review documents should be provided to the Associate Director to submit for any required specialized reviews: i. Campus Historic Preservation Board for review of campus projects within the environs of properties on the state or national registers. 1) The CHPB may forward projects impacting historic resources outside of the campus boundary to the Lawrence Historic Resources Commission. ii. Campus Architectural Barriers Committee for review of ADA compliance and meaningful accommodation. iii. Public Safety Office for approval to install security cameras on campus.				
11	**Code Footprint and ADAAG Review**				
	1. No later than the Design Development (DD) phase, the PM (A/E) must prepare and submit the code footprint for the required reviews and approvals. a. If the A/E believes a Code Footprint is not required, see the step above for filing the “Is a Code Footprint Required” form.				
	2. The Code Footprint is sent to the University Fire Marshal who reviews the submittal and forwards it to OFPM and the Kansas State Fire Marshal’s Office (KSFMO) with a request for review form. a. This process typically takes 2-8 weeks to receive final approval. b. OFPM may also conduct a preliminary ADAAG review at this time.				
	3. During this review period, the PM (A/E) continues in the preparation of the construction documents. a. Note: Projects cannot be advertised for bid through the State bidding process until OFPM has completed their review of both the Code Footprint and the final construction documents. Re: Appendix B Reference List – Code Footprint Sample				

Project Name/ KU Project Number:		Y	N	N/A	Comments
12	**Final Design Reviews**				
	1. When the construction documents are complete, the PM schedules a final review meeting.				
	2. During this meeting, the PM (A/E) reviews the plans with the client and all involved entities to insure that the programmatic needs and project issues have been addressed. a. Parties typically included in this meeting are those involved in the earlier design meetings, such as the client, UFMA, FS, IT EHS, etc.				
	3. At the end of the meeting, the client should sign the cover sheet of the construction documents with the review comments shown. a. The layer for the review signature lines are available in the CAD template.				
	4. The construction documents are revised to reflect the comments from the review meeting to be included in the final construction documents.				
13	**Final Design Approvals**				
	1. The final construction documents are sealed by the DCM A/E or consultant. a. The PM places the final electronic files in the Bid Set folder in the project file.				
	2. The final sealed documents are prepared for printing and distribution (see the next section in Bidding and Construction for instructions to the documents).				
	3. Sets of the final construction documents are sent for final approval to: a. OFPM through the University Fire Marshal with a request for review form. i. OFPM works through the State Fire Marshal's Office for code review (2-8 weeks) and, once approved, issues a Permit to Build. ii. **If bidding through the State of Kansas bid process, the permit to build must be issued before the project can be advertised for bid.**				
	4. Additional sets should be confirmed through the AD to determine if delivery is appropriate to: a. State Historic Preservation Office (SHPO,) for application for tax credits b. City of Lawrence, for the requirements of the City Agreement c. Public Safety Office (PSO) d. Parking and Transit e. KU Architectural Barriers Committee (ABC) f. Campus Historic Preservation Board (CHPB), for environs review g. Capital Planning Advisory Committee (CPAC) h. University Fire Marshal i. EHS j. KU IT k. FS l. Board of Regents				

Project Name/ KU Project Number:		Y	N	N/A	Comments
14	**Determine Correct Process for Construction Services**				
	The options for construction services are dependent upon the source of funding and the estimated construction costs:				
	1. **Construction through Facilities Services (FS):** a. State or non-state funding b. No absolute limit on construction costs, though FS is typically used on small to medium sized projects.				
	2. **Construction through Job Order Contracting:** a. Non-state funds only b. No limit to construction costs through the current E&I vendor (Nouveau). Confirm with AD on other contracts. c. Job Order Contracting provides service options through existing contracts of the State of Kansas or a recognized consortium (such as the Educational and Institutional Cooperative Services, Inc.) for the procurement of construction services.				
	3. **Construction through Competitive Bids (state funds):** a. State funds only b. Technically, no limit to construction costs --- Limited in this category only by the definition of a small capital project ($750,000 architectural and $500,000 engineering construction). c. Bid process is through OFPM.				
	4. **Construction through Competitive Bids (non-state funds)** a. Non-state funds only b. Technically, no limit to construction costs --- Limited in this category only by the definition of a small capital project ($750,000 architectural and $500,000 engineering construction). c. Bid process is through DCM and KU Purchasing.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
15	**Print and Distribute Bid/Construction Documents**				
	GENERAL NOTES FOR ALL PROJECTS: The DCM PM is required to have prior review and approval of the final CDs from the AD or Deputy Director before printing the documents. The options for printing and distributing bid documents are dependent upon the source of funding and the estimated construction costs, as outlined below:				
	1. **Projects to be issued to FS Construction:** a. State or non-state funding b. PM may use DCM office printers for very small sets or the current printing contract vendor (Drexel) for all others. c. **If Drexel is used**, PM sends the electronic files to the Facilities Support IT Manager (Joe Friday) for submittal to Drexel. PM should provide: i. Electronic files of A/E stamped plans and specifications ii. Electronic file of completed order form iii. Electronic file listing those to receive documents: 1) 2 sets to DCM 2) 2 sets to FS Director 3) 2 sets to each FS shop involved in the project 4) 1 set to EHS 5) 1 set to KU IT 6) 1 set to the client 7) 1 set to the University Fire Marshal for submittal to OFPM 8) Others - See step 6 under "Design Checklist" for Small Capital Projects for list of possible additional groups to receive sets iv. The Facilities Support IT Manager forwards the order to Drexel. 1) Drexel delivers the document sets to those listed. d. **If documents are printed at DCM** i. PM prints the final sets. ii. All required sets to the FS Director and the FS shops are provided to the DCM Deputy Director for delivery. 1. Include 2 copies of the cost estimate and 1 copy of the EHS letter. iii. PM sends sets to EHS, KU IT and the client. iv. PM provides 1 set to University Fire Marshal for delivery to OFPM.				
	2. **Projects for Job Order Contracting** a. Non-state funding only b. Printing options are the same as listed above for FS Construction. c. PM confirms current applicable JO Contractors (currently only Nouveau) i. Submits sets of CDs to JO Contractor with a request for proposal. 1. Confirms number of sets needed by JO Contractor. d. PM sends two sets to FS.				
	3. **Projects for OFPM Competitive Bid Process** a. State funding only b. See process outlined for OFPM process under "Large Capital Projects."				
	4. **Projects for DCM/KU Purchasing Bid Process** a. Non-state funding only b. See process outlined for KU Purchasing process under "Large Capital Projects."				

Project Name/ KU Project Number:		Y	N	N/A	Comments
16	**Bid and Award Project**				
	The options for bidding and awarding projects are dependent upon the source of funding and the estimated construction costs, as outlined below:				
	1. **FS Construction** a. The award of work is completed by the DCM Deputy Director issuing: i. The construction documents ii. A copy of the DCM estimate iii. Hazardous materials information (as applicable) iv. A release letter to FS				
	2. **Job Order Contracting** a. When the proposal is received from the JO Contractor, the PM may flag any pricing that seems out of line. i. Discuss with the AD. b. If the proposal is within the funded budget amount, the proposal can be accepted. c. Once the proposal is agreed upon, the PM prepares a post bid to be filed electronically in the project accounting folder. i. The post bid should be forwarded to DCM Accounting (Lisa Miller) so that a PO can be entered into KUPPS and a tax exemption obtained. d. The proposal is approved as either an amendment to a contract or by the preparation of a new short form contract.				
	3. **Bidding through KU Purchasing** a. Non-State Funds only b. The PM should attend the scheduled bid opening as the DCM representative. i. KU Purchasing chairs the meeting. c. KU Purchasing prepares a bid tabulation and notifies: i. the PM ii. the DCM Director's Administrative Associate iii. the applicable Assistant or Associate Director iv. the DCM Deputy Director d. The PM prepares a Post-Bid budget form and files it electronically in the project accounting folder. e. If the recommended bidder is within the approved budget, the bid can be awarded, pending submittal by the bidder of all requirements. i. Bids may be awarded to the lowest responsible and responsive bidder ii. If the bids exceed the project budget, consult with the Assistant or Associate Director. f. The PM forwards the Post Bid, the bid tabulation, and the recommendation for bid award to the DCM Deputy Director. g. The DCM Director or Deputy Director sends a letter to KU Purchasing recommending award of the bid. i. The PM and DCM Accounting (Eunice Clifton) are copied on the letter. h. KU Purchasing awards the bid and sends a letter of award to the DCM Director or Deputy Director, with a copy to DCM accounting. i. The Director or Deputy Director notify the PM of award. j. DCM Accounting enters the Purchase Order in the KUPPS and obtains a tax exemption number.				

	Project Name/ KU Project Number:	Y	N	N/A	Comments
	4. **Bidding through OFPM – follows the process outlined in the OFPM manual. Refer to the manual for the most current information**. The following is intended as a general overview. a. State Funds only b. The PM may attend the scheduled bid opening at the State Division of Purchases (DOP) in Topeka. c. DOP prepares a bid tabulation and notifies the DCM Director or Deputy Director. i. Bid tabulation forwarded to PM. d. The PM prepares a Post-Bid budget form and files it electronically in the project accounting folder e. If the recommended bidder is within the approved budget, the bid can be awarded, pending submittal by the bidder of all requirements. i. Bids may be awarded to the lowest responsible and responsive bidder ii. If the bids exceed the project budget, consult with the Assistant or Associate Director. f. The PM forwards the Post Bid, the bid tabulation, and the recommendation for bid award to the DCM Deputy Director. g. The DCM Deputy Director sends a letter to the State DOP recommending award of the bid. i. The PM and DCM Accounting (Eunice Clifton) are copied on the letter. h. DOP awards the bid and sends a letter of award to the DCM Director or Deputy Director. i. A copy is forwarded to DCM accounting i. The Deputy Director notifies the PM of award. j. DCM Accounting enters the Purchase Order (PO) in the KUPPS and obtains a tax exemption number. k. OFPM/State Division of Purchases handles all contracting, bonds and insurance.				
17	**Finalize Contracts and Notice to Proceed**				
	The options for executing contracts and issuing Notice to Proceed are dependent upon the process selected above.				
	1. **FS Construction** a. No contract is prepared for FS work nor is there a notice to proceed. b. The award of work is issued via the letter from the DCM Deputy Director as outlined in the previous step above.				
	2. **Job Order Contracting** a. If the proposal involves an Educational and Institutional (E and I) Job Order Contractor: i. The Office of General Counsel has prepared a template for use. ii. The PM completes the template and electronically forwards the contract to the Contractor. iii. The Contractor prints the form and sends back two signed originals to DCM Accounting (Eunice Clifton). iv. DCM Accounting to forwards the two originals for KU signatures by: 1) The DCM Deputy Director 2) The Director of KU Purchasing b. Once the contract is finalized, Accounting: i. Provides one original to the DCM Deputy Director. ii. Places the second original in the DCM accounting project file. c. The DCM Deputy Director sends a letter to the contractor to include: i. One original of the signed contract ii. A copy of the Purchase Order d. This letter serves as the Notice to Proceed				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	3. **Contracting through KU Purchasing** a. The PM prepares the standard DCM AIA A101 Owner Contractor agreement from the approved template. i. Once the form is completed, the contract is edited and finalized by DCM Accounting (Eunice Clifton). ii. The agreement is reviewed by the AD or Deputy Director. b. Once internally reviewed, the PM e-mails the agreement to the Office of General Council for review. c. When approved by General Counsel, the PM notifies DCM Accounting and they forwarded two copies of the agreement to the Contractor for signature. i. Both original copies need to be signed by the Contractor and returned to DCM Accounting along with the contractor's bonds and insurance. d. DCM Accounting forwards the bonds and insurance to the PM for review for compliance with the project's general conditions. i. The PM confirms whether the bonds and insurance are in compliance. ii. Accounting forwards the contracts for KU signatures to: iii. The KU Chief Business Officer OR iv. The Director of the KU Affiliate, if an affiliate project. e. The signed agreements are returned to DCM Accounting to: i. Verify that bonds and insurance are in place. ii. Send one to Contractor with copy of PO attached. iii. Scan and file the DCM copy. iv. E-mail notification to KU Purchasing and to PM that contract is in place. f. The Deputy Director issues Notice to Proceed				
	4. **Contracting through OFPM** a. **Contracting and Notice to Proceed through OFPM follows the process outlined in the OFPM manual. Refer to the manual for the most current information.** b. OFPM/State Division of Purchases handles all contracting, bonds and insurance with the contractor. c. OFPM distributes the executed contracts, sending a copy to the DCM Deputy Director who notifies: i. DCM Accounting to file the document 1) Copy the PM d. OFPM issues the Notice to Proceed.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
18	**Construction**				
	GENERAL NOTES FOR ALL CONSTRUCTION: a. Neither the scope of work nor the budget can be increased without approval of the DCM Director. i. Other approvals may also be required. b. Change orders exceeding $125,000 must be approved by the Joint Committee. i. Costly change orders are to be avoided unless absolutely necessary. c. The DCM PM and/or Construction Manager work with the Contractor/ FS and client throughout construction to resolve any questions or changes to the scope of work. d. See sample Pre-Construction Meeting Agenda in the *Appendix B Reference List.*				
	1. **FS Construction** a. The FS Asst. Director for Project Management (Cliff Hadl): i. Receives the construction documents sent to FS from the DCM Director. ii. Prepares the construction schedule and sends it to the DCM PM. iii. Copies the DCM ADs. iv. Notifies OFPM to schedule any needed inspections. v. Schedules a Pre-Construction meeting to include: 1. FS 2. The DCM PM 3. The Client 4. Other applicable KU departments. b. The PM reviews all shop drawings and makes periodic site inspections. c. FS submits monthly invoices to DCM Accounting (Lisa Miller). i. Accounting forwards to PM for review and approval, PM returns to Accounting. ii. PM updates and monitors project budget as invoices are received.				
	2. **Construction through Job Order Contracting** a. The DCM PM schedules a Pre-Construction meeting to include: i. The DCM Construction Manager and PM ii. The Job Order Contractor iii. The Client iv. FS v. Other applicable KU departments b. The Job Order Contractor schedules any necessary inspections with OFPM. c. The PM reviews all shop drawings and makes periodic site inspections. d. The DCM Construction Manager (CM) makes daily site inspections as needed. i. The CM is the single point of contact for the contractor. e. The Job Order Contractor submits invoices to DCM Accounting (Lisa Miller). i. Accounting forwards to PM for review and approval. 1) PM returns invoices to Accounting. ii. PM updates and monitors project budget as invoices are received.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	3. **Construction through DCM/KU Purchasing Process** a. The DCM PM (or A/E consultant, if applicable) schedules a Pre-Construction meeting to include: i. The A/E, if applicable ii. DCM Construction Manager and PM iii. The Contractor iv. Client v. FS vi. Other applicable KU departments b. The Contractor schedules any necessary inspections with OFPM. c. The PM (or A/E, if applicable) reviews all shop drawings and makes periodic site inspections i. PM may forward shops to DCM support team for their review if warranted. d. The DCM Construction Manager (CM) makes daily site inspections as needed. i. The CM is the single point of contact for the contractor. e. The Contractor submits invoices to DCM PM (or A/E consultant, if applicable). i. The PM reviews and approves the invoices. ii. The PM forwards approved invoices to DCM Accounting (Eunice Clifton). iii. The PM updates and monitors the project budget as invoices are received.				
	4. **Construction through OFPM Process** a. The DCM PM (or A/E consultant, if applicable) schedules a Pre-Construction meeting to include: i. The A/E, if applicable ii. DCM Construction Manager and PM iii. The Contractor iv. Client v. FS vi. OFPM representatives, if applicable vii. Other applicable KU departments b. The Contractor schedules any necessary inspections with OFPM. c. The PM (or A/E, if applicable) reviews all shop drawings and makes periodic site inspections. i. PM may forward shops to DCM support team for their review if warranted. d. The DCM Construction Manager (CM) makes daily site inspections as needed. i. The CM is the single point of contact for the contractor. e. The Contractor submits invoices to the DCM PM (or A/E consultant, if applicable) i. The PM reviews and approves the invoices. ii. The PM forwards approved invoices to DCM Accounting (Eunice Clifton) for processing. iii. The PM updates and monitors the project budget as invoices are received				

Project Name/ KU Project Number:		Y	N	N/A	Comments
19	**OFPM Code and ADAAG Inspections**				
	1. OFPM code inspections and final construction inspections are required for KU construction projects.				
	2. The responsible parties for scheduling these inspections are: a. FS for FS Construction projects b. The Contractor for Job Order Contracting c. The Contractor for construction through DCM/ KU Purchasing or OFPM				
	3. **The requirements for inspections are outlined in the OFPM manual. Refer to the manual for the most current information:** a. The responsible party (listed above) determines when a code inspection or final inspection is required and contacts the OFPM inspector (3 working days in advance) for available times. b. When the time is established, the responsible party notifies, via Outlook or e-mail: i. Any required sub-contractors ii. University Fire Marshal iii. A/E and the DCM PM iv. DCM Construction Manager v. FS if appropriate (fire alarm/sprinkler inspections) c. **The OFPM manual guidelines should be followed for all mandatory inspections.** i. A list of required inspections is in the OFPM manual, Ch. 7. d. University Fire Marshal inspection is mandatory for all projects that submit a Code Footprint. e. OFPM must be involved in all required inspections. i. OFPM inspector will complete an inspection report for each inspection. ii. Reports are sent to DCM. iii. It is the responsibility of DCM to forward the reports to the A/E and Contractor				
	4. The PM verifies that the code inspections are scheduled and completed.				
	5. Final inspection by OFPM may not be requested until life safety systems and accessibility are compliant.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
20	**Construction Punch List and Certificate of Occupancy**				
	1. Towards the end of construction, the responsible party of: a. FS for FS construction projects b. The Contractor for Job Order Contracting projects and projects through DCM/ KU Purchasing and OFPM will schedule a construction punch list walk through with: c. The DCM PM and Construction Manager d. The Client e. And others, as applicable i. A/E ii. Sub-contractors iii. FS iv. IT v. EHS vi. Any other appropriate entity				
	2. For FS Construction projects: a. The DCM PM or Construction Manager will generate a construction punch list and issue it to FS.				
	3. For Job Order Contracting and Contractor construction projects: a. The DCM PM (or A/E if applicable) will generate a construction punch list and issue it to the Contractor along with a list of final deliverables required from the Contractor.				
	4. Final inspection by OFPM may be completed when life safety systems and accessibility are compliant.				
	5. After acceptable final inspection, a certificate of occupancy is requested by the OFPM inspector and KSFM. a. The A/E or DCM PM confirms with OFPM if partial occupancy is necessary to define limits.				
	6. OFPM issues the certificate of occupancy after confirming compliance with the OFPM inspector and KSFM.				
	7. Certificates may be issued for: a. Occupying a portion of a project. b. Occupying a project that is substantially complete (contractor has a list of items to complete). c. Occupying a project that is satisfactorily complete (Contractor has completed all contract document items).				

Project Name/ KU Project Number:		Y	N	N/A	Comments
21	**Substantial Completion**				
	1. For FS construction and Job Order Contracting projects: a. A Certificate of Substantial completion is not generally used. b. The DCM PM should reflect the change in status by updating the database status.				
	2. For projects with construction through DCM/ KU Purchasing or OFPM: a. Once the punch list items are documented and the Certificate of Occupancy is issued by OFPM i. The Certificate of Substantial Completion can be issued by the DCM PM (or A/E if applicable).				
	3. When the DCM PM agrees that the project is substantially complete, the PM notifies the client that they can move into the space.				
	4. The DCM PM starts the close-out procedures for the project. Refer to Chapter 7 of this manual.				

6

Introduction

Large Capital Projects have historically been defined for DCM as those projects with an estimated construction cost exceeding $750,000.

- Not included within the determining costs are:
  - Architectural-engineering consultant fees
  - Other ancillary service fees
  - Agency fees
  - Equipment and furnishings
  - Contingency funds
  - Other miscellaneous costs

For legislative approval purposes, large capital projects are those with construction costs exceeding $500,000 (for engineering projects) and $750,000 (for architectural projects).

For purposes of the new KU Capital Planning review process, large capital projects are defined as those new building or remodel projects exceeding $500,000, Rehabilitation and Repair Projects (R&R) exceeding $1 million, or projects proposing a new use of University land.

Overview

Types of projects: New buildings, expansion of buildings, major interior or exterior renovations

Cost range of typical projects: > $500,000

Timeline for Concept Assessment: < 30 days

Timeline for Architectural and Funding Feasibility A: 1-3 Months, depending upon scope and complexity

Timeline for Architectural Program Study: 2-6 Months or more, depending upon scope and complexity.

Process Summary

Refer to Chapter 4 – Capital Planning Process - for detailed information about the process and approvals required for the initiation of Large Capital projects. This chapter (Chapter 6) will focus on the role of DCM after a project has been approved through the Capital Planning Process.

The DCM Director is the point of contact for DCM involvement with the Capital Planning process. All work requested of DCM to support the Capital Planning process must go through the DCM Director.

PROCESS SUMMARY CHART

Project Initiation Overview

Once the project has received approval through the Capital Planning process, KBOR, and the Legislature/Governor, the project follows a consistent process:

1. Notification to DCM of Funding Approval

The Provost receives the Chancellor's approval to fund the project and provides notification to the Vice Provost for Administration and Finance (Diane Goddard) and the DCM Director (Jim Modig).

- The project is reviewed at the weekly DCM Project Assignment meeting and assigned to a Project Manager (PM) and professional Support Staff.
- The DCM PM serves as the point of contact for the Client.

2. Building Committee Appointments

The Provost or the Vice Provost of Administration and Finance (Diane Goddard) will appoint the members of the Building Committee, based on recommendations from DCM and the KU client's senior representative.

- The Building Committee role is advisory and actively involved in the development of the design during the design phases, with guidance and direction from DCM and other state agency personnel.

3. Project Accounting Set-Up

- After the project is funded and has received approvals to start design services, the Project Manager requests from OFPM an "A" (account) number that will be assigned to the project.
- DCM accounting works with the KU Budget Office to set up the KU cost center for the project and to transfer the funds into the project's account.

Design Process Overview

1. Procurement of Consultant A/E Services

- DCM will occasionally provide design services for large capital projects. Most large capital projects, however, procure the A/E design services from outside consultants.
- If the project is <u>state funded</u>:
  - The Office of Facility and Property Management (OFPM) in Topeka is required by statute to provide the advertising services for procurement of a firm.
  - The State Building Advisory Commission (SBAC) reviews the statements of qualifications submitted by consultant firms and provides a shortlist of firms to be interviewed.
  - The State Negotiating Committee interviews, selects, and negotiates the contract with the selected A/E team.

- If the project is <u>non-state funded</u>:
  - DCM's PM (with assistance from the AD of-Consultant Services) will draft the advertisement and KU Purchasing will advertise for services.

- The KBOR Procurement Committee will determine which of the firms will be interviewed, conduct the interviews, select and negotiate an appropriate fee with the A/E team.
- DCM's PM and the AD-Consultant Services will draft the contracts and attach copies of the Architectural Program, fee proposal and minutes of the fee negotiation meeting/correspondence.
- The contract package is reviewed and approved by the Office of General Counsel and returned to DCM for processing.

2. A/E contract Finalized and Signed

- If state funded, OFPM prepares and executes the contracts.
  - The PM receives the signed contract from OFPM and forwards to DCM's Accounting Manager (Eunice Clifton).
- If non-state funded, the PM forwards the contracts approved by the KU Office of General Counsel to the DCM Accounting Manager for processing.
  - Accounting forwards the contracts to the A/E for signature and then forwards to KU's Chief Financial and Business Planning Officer (Theresa Gordzica) for execution.
- DCM Accounting staff files a fully-executed copy in the accounting office's secure files, and scans and saves a copy to the DCM project Accounting folder on the server.

3. Procurement of Construction Management at Risk (Alternative Project Delivery)

- For projects with non-state funding only, the Alternative Project Delivery Process may be used, if determined appropriate.
- The process allows for the selection of the Construction Manager (CM) or General Contractor during the time period between Schematic Design and completion of construction documents.
- See further information under the section in this chapter on procurement of construction services.

4. Project Design Kick-Off Meeting

- Once the procurement of Architectural and Engineering design services has been finalized with a signed contract, the PM will coordinate with the A/E to set up a Kick-Off Meeting to officially start the design process.
  - All team members should attend the Kick-Off meeting to review and verify the project's scope of work, architectural program, key KU or Client issues and goals, the project budget, and the proposed timeline/schedule.
  - Team members include the DCM PM and Professional Support Staff, the consultants, the Client/Building Committee and appropriate campus entities to be involved in the process (Parking & Transit, EHS, FO, PSO, etc.) KEY TARGET DATES SHOULD BE CONFIRMED FOR DESIGN, BIDDING AND CONSTRUCTION MILESTONES.
  - For state-funded projects, all projects must comply with the Building Design and Construction Manual of OFPM. This manual provides an outline of the process and design, document and submittal requirements.

- The manual is located on the OFPM website at: http://www.da.ks.gov/fp/manual.htm
- For non-state funded projects, the OFPM Building Design and Construction Manual can be a helpful tool to the PM for confirming that all project elements have been addressed.

5. Program Review and Concept Design

- The initial phase of design is to review and confirm a collective understanding of the program scope and objectives.
- DCM's PM guides these discussions with the A/E and the Client/Building Committee, with particular attention paid during this and all subsequent phases to guard against any proposed increases or modifications to the approved project scope, budget or schedule.
- If any scope, budget or schedule increases are proposed at any point during the project:
  - Significant scope increases (greater than one percent of the project budget or over $50,000, whichever is less) trigger mandatory project re-approval by CPAC and the applicable procurement/ negotiating committee. Budgeted contingency is not to be applied toward scope creep.
  - Projects must first be approved through the Chancellor and the Chief Business and Financial Planning Officer (Theresa Gordzica).
  - For state funded projects, the changes must be submitted by the Director of DCM to the KBOR and the State Negotiating Committee for approval.
  - For non-state funded projects, changes must be presented by the KU Client's senior representative for approval to the KBOR Procurement Negotiating Committee.
- Concept plans are developed that establish space and site relationships, generally including at least three alternative solutions to the design of the capital improvement project. These solutions should adequately and appropriately address the requirements contained within the program document.
- The Concept Design submittal should include:
  - Refer to the OFPM Building Design and Construction Manual, chapter 12, for a listing of required submittals for state funded projects.
  - For non-state funded projects, the OFPM manual serves as a helpful guideline and should be followed unless otherwise directed.

6. Schematic Design (SD)

- One concept is selected to proceed to Schematic Design.
- Floor and site plans are developed, as are building elevations and sections illustrating the proposed appearance and interior of the building.
- Preliminary review of the building design with the Chancellor or designee is required to assure the design concept is acceptable.
- Refer to the OFPM Building Design and Construction Manual, chapter 12, for a listing of the SD scope and required submittals for state funded projects.
  - For non-state funded projects, the OFPM manual serves as a helpful guideline and should be followed unless otherwise directed.

7. Design Development (DD)

- The Design Development (DD) phase is a refinement of the Schematic Design documents.
    - Plans are developed with more detail, showing rooms with furnishings, equipment, doors, windows, structural components, mechanical and electrical systems, and civil, landscape and utility infrastructure.
    - For CM at Risk, the Project Team's key objective during this phase is to integrate all design elements in order to provide the General Contractor and/or Construction Manager with information sufficiently comprehensive to support a project DD estimate and guaranteed maximum price for the project scope of work.
    - For all projects, changes from the budget previously developed should be reconciled for scope and budgetary adjustments and submitted for any necessary approvals (see #5 above).
- The DD documents (both electronic and hardcopy) including updated cost estimates and schedule, must be submitted for review and approval by the Building Committee, Provost/Chancellor and Board of Regents before the project proceeds into construction documents.
    - The Director of DCM (the University Architect) will present the DD review documents to the Chancellor and Provost for review and approval.
    - For state-funded projects, the DD submittal must also be provided to OFPM for review and approval.
- Refer to the OFPM Building Design and Construction Manual, chapter 12, for a listing of the DD scope and required submittals for state funded projects.
- For non-state funded projects, the manual serves as a helpful guideline.
    - Refer to item #5 "Program Review and Concept Design" above for submittal of any proposed changes or adjustments to the project scope, budget or schedule.
    - Changes must be approved in writing before the A/E can proceed to the next phase.
- Once the DD submittal has been approved, a "design freeze" is established, after which no substantial changes can be made to the design without the possibility of incurring additional design fees or delays in the project schedule.
- Once all approvals are received, the A/E team moves into the Construction Documents (CD) phase.
- The Code Footprint and Energy Code compliance submittals are due during or at the completion of the DD phase (see next item below).

8. Code Footprint Review

- A properly and timely developed Code Footprint is essential to the success of projects with life safety code requirements.
- All Code Footprint submittals must be routed through the office of the KU Fire Marshal.
- If the A/E believes that a Code Footprint is required for the project, they should prepare the Code Footprint as early in the project timeline as possible, with the latest possible submittal occurring by the conclusion of DD.

    - An approved code footprint, signed by all parties, must be on file at OFPM prior to bidding the project.
- If the A/E does not believe a Code Footprint is needed, they should submit the OFPM Form "Is a Code Footprint Required?" to OFPM (via the KU Fire Marshal) for determination.
- OFPM may also complete an initial ADAAG review at this time.
- Refer to the OFPM Building Design and Construction Manual, Chapter 7, for instructions for these submittals.
- The construction documents continue to be developed during the review period.

9. Construction Documents (CD)

- The Construction Documents phase is the final phase of design.
    - This phase focuses on finalizing all drawings and specifications for building systems, site utilities, and components that will form the basis for the project's bid and construction documents.
    - A final set of comprehensive construction documents provides specifications and drawings sufficiently complete to support the contractor's bid, obtain necessary permits, and construct the project.
    - Construction documents must follow the KU and/or OFPM standards for formatting and content.
    - Refer to the OFPM "Construction Documents Checklist for Quality Control" (Form DCC 123 under the "Forms and Documents" link on the OFPM Design & Construction webpage at http://www.da.ks.gov/fp/) for a sample checklist that can be used from the outset of CDs for state-funded projects and designed to assist PMs and consultants in the submittal of complete sets of construction documents. For non-state funded projects, this is a helpful guideline, though some of the information will need to be revised to reflect KU's management of the project.
- The Building Committee may be consulted periodically during the CD phase.
    - Normally, the Building Committee Chair or a smaller steering committee will remain involved in all review sessions to represent the Clients' interests.
- At intervals appropriate to the project's complexity and scale, and as approved by the Client and DCM, a set of in-progress Construction Documents must be submitted for technical review and approval, typically at 30%, 60%, and 90% (or final) OFPM requires review submittals at 50% and Final (bid-ready).
    - Electronic and/or paper review documents are distributed by the A/E to the Project Team and appropriate stakeholders as identified by the PM or AD. The PM may be asked to distribute the documents internally at KU.
    - Typically a series of work sessions will be scheduled by the DCM PM and A/E to perform technical group reviews with the Project Team and appropriate stakeholder for each of the various disciplines/packages of work (Site/Civil, Architectural/Code, Mechanical, Electrical, Telecom/A-V/media systems and others as needed).
    - Comments from the technical review sessions are consolidated by the AE and reflected in the minutes of the meetings as well as the revisions to the CDs. For in-house design, the PM fulfills this role.
    - Approvals should include DCM, the Client's representative and a smaller

group from the Building Committee (which would serve as a technical issues steering committee), by University support units and others as needed.
    - Final CD approvals are as noted below.
- Changes to the scope or program in this phase will significantly impact the budget and schedule.

10. Final Approval to Bid

- The final bid package must be reviewed and approved by a DCM AD or the Deputy Director prior to releasing the documents for bid.
- Once the Construction Documents are revised with final review comments, they are issued to the Board of Regents (director level) for information of the bidding of the project.
- OFPM requires submittal of the final Construction Documents, to include the approved Code Footprint, prior to bidding the project. These are to be submitted through the University Fire Marshal.

The Bidding and Construction Process

Project Managers are responsible for guiding construction projects to ensure that projects are completed in accordance with the approved scope of work and delivered within the approved project budget and time schedule. The DCM Project Manager guides the Project Team through the bidding, procurement and construction process.

The process for the procurement of construction services depends upon the source of project funding.

- All state funded projects are required to bid or procure Construction Manager At Risk (CM) services through the Office of Facilities and Property Management (OFPM) in Topeka.
- Projects funded with non-state funds are allowed to procure construction services through KU Purchasing.

While most construction services for large capital improvement projects fall within the Competitive Bid category, some may be approached through the Construction Management at Risk (CM at Risk) process.

1. Procurement of Competitive Bid Construction Services

- **Projects with Non-State Funding:**
  - Plans and specifications are developed and sealed by the A/E consultant team and approved by KU.
  - The A/E prepares the technical front-end documents (using DCM's standard templates with guidance from the DCM PM), for use with the bid documents.
  - KU Purchasing (KUP) will add their standard front-end documents and/or attachments and advertise the project on the KUP website for a minimum of 15 days.
    - A minimum of 30 days is recommended for large or complicated projects.
  - The DCM PM will manage the printing and distribution of plans and specs through the current vendor (Drexel).
    - The distribution of electronic bid documents is encouraged wherever possible in order to minimize paper waste and the associated costs.
  - The A/E consultant facilitates the Pre-Bid meeting/ site tour and prepares the addendum for questions received prior to or during the meeting.
    - The A/E delivers the addenda to the DCM PM and KU Purchasing.
    - KUP posts all addenda a minimum of 7 days prior to bid opening.
  - KU Purchasing publicly opens the bids at the designated time, prepares the bid tabulation, and forwards the tabulation to the DCM PM and Deputy Director.
  - The PM reviews the base bid and alternate bids with the Client, prepares an updated DCM project budget and forwards with the recommended award of bid to the DCM Deputy Director.
  - The Deputy Director signs and returns the award of bid form to KU Purchasing to award the project.
    - Projects must be awarded to the lowest responsive and responsible bidder unless significant justification exists.

- KU Purchasing prepares a Purchase Order and forwards it to DCM Accounting to hold.
- The PM prepares the draft of the contract from the standard template and forwards it for review by the KU Office of General Counsel (OGC).
- Once approved by the OGC, the PM finalizes the contract language and forwards two copies to Accounting for processing.
- DCM's Accounting Manager assembles the two copies of the contracts and associated documents, sending them first to the Contractor for signature and then to KU's Chief Financial and Business Planning Officer (Theresa Gordzica) for execution.
- The fully executed contracts are returned to the DCM Accounting Manager.
  - Accounting encumbers the funds.
  - One copy of the signed contract is forwarded to the Contractor along with the Purchase Order from KU Purchasing.
  - One copy of the signed contract is maintained in the DCM Accounting file.
  - Copies are distributed to appropriate departments, if required.
- The PM completes the Notice to Proceed form and reviews with the DCM AD prior to issuing to the Contractor.

- **Projects with State Funding:**
  - The Office of Facilities and Property Management (OFPM) in Topeka manages the bid process for state-funded projects.
    - Refer to the OFPM Building Design and Construction Manual, Chapter 14, for instructions on the required document submittals and bid process.
  - The A/E provides the required sealed electronic/print versions of the construction documents to OFPM.
  - OFPM prepares the front-end documents with input from the A/E and the DCM PM.
  - Advertisement is provided through the Kansas Register, with bidding and contract award through the State Division of Purchases.
  - OFPM prepares the contracts and sends them to the Contractor and KU for signatures, distributing fully executed copies to all parties.

2. Procurement of Construction Management at Risk (Alternative Project Delivery – APD):

- **Projects with Non-State Funding:**
  - The Alternative Project Delivery Process may be used, if determined appropriate, for the sole and exclusive use of planning, acquiring, designing, building, equipping, altering, repairing, improving or demolishing facilities, utilities, or other real improvements on university property. Refer to the document "Kansas Board of Regents Procedures for Implementation of the State Educational Institution Project Delivery construction Procurement Act" for complete instructions, found in the reference list in Appendix B.

- The process allows for:
  - The selection of the construction manager or general contractor during the time period between Schematic Design and completion of construction documents.
- In order to consider the use of the CM at Risk process, DCM must submit a written request and justification to the KBOR Procurement Committee for each requested project.
- The Procurement Committee will consider the following factors for eligibility:
  - The likelihood that the Alternative Project Delivery method of procurement will serve the public interest by providing substantial savings of time or money over the traditional design-bid-build delivery process.
  - The ability to overlap design and construction phases is required to meet the needs of the end user.
  - The use of an accelerated schedule is required to make repairs resulting from an emergency situation.
  - The project presents significant phasing or technical complexities, or both, requiring the use of an integrated team of designers and contractors to solve project challenges during the design or preconstruction phase.
  - The project delivery method will not encourage favoritism in awarding the public contract or substantially diminish competition for the public contract.
- If approved for consideration by the Procurement Committee, KU Purchasing publishes a notice in the Kansas Register and on the DCM website announcing that the KBOR Procurement Committee will hold a public hearing for comments at least 15 days prior to the hearing.
- At the public hearing, DCM presents a summary to the KBOR Procurement Committee and the reasons for requesting the alternative delivery.
- The Procurement Committee makes a determination on approving the project for the alternative project delivery method.
- If approved, KU Purchasing publishes a notice of Request for Qualifications at least 15 days prior to the submittal deadline.
  - If not approved, then the construction services for the proposed project will be obtained by the competitive bid process outlined above and awarded to the lowest responsive and responsible bidder.
- KU Purchasing, on behalf of the KBOR, solicits proposals in a three phase, qualifications based selection process.
  - In Phase I the Procurement Committee evaluates the list of construction managers or general contractors submitting qualifications and shortlists 3-5 firms.
  - In Phase II, KU Purchasing requests proposals from the 3-5 firms shortlisted by the Procurement Committee.
  - In Phase III, the KBOR Negotiating Committee becomes involved, reviewing and interviewing the short-listed firms, ranking them in order of preference and negotiating and awarding a contract.
- The CM/ Contractor prepares a Guaranteed Maximum Price (GMP) proposal at

the stage of design designated by KU.
    - The DCM PM prepares an updated DCM project budget and arranges for the DCM Director or Deputy Director and Client to review and approve the GMP and project budget.
    - Once approved, the PM prepares the form of contract from the DCM template and forwards it to the KU Office of the General Counsel (OGC) for review and approval.
    - Once approved by the OGC, the PM finalizes the contract language and forwards two copies to Accounting for processing.
    - DCM's Accounting Manager assembles the two copies of the contracts and associated documents, sending them first to the CM/ Contractor for signature and then to KU's Chief Financial and Business Planning Officer (Theresa Gordzica) for execution.
    - The fully executed contracts are returned to the DCM Accounting Manager.
        - Accounting encumbers the funds.
        - One copy of the signed contract is forwarded to the CM/ Contractor along with the Purchase Order from KU Purchasing.
        - One copy of the signed contract is maintained in the DCM Accounting file.
        - Copies are distributed to appropriate departments, if required.
    - The PM completes the Notice to Proceed form and reviews with the DCM AD prior to issuing to the CM.

- Projects with State Funding:
    - For state-funded projects, the Office of Facilities and Property Management (OFPM) manages the selection and contracting for the Alternative Delivery Process through the State Building Advisory Commission (SBAC) and the State Division of Purchases.
    - Refer to the OFPM Building Design and Construction Manual, Chapter 4a, for instructions on the process.

The Construction Process

Construction may begin after the following have been completed:

- The contract with the General Contractor (GC) or Construction Manager (CM) has been finalized.
- The approved final code footprint and accepted final CDs are on file with OFPM (OFPM also requires an accepted "Path of Travel" form for remodeling projects).
- A Permit to Build has been issued (from OFPM for all projects on state property or the City and KU Fire Marshal for university projects not on state property).
- The Notice to Proceed has been issued.

1. Start of Construction:

- A construction kick-off meeting is organized with all Project Team members and

UFM in attendance.

- Regular construction progress meetings are held during the construction phase, typically on a bi-weekly basis, with the time and dates established during the kickoff meeting.
- Once construction starts, the DCM Project Manager ensures that the process is on track and verifies that the A/E is completing the requests for information, submittals, change orders, pay applications, site observation visits and meeting minutes in a timely manner.
- The PM and A/E may assist and provide direction to the Contractor related to all OFPM and UFM inspections and reviews of life safety system shop drawings and code inspections throughout the construction phase of the project.

2. Substantial Completion:

- **Certificate of Substantial Completion**: The project is considered Substantially Complete when the construction work is sufficiently complete, in accordance with the construction contract documents, so that KU's client may use or occupy the project or designated portion thereof for the intended use for which it was originally designed and intended.
    - This includes the completion of all life safety systems and a weather-tight envelope, and when adequate protection of building occupants and or equipment is provided from hazards posed by other continuing construction activities or other potentially harmful conditions.
    - The date of the Certificate of Substantial Completion establishes a number of other provisions:
        - The starting date of the Contractor's warranty period.
        - The date when KU assumes ownership of the facility and becomes responsible for the operation, maintenance and insurance.
- **Punch List**: Upon notification from the Contractor that the project has reached Substantial Completion, the A/E will schedule a construction punch list inspection of the project with the Contractor, DCM PM, UFM and other appropriate University entities.
    - A punch list is prepared by the A/E to identify the list of tasks or "to-do" items that are not completed or may not be acceptable.
    - Final payment to the Contractor is held until all punch list items are completed and accepted by the A/E and Project Manager.
- **Certificate of Occupancy**: A Certificate of Occupancy document is issued by the State or the Authority Having Jurisdiction (AHJ) certifying a building's compliance with applicable building codes, life-safety codes, accessibility guidelines, and other laws, and indicating it to be in a condition suitable for occupancy.
    - OFPM will issue a Certificate of Occupancy when their inspections, in conjunction with the University Fire Marshal, have confirmed that the code-required work and life safety systems are complete and operational.
    - The intended building occupants are not allowed to move in or occupy the building until the Certificate of Occupancy is received.

Project Name/ KU Project Number:

Project Manager: Dates:

Item	Description	Y	N	N/A	Comments
1	**Project Initiation**				
	1. The DCM Director or DCM contact enters the project request information into the database (if received by other than web-based request) a. Enter the request information on the DCM database "Project Request" tab, filling in all fields of information.				
	2. DCM's project review team (DCM Director, Deputy Director, Associate and Assistant Directors, University Fire Marshal and Planning staff): a. Meets weekly to review project requests. b. A list of all projects requested during the prior week is printed for distribution at the meeting. c. Assigns project to a DCM Project Manager and support team for projects requiring a DCM Feasibility study. d. OR the DCM Director forwards the request to the Capital Planning Advisory Committee (CPAC) and/or CPSM for evaluation (see "Process Summary" comments at beginning of this section for listing of project requirements for CPAC/ CPC approval). e. OR the Deputy Director notifies the Client that the project has been rejected.				
	3. The Deputy Director or designated staff initiates the accepted projects in the database and identifies the projects to be forwarded to CPAC/CPC through CPSM.				
	4. The database automatically sends an e-mail to the DCM PM and their project team notifying them that they have been assigned the project.				
	5. OR the database notifies the Client that the project has been forwarded for review by CPSM and the identified capital planning process.				
2	**Capital Planning Process**				
	1. Refer to Chapter 4 of this manual for the outline of the Capital Planning and approval process.				
	2. The DCM PM may be involved in the preparation of the Phase 1 and Phase 2 Assessments, as well as the later Architectural Program document.				
	3. Once approved through the Capital Planning process, the Provost or Vice Provost for Administration and Finance (Diane Goddard) assigns the Program/Building committee for the project and notifies the DCM Director.				
3	**DCM PM Begins Project Management**				
	1. The DCM Deputy Director notifies the AD and PM that the project has been approved through the Capital Planning Process.				
	2. PM confirms with the AD if project requires preparation of a Program document or a Feasibility Study.				
	3. If a Feasibility Study is warranted, follow the process outlined in Chapter 5 of this manual for Small Capital Projects.				
	4. PM gathers preliminary information about project scope from those who assigned the project (Deputy Director, AD.)				
	5. PM contacts DCM staff support regarding the project.				
4	**Prepare Draft of Program Document**				
	DCM will usually be involved with the preparation of the Architectural Program document.				
	1. The DCM Director, AD and PM guide the Program Committee effort to develop the Architectural Program draft. *a. Refer to the reference list in Appendix B for an outline of program document requirements.*				
	2. The PM sets up the meeting with the Client/ Program Committee to confirm the project scope.				
	3. A consultant can be procured for preparation of an Architectural Program. Generally, the PM, with the assistance of the AD and the DCM Support Staff assigned to the project, prepares the draft of the Architectural Program.				
5	**Finalize and Release Architectural Program**				
	1. The Draft of the Program is reviewed internally at DCM prior to release to the Program Committee for review.				
	2. PM provides Draft to DCM Director, AD, and support staff for review.				
	3. PM completes revisions, receives final approval from the AD and DCM Director, and forwards to Program Committee.				
	4. Once reviewed by DCM and the Program committee, the Program is forwarded by the DCM Director through the Capital Planning process for approval.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
6	**Capital Planning Process Reviews and Approvals**				
	1. Refer to Chapter 4 of this manual for information about the Capital Project approval process.				
	2. DCM Director is the point of contact for CPC/ Chancellor approval to proceed. PM will not be involved unless requested by the Director.				
7	**Notification of Funding Approval**				
	1. DCM Director receives notice from the Provost's Office of approval to fund the proposed project. The DCM Director notifies the AD and the PM that the project is ready to proceed to design.				
	2. PM sends PPMR form to client for signature to confirm funding and budget. (Note: the database must be adjusted to allow the PM to release a PPMR without entering the feasibility study cost estimate).				
	3. If necessary, call Client to make sure they received PPMR or if they have any questions.				
	4. PM follows up to ensure receipt of signed PPMR with funding within 90 days of issuance. a. A signed PPMR form is required for all projects, including those for feasibility studies and those requiring architectural programs through the Capital Planning process. b. Many large capital projects are extremely time sensitive and cannot wait 90 to receive the signed PPMR form from the client. PM may need to expedite this process to maintain the schedule.				
	5. Verify funding type(s) (State, Federal, etc.). List in comments. Verify any restrictions or time limits for use of the identified funds.				
	Refer to the reference list in Appendix B of this manual for information on the various fund accounts and restrictions/timeframes for the use of specific funds.				
	6. After the project is funded and has received approvals to start design services, the DCM Director's administrative assistant enters information into the project database and changes the project status from "Study Issued" to "Design-Pending". a. When the stage is changed, the database automatically notifies the PM to proceed with the design phase.				
	7. Notify assigned DCM Support Staff of approved project.				
8	**Building Committee Appointed**				
	1. The Provost or the Vice Provost of Administration and Finance (Diane Goddard) will appoint the members of the Building Committee, based on recommendations from DCM and the KU client's senior representative. a. The Building Committee role is advisory and is actively involved in the development of the design during the design phases, with guidance and direction from DCM and other state agency personnel.				
9	**Set up Project in DCM Accounting**				
	1. Once the signed PPMR form is returned to DCM, the DCM Director's administrative assistant e-mails the signed PPMR to DCM Accounting (Eunice Clifton) to set up the project account.				
	2. DCM Accounting coordinates with the University Comptroller and KU Budget Office to set up the KU cost center (seven digits) for the project and to transfer the funds into the project's account. a. If the project is funded with Affiliate Corporation or KU Endowment funds, DCM Accounting will not transfer the funds but will work with the funding entity to pay invoices as they are received.				
10	**Apply for OFPM "A" Number**				
	1. The PM fills out the OFPM form "State of Kansas --- Project Number Data Request Form: that requests from OFPM an "A" (account) number to be assigned to the project. List the KU project number in the "project scope of work" description box.				
	2. OFPM requires this number for every project and any correspondence to OFPM concerning the project is required to have the "A" number on the correspondence.				
	3. The "A" number must also be included on all design phase and construction documents.				
	4. "A" numbers are not required for minor remodels that only involve finishes.				
	5. The DCM PM should remind the A/E, the Contractor, and all KU entities to also reference the DCM project number on correspondence, drawings, invoices and other project documents during the course of the project.				
	6. When the "A" number is received from the state, the PM lists it in the database and notifies DCM Accounting of the "A" number.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
11	**Procurement of Consultant A/E Services** (and possible CM At Risk Services)				
	1. DCM will occasionally provide design services for large cap projects. Most large capital projects, however, procure the A/E design services from outside consultants.				
	2. The Asst./ Assoc. Director (AD) works with the PM to determine the method of procuring A/E Design services.				
	3. The PM prepares the draft of Request for Proposals (RFP) for procurement of A/E services for review and approval by the AD and the Deputy Director.				
	4. **If the project is non-state funded**: a. The project follows the procurement process outlined in the KBOR Project Delivery Construction Procurement Act (generally a 6 – 12 week process). i. *Refer to the reference list in Appendix B for the document "Kansas Board of Regents Procedures for Implementation of the State Educational Institution Project Delivery Construction Procurement Act, February 12, 2010" for complete instructions.* b. The PM provides the DCM approved draft of the advertisement and program document for procurement of consultant services to the DCM Deputy Director, who reviews the draft and submits it to KU Purchasing (include a scope of service if no program document is available) . c. KUP will advertise for services on the KU Purchasing website, generally for a minimum of 15 days and up to 30 days for complex projects. d. KU Purchasing receives the submittals and provides them to DCM to forward to the KBOR Procurement Committee. e. The KBOR Procurement Committee meets within 10 business days to determine which of the firms will be interviewed (generally 3 – 5) and the DCM Deputy Director contacts the firms to set up times for interviews. f. The Procurement Committee conducts the interviews and selects the recommended A/E team. i. Prior to negotiating the A/E contract, DCM will review and attempt to confirm any scope of service questions with the selected firm and the Procurement Committee. g. The Procurement Committee then negotiates the appropriate fee with the selected A/E firm or team. h. Using the approved DCM templates, the PM and the AD-Consultant Services will draft the contracts and attach copies of the Architectural Program, fee proposal and minutes of the fee negotiation meeting/correspondence. Templates are to be printed out, redlined by hand, and given to the Accounting Admin. Assoc. (Debbie Riggs) for preparation of the final contract documents. i. The PM forwards the contract package to be reviewed and approved by the Office of General Counsel and returned to DCM for processing.				
	5. **If the project is state funded**: a. The Office of Facility and Property Management (OFPM) in Topeka is required by statute to provide the advertising services for procurement of a firm for A/E services or for Design Build (generally a 3 – 6 month process). i. Refer to the OFPM Building Design and Construction Manual, Ch. 4, for the full outline of the procurement process and required submittals. b. PM provides the DCM approved draft of advertisement for procurement of consultant services and the program document to the DCM Deputy Director to forward to OFPM for publication in the *Kansas Register*. i. The Kansas Register is published every Thursday by the Kansas Secretary of State. The deadline for submittals is noon Wednesday the week prior to publication. ii. The publication should appear at least 14 calendar days before closing. c. The State Building Advisory Commission (SBAC) reviews the statements of qualifications submitted by consultant firms and provides a shortlist of firms to be interviewed (generally 3 – 5) by the State Negotiating committee. d. Prior to interviews and as approved by the DCM Director, the PM may be asked to schedule campus meetings with the shortlisted firms to review the project's program and key issues, tour the site, and to clarify criteria for the selection of the A/E.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	e. The State Negotiating Committee interviews, selects, and negotiates the contract with the selected A/E team. i. The DCM Director is a member of the Negotiating Committee and assists in selecting the firm of first choice and prioritizing the order of the other firms. ii. DCM will review and attempt to confirm the scope of service questions that arise with the selected firm prior to negotiation of the fee. f. The State Negotiating Committee will prepare the contract based upon the OFPM template. g. OFPM issues the signed contract to the DCM Deputy Director.				
	6. **CM at Risk with non-state funding:** a. The Alternative Project Delivery Process may be used, if determined to be appropriate, for the sole and exclusive use of planning, acquiring, designing, building, equipping, altering, repairing, improving or demolishing facilities, utilities or other real improvements on university property. i. Refer to the reference list in Appendix B for the document "Kansas Board of Regents Procedures for Implementation of the State Educational Institution Project Delivery Construction Procurement Act, February 12, 2010" for complete instructions. b. The process allows for: i. The selection of the construction manager or general contractor during the time period between Schematic Design and completion of construction documents. c. In order to consider the use of the CM at Risk process, DCM must submit a written request and justification to the KBOR Procurement Committee for each requested project. d. The Procurement Committee will consider the following factors for eligibility: i. The likelihood that the Alternative Project Delivery method of procurement selected will serve the public interest by providing substantial savings of time or money over the traditional design-bid-build delivery process. ii. The ability to overlap design and construction phases is required to meet the needs of the end user. iii. The use of an accelerated schedule is required to make repairs resulting from an emergency situation. iv. The project presents significant phasing or technical complexities, or both, requiring the use of an integrated team of designers and constructors to solve project challenges during the design or preconstruction phase. v. The Project Delivery method will not encourage favoritism in awarding the public contract or substantially diminish competition for the public contract. e. If approved for consideration by the Procurement Committee, KU Purchasing publishes a notice in the Kansas Register and on the KU Purchasing website announcing that the KBOR Procurement Committee will hold a public hearing for comments at least 15 days prior to the hearing. f. At the public hearing, DCM presents a summary to the KBOR Procurement committee and the reasons for requesting the alternative delivery. g. The Procurement Committee makes a determination on approving the project for the Alternative Project Delivery method. h. If approved, KU Purchasing publishes a notice of Request for Qualifications at least 15 days prior to the submittal deadline. i. If not approved, then the construction services for the proposed project will be obtained by the competitive bid process (outlined in the "Bidding" section below) and awarded to the lowest responsive and responsible bidder. i. KU Purchasing, on behalf of the KBOR, solicits proposals in a three phase, qualifications based selection process i. Phase 1 – the Procurement Committee (PC) evaluates the list of construction managers or general contractors submitting qualifications and shortlist 3 – 5 firms. ii. Phase 2 – KU Purchasing requests proposals from the 3-5 firms shortlisted by the PC. iii. Phase 3 – the KBOR Negotiating Committee becomes involved, reviewing and interviewing the short-listed firms, ranking them in order of preference and negotiating and awarding a contract.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	j. The selected CM/ Contractor prepares a Guaranteed Maximum Price (GMP) proposal at the stage of design designated by KU. k. The DCM PM prepares an updated DCM project budget and arranges for the DCM Director and Client/ Building Committee to review and approve the GMP and project budget. l. Once approved, the PM prepares the form of contract as outlined below.				
	7. **CM at Risk with State Funding** a. For state-funded projects, OFPM manages the selection and contracting for the Alternative Delivery Process through the SBAC and the state DOP. b. Refer to the OFPM Building Design and Construction Manual, Chapter 41, for instructions on the process.				
	8. **KBOR and KUCR Project Delivery** - *Refer to the reference list in Appendix B for the KBOR and KUCR Project Delivery Process policies for details of those processes.*				
12	**A/E Contract Finalized and Signed**				
	1. **If state funded**, OFPM prepares and executes the contracts. a. The Office of Procurements and Contracts (Jerry Clements) sends the contracts to DCM's Deputy Director who forwards them to the Accounting Manager (Eunice Clifton). i. DCM Accounting forwards the contracts to the appropriate KU persons for signature. ii. Once signed, Accounting returns the contracts to OFPM for execution. b. OFPM e-mails the fully executed contract to DCM Accounting. i. DCM Accounting forwards the contracts to the appropriate KU persons for signature. ii. Once signed, Accounting returns the contracts to OFPM for execution. c. OFPM distributes the contract to the A/E and all other applicable parties.				
	2. **If non-state funded**, the PM and AD of Consultant Services draft the contract from the approved DCM template. a. The PM forwards the contracts and attachments for approval by the KU Office of General Counsel. b. Once approved, the PM sends the contracts to the DCM Accounting Manager for processing. i. Accounting forwards the contracts to the A/E for signature and then forwards to KU's Chief Financial and Business Planning Officer (Theresa Gordzica) for execution. c. DCM Accounting staff files a fully-executed copy in the accounting office's secure files, and scans and saves a copy to the DCM project Accounting folder on the server. i. Accounting notifies the PM that the contract has been executed. d. DCM Accounting forwards one of the executed originals of the contract and the Purchase Order to the A/E for their files.				
	3. **If CM at Risk for non-state funds:** a. Once the CM/ Contractor is approved, the PM prepares the form of contract from the DCM template, forwards it to the AD and Deputy Director. Once approved, the PM forwards it to the KU Office of General Counsel (OGC) for review and approval. b. When approved by the OGC, the PM finalizes the contract language and forwards two copies to DCM Accounting for processing. c. DCM's Accounting Manager assembles the two copies of the contracts and associated documents, sending them first to the CM/ Contractor for signature and then to KU's Chief Financial and Business Planning Officer (Theresa Gordzica) for execution. d. The fully executed contracts are returned to the DCM Accounting Manager. i. Accounting encumbers the funds.' ii. One copy of the signed contract is forwarded to the CM/ Contractor along with the Purchase Order from KU Purchasing. iii. One copy of the signed contract is maintained in the DCM Accounting file and scanned to the project file. iv. Copies are distributed to appropriate departments, if required. e. The PM completes the Notice to Proceed form from the DCM template and reviews with the AD prior to issuing to the CM.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
13	**Processing Consultant Invoices**				
	1. **For non-state funded projects**, the PM must review consultant invoices within 10 working days or less of receipt and forward approved invoices to DCM Accounting for processing.				
	2. If invoices are to be held, the PM must advise the A/E in writing of the reasons and identify the actions required for the invoice to be released for payment. Copy to DCM Deputy Director, Asst. Director, and DCM Accounting.				
	3. Firms should be compensated monthly in proportion to the percentage of work completed within each phase of services (as recommended in the OFPM Manual, Chapter 8) at the completion of: a. Schematic Design – 15% b. Design Development – 20% c. Construction Documents – 40% d. Bidding – 2 ½ % e. Construction Administration – 20% f. Closeout – 2 ½%				
	4. **For state-funded projects**, the A/E submits their invoice directly to the OFPM Project Manager for processing and payment per the OFPM Manual guidelines.				
14	**Initiate Design Process**				
	1. PM updates database to indicate "Design" phase.				
	2. PM enters information about A/E consultant in the appropriate fields, to include an e-mail address.				
	3. When the DCM database if changed to "Design", PM should generate an FS Work Order Request. Work management to generate a work order number against which FS will charge all project related support work they provide. For questions, contact Teresa Thomasson at FS. a. Select "Capital Construction Projects" as the department (automatically toggles the cost center to 1518100) b. In the Project Description Box, note: i. Project assist on PPMP #xxx/xxxx ii. Building Name or Landscape Zone iii. Project Title iv. Type of Assistance Needed v. Any other pertinent information				
	4. PM enters FS work order # in Comments field.				
	5. PM sets up project budget in the electronic project file.				
	6. PM confirms if the project is located within 150 feet of the university boundary, triggering the review process with the City of Lawrence. a. If so, PM notifies AD and Deputy Director to provide notice to the City and establishment of the Neighborhood Advisory committee. b. The Neighborhood Advisory committee should be appointed prior to Design Kick-Off.				
15	**Design Kick-Off Meeting**				
	1. Once the procurement of Architectural and Engineering design services has been finalized with a signed contract, the PM and A/E will set up a Kick-Off Meeting to officially start the design process. a. The DCM PM should distribute the project's program document, team directory, and meeting agenda prior to the meeting for review by the proposed attendees. b. Attendees should include the client/ Building Committee, A/E, DCM Team, FS, IT, University Fire Marshal, KUEA (if KUEA funded), and the OFPM rep (if state-funded). c. The meeting is chaired by the Building Committee Chair. d. Team members should review and verify: i. The program, user needs, client issues and goals. ii. Site issues, proposed building locations, site utilities. iii. Stormwater drainage options, vehicular and pedestrian circulation patterns, parking, etc. iv. The project budget and the proposed timeline/schedule for design, bidding and construction milestones. e. PM is to remind the A/E to adhere to the OFPM Building Manual and the KU Design and Construction Standards unless otherwise directed. Identify any other requirements they must meet (City Agreement, stormwater regulations, etc.). f. Team members include the DCM PM and all assigned Support Staff, the consultants, the client/Building Committee and appropriate campus entities that should be involved in the process (Parking & Transit, EHS, FS, PSO, etc.)				

	Project Name/ KU Project Number:	Y	N	N/A	Comments
	g. OFPM should be notified for state-funded projects. h. KUEA should be included for KUEA projects. i. The A/E is responsible for preparing and distributing the minutes for any meeting held for a project throughout the process. j. **Campus Historic Preservation Board review**. If project is within 500' of a listed property, DCM's PM must present the project to the Campus Historic Preservation Board for review and comments. *See the reference list in Appendix B for information on the CHPB review process.* k. **Hazardous Materials review**. PM to review proposed project extent with EHS and determine if existing surveys are available for affected areas. If additional hazmat survey is required , PM to initiate with guidance from EHS and DCM AD. *See the reference list in Appendix B for information on EHS and the hazmat process .* l. **Geotechnical Boring and Report**. Once the building footprint is established on the site, A/E to request KU to provide this info. i. A/E drafts RFP and site plan indicating boring locations and forwards to PM. RFP must include requirement to review onsite utilities with FS Survey Coordinator. ii. PM works with AD to contract for Geotechnical services. iii. Ancillary services contracts (surveys, geotech, construction testing, TandB, commissioning) can be written by OFPM legal counsel for all projects, even those that are non-state-funded, if desired (this was confirmed to be per statute by Dan Carroll/OFPM in June 2011). m. **FS Support Services**. PM should coordinate with FS and when soil boring work is to be done by ancillary service consultants. i. PM arranges for FS Surveying Coordinator to assist them in locating existing utility lines. ii. PM distributes copies of completed report to: A/E, FS Engineering for campus-wide soil boring files, and to the DCM IT Manager (Joe Friday) iii. The IT Manager will forward a copy to the DCM Admin. Assoc. (Sharon Anthony) for filing in DCM's central Geotech Report files and will include the boring location information in the MasterMAP files. n. Utilities and Outages: Utility outages should be identified during the design phase, discussed with FS , the KU client, and support groups, and described within the bid docs to allow for advance planning in construction.				
	2. **For state-funded projects**, all projects must comply with the OFPM Building Design and Construction Manual throughout all phases of design and construction. This manual provides an outline of the process, design, and document submittal requirements. a. The manual is located on the OFPM website at: http://www.da.ks.gov/fp/manual.htm				
	3. **For non-state funded projects**, the OFPM Building Design and Construction Manual can be a helpful tool to the PM for confirming that all project elements have been addressed.				
16	**Is A Code Footprint (CFP) Required?**				
	1. Ensure that the A/E submits the "Is a Code Footprint Required?" form to OFPM to determine if a CFP is required. *Refer to reference list in Appendix B for necessary forms.*				
	2. A/E should submit this form to the KU Fire Marshal's assistant (Tanya Shaw) to forward to OFPM and copy the DCM PM. a. Always list Bob Rombach as Agency Representative. b. Enter KU project number in the Description of Work box.				
	3. Received response from OFPM on "Is a CFP Required?"				
	4. Code footprints are required to be submitted for all new construction, additions, and building renovation/ remodeling affecting active or passive life safety systems or change in occupancy of buildings on State property.				
	5. Accessibility analyses, including completed Path of Travel forms for additions/ renovations, are to be submitted for all new construction, new additions, and building renovation/ remodeling (alterations) during design. *Refer to reference list in Appendix B for necessary forms.*				
	6. If Code Footprint is required, A/E to prepare and submit Code Footprint through UFMA (Bob Rombach). The University Fire Marshal will forward to OFPM and KSFMO.				
	7. Refer to the OFPM Manual, Chapter 7, for full information and also the Code Footprint section below for details.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
17	**Program Review and Concept Design**				
	1. The initial phase of design is to review and confirm a collective understanding of the program scope and objectives.				
	2. DCM's PM guides these discussions with the consultant and the client/building committee, with particular attention paid during this and all subsequent phases to guard against any proposed increases or modifications to the approved project scope, budget or schedule.				
	3. **If any scope, budget or schedule increases are proposed at any point during the project:** a. Significant scope increases (greater than one percent of the project budget or over $50,000, whichever is less) trigger mandatory project re-approval by CPAC and the applicable procurement/ negotiating committee. b. Projects must first be approved through the Chancellor and the Chief Business and Financial Planning Officer (Theresa Gordzica). c. For state funded projects, the changes must be submitted by the Director of DCM to the State Negotiating Committee for approval. d. For non-state funded projects, changes must be presented by the KU client's senior representative for approval to the KBOR Procurement/ Negotiating Committee.				
	4. Concept plans are developed that establish space and site relationships, generally including at least three alternative solutions to the design of the capital improvement project. These solutions should adequately and appropriately address the requirements contained within the program document.				
	5. All projects must comply with the KU Design and Construction Standards.				
	6. For state-funded projects, refer to the OFPM Building Design and Construction Manual, chapter 12, for a full listing of the Concept Design scope and required submittals.				
	7. For non-state funded projects, the OFPM Manual serves as a helpful guideline and should be followed unless otherwise directed.				
	8. The OFPM Construction Document Checklist DCC Form 123 is to be used throughout design and CDs to provide a complete set of construction documents and should be used as a reference for non-state funded projects.				
	9. Has A/E submitted concept designs?				
	10. PM distributes concept designs to the Project Team for review and comment.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
18	**Schematic Design (SD) Phase**				
	1. One concept is selected to proceed to Schematic Design.				
	2. Floor and site plans are developed, as are building elevations and sections illustrating the proposed appearance and interior of the building.				
	3. Integrate building commissioning into the design process to verify and document that the facility and all its systems and assemblies are planned, designed, tested, operated and maintained to meet the owner's project requirements.				
	4. All projects must comply with the KU Design and Construction Standards.				
	5. For state-funded projects, refer to the OFPM Building Design and Construction Manual, chapter 12, for a full listing of the SD scope and required submittals and to the KU Design and Construction Standards.				
	6. For non-state funded projects, the OFPM Manual serves as a helpful guideline and should be followed unless otherwise directed.				
	7. The OFPM Construction Document Checklist DCC Form 123 is to be used throughout design and CDs to provide a complete set of construction documents and should be used as a reference for non-state funded projects.				
	8. Per the OFPM Manual, the SD submittal should basically include: a. Preliminary Code Footprint and compliance with all other applicable codes, standards and laws, including accessibility. b. Site plan c. Floor plans d. Elevation sketches e. Drawings of mechanical, electrical and plumbing equipment locations and routing. f. Compliance with applicable federal regulations. g. Written statement giving the total gross areas of the building and estimate of construction costs. h. Special considerations				
	9. PM should also verify that the submittal complies with the Architectural Program, KU Design Standards, and the approved level of funding for the project.				
	10. Trash Services: the location of the trash dumpsters should be reviewed with the FO AD – Housekeeping and the City of Lawrence Solid Waste Department for compliance.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	11. Distribute SD package for review: Confirm that A/E submitted SD package with cost estimates. The A/E and PM schedule review session(s) and distribute the Schematic Design package for review to attendees. a. Typically a 1 – 2 week review period is allowed prior to the meeting. b. Attendees: Client, A/E, Building Committee, DCM Team, FS, IT, and EHS. The KBOR Director of Facilities (Eric King) should be invited for all projects and the OFPM rep should be included for state-funded projects. Other entities should be invited as applicable. c. For all design submittal reviews (SD, DD and CD), KU typically receives not less than 6 copies of the submittal. d. PM sends copies to: i. KU Client – one copy ii. DCM Support – two copies, shared and routed to the assigned DCM support team iii. FS AD – two copies, which the FS AD will split and distribute among the other FS ADs and shops. iv. KU IT – one copy to the IT Asst. Director or the IT PM. e. The PM should verify if FS and other KU support units want full or half-size sets, and arrange to have copies delivered to them.				
	12. DCM/FS Coordination Review Session; Prior to reviews with the A/E and client, and after submittals have been distributed, the DCM PM arranges for DCM support team to meet privately with the FS AD's. a. Purpose of meeting is to review and coordinate KU's positions on key issues and the feedback to be given to the A/E and client. b. This DCM/FS review session should occur prior to each SD/DD/CD design review meeting. c. PM sends review comments to A/E.				
	13. DCM PM arranges to review specific issues/documents with the following, and/or send additional copies of submittal to: a. EHS Director and/or Abatement Manager (if project includes labs and/or hazmat abatement). b. KU Parking and Transit (if project includes new parking lots/stalls and/or transit accommodations). c. KU Public Safety (if project includes CCTV camera locations or security issues). d. Capital Projects and Space Management (to verify proposed room numbering scheme).				
	14. SD Review Meeting: PM and A/E chair the review meeting. a. A/E to present proposed design to the Building Committee and facilitate Q and A time. b. PM to summarize and clarify prior KU/user group comments. c. Review and approve updated construction cost estimate, project budget and schedule. d. Verify next submittal target date and tentatively set next review meeting date. e. A/E to prepare minutes of the review meeting and distribute to attendees. i. PM confirms that review comments were accurately summarized. ii. PM forwards minutes to KU Team to those providing earlier reviews and comments.				
	15. PM revises database to reflect project progression to "Design Development" phase.				
	16. Preliminary review of the building design with the Chancellor or designee is required to assure the design concept is acceptable. a. PM forwards SD docs to DCM Director for approval by Chancellor/ CPC via the Capital Planning Process.				
	17. **Consultant Invoices:** refer to payment allowances per information in "Processing Consultant Invoices" earlier in this checklist.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
19	**Code Footprint (CFP) and ADAAG review**				
	1. Code Footprints are to be developed during the SD phase and completed for submittal to the University Fire Marshal as soon as the project scope and floor plans have been confirmed during the SD/DD phases. The UFM will submit all CFPs to OFPM and the State Fire Marshal. The process can take 2 – 8 weeks.				
	2. The A/E prepares the Code Footprint for DCM's initial review. a. The PM forwards the DCM Code Footprint template to the A/E firm. *See the reference list in Appendix B for the template location.* b. The PM should arrange for FO to flow test fire hydrants (which are to be identified by the A/E) for use in developing Code Footprints and the sprinkler system design. c. Once the A/E completes the signed/sealed CFP, the A/E forwards the CFP documents to the PM and the University Fire Marshal (UFM) for review.				
	3. If approved, the UFM forwards the CFP submittal to OFPM/KSFM for code and ADAAG review. a. For projects on non-state property subject to city or county code authority, the review documents will also be forwarded to the Authority Having Jurisdiction.				
20	**Design Development (DD) Phase**				
	1. DD is a critical phase in the design process. a. A "Design Freeze" is established at the end of DD, after which no substantial changes can be made to the design without the possibility of incurring additional design fees and delays in the project schedule. b. The DD level documents must be approved by the Chancellor/ CPC process prior to moving to construction documents. c. The Code Footprint must be delivered to OFPM through the University Fire Marshal.				
	2. Early in the DD process, the PM directs the A/E in developing a new or extended **room numbering** system for the project, consistent with the KU Design Guidelines. a. PM forwards the draft floor plans to CPSM Director (Tracy Horstman) for review and approval of room numbering scheme during early stages of DD phase.				
	3. The A/E incorporates the SD review comments and prepares electronic DD level drawings and submittal documents: a. All projects must comply with the KU Design and construction Standards. b. For state-funded projects, refer to the OFPM Manual, Chapter 12, for a complete listing of the DD level requirements. c. For non-state funded projects, the OFPM Manual serves as a helpful guideline and should be followed unless otherwise directed. d. The OFPM Construction Document Checklist DCC Form 123 is to be used throughout design and CDs as a guide for the design team to provide a complete set of construction documents and should be used as a reference for non-state funded projects.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	e. A basic list for the DD submittal is as follows: i. Code Footprint ii. Energy Code Compliance iii. Site plan iv. Identified rock excavation or controlled backfill v. Elevations vi. Building sections vii. Wall sections viii. Special interior wall sections ix. Preliminary finish schedule x. Structural concept plans xi. Mechanical plans xii. Updated written description from the Concept Plan phase to reflect changes in the systems/ equipment or design and energy compliance xiii. Written description of the HVAC control systems, functions and sequencing xiv. Plumbing concepts and designs xv. Electrical concepts and designs xvi. Fire Alarm locations and system description xvii. Fire Suppression concepts and component locations xviii. Specification outline to include all building systems, methods, materials and finishes at a level of detail to allow determination of quality and performance xix. Compliance with applicable federal regulations xx. Updated written statement of total gross area and estimate of all construction costs xxi. Rendering when negotiated as part of the firm's contract f. Other submittals within DD: i. **Initial Color Selections**. A/E prepares one or more preliminary color boards for review and approval by KU Team. 1) Initial color selections can be proposed by A/E with input from DCM architectural support, Project Manager and Client. 2) PM to confirm final approval of the decisions by DCM Director and Assistant Director. 3) A/E to incorporate comments into approved color selections in bid documents. 4) DCM PM to secure a copy of the final written color schedule from A/E and save to DCM project folder/files. ii. **Furniture and Equipment (F and E) and Audio/ Video (A/V) System Selections.** 1) Soon after the DD submittal is received, PM arranges a review meeting with Client and KU Purchasing, if F and E and A/V systems are to be purchased via KKUP or state contracts. 2) KUP to review scope of F and E and A/V systems required and to verify the proposed process and timeline for specifying, bidding, and procuring loose equipment and furnishings for the project.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	4. The A/E submits the DD documents to the DCM PM.				
	5. The PM coordinates with the A/E to schedule the DD Review meetings and distributes the DD package for review to attendees, following the same process outlined in the SD phase. Allow 1 – 2 weeks review prior to the meetings. a. Separate review sessions should be scheduled for the A/E, PM, and appropriate persons to focus on each discipline for: i. Architectural and Code ii. Site/Civil Design and Landscape, including site utilities iii. Mechanical iv. Electrical v. Telecommunications and AV/ media systems b. The DD Review Meeting is scheduled to review budget, timeline and key issues. i. Attendees include: Client/ Building Committee, A/E, DCM Team, FS, IT, and EHS. As a courtesy, the KBOR Director of Facilities should be invited for all projects and the OFPM rep should be included for state-funded projects. ii. Meeting is chaired by the A/E and PM. iii. A/E to present proposed design to the Building Committee and allow time for Q and A. iv. PM to summarize and clarify the prior KU/ user review comments and group direction. v. PM to remind team members that approval of the DD phase constitutes a Design Freeze and that no major changes are to be made from this point on. vi. A/E to verify the project budget and schedule. vii. A/E and PM to verify the next submittal target date and tentatively set the next review meeting date. c. The A/E prepares meeting minutes and distributes to attendees. PM confirms all review comments are included and forwards to KU entities. i. PM forwards any comments to A/E for revision of the minutes. ii. PM confirms that the revisions are included in the CD phase.				
	6. The PM works with the AD Consultant Services to update the Project Budget. Verify with DCM Director before distributing.				
	7. **Color Rendering:** if included within the A/E scope of services, upon approval of DD the A/E must complete a perspective rendering of the project. a. A/E to distribute preliminary perspective layouts/ view angles to DCM Director, Asst. Director, and PM for comment and selection of preferred view. b. PM to receive and distribute copies of the rendering to client (half size), KBOR (half size), OFPM (if state-funded; half size), and Building Committee (half size). c. PM to send copy of digital file to University Relations (and to KUEA if private funds are involved).				
	8. **Consultant Invoices:** refer to payment allowances per information in "Processing Consultant Invoices" earlier in this checklist.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	DD Level Required Reviews/Approvals				
	1. **Chancellor:** The DD level documents must be approved by the Chancellor process prior to moving to construction documents. a. PM to provide DD documents and minutes of DD review meeting to DCM Director to take through the required approval process. b. PM to forward Chancellor's and Provost's comments and directions to the A/E.				
	2. **KU Architectural Barriers Committee (ABC) review**. a. PM to request project be placed on the next meeting agenda. b. The PM briefs DCM AD rep to the ABC or attends the meeting to explain the project and take questions from the committee. c. PM to forward comments to A/E and DCM architectural and landscape support (as applicable).				
	3. **Negotiating Committee**: For non-state funded projects, PM to confirm Procurement Committee approval of the DD phase and e-mail approval of the DD phase to the A/E. a. Once the Negotiating Committee has given their approval of the DD submittal, the PM should revise the database to reflect the change to "Construction Documents." b. **Design Freeze** – If client requires changes after approval of DD, they must be approved by the Negotiating Committee and the project may incur additional A/E fees and delays in the project's completion.				
	4. **Board of Regents**: The KBOR Director of Facilities (Eric King): a. Approves the project submittals at the DD and final CD stages.				
	5. **City of Lawrence**: PM should check with the AD – Consultant Services to determine if a meeting with City officials is warranted. This may include the Lawrence Fire Dept., Public Works, Planning, Traffic Engineering, etc., along with the University Fire Marshal and other appropriate KU Team members.				
	6. **Code Footprint and ADAAG Review and Approval:** a. If the Code Footprint (CFP) was not submitted during the SD phase, the PM must ensure that the A/E completes the process at this time. b. The A/E must submit all CFP requests through the University Fire Marshal for forwarding to OFPM and the State Fire Marshal and/or to the appropriate Authority Having Jurisdiction (AHJ) if the project is on non-state property and subject to local city or county code reviews. c. The DCM Quality Compliance staff (Monita Ireland) will also complete the initial ADAAG review of the project. d. It is essential that the A/E submit and receive signed, state approved CFPs during the DD phase. e. If the project scope and floor plans were not finalized until the end of DD, the A/E must submit the CFP immediately after the completion of DD and must diligently work with the DCM PM, the University Fire Marshal and the applicable code authorities on a continuous basis until the CFP has been approved and signed by all required. f. The DCM PM must monitor this process and ensure that the A/E is continuously and proactively following up, so that that the final approved CFP is received no later than 4 weeks after the end of the DD phase. g. The PM should request assistance from the UFM as needed. h. **Any change in the floor plan after the initial submittal requires another code review through UFM and OFPM.**				
	7. Once all approvals are received, PM notifies A/E in writing of DD approval and updates database to reflect the progression to "Construction Documents."				

Project Name/ KU Project Number:		Y	N	N/A	Comments
21	**Construction Documents (CD) Phase**				
	1. The A/E incorporates the DD review comments and prepares electronic CD level drawings and submittal documents: a. All projects must comply with the KU Design and construction Standards. b. For state-funded projects, refer to the OFPM Manual, Chapter 13, for a complete listing of the CD level requirements. c. For non-state funded projects, the OFPM Manual serves as a helpful guideline and should be followed unless otherwise directed. d. The OFPM Construction Document Checklist DCC Form 123 is to be used throughout design and CDs as a guide for the design team to provide a complete set of construction documents and should be used as a reference for non-state funded projects.				
	2. PM to remind team members that a Design Freeze was enacted after DD and that no major changes are to be made from this point on. a. **Significant scope increases** (greater than one percent of the project budget or over $50k, whichever is less**) trigger mandatory review and approval** by the Negotiating Committee and the Capital Planning Advisory Committee (CPAC).				
	3. The A/E prepares electronic construction drawings and submittal documents (at the progress intervals which were approved during the fee negotiations for that particular project) and issues review sets to the DCM Project Manager. a. Progress reviews are typically conducted at the 50% and 95% CD stages, but may also be conducted at 30%, 60% and 95% CD stages. b. OFPM requires submittals at 50% and final ("bid ready" for state-funded projects.				
	50% (Interim) CD Review				
	1. The PM should manage this process in the same manner as described during the DD phase above.				
	2. The PM schedules the interim CD review sessions and distributes the CD packages for review to the attendees. a. Typically a 1-2 week review period is allowed prior to the meeting. b. Attendees should include all involved during SD and DD. c. For all CD submittals, KU is to receive not less than 6 copies and PM should verify if the entities want print copies (half size or full size) or pdf files for review purposes. d. PM distributes the CD submittal to the entities as outlined in the SD and DD sections.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	3. Refer to Chapter 13 of the OFPM Manual for a list of the 50% CD submittal requirements.				
	4. The PM schedules the 50% CD Review meetings in coordination with the A/E. a. Prior to the Review Meeting, the PM schedules separate review sessions for the A/E, PM, and appropriate KU representatives to focus on each discipline for: i. Architectural and Code ii. Architectural and Code iii. Mechanical iv. Electrical v. Telecommunications and AV/ media systems b. The 50% CD Review Meeting is scheduled to refine all DD requirements from Chapter 12 of the OFPM Manual and provide preliminary final drawings and specifications. i. The meeting is chaired jointly by the A/E and PM. ii. A/E to present proposed design to the Building Committee and allow time for Q and A. iii. PM to summarize and clarify the prior KU/ user review comments and group direction. iv. A/E to verify the project budget and schedule. v. A/E and PM to verify the next submittal target date and tentatively set the next review meeting date.				
	5. For state-funded projects, OFPM requires a 50% review submittal. Refer to Chapter 13 of the OFPM Manual.				
	6. **Project Budget Update:** The PM must update the project budget with assistance from the AD. The budget must be verified with the Director of DCM prior to distribution.				
	7. The PM should discuss target dates for completing the final construction documents with the AD in order to target the appropriate agenda deadline date for the required Board of Regent's review. AD to notify the DCM Director of the anticipated schedule.				
	95-100% CD Review and Approvals				
	1. The A/E prepares and submits for review the 95% set of construction documents, specifications and updated cost estimates to the PM.				
	2. A final review may be required by the KU Architectural Barriers committee.				
	3. The DCM Director submits the documents to the Chancellor and/or Provost for final review and approval.				
	4. The PM distributes the 95% set of documents and schedules with the A/E the final review meeting as identified in the earlier design phases to include the A/E, FS, EHS, UFM, the Client, KUIT, etc.				
	5. The PM ensures that the review comments are returned to the A/E.				
	6. The PM directs the A/E to make final corrections to the construction documents and verifies that the revisions have been completed in the final set.				

Project Name/ KU Project Number:	Y	N	N/A	Comments
Final Bid Documents				
1. The A/E submits the 100% sealed CD sets with an updated cost estimate and the OFPM CD Request for Review form to the PM.				
2. Upon receipt of the final CDs from the A/E, the PM with guidance from the AD assists the A/E in completing the **Front End Bid documents**. a. **Front-End Bid Documents**: i. For state funded projects bid through the State Division of Purchases (DOP), the KU approved final CDs that have been signed and sealed by the A/E are sent by the A/E to OFPM. OFPM then adds their standard front-end documents. OFPM will determine the bid date and should coordinate with the DCM PM to determine the Pre-Bid meeting date and time. ii. For non-state funded projects bid through KU Purchasing, the DCM PM provides the current front-end bid document template to the A/E, who will edit them as directed by the PM and as required for the specifics of the project. The PM should coordinate with KUP to determine the bid date and to establish the Pre-Bid date and time. iii. When delivered to KU Purchasing, KUP will add their standard documents to the bid package. b. Liquidated Damages: i. The PM should review the proposed amounts of LD with the client, A/E, and the KU Office of General Counsel (OGC) to ensure that the risk management decision is made collectively. ii. The final decision rests with OGC. c. Bidder Qualifications: i. The PM should review with the AD if Bidder Qualifications are to be used for the project and insert the appropriate language in the front-end documents.				
3. **Electronic Documents:** a. **The final electronic documents are critical**, since they are the basis for the construction contract documents and will be used as the basis for KU's small-scale drawings and future planning efforts. b. The PM is to verify that the A/E's final submittal of electronic documents is complete and delivered to KU's IT group. c. The PM must verify that DCM receives final bid set documents in both PDF and AutoCAD .dwg formats. d. The PM ensures that the A/E forwards/ uploads the final bid set documents to DCM's CAD/LAN Manager (Joe Friday), who will review for general compliance with KU CAD standards and forward comments of inconsistencies to A/E and the PM for correction. e. The PM verifies that A/E corrections are made and resubmitted to the CAD/LAN Manager.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	4. **Consultant Invoices:** a. The PM should review and approve consultant invoices as previously described. b. PM must not approve final CD phase fee payments until A/E has submitted final bid-set construction documents in both PDF and DWG electronic format to the DCM CAD/LAN Manager. c. The PM must verify that the submitted electronic documents are complete, to include all applicable architectural and engineering disciplines' drawings and specification sections.				
22	**Final Approvals Prior to Bidding**				
	1. **The final bid package must be reviewed and approved by a DCM AD, the Deputy Director or the Director prior to releasing the documents for bid**.				
	2. **Board of Regents Approval**: a. **KBOR approval is required prior to releasing a project for bid.** b. The PM notifies the DCM AD and Director that the final construction documents are complete and the project is ready for approval by the Board of Regents. c. The DCM Director requests that the project be placed on the KBOR consent agenda to obtain their approval to release the project for bids. d. The DCM Director makes the presentation to the KBOR, securing their comments and approval. e. The DCM Director notifies the AD and PM of the KBOR approval, comments, or conditions.				
	3. **OFPM** requires submittal of the Final (bid ready) CDs, as outlined in Chapter 13 of the OFPM Manual, for approval prior to bidding.				
	4. **Permit to Build** (begin the process now to allow time for completion) a. The PM ensures that the A/E submits a paper copy of final CDs to the University Fire Marshal (UFM) to process and forward to OFPM (or other AHJ) for review and final acceptance of the CDs. A/E copies the PM on this submittal. b. **For projects on state property**, OFPM conducts final code and ADAAG reviews to verify code compliance and coordination with the approved CFP. i. If the CDs do not agree with the CFP, the entire review process repeats. ii. OFPM will issue the Permit to Build upon receipt of: 1) Approved Code Footprint. 2) Accepted Contract Documents. 3) Accepted Path of Travel (for remodels; this information is included in the CFP for new construction). c. **For projects on non-state property**, the UFM works through the City or other AHJ and forwards the CFP to the State Fire Marshal for review and approval. i. Upon receipt of the KSFM's approval, the University Fire Marshal issues a Permit to Build to document the KSFM action. d. The A/E and DCM PM track and work with the UFM to receive OFPM (or other AHJ) approval to secure a Permit to Build within no more than four weeks from the date of submittal. e. The DCM PM assists with expediting this review and the A/E's follow-up as required.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
23	**Final Approvals Prior to Bidding**				
	1. The PM updates the database to reflect "Bidding" phase.				
	2. The PM (with the assistance of the AD) prepares the draft of the Advertisement for Bid for review and approval by the Deputy Director.				
	3. **For non-state funded projects**, the process is managed by DCM and bid through KU Purchasing. a. **Printing:** The DCM PM manages the printing and distribution of plans and specs by the KU Plan Room through the current vendor (Drexel). i. The distribution of electronic bid documents is encouraged wherever possible in order to minimize paper waste and the associated costs. b. The PM and A/E coordinate the information to be included in the front end documents with KUP (Julie Bellucci), such as the details for the Pre-Bid Conference. i. The Pre-Bid must be held a minimum of 7 calendar days prior to the Bid Date. ii. Include the date, time and location of bid opening in the bid documents. iii. PM reserves an appropriate room and verifies that instructions are included in the bid documents or addenda to instruct attendees on parking options and costs.				
	c. PM verifies quantities and size of bid set prints needed at KU, for other KU and consultant entities, and for contractors invited to bid on the project. i. KUP requests that the PM provide a list of potential contractors with contact information to receive bid documents. ii. Other interested contractors may contact Drexel to receive bid sets. iii. PM prepares a Print Request form and determines the possible distribution needs to include: 1) FS 2) UFM - half size set 3) KUIT 4) EHS 5) DCM PM 6) DCM AD 7) Building Committee - typically one set to the chair 8) Others as needed per project				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	d. The PM e-mails the approved advertisement, the complete set of electronic bid documents, the Print Request Form (for Drexel), and a list of contractors to be invited to bid to KUP (Julie Bellucci), the DCM IT Manager (Joe Friday), the AD (Steve Scannell) and the DCM Accounting Manager (Eunice Clifton). i. Include the current construction cost estimate in the body of the e-mail. ii. The KU IT Manager forwards the package to Drexel for printing and release to bidders. iii. Accounting forwards the Purchase Order (PO) to the KU Purchasing Buyer. e. KUP will place the ad on their website and advertise it for a minimum of 14 days. 30 days is recommended for large or complex projects. i. KUP notifies the PM when the project has been posted to the KU e-Bid system. f. The PM verifies that the contractors on the invited list have received the bid documents and there is good bid coverage if possible. g. **Pre-Bid Conference:** i. The Pre-Bid must be held at least 7 calendar days prior to the Bid Date. ii. *See the reference list in Appendix B for a sample Pre-Bid Conference Agenda or refer to the OFPM sample agenda DCC Form 320 found at www.da.ks.govfp/ .* iii. The PM invites client rep(s), and appropriate DCM and support unit personnel. 1) Include KU Parking (Dave Moore) to review KU Parking regulations, locations of stalls that will be reserved, if any, and permit options. 2) If abatement or hazardous materials work is included, invite EHS rep(s) to address the abatement process and schedule. iv. KU Purchasing will convene the Pre-Bid meeting, which is then run jointly by the A/E and DCM PM. v. The A/E and PM also facilitate the site tour, if applicable, briefing bidders on unique conditions or KU requirements specific to the project. h. The A/E prepares all addenda for questions received prior to or during the Pre-Bid and delivers the addenda to the DCM PM for review. Upon approval, the PM or the A/E issues the addenda to the DCM IT Manager (Joe Friday) for release to KU Purchasing. i. KUP posts all addenda a minimum of 7 days prior to bid opening. ii. If significant issues arise with less than 7 days prior to the bid date, the PM should notify the AD and the bid date may need to be postponed. i. **Bid Opening:** KU Purchasing publicly opens and reads aloud the bids at the designated time, prepares the bid tabulation, and forwards the tabulation to the DCM PM and DCM Director or Deputy Director for review and recommendation of award. i. The PM should attend the bid opening to note the bids submitted.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	4. **For state-funded projects**, the bid process is managed through OFPM and bid through the Kansas Division of Purchases (DOP). a. Refer to the OFPM Building Design and Construction Manual, Chapter 14 for full instructions on the required document submittals and bid process. b. The A/E provides the required sealed electronic & print versions of the final CDs to OFPM after they have been approved by DCM. c. OFPM prepares the front-end documents with input from the A/E and the DCM PM, including the date and time of the Pre-Bid and the bid date. d. The PM forwards the DCM approved advertisement to the OFPM Project Manager. e. OFPM forwards the ad to the State Division of Purchases. f. The ad will be placed in the Kansas Register not less than 10 days prior to the bid date. i. The Register is published every Thursday by the Kansas Sec. of State. The deadline for submittals is noon on Wednesday the week prior to publication. ii. Ads are required to appear in a minimum of two consecutive editions of the Register. g. The ad is also placed on the OFPM on-line plan room at http://kansasOFPM.contractorsplanroom.com/. h. The A/E and DCM PM verify the quantity and size of bid sets needed at KU (see list above for non-state funded projects) and forwards the list to OFPM. i. The OFPM Plan Room coordinates the printing and distribution of the bid documents. i. OFPM may forward all print sets for KU entities to the DCM PM for distribution. j. Bidders are required to be pre-qualified. Refer to Chapter 15 in the OFPM BD&C Manual for details. k. **The Pre-Bid Conference** must be held at least 10 calendar days prior to the bid opening. i. The A/E prepares all addenda to the contract documents and, after review by the DCM PM, issues them to OFPM to print and distribute to all plan holders. ii. If significant problems arise less than 10 days prior to the bid date, the PM should notify the AD first, and then OFPM if needed, to determine if the bid date should be postponed. iii. The A/E chairs the Pre-Bid and the site tour, using the OFPM sample agenda DCC Form 320, available at www.da.ks.govfp/. l. Bids are publicly opened and read aloud at the State Division of Purchases in Topeka. i. The DCM PM may choose to attend to make note of the bids submitted. m. The bid tabulation is prepared by DOP and forwarded to the DCM Director for review and recommendation of award.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
24	**Final Approvals Prior to Bidding**				
	1. **Bid Review for state and non-state funded projects**: a. When DCM receives the bid tabulation from KUP or DOP, the DCM PM and Team jointly review the bids and recommend award of base bid and alternate bids. b. The PM assists with or tracks/advises on the A/E's calls in reference to bidder's qualifications, if required. c. The PM prepares a post bid budget form. d. The PM provides the recommendation of award to DCM Deputy Director, with the post bid budget and bid tabulation.				
	2. **Award of Bid for non-state funded projects** a. The DCM Deputy Director advises KUP in writing of the recommended award of bid and alternates, copying Team members.				
	3. **Award of Bid for state funded projects** a. The DCM Deputy Director advises OFPM in writing of the recommended award of bid and alternates, copying Team members.				
	4. The PM updates the database to reflect "Awarded" stage.				
25	**Construction Contract**				
	1. **Non-state funded projects** a. Contracts are coordinated by DCM. b. With assistance from the AD, the DCM PM prepares the contract from the DCM template and forwards to the Office of General Counsel (OGC) for review and approval. c. Once approved by OGC, the contract and supporting documents are processed by DCM's Accounting Manager. i. Accounting sends the contracts first to the Contractor for signature and then to the KU CFO (Theresa Gordzica) for execution. ii. The signed contracts are returned to DCM Accounting and they encumber the funds. iii. A copy of the signed contract is sent to the Contractor (GC) and copies are distributed as needed to appropriate departments. iv. Accounting notifies the PM that the contracts have been executed and provides the Tax Exempt number for the project. v. The Deputy Director sends the Notice to Proceed to the Contractor.				
	2. **State funded projects** a. Contracts are coordinated through OFPM. b. OFPM prepares the contract, acquires the necessary contractor and KU signatures, and forwards fully executed copies to all parties. c. DCM Accounting places a copy of the contract in the project accounting file and notifies the PM that the contracts have been executed.				
26	**Contractor's Bonds and Insurance**				
	1. **Non-state funded projects** a. The Contractor submits the required bonds and insurance to the DCM Accounting Manager, typically at the same time the signed contracts are returned to DCM. b. Accounting notifies the PM, who verifies that the bonds and insurance coverages are in compliance with the project specs and front-end requirements. c. The PM notifies Accounting of compliance. d. Bonds and insurance must be in place before the executed contract is returned to the Contractor.				
	2. **State funded projects** a. The Contractor submits the required bonds and insurance to OFPM. b. OFPM verifies compliance with the project specs and front-end requirements.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
27	**Notice to Procees**				
	1. The PM checks that the Permit to Build has been received from OFPM and signed by the UFM.				
	2. Upon delivery of the fully executed contracts and the Contractor's bonds and insurance, the Notice to Proceed is issued to the Contractor by the DCM PM (for non-state funded projects) or OFPM (for state-funded projects).				
	3. The PM updates the database to reflect "Construction" stage.				
28	**Construction**				
	1. Pre-Construction Meeting				
	The Pre-Construction Meeting kicks off the construction phase for the project. a. The A/E is responsible for scheduling the meeting in coordination with the DCM PM. i. Attendees should include the A/E, the DCM PM, the Client/ Building Committee, the Contractor, the subcontractors and suppliers, and all KU entities included during SD or DD reviews. ii. OFPM should be notified for state-funded projects to include the OFPM inspectors. b. The A/E chairs the Pre-Con, with assistance from the DCM PM and the Contractor (GC). c. The agenda should be prepared by the A/E, based upon *the Pre-Con agenda outline in Appendix B reference list*, or the OFPM Pre-Construction Conference Agenda DCC Form 430 available under "Forms and Documents" at www.da.ks.gov/fp/ and supplemented by project specific items from the PM and Contractor. d. The A/E should ask the Contractor to provide a listing of all subs for the project file. e. The PM should review with the A/E, Contractor, UFM and OFPM (or other AHJ) the process for scheduling the code-required inspections with sufficient advance notice for all parties. f. The A/E is responsible for preparing and distributing the minutes for any meeting held for a project throughout the process.				
	2. Contract Document Interpretation				
	a. The A/E is responsible for making interpretations regarding questions about the construction documents or work performed. b. The DCM PM and CM (if applicable) assists and provides guidance as needed to represent and protect KU's interests. c. The A/E must respond in writing within 10 working days to any request from the contractor for information or interpretation and in a manner as to avoid delays to the construction schedule. d. The A/E must issue written field orders to the GC for changes or adjustments in the work and provide copies to the DCM PM (for all) and OFPM (for state funded projects). e. The A/E is responsible for preparing and maintaining a log of all Requests for Information (RFI). f. The DCM PM and CM (if applicable) must ensure that the log is current and accurate, including all RFIs and the A/E's responses (ASI's). g. A copy of all RFI's, ASI's and other written clarifications are to be filed by the PM in DCM's central paper file and the electronic project file. h. The A/E must also forward copies of these documents to OFPM for state funded projects. i. Refer to Chapter 16 of the OFPM BD&C Manual for guidance on the resolution of disputed interpretations between the A/E and GC.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	3. Construction Progress Meetings				
	a. The A/E is responsible for informing the Project Team of all construction activity and should request KU assistance when necessary. b. The A/E is responsible for coordinating and conducting construction progress meetings, in conjunction with the GC, at intervals agreed upon by KU, and notifying all Team members and state agencies of the meeting. i. Progress meetings can occur as needed per the specific project, ranging from weekly to monthly depending upon the construction schedule. Bi-weekly is the most common. ii. The PM should adjust the meeting schedule as needed. c. The meetings should review the status, schedule and quality of work for compliance with the contract documents. d. Progress meetings should include the A/E, GC, DCM PM and other KU entities, state agencies or subcontractors for which the agenda is relevant. e. The A/E must attend other meetings required by state or local agencies at no additional cost to KU. f. The A/E is responsible for preparing and distributing the minutes for any meeting held for a project. g. The DCM PM should file an electronic copy of all meeting minutes in the project file.				
	4. Management of Separate Contracts				
	a. The PM/ CM coordinates and manages the work of separately-contracted suppliers, contractors, or vendors and approves the invoices they submit for their services, with review as need with the AD. b. These may include: i. KU Information Technology (IT) ii. Simplex (KU's current sole fire alarm provider) iii. Johnson Controls (KU's current sole Building Automation Control System [BACS] provider) iv. Commissioning agents (various firms) v. Geotechnical and Construction Observation/ Testing services (various firms) vi. Furniture and equipment vendors vii. Audio/Visual system vendors viii. Signage/ plaque vendors ix. Access Control vendor (currently CBORD) x. CCTV Camera vendor (currently Pelco/ Capital Electric) (confirm vendor)				

Project Name/ KU Project Number:	Y	N	N/A	Comments
5. Other Meetings to Schedule				
a. **Moving In**: Well in advance of Substantial Completion, the PM should set up a move-in meeting(s) with the Contractor, Client, furniture vendor, equipment vendor, moving department/firm, KUIT, FS and others, as needed, to confirm and plan for the Client's move into the new facility. b. PM to address the following: i. Confirm the overall move-in schedule and coordinate all efforts with the Client and building occupants. ii. PM should visit the building site periodically during move-in to help the Client and building occupants address concerns as they come up. iii. Furniture: PM to confirm the schedule of new furniture installation and final electrical connections are coordinated with the GC. iv. Move-In Trash and Recycling: PM to verify trash removal provisions from furniture and equipment vendors and arrange for FS Recycling to place temporary cardboard recycling containers/dumpsters at the site as needed. v. Movers: PM to confirm movers are scheduled and review final scope and timeline of activities for the move-in. vi. IT – Voice and Data Activations: Confirm IT provisioning and activation of outlets is scheduled and will occur in coordination with Client move-in and occupancy of various parts of the facility. vii. Keys: Confirm Contractor has delivered all permanent keys to the FS Lock Shop and that client has contacted FS to coordinate key needs with the key plan. Determine the date Client will receive the keys prior to move-in day. viii. Vending Machines: PM to advise the University's vending machine manager (currently Dining Food Services Director) when the designated vending area(s) are ready for the vending provider to deliver and install vending machines. ix. Trash and Housekeeping Services: Building Committee Chair or other designated Client rep is to contact FS and schedule commencement of trash and FS Housekeeping services. x. PM to continue assisting Client on new or unresolved problems concerning design or construction issues. PM to contact A/E or Contractor as appropriate to assist in resolving issues. c. **Building Dedication:** Two months prior to completion of the building, the PM should remind the Client that any proposed building dedication ceremonies are to be planned and coordinated through the KU Events Coordinator (Charlie Persinger) in the Office of Public Affairs. i. The PM should meet with the Client and Events Coordinator to prepare a draft of the KU standard building dedication plaque for their review and approval. ii. The PM confirms the plaque layout with the AD, orders the plaque, approves the shop drawings, and arranges for FO to install the plaque at the approved location.				

Project Name/ KU Project Number:	Y	N	N/A	Comments
6. FS Support Services During Construction				
a. **Dig-Safe Utility Locates**: the PM must verify that the Contractor contacts Dig-Safe and FS Engineering prior to any underground excavation or drilling work. b. The Contractor must coordinate with FS Engineering for assistance in locating utility lines, providing adequate advance notice and using the Dig-Safe notification system. c. **As-Built Utility Locates**: the PM must verify that the Contractor has notified FS Engineering with adequate advance notice to survey and record utility elevation and information before any trenches are backfilled. FS enters this information into the KU ground zone electronic maps, so complete information and accuracy are critical.				
7. Utility Outages				
a. The Contractor must coordinate closely with the DCM PM to ensure adequate advance notice to appropriate entities regarding scheduled utility outages, scheduled road closures, fire alarm testing, and other testing. b. The PM is responsible for e-mailing outage notifications to all affected parties with appropriate advance notice, typically one week but not less than 48 hours prior to the outage. c. The PM may access the Building Contacts list under "Projects" on the DCM website to select the buildings and/or contacts to received notice. i. Also include on the e-mail the campus-wide list of persons who need to be informed of upcoming outages from the website. ii. Include on the e-mail all DCM Project Managers, the ADs, and Deputy Director. d. If a campus-wide or multiple-building outage is planned, the PM must provide that information to the FS Outage Coordinator (Sandra Benedict) who will issue the campus-wide notification and coordinate with the necessary FS personnel.				
8. Jobsite Inspections and Site Visits				
a. The A/E has primary responsibility for the inspection of the project, representing the owner and advising or consulting with the Project Team in the administration of the construction contract(s). b. The A/E must coordinate closely with the DCM PM and Contractor to ensure adequate notice for inspections and testing. c. The A/E must make regular, periodic jobsite visits, together with the GC (and OFPM when required) to ascertain the progress of the work and to verify that the general quality of work is acceptable and in compliance with the construction documents. d. At a minimum, the A/E must provide inspection for: i. Compliance with the construction documents. ii. Inspection of site utilities prior to burial. iii. Inspection of concealed spaces (such as above ceiling work, etc.) before the space is covered or enclosed. iv. Inspection of the life safety system and all components. e. The PM coordinates and schedules construction site visits by the KU Project Team members at appropriate intervals and at key times to verify that the quality of construction is acceptable and consistent with the design intent, bid documents and University standards. These site visits may include the following at appropriate times: i. DCM Arch./ Eng./ Landscape Support ii. DCM AD – Consultant Services iii. DCM Deputy Director and/or Director iv. KU Administrators or OGC, as requested				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	f. Other Project Team members will occasionally visit the jobsite as appropriate or needed to advise on issues of concern and to remain updated on the progress of the project. i. With the exception of the DCM Team, KU personnel are not allowed on the project site without the Contractor's prior approval and coordinated through the DCM PM. ii. The PM should assist the Contractor in limiting and controlling jobsite tours of the Client group by scheduling periodic tour dates (if needed) with a limited number in the group. iii. All visitors to the site must comply with the Contractor's safety procedures. g. **Restricted Access to the Site**: The PM must advise the Client group that the project site is fully controlled by the Contractor. i. With the exception of the DCM Team, KU personnel are not allowed on the project site without the Contractor's prior approval and coordinated through the DCM PM. ii. The PM should assist the Contractor in limiting and controlling jobsite tours of the Client group by scheduling periodic tour dates (if needed) with a limited number in the group. iii. All visitors to the site must comply with the Contractor's safety procedures. h. If DCM has retained a Construction Manager, the CM coordinates with and briefs the DCM PM on all questions related to design, code, cost, or time issues. DCM's PM and CM will make decisions on these matters jointly, or will consult with other DCM Team members as appropriate. i. The GC must forward copies of the daily jobsite reports and progress photos to the DCM PM, per KU's standard contract requirements. j. The DCM PM files them in the central project files and/or the electronic folder. Electronic format is preferred.				
	9. OFPM/AHJ Code Inspections				
	a. OFPM performs specific code compliance inspections on all projects and periodic project inspections on extended service projects. b. Refer to Chapter 7 of the OFPM BD&C Manual for a list of the required inspections. c. The PM should review with the Contractor, A/E, UFM, and OFPM (or other AHJ) the process for scheduling the code-required inspections with sufficient advance notice for all parties. i. Provide a minimum of three days notice to the State inspectors. ii. The A/E and Contractor must coordinate any meetings or inspections with OFPM prior to scheduling. iii. Code and life safety inspections must be coordinated through the University Fire Marshal as well. iv. The FS Assistant and Associate Directors should be notified of all inspections and training so that they can determine the level of participation required of the various FS shops. v. *Refer to the reference list in Appendix B for a list of the appropriate FS contacts and shops .* d. The PM attends inspections, unless UFM indicates that their presence is not necessary. e. PM ensures that the A/E prepares and distributes written inspection reports to document the non-compliant work to be corrected or completed, as noted during each inspection. f. The PM assists the Project Team and UFM , as required, to ensure that a Certificate of Occupancy is received from the AHJ/ OFPM in a timely manner, allowing KU to occupy the facility on schedule.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	10. Shop Drawings and Submittals				
	a. Shop drawings are to be submitted to the A/E in pdf format unless otherwise approved by the PM. b. Refer to Ch. 16 of the OFPM BD&C Manual for information on required shop submittals to OFPM. c. The A/E must, within 10 working days, review and approve all shop drawings for conformance with the construction documents. i. Questions about alternate products or materials must be reviewed with the PM. ii. The PM/ CM must forward any proposed variances from the specified materials, products, or systems to the AD for review and comment before the A/E gives the Contractor final approval to proceed with ordering or construction of those items. iii. The PM must review variances from the KU Design Standards with the AD and the DCM Director for approval prior to the A/E approving the shop submittal. iv. Note: For state-funded projects, OFPM allows only substitutions for discontinued products after the "request for substitution" period during the bidding phase has passed. d. **Life Safety shops** must be prioritized by the A/E to allow time for the OFPM submittal process of 2 – 6 weeks. i. **The A/E must submit the documents to UFM** (Bob Rombach) for processing of the required electronic and paper copies. The A/E is **not** to submit directly to OFPM or the State Fire Marshal. ii. **Submit only stamped "approved" with or without comments.** e. Only approved shop drawings are to be submitted to the GC, the DCM PM/ CM, and OFPM. f. The DCM PM/ CM receives the KU copies of approved submittals from the A/E and distributes them to FS and other Team members as needed. g. The PM/ CM must keep the DCM copies of all approved shop submittals and, when project is complete, forward them to FS for use by the FS Shops or to be stored in the new facility. h. The Contractor is required to maintain a log of all shop submittals and approvals, per the spec requirements. i. The PM/ CM must track the log to ensure that information is current and accurate. i. The A/E must ensure that all shops related to matters of security are returned to the PM.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	11. Building Dedication Plans				
	a. Two months prior to completion of the building, the PM should remind the Client that any proposed building dedication ceremonies are to be planned and coordinated through the KU Events Coordinator (Charlie Persinger) in the Office of Public Affairs. b. The PM should meet with the Client and Events Coordinator to prepare a draft of the KU standard building dedication plaque for their review and approval. c. The PM confirms the plaque layout with the AD, orders the plaque, approves the shop drawings, and arranges for FS to install the plaque at the approved location.				
	12. Final Color Selections				
	a. The A/E must prepare one or more color boards for review and approval by the DCM/ Client team. b. Initial color selections may be proposed by the A/E, with input from DCM and the client group. c. Final decisions are to be approved by the DCM Director. i. DCM Director will invite the Chancellor's input, as appropriate. d. A/E must prepare a comprehensive written Color Schedule, to document all color selections, manufacturers, suppliers, brand, style or trade names selected. e. PM must verify that a copy of the final color schedule is saved to the DCM central project file and the electronic project file. f. PM forwards copies to the FS Associate Director, FS Engineering and the Client.				
	13. Keying Conference				
	a. The PM reminds the A/E and Contractor that keys to be ordered from the KU Lock Shop need to be ordered early on. b. The PM assists the Contractor in scheduling and managing a keying conference with the Client, A/E, Contractor's hardware supplier, and FS Lock Shop personnel (Joe Falkenstein) to review and confirm the keying systems and hardware functions for the building. c. The Client should confirm the number of keys needed for each area and for specific doors. d. The FS Lock Shop will advise the Contractor on the master-keying system to be employed for the project, which will either extend or add levels to the campus standard Medeco keying system. e. The PM must coordinate with UFM (Bob Rombach), who will serve as liaison to the local AHJ and process the request to secure the required fire department Knox box that is to be mounted on the exterior of the building and tied into the facility's fire alarm system. f. The FS Lock Shop will provide the required master keys to UFM, who will coordinate with the local AHJ to place them in the Knox box at the time of substantial completion.				

Project Name/ KU Project Number:	Y	N	N/A	Comments
14. Commissioning (CX) Services				
a. Large capital projects typically include the services of a Commissioning Agent who is responsible for the functional testing and oversight inspections to ensure that fully operational, energy-efficient, easily maintained MEP systems are provided by the A/E and Contractor on the completed project. b. The DCM Engineering Support person monitors and guides the CX Agent and the process, and advises and directs the Project Team on behalf of KU for issues related to the project's CX services and MEP systems.				
c. The Commissioning Agent also reviews the O&M manuals provided by the Contractor for completeness. d. The PM and DCM Engineering Support person will coordinate with FS to assist the CX agent in providing the O&M training of the appropriate KU operations/ maintenance personnel (primarily within FS). e. The PM reviews and approves invoices from the CX Agent and ensures that the periodic reports and communications from the CX firm are filed in DCM's electronic project file. f. Copies of the CX reports are forwarded by the PM to the FS Associate Director (who?) and, if available electronically, to the FS Instrumentation and Engineering Shops.				
15. Change Orders				
a. **Statutory Change Order Limits**: Change orders exceeding **$125,000** must be approved by the Joint Committee on State Building Construction before they can be executed. i. Given the time delays and questions this may raise, the PM, A/E and Contractor should **avoid this situation** if at all possible. b. **DCM CO Approval Limits:** the PM, at their discretion, may approve COs up to 10% of the total project contingency or up to $10,000 as long as uncommitted contingency funds are available to cover the costs. i. Any proposed CO beyond these limits which the PM has reviewed and wishes to recommend for approval must be first approved by the DCM Deputy Director and Director. c. Per OFPM, on state-funded projects, all change orders must relate to the original scope of work (i.e. errors and omissions, unforeseen site conditions, etc.). Change orders should not be used to introduce a new scope of work to an existing project without Negotiating Committee approval. d. **Scope Management During Construction**: The PM must manage changes during construction to ensure that the following types of changes are reviewed and approved by the KBOR Procurement Committee (or the State Negotiating Committee for state-funded projects): i. Change in the project scope ii. Significant impacts to the project's cost iii. Changes in funding iv. Changes in the project's schedule				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	e. It is the responsibility of the Client's representative requesting the change to present it to the applicable Procurement/ Negotiating Committee and the justification and funding plan for the proposed change. f. **Errors and Omissions:** If the change is due to a potential A/E error or omission, the PM must brief the AD and the Deputy Director and verify that appropriate documentation is filed in the electronic project file. i. **Proper documentation in the file is critical** in the event of future discussions with the A/E on their possible responsibility for some or all of the costs. g. Prior approval is required by OFPM for building code and accessibility issues. h. **Any change in the floor plan requires an additional code review through UFM and OFPM**. i. The A/E is responsible for preparing and signing change orders within 10 working days from the date of acceptance by KU to proceed with a change order, unless otherwise agreed to by the Contractor. i. The PM/ CM should work jointly with the A/E (and OFPM for state-funded projects) to facilitate expediency in the review and approval of change order requests. ii. For non-state funded projects, the PM should remind the A/E to use the KU approved AIA change order forms. iii. For state funded projects, the PM should remind the A/E to use the Contract Change Order DCC form 460 and Change Order Continuation Sheet DCC Form 461 from the OFPM website under "Forms and Documents:: http://da.ks.gov/fp/ j. Multiple items may be included within one change order, within the limits identified above. k. The A/E is to provide two (2) copies of the signed change order to the DCM PM/ CM. l. The PM/ CM must review and approve or disapprove the change order in writing, with a copy of the approved CO and PM's approval noted and saved to the electronic project files. m. If the change is time sensitive and can't wait on the formal CO paperwork, written approval may take the form of an e-mail or signed proposal document. n. Once approved, the PM/ CM updates the project budget, which must be reviewed by the AD before distribution.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	o. For all projects, the PM forwards the approved CO and updated budget to DCM Accounting (Eunice Clifton) for processing. i. Accounting sends both copies to the KU CFO (Theresa Gordzica) for signature. ii. When returned, for non-state funded projects Accounting scans & files the CO in the project accounting file, sends a copy to OFPM (Lori Ploude), a copy to the Contractor, and a copy to KU Accounts Payable. iii. For state-funded projects, Accounting sends the CO to OFPM for processing and distribution. iv. For non-state funded projects Accounts Payable revises the Purchase Order on file to reflect any monetary changes of the CO. p. The A/E is responsible for developing and maintaining a log to track Request for Change Order Proposals (RFP) and A/E responses. i. The PM/ CM must track the log to ensure current and accurate information.				
	16. Substantial Completion and Punch List Inspections				
	a. Substantial Completion is a critical date within the project process, as it determines the date for the start of project warranties. b. The A/E determines the date of substantial completion by conducting a joint inspection with the Contractor, the DCM PM and OFPM representatives. i. Include appropriate KU entities such as FS, KUIT, EHS, etc. c. The PM and DCM Support Team members assist the A/E with developing the punch lists of items remaining to be completed or corrected and identify a date(s) for the completion of each item. d. The A/E is responsible for preparing and distributing the punch lists to all parties within two working days. e. If the DCM PM concurs that Substantial Completion may be issued, the A/E completes one signed copy of the Certificate of Substantial Completion DCC Form 570 on the OFPM website and distributes it, along with the punch list, to the Contractor, the PM/ CM and OFPM. i. Substantial Completion may be issued for the entire project or designated portions or phases of a project. f. Issuance of Substantial Completion does not permit occupancy. Occupancy is permitted only when OFPM issues the Certificate of Occupancy following the final code/ life safety inspection as noted above and in Chapter 7 of the OFPM BD&C Manual. g. The Contractor is responsible for coordinating with the A/E and PM to schedule the final life/safety inspection as outlined in section #7 above. h. It is the responsibility of the A/E to ensure that all punch list items are completed in a timely manner and to conduct an inspection with all parties listed above to verify that all items have been finished. i. Each punch list item should be completed and initialed by the Contractor.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	i. Immediately after the date of Substantial Completion, the Contractor is to deliver redlined as-built drawings of the completed project to the A/E. j. When Substantial Completion is requested for a portion of a project, the same procedures above apply. When issuing the Substantial Completion form, the A/E should note the area being inspected as "partial substantial completion." k. The PM instructs all parties on warranty period procedures (refer to Ch. 7 in this manual and in the checklist below for warranty procedures). l. The PM enters the date(s) of Substantial Completion in the DCM database and updates the stage to "Substantial Completion." m. **Contractor and A/E Invoices at Substantial Completion:** i. The PM and A/E should discuss and agree upon a reasonably conservative retainage amount to hold in the contractor's invoice at this time. ii. The retainage should reflect the value of the work remaining to be completed or corrected on the punch list. iii. Retainage amounts cannot exceed 150% of the estimated cost of the punch list work, per statute.				
	17. Certificate of Occupancy Turnover				
	a. The Certificate of Occupancy will not be issued until the installation, testing, correction, and retesting of all life safety systems within the project are approved by OFPM. b. All requests for the final inspection must be coordinated through the KU UFM (Bob Rombach). c. The OFPM Senior Architect (Construction & Compliance) will issue the Certificate of Occupancy form when approved. d. The PM notifies the Client when the Certificate of Occupancy has been issued and the Client may begin moving in.				
	e. Upon receipt of a Certificate of Occupancy or Final Inspection sign-off, the PM will issue a turnover letter to Facilities Services and the client, notifying them that the building and/or project area is ready for occupancy and that responsibility for the building will now transfer from DCM to FS and the client. The turnover letter also serves as notification to FS that the warranty period has begun and responsibility for maintaining the building is transferred to the appropriate university departments. Copies of the turnover letter should be distributed to the project team. The turnover letter should include bullet points indicating the following items: i. Issuance date for certificate of occupancy ii. Statement that upon issuance of the turnover letter, responsibility for the building is transferred from DCM to FS and the client. iii. Statement that upon issuance of the turnover letter responsibility for the maintenanceof the building will be transferred to the appropriate department(s) within the university. iv. Operations and Maintenance manuals have been delivered to Facilities Services and the university departments responsible for maintaining the building. v. Status of punch list and outstandind items on list vi. Client occupancy date vii. Warranty tab in the O&M manual				

Project Name/ KU Project Number:	Y	N	N/A	Comments
18. Client Move-In				
a. As noted under item #4 above for "Other Meetings to Schedule": i. Well in advance of Substantial Completion, the PM should set up a move-in meeting(s) with the Contractor, Client, furniture vendor, equipment vendor, moving department/firm, KUIT, FS and others, as needed, to confirm and plan for the Client's move into the new facility. b. The PM should assist the Client in coordinating moving schedules . i. Confirm the overall move-in schedule and coordinate all efforts with the Client and building occupants. c. **Post –Occupancy Interview:** This process is in development, so the PM should check with the AD and Deputy Director to determine if the PO Interview will occur for the project. d. If the interview is to occur, within 6 months of building occupancy , schedule a meeting with the Client group to: i. Assess whether the Client's goals and expectations were met. ii. Request that the Client fill out the DCM survey in order to identify strengths and weaknesses on the project. iii. Summarize "lessons learned" from the project. PM should file a written summary in the project's electronic folder. e. The AD and Deputy Director meet with the applicable DCM Project Team members to review what went well on the project and the Client expectations and objectives that were not met. i. Discuss what the Team could have done differently in order to improve DCM performance on the next project.				
19. Management of Separate Contracts				
a. Concurrent with final completion and close-out of the Contractor's work , the PM should review the overall project budget to verify the status of the other separately contracted work items. b. The PM must contact the other entities under separate contracts for the project to ensure that they have completed their work and have submitted their final invoices to the PM for approval and payment. c. If not, the PM works with them to ensure they complete their work and submit final invoicing as soon as possible.				
20. Dispute Resolution				
a. For disputes encountered during construction between the A/E, contractor and/ or KU entities, the PM should first consult with the parties having the dispute. b. If they are unable to resolve the dispute or it may escalate, the PM must brief the DCM AD and Deputy Director and, if appropriate, the DCM Director. c. Note that the applicable Procurement/ Negotiating Committee may need to be involved if scope, budget or schedule issues are concerned. See above under "Scope Management During Construction." d. The Deputy Director and/or Director will consult with the KU Office of General Counsel as needed for issues requiring legal counsel or issues that may possibly lead to legal action by one or more of the parties under contract.				
21. Monthly A/E Invoices				
a. Refer to the instructions for approving and processing A/E invoices earlier in this checklist under "Processing Consultant Invoices" in the sections addressing consultant procurement and contracts. b. Prior to approving the A/E's first invoice during construction , the PM should first verify that the Bid Set of electronic documents has been delivered to DCM's IT group and has been reviewed as acceptably formatted. c. Prior to approving invoices at the time of Substantial Completion, the PM must verify that the close-out documents and materials noted in the "Close-out" section have been received by the appropriate parties.				

Project Name/ KU Project Number:	Y	N	N/A	Comments
22. Monthly Contractor Invoices				
a. The A/E is responsible for receiving 2 signed copies of the Contractor invoices (3 if project is privately funded), reviewing them for accuracy for the amount requested (per the schedule of values or percent of project complete) and the status of the on-site record documents, and recommending approval or rejection of the payment to the DCM PM. i. OFPM requests that the schedule of values submitted by the Contractor include a line item for record documents. b. The A/E has 7 days from time of receipt to sign and forward the recommended invoice to the DCM PM for approval and processing. i. If the A/E does not recommend approval of the invoice, the A/E must notify the Contractor within 7 days of receipt and provide the choice of resubmitting the invoice with correct information or holding the invoice until the work is completed to the level of payment requested. c. The DCM PM/ CM must then review and approve the Contractor's invoices and forward approved invoices to DCM Accounting (Eunice Clifton) for processing. i. DCM Accounting will process the invoice through Accounts Payable, send a copy to OFPM, and scan and file one in the project accounting file. d. If a CM is involved, the CM must keep the DCM PM updated on the status of billings and issues of contention. e. If DCM determines an invoice is to be held for any reason , the PM must advise the Contractor and the A/E in writing of the reasons and the actions required for the payment to be released. f. Prior to approving invoices at the time of Substantial Completion, the PM must verify that the close-out documents and materials noted in the "Close-out" section have been received by the appropriate parties.				
23. Monthly FS Invoices				
a. The PM reviews and approves monthly invoices from FS for support service work and temporary utility costs, which are considered project costs and included within the project budget.				
24. The Warranty Period				
a. The Contractor is required to provide a one-year warranty on all construction work (unless otherwise designated in the contract documents), commencing on the date of Substantial Completion. b. Warranties for items noted on the punch list start on the date when DCM approves the final Contractor pay application on non-state funded projects, or as indicated on the Certificate of Project Completion on state-funded projects. c. Other special warranties will be issued on specific items of work, as noted in the specs, for items such as roofing (which often has a 15 or 20 year warranty). d. The collection of warranties from the contractor is critical in determining dates of correction periods. e. During the Project Close-Out, the PM should meet with the Contractor, the A/E, Client, DCM staff, and FS personnel to review the warranty procedures and obligations of all parties and to deliver the O&M manuals, and required training videos. f. It is the responsibility of the DCM PM to enter the applicable warranty items and warranty dates into the database. g. The PM should verify that the O&M Manuals include a complete set of the special warranty documents for this project, which are required by the specs in addition to the Contractor's one year warranty.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	25. Maintenance Calls During the Warranty Period				
	a. During the warranty period, building occupants should forward items that are not working properly to FS Work Management, who will forward them to the appropriate FS shop for investigation. b. If found to be a routine O&M item, FS personnel will address it. c. Where the issue appears to be one of equipment installation during construction or insufficient equipment performance, FS maintenance personnel should first review the warranty records to determine whether the part is currently under the manufancurer's warranty. If this is a warranted part, it is FS' responsibility to make the initial contact with the contractor or appropriate subcontractors. The PM from DCM should only be contacted for assisstance in those circumstances where FS has been unsuccessful after reasonable efforts to compel the contractor or subcontractors to honor current warranty provisions. d. The PM must monitor the progress on each item to ensure that it is addressed in a timely manner and follow up with the A/E or Contractor, as needed, to ensure that appropriate action is taken. e. If a design problem is determined, the PM will coordinate with the DCM Support Staff and A/E to develop and implement a plan of correction.				
	26. Warranty Re-Inspection				
	a. During the 10th month of the warranty period, the A/E coordinates with the PM and the Contractor to schedule the warranty re-inspection to be held during the 11th month of the warranty. i. The meeting should include the PM, appropriate representation from the building occupants (as identified by the Client rep), the Contractor, major subs (HVAC, etc.), A/E, DCM Support Staff, UFM, FS personnel (typically the AD and other personnel they designate), KUIT, and the Commissioning agents. ii. The PM should request that the KU attendees prepare lists of possible warranty items that remain unresolved and distribute them through the PM prior to the meeting. b. The A/E and PM lead the Project Team through a recap of the warranty items that have been identified and confirm the plan of action (what's to be done and by whom) for each item. i. The building and site should be inspected, as needed, to confirm the items to be addressed under the warranty. c. The A/E prepares a list of those items and a summary of the action plan for distribution to the PM and the Contractor and ensures that the Contractor addresses them in a timely manner and to the satisfaction of the University. d. The PM monitors the warranty progress to ensure compliance, as confirmed by follow-up inspections by the A/E and DCM/FS personnel.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
29	**Project Closeout - Small and Large Cap Projects**				
	1. The DCM PM is responsible for coordinating the project close-out activities. 2. The project is considered to be complete when the A/E confirms that the construction has been completed in accordance with the contract documents **and the following are complete**. The PM should use the following list as a guideline: a. **The Punch List**. b. **Final cleaning** of the building and cleanup of the site to the satisfaction of the University. c. **Completion of Commissioning** activities, if provided by the Contractor, and delivery of the commissioning report to the A/E. d. **Completion of Testing and Balancing** activities, if provided by the Contractor, and delivery of the reports to the A/E. e. All **warranties** and accompanying information have been delivered to the DCM PM and provided to FS. f. **Operations and Maintenance Manuals**: i. The Contractor is to deliver the O&M manuals to the A/E for review and approval. ii. The A/E delivers the approved O&M manuals to the PM/ CM for review and acceptance. iii. PM verifies that O&M manuals appear to be complete and, if not, requests A/E to follow up with Contractor to revise or update. iv. Hazmat/MSDS Info: the PM verifies that the O&M manuals include the Contractor's letter certifying that no asbestos or other hazardous materials were used in the construction and that all required JSDS sheets are included. PM must forward a copy of these documents to the EHS Director (Mike Russell) and Asbestos Abatement Manager. v. It is recommended that the PM schedule a meeting with FS to receive the O&M manuals and review them for completeness. If that is not possible, the PM forwards copies of all O&M manuals to FS Engineering for distribution to the appropriate FS Shops. vi. The PM verifies that the O&M manuals include a complete set of the **special warranty documents** for this project, which are required by the specs in addition to the Contractor's on-year general warranty. vii. PM verifies that specific warranties are included for typical items such as roofing, doors, fans/motors, pumps and similar items. viii. The PM enters the warranty data into the database, identifying the items under warranty, their start and stop dates, and other pertinent data. See also section #14 below on Warranty Period.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	g. **Training** and demonstrations, as required within the construction documents, have been provided. h. All **keys** have been delivered to the DCM PM and FS. i. **Extra Materials and maintenance Stock/Tools:** i. PM verifies that the contractor has submitted a list of materials and tools to the A/E for review and confirmation of compliance with the specs. ii. The PM coordinates with the FS AD to confirm where spare materials are to be stored in the new facility or elsewhere. iii. PM verifies that all materials, tools and required maintenance equipment have been delivered to FS. j. The **Contractor has delivered record documents** to the A/E for the A/E's as-built drawings. i. The Contractor must deliver redlined as-built drawings of the completed project to the A/E and the life-safety redlines to Simplex immediately after the date of Substantial Completion. k. **As-Built Drawings**: A/E must deliver the updated electronic drawing files, in both .pdf and AutoCAD format to the DCM PM. The PM forwards the documents to the DCM IT Manager (Joe Friday). i. Simplex must deliver as-built fire alarm shop drawings to UFM (.pdf, AutoCAD and 2 full size and 2 half size paper copies). ii. UFM distributes the Simplex shops - one to FS Engineering, one to FS AD for distribution to the appropriate shops, and one to the building. One remains at DCM temporarily and then is sent to the building. iii. The DCM IT Manager will have DCM staff create or update the KU small scale drawings to reflect changes or additions to the base floor plans. l. PM to verify that **OFPM has received all required paperwork** and final documents as outlined in Chapter 16 of the OFPM BD&C manual. m. If Commissioning, Testing and Balancing are not included within the Contractor's contract, the PM must confirm that these processes are completed in a timely manner.				
	1. Project Close - Out Paperwork				
	a. Prior to approving final invoices, the PM must verify that the close-out documents and materials noted in the "Close-out" section have been received by the appropriate parties. i. If any items are missing, the PM must hold those invoices and notify the Contractor and/or A/E by e-mail of the missing items that need to be completed before those invoices can be processed. b. Concurrent with final completion and close-out of the Contractor's work, the PM should review the overall project budget to verify the status of the other separately contracted work items. c. It is critical that the Contractor sign an Affidavit stating that all project debts of the Contractor or subcontractors have been paid in full (using the forms outlined below). d. For state funded projects, the A/E prepares and provides to the Contractor one signed copy each of: i. The Certificate of Project Completion/ Affidavit of Contractor DCC Form 571. ii. The Close-out Checklist DCC Form 560. iii. These forms are found on the OFPM website. Check the website to ensure current information.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	e. For non-state funded projects, the A/E prepares and provides to the Contractor one signed copy each of : i. AIA G706 – Contractor's Affidavit of Payment of Debts and Claims ii. AIA G706A – Contractor's Affidavit of Release of Liens iii. AIA G707 – Consent of Surety to Final Payment f. The Contractor signs the Certificate/ Affidavit and returns them to the A/E along with: i. The Contractor's final pay application. ii. The Close-out Checklist. g. The A/E reviews the final pay application. h. If approved, the A/E signs the pay application and forwards it to the DCM PM along with: i. The Certificate of Project Completion/ Affidavit. ii. The Close-out Checklist. iii. The A/E copies the DCM PM on all submittals to OFPM. i. If not approved, the A/E will notify the Contractor of the deficiencies and request resubmittal. i. The A/E copies the DCM PM. j. The PM forwards the documents to the DCM Accounting Manager (Eunice Clifton) for processing and execution of KU signatures. k. DCM forwards the documents electronically to OFPM for final signatures. l. OFPM will sign and distribute the documents via e-mail: i. One copy to the Contractor. ii. One copy to DCM Accounting for filing. m. DCM Accounting must provide copies to any other KU entities needing them. n. The Certificate of Project Completion triggers KU's responsibility for any maintenance, operations and utilities for the facility that were not previously accepted under prior Certificates of Partial Occupancy. o. The DCM PM updates the database with the date of the Certificate of Project Completion.				
	2. Final Completion and Contract Close - Out				
	a. Final Completion of the Contractor's work is established by the date when the DCM PM approves the Final Pay Application to the Contractor (on non-state funded projects) or by the issuance of a Certificate of Final Completion by OFPM (for state funded projects) in conjunction with the approval of the final pay application.				
	3. Post - Construction Services				
	a. The A/E and DCM PM are requested to complete an OFPM contractor evaluation for each project, which assists OFPM in the contractor pre-qualification process for state-funded projects. The form is available on the OFPM website. b. Within three months of project completion, the A/E must submit a complete set of record documents to the DCM PM and OFPM, to include as-built drawings reflecting significant changes that occurred during construction. i. Refer to the OPFM BD&C manual, Chapter 16 for a listing of submittal requirements. c. DCM and OFPM have 60 days to review the A/E's record document submittal and request changes.				

Project Name/ KU Project Number:	Y	N	N/A	Comments
4. Final Invoice Payments and Accounting				
a. The DCM PM must ensure that final invoices to the A/E, Contractor and other consultants or KU entities (FS) are processed in a timely manner when all scopes of work have been fully completed. b. Final payments to the Contractor or A/E are not approved until all close-out procedures are completed. c. Final payments may be made to the following entities when the PM confirms: i. The Contractor has provided all of the required close-out documentation and completed the scope of work: 1) Refer to the list under #19 Project Close-out above for contractor requirements. d. The A/E has provided properly updated .pdf and AutoCAD files of the as-built documents and completed their close-out responsibilities as outlined within this section. e. Once the PM has verified that all project-related work has been completed and all invoices have been received and processed, the PM meets with DCM Accounting to review the project budget and reconcile the project cost accounting in the DCM project budget and the accounting records. f. Once budgets have been reconciled, the PM confirms to the Accounting Manager (Eunice Clifton) that unspent funding can be reallocated or returned. g. As a reminder, one year after the date of Substantial Completion, the DCM database sends an automated message to the PM, Deputy Director and Accounting Manager to remind them that the project should be nearing completion and ready for DCM close-out and funding reallocation. h. When the PM updates the database to reflect "Project Complete" status, the database sends an automated message to the Accounting Manager, notifying them that the project should be ready for DCM close-out and funding reallocation.				
5. DCM Project Records Management				
a. At the end of the project, the DCM PM must organize and file all project documents in accordance with DCM and OFPM standards to include the following: b. **For DCM standards**, check with the AD if there are questions about appropriate information to maintain. c. The PM updates the database to reflect "Construction Complete" and update later to "Project Complete" (upon completion of the warranty period) and to ensure that all information is accurate and complete, including all dates, final costs, warranty items and dates, etc. d. The PM organizes the project's paper files to remove any unnecessary or redundant information and to provide concise file information in chronological order. e. Include all correspondence involving DCM Team members, e-mails, meeting minutes, etc. f. Verify with the DCM IT Manager (Joe Friday) the process for copying e-mails from the PM's e-mail folder to the project folder. g. File the paper files in the DCM project file cabinets under the appropriate building/site number and project number. h. Provide all electronic as-built drawings to the DCM IT Manager (Joe Friday) for review and placement in the project folder.				

Project Name/ KU Project Number:		Y	N	N/A	Comments
	i. For design documents, verify that the electronic file contains: i. The Program document ii. Final SD documents iii. Final DD documents iv. 100% CD documents and bid documents v. As-built drawings and specifications j. For construction documentation, verify that the electronic file contains: i. the Permit to Build ii. Punch List(s) iii. Certificate of Substantial Completion iv. Certificate of Occupancy v. Turnover Letter to FS vi. Equipment Commissioning reports vii. Requests for Information (RFI) viii. Change Orders ix. Submittals x. Testing results xi. Electronic shop drawings xii. Geotechnical reports xiii. Stormwater management plans xiv. Permits xv. Compliance with local, state or federal agency requirements xvi. Other pertinent information k. For accounting documentation, verify with the Accounting Manager that all payment applications, invoices, budgets, etc. have been filed electronically. l. Review the project's electronic folder for compliance with DCM standards and adjust file names and file locations as needed. m. Verify that all O&M manuals and shop drawings have been provided to FS. n. Discuss with the AD and Deputy Director about whether a post-occupancy survey will be conducted for this project. o. **For OFPM standards**, refer to the OFPM BD&C manual, Chapters 16 and 17, for listings of close-out requirements and document submittals. p. **Archive Project:** when 18 months have passed since the date of Project Completion, the database sends an automated message to the PM to remind them that the project is eligible to be archived in the database. q. PM confirms with the AD, Deputy Director, IT Manager and Accounting Manager that the project can be archived when: i. All documents have been filed. ii. All work has been completed. iii. All potential disputes have been resolved. iv. Project accounting has been closed. r. The Deputy Director arranges for the project's paper files to be moved to archival storage and the IT Manager moves the electronic project folders to the Archived folder. s. **Shredding of Documents:** Accounting will annually prepare a list of projects that have been closed for 5 years or more. i. The list is presented to the DCM Director and Deputy Director for review. ii. Projects that do not have a potential for litigation may be approved to shred the documents held by DCM Accounting, provided that accounting confirms that all relevant documents have been saved to the electronic project folder. iii. Projects with a potential for litigation must be held until further notice.				

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Project Close-Out

The close-out process for both small and large capital projects are essentially the same. DCM's Project Manager (PM) is responsible for coordinating the project close-out activities. .

The Close-Out Process

The Close-Out Process is summarized below. Detailed information is found in the Project Close-Out Checklist included at the end of the Chapter 6 Checklist in this manual. The PM is responsible for ensuring:

- **Submittal of Complete Documents**: ensuring that all required documents are received from the A/E and the Contractor and appropriately filed or forwarded to the applicable persons.
- **Client Move-In**: assisting the KU client as required with their move-in activities.
- **Provision of Materials and Training for FO Personnel**: scheduling sessions for training of maintenance personnel and for the transfer of warranty information, Operations and Maintenance (O&M) manuals, and extra maintenance stock, tools and materials.
- **Warranty**: ensuring that all warranty information has been received and forwarded to FO and scheduling a warranty review meeting to be completed in the 11th month of the warranty period.
- **Accounting**: finalizing the project budget form and providing all necessary paperwork to DCM Accounting for project close-out.
- **File Management**: updating the database to include all required information, organizing the paper and electronic files for proper filing and ensuring that files are thorough and complete.

The PM must verify that:

- The Contractor has provided all of the required close-out documentation, including as-built drawings provided to the A/E for updating of the CAD files.
- The A/E has provided properly updated PDF and AutoCAD files of the as-built documents.
- Final payments to the Contractor or A/E are not approved until all close-out procedures are completed.

The Warranty Period

The Contractor is obligated to provide a one-year warranty on all of the construction work, commencing on the date of Substantial Completion.

- During this period, building occupants should forward items that are not working properly to FO Work Management, who will forward them to the appropriate FO shop for investigation.
- If found to be a routine O&M item, FO personnel will address it.
- If not a routine O&M item, FO Work Management will forward it to the DCM PM, who

will then forward it to the appropriate party (A/E or Contractor).

- The PM must monitor the progress on each item to ensure that it is addressed in a timely manner, and follow-up with the A/E or Contractor as needed to ensure that appropriate action is taken.
- If a design problem is determined, the PM and DCM Support Team will work with the A/E to develop and implement a plan of correction.

Warranty Re-Inspection

- During the 10th month of the warranty period, the A/E schedules the warranty re-inspection date, in coordination with the PM and Contractor, to be held during the 11th month of the warranty period.
- The A/E and PM lead the Project Team through a recap of possible warranty items that have been identified by the building occupants, FO, IT, EHS and other KU entities.
- The building and site should be re-inspected, as needed, to confirm the items to be addressed under the warranty.
- The A/E prepares a list of those items and ensures that the Contractor addresses them in a timely manner and to a satisfactory resolution.

Post-Construction Services

- The A/E and the DCM PM are requested to complete an OFPM contractor evaluation for each project, which assists OFPM in the contractor pre-qualification process for state-funded projects.
- Within three months of project completion, the A/E must submit a complete set of record documents to the DCM PM and to OFPM, to include as-built drawings reflecting significant changes that occurred during construction.
- DCM and OFPM have 60 days to review the A/E's record document submittal and request changes.

Final Invoice Payments

- The PM must ensure that final invoices to the A/E, Contractor, and other consultants or entities are processed in a timely manner when all scopes of work have been fully completed.

Project Records

- At the end of the project, the DCM PM must organize and file all project documents in accordance with DCM and OFPM standards