



Standard Operating Procedures

Policy and Procedures Manual The “Life” of a JOC Project

Purpose

- To accurately describe the life cycle of a project using the Job Order Contracting (JOC) Delivery Method

Objective

- Efficient and appropriate use of the Job Order Contracting Delivery Method through complete understanding of what to expect throughout the life of a JOC project

Actions by Phase

Design Phase

SR-10

- Project Specialist receives an SR-10 to convert into a Capital Project
- Project Specialist sets up the Electronic Project Folder.
- The PM submits an RFP Questionnaire to the Contract Specialist
- The PM schedules a Pre-Proposal Meeting
- The Contract Specialist drafts the final RFP and obtains the Contract Administrator’s signature
- The Contract Specialist scans and e-mails a copy of the RFP to the contractor and other stakeholders
- The Contract Specialist sets up a JOC Work Order number in FAMIS and requests a Construction Coordinator
- The Contract Specialist adds the project to the active JOC status report and creates the paper contract folder (the Contract Specialist can do this, or the RFP can be forwarded to the Administrative Assistant to create the paper project folder)

RFP

- There are three types of RFP’s: Constructability review (usually needs full design, not yet determined); Joint Scope (mostly low dollar projects, uses Engineering documents); RFP with drawings



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Constructability review

- Schedule constructability review – Scope of Work has not been determined; therefore, the purpose of this meeting is to determine who the Project Team is (meet with PSP & contractor to get design underway), what work is needed, etc. There are two possible outcomes: Follow up with a Joint Scope Meeting; Reissue RFP with drawings (if project needs “full” design)

Joint Scope

- Joint Scope Meeting (which is the Pre-Proposal Meeting) – The purpose of this meeting is to determine the Scope of Work; therefore, the meeting time should be scheduled for no less than 2-4 hours. After this meeting the contractor has three (3) calendar days to submit preliminary Scope of Work (on their letterhead) to the PM.
- Once the preliminary Scope of Work is received, the PM, client, and Construction Coordinator review the preliminary Scope of Work. Once the client approves the Scope of Work in writing (e-mail is acceptable) the clock starts on preliminary pricing.

RFP with Drawings

- The PM should attend the Pre-Proposal Meeting with the CC, Client, and contractor. Without these four attendees, the meeting is invalid.
- The PM should also have a meeting sign-in sheet and meeting agenda
- At the Pre-Proposal Meeting, the PM should set up a date for the Pre-Construction Meeting (discuss the meeting with attendees)
- After the Pre-Proposal Meeting, the PM should look at calendar and tentatively schedule progress meetings
- The PM or Project Specialist scans and files the meeting sign-in sheet and agenda then e-mail them to meeting attendees. PM should also notify Contract Specialist who the PSP will be (if applicable) for status report updates

Preliminary Pricing Clock

- The Preliminary Pricing Clock begins after the Pre-Proposal Meeting. Duration is based on the project budget:
 - \$0-50k: 5 days
 - \$50k-100k: 10 days
 - >\$100k: 15 days

*The above durations are the number of days the contractor has to turn in a proposal.

**The PM should produce their own estimate to compare with contractor’s estimate.

Proposal Turned In

- Once the contractor turns in the Proposal, the PM revises, makes changes as needed, and returns the Proposal to the contractor
- The contractor makes the necessary changes and returns the revised Proposal to the PM
- The PM reviews and confirms that appropriate changes were made. If the revised Proposal is approved, the PM writes “Approved as Written” and the date on the



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Proposal. This becomes the FINAL proposal (base price is now firm/fixed – other expenses can vary).

- The PM will then forward a copy of the final approved Proposal to the contractor and place the original in the paper project file
- PM must get client approval (usually by e-mail) and save the approval in the electronic project folder
- If funding is not already in place, the PM should submit a Funding Request for the project

Price Recommendation / Job Order

- After the Final Proposal is set, the PM is to issue a Price Recommendation letter. Funding must be in place **before** the PM issues the Price Recommendation.
- The PM submits the Price Recommendation Questionnaire to the Contract Specialist
- The PM sends the Price Recommendation e-mail to the Contract specialist and Accounting (including NTP and completion dates, Construction Coordinator assigned, Pre-Con meeting date, etc.)
- The Contract Specialist drafts the final Price Recommendation and verifies that funds are in place (via DEFINE and/or a funding request)
- The Contract Specialist will then issue the Job Order to the contractor and update the Status Report, JOC spending report, and FAMIS
- The Contractor returns the signed Job Order along with payment/performance bonds (as applicable)
- The Contract Specialist routes the Job Order throughout PMCS for Contract Administrator, AD and Director to sign. After all signatures are received, Contract Specialist routes to Business Services for encumbrance (contract is now “fully executed”)

Pre-Construction Phase

RFI's Issued (A,B,C... format)

Pre-Construction Meeting

- This meeting officially hands over the jobsite to the contractor (contractor puts up their signs – the contractor “owns” the jobsite).
- PM will take Job Order to this meeting for contractor’s signature if possible
- PM will schedule/establish Progress Meetings (intervals, etc.)

After Pre-Construction Meeting

- Contractor has 7 days to submit
 - Subcontractors List
 - Continuation Sheet
 - Project Schedule (GANTT format)
 - Submittals (for approval)

Construction Phase



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Any of the following may occur during the Construction Phase

Pay Apps:

- Contractors will submit pay apps for payment to Contracting Specialist who will track via documentation log and attach a routing slip.
- Contract Specialist will route to PM for approval. If the PM approves the pay app, he/she will sign and route it to the Construction Coordinator.
- If the Construction Coordinator approves the pay app, he/she will sign it and return it to the Contract Specialist.
- The Contract Specialist will then route the pay app to the Contract Administrator then Business Services for processing.
- For Projects of \$100k and more, contractors must submit a HUB report to the Contract Specialist within 30 days of the Notice to Proceed date

RFI's (1,2,3,...) ("Modified Addendum"):

- Client or PSP questions – turn in to PM (copy CC); PM forwards to Contractor who replies to all (often via e-mail). Often these documented questions will turn into Change Orders.

Progress Reports

Site Observation Reports:

- Weekly reports performed by Construction Coordinator and submitted to the PM

Architect's Supplemental Instruction (ASI's) (NOT a CO Request):

- PSP recommendations for how to address an issue that may require a Change Order. This is a recommendation ONLY. The PM has final decision authority to follow these recommendations or not.

Change Orders:

- There are three (3) justifications for Change Orders:
 1. Client requested
 2. University requested
 3. Unforeseen Site Conditions
- If a situation requiring a change order arises, the PM submits a Request for Change Order Proposal (COR) to the contractor (following the same steps as for an RFP, Preliminary Proposal)
- The same negotiations process occurs for a Change Order as occurs for an RFP
- PM approves the Change Order Proposal submitted by the contractor and verifies that sufficient funds are in place (or submits Supplemental Funding Request)



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- PM submits a Change Order Checklist Form and the approved proposal to the Contract Specialist
- The Contract Specialist verifies that sufficient funds are in place, then issues the Change Order

Substantial Completion Phase

Project Substantially Complete:

- The contractor will contact the PM and Construction Coordinator to request the Final Inspection
- The PM will schedule the Final Inspection with all necessary attendees. This may include the Fire Marshal, the Professional Service Provider, Custodial Services, etc. and everyone who has interest or stake in the project.
- Punch Inspection is held
 - At this point, the project is “substantially complete” (97%). The Contractor should be demobilizing from the jobsite (turning space over to the client).
 - The client can move in unless there are special circumstances (e.g. waiting on “client-provided” equipment needed for space, etc.)
- Work is checked
- Punchlist is created by the PM listing all deficiencies
- The PM issues the punchlist to the contractor. The project is 98% complete at this point. The PM also routes a copy of the punchlist to the Contract Specialist
 - The Contract Specialist confirms that the date on the punchlist is the date of Substantial Completion. If it is, the Contract Specialist issues the Certificate of Substantial Completion to the contractor.
 - The contractor has 30 days to complete/fix all punchlist items
 - The punchlist is then signed off as 100% complete by the PM, Construction Coordinator, Client, and contractor (rep. – authorization e-mail is sufficient)
- Final Inspection is held
 - PM verifies that all work and all punch items are complete

Project Closeout:

- Contractor submits final pay application along with all other applicable closeout documents:
 - Closeout Documents Letter
 - Certificate of Substantial Completion
 - Affidavit of Bills Paid
 - Locks/Keys Receipt
 - “As Built” Documents
 - Completed/Signed Punchlist
 - Warranty Letter



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- Final HUB Report
 - O&M Manuals
 - All Other Final Submittals
 - Final Pay App
(Once these documents have been submitted to the PM, the project is 99% complete)
- Contract Specialist will route Final Pay App throughout PMCS for approval before sending to Business Services for processing. The PM is responsible for confirming that all closeout documents have been submitted BEFORE signing off on final pay application
 - Contract Specialist receives voucher from Business Services stating that the final pay application has been paid.
 - Contract Specialist will note payment of final pay application on the Status Report, close the work order in FAMIS, and change the CP status in FAMIS to “Accounting”