UNIVERSITY OF ILLINOIS

Office of Business and Financial Services
University Office of Capital Programs & Real Estate Services

USING PRZM 2.0

A Reference Guide for Vendors and University Staff

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PRZM Basics

Background

PRZM (priz'um) serves as the University of Illinois' comprehensive oversight program for monitoring quality, schedules, and costs for all capital projects. PRZM is used at every University office which manages a capital project requiring remodeling, site, utility, and building construction projects. The PRZM system is a proprietary trademark owned by The Board of Trustees of the University of Illinois.

The purpose of PRZM is to:

- Significantly increase client awareness and satisfaction by providing a comprehensive tool to improve quality, scheduling, and cost containment for projects.

- Provide every project delivery team a means to communicate and collaborate.

- Streamline project delivery processes and apply them consistently across the University.

- Clarify roles and responsibilities and define services and expectations in centralized databases, so that data for benchmarking is dependable.

- Eliminate duplication of data entry in a secure environment, to encourage easy access and exchange of information through a paperless environment.

- Provide flexibility so that the changing needs of capital delivery can be met.

Project Phases

In accordance with the Illinois State Codes, Rules, and University policies, the project information and data of typical capital project phases are captured in the PRZM system.

- **Project Creation**

  When a project begins, its scope, budget, and schedule are considered. A Project Team is assembled, which includes representatives from relevant campus units and occasionally external professionals. PRZM captures minimal information about project start-up.

- **Architect/Engineer and Construction Manager Selection & Administration**

  In accordance with Illinois law, a Selection Team must be formed to set criteria for choosing the Architectural and/or Engineering firm which will design the capital project. This team solicits bids, evaluates them, and selects the most qualified firm. Once the firm has been selected, fee negotiations for professional services, based on project-specific deliverable lists, take place in this phase.

- **Construction**

   Construction expands to include the largest number of involved Team Members. University personnel and Architect/Engineering firms are joined by construction Contractors and their Subcontractor-Contractors to deliver project goals.

- **Warranty**

   Once work is substantially complete and the building is occupied, any outstanding issues with the building are reported and rectified. The building's occupants report defects in materials and workmanship to University officials and Contractors correct those specifically related to the contract. Throughout the warranty process, problems and solutions are tracked in electronic logs.

Security

Because sensitive information about projects is contained in these databases, access to them is restricted. Only registered users of the system, with roles assigned by the Project Manager, can use them. Additional security measures control who can create, edit, and view documents contained in each database.

Without sufficient permissions, some users may be unable to view documents contained in the system. For example, Contractors will only be able to view information about the phase they are involved with, about themselves and, if applicable, their Subcontractors; information about a Contractor and its activities will not be available to another Contractor. Approval processes may also be hidden from view, if a user is not an approver of that particular process.

PRZM users fall into two major categories, with several subcategories of each. These categories are:

1. Professional Services and Contractor Firms, such as:
   - Architectural Firms.
   - Engineering Firms.
   - Energy Service Companies (ESCO).
   - Construction Management (CM) Firms.
   - General Work Contractors.
   - Electrical, Plumbing, Masonry, and other Contracting or Sub-Contracting Firms.

2. University of Illinois employees, such as:
   - University Administrators.
   - Campus Administrators.
   - University Architect(s).
   - Project Managers.
   - Project Assistants.
   - Operations and Maintenance Personnel.

System Access

Security and Roles

Security for PRZM relies on a concept called roles. Access to PRZM, such as the projects which can be viewed and the documents which can be created, viewed and/or edited, depends on the roles which have been assigned by the Project Manager or the Project Assistant. Those outside of the University system, such as Contractors, may have limited access to PRZM documents because some information contained in the databases is sensitive. Likewise, Contractors will be unable to view and use documents that relate to other Contractors to ensure privacy and security.

Before accessing the PRZM system:

1. **Vendors** must be registered with the University Office of Capital Programs and Real Estate Services' (UOCP&RES) Vendor Services Application (VSA). The company must register as a Vendor entity, and subsequently each individual from that company who will access the University system must register.

2. University of Illinois (UI) **Staff** must have an Enterprise Application System (EAS) Login and Password established.

3. **Vendors** must be pre-qualified.

   - Architectural or Engineering firms pre-qualify through the State of Illinois's Capital Development Board (CDB).

   - Construction firms pre-qualify annually, for each Division of Work for which they will bid, through the University of Illinois' Contractor Annual Pre-Qualification System (CAPS).

4. **Vendors** and **UI Staff** must be assigned as a Team Member to a project by the University Project Manager.

If you cannot access a project in PRZM, you have not been added as a Team Member. Contact the University Project Manager responsible for the project and ask to be added to the project team within PRZM.

Login to PRZM

1. Go to the University of Illinois' University Office of Capital Programs and Real Estate Services' (UOCP&RES) website at www.uocpres.uillinois.edu.

2. Select the Applications tab.

3. Click the **PRZM** link under *UI Staff* or *Vendors*.

4. Enter your **User Id** and **Password**; passwords are case sensitive.

5. Click the **Login** command button.

Note the additional links for:

- First Time Users.

- Change Your Password.

- Forget Your Password?

PRZM Dashboard

The PRZM Dashboard displays active projects and alerts. It is designed to provide a snapshot of event-driven activities that take place in PRZM, with links to relevant project documents and required action.

Welcome Area

1. The Welcome Area displays your name and provides a toggle between the current project and the PRZM **Dashboard.**

2. The **Profile** link is used to review your information and change your password.

3. **Help** link provides a link for Training Manuals, which navigates to the Training and Development are of the UOCP&RES website for PRZM Job Aids, Reference Guides, and Web-Based Training. The Help link also provides a link for Support, which displays AITS Service Desk contact information.

4. **Logout** link is used to exit PRZM when the work in the system has been completed.

5. **Create New Project** tab is only visible to University staff and navigates to the form for creating a new project.

6. **PRZM Main** tab navigates to the project listing of the active PRZM projects on all campuses.

7. **Reference Documents** tab navigates to the Training and Development site for PRZM Job Aids, Reference Guides, and Web-Based Training.

8. Event Management Form tab is only visible to University staff and is used to remove a Team Member from any active Project Event Notice.

9. Team Management Form tab is only visible to University staff and is used to add or remove Team Members to an existing project.

10. **My Action Items** area displays information about specific events related to the projects for which you have been assigned.

11. **My Projects** displays a list of Projects, which can be selected from the drop-down.

Navigate the Workspace
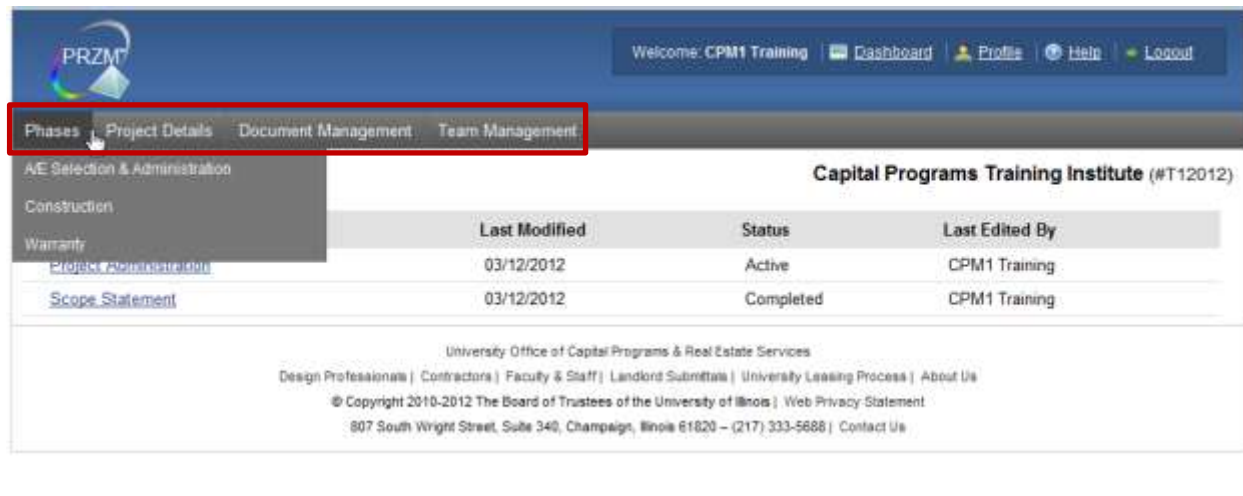
On the Menu Bar, there are Tabs which provide navigation to Sub-Menu items that are common to all phases in PRZM. The Tabs on the Menu Bar include:

- **Phases**

  Depending upon the Phases selected by the Project Manager, one or multiple phases of the project listed on this Menu will appear. After selecting the phase, a phase-related Sub-Menu appears.

- **Project Details**

  The Project Details Menu navigates to the Project Administration, Project Scope Statement, and Fund Source documents.

- **Document Management**

  Document Management may be used through any phase of the project. The Personal Inbox, Assigned Documents, and other options are available through this Menu.

- **Team Management**

  The Team Management Menu lists the Team Members assigned to this project. The Project Manager or Planner has the option to add Team Members to the project.

Event-Driven Activities

An event-driven activity is one which generates an automatic response within PRZM, typically an automatically generated email message directly to the person responsible for taking action on a specific task. If an event is one which requires action, it will appear within the My Action Items section.

When a document is saved in PRZM, specific documents will generate event records, stored in the PRZM Centralized Event Tracking (CET) database. Some events generate **instant email** notifications, which are emailed to the relevant individuals immediately after the event completes. If actions are taken, PRZM will generate event records on the next business day, and will send a summary email detailing the multiple events which occurred. Some events will also be listed on the PRZM Dashboard.

PRZM assigns each event a status when it occurs. The following table describes each event status and how the events can be viewed relative to their status.

Event Status	Description	Where Status Appears
Active	- An event which requires action on the part of the recipient. - Appears until the action has been taken by the recipient.	- In the Action Items section of the Dashboard. - Will continue to appear in the daily summary email message and on the intended recipient's dashboard until a required task is performed.
Final	An event which is assigned when the final action related to a process is complete.	Appears once on the recipient's dashboard until the next business day's Summary Email sent at 7:00 a.m.

General Overview of Workflow Events and Notifications

When the document is released, an instant email is sent to the first reviewer/approver and an Active event notice appears on the Dashboard. This applies to all Team Members with the intended approver's role whose Event Notices are set to Yes on their Team Member document.

If the first reviewer/approver returns/rejects the document, an instant email is sent to the originator (or to all Team Members with the same role or, if applicable, the primary contact for the Contractor) and a Final event notice is created.

If the document continues forward beyond the first reviewer/approver, each subsequent reviewer/approver gets an instant email and an Active event notice appears on the Dashboard. Again, this applies to all Team Members with the intended approver's role whose Event Notices are set to Yes on their Team Member document.

If a subsequent reviewer/approver returns/rejects the document, it goes back to the previous reviewer/approver who again gets an instant email and an Active event notice appears on the Dashboard.

If the final reviewer/approver approves, an instant email is sent to the originator (or to all Team Members with the same role or if applicable, the primary contact for the Contractor) and a Final event notice appears on the Dashboard. A Final Event Notice appears only once.

Exceptions to this workflow are listed with the exception document(s) later in this manual.

Browser Tips and Tricks

For all versions of PRZM prior to 2.0, Internet Explorer is the only web browser that is supported.

Working with PRZM Forms

PRZM displays selected contents of its databases in a browser window. The following tips and tricks may be useful when working with PRZM.

- **Entering and Saving Data**

    To retain information entered in a document, save it before navigating to another location. If you go to another document without saving, any data you have entered will be lost, not saved. To save a document in PRZM, you must click the **Save** command button.

- **Using the Browser's Back Button**

    Do not use the browser's Back button while editing a document, which will avoid opening a previous version and over-writing the version to save.

If a document is opened to create or edit, click the **Close** command button at the top of the document to close without saving. If the document is closed without saving, the data will be lost.

Print a Web Page

In Internet Explorer, select File from the Menu Bar; click **Print**. If the browser does not have a File Menu, find the option on another page or in another window. **For example**:

- In **Chrome**, click this button to see the options.

- In **Firefox**, click the Firefox down arrow to see options; set the printing options.

- To print a frame or item on a Web page, right-click the frame or item, and click Print.

- To preview the Web page, click the File Menu and click Print Preview.

New Projects

The Campus Construction Unit Director, Project Manager or Planner creates new projects.

Create a New Project

1. From the PRZM Dashboard, click the **Create New Project** command button.

2. In the **Project Title** field, enter the title of the project.

   - Project Title must begin with an alphabetic character; no numbers or characters.

   - Project Name must be unique.

3. In the **Campus Project #** field, enter the project's number.

   - Campus Project # can contain up to 256 alphanumeric characters.

   - Campus Project # must not include spaces.

4. If this is a Capital Development Board (CDB) project, in the **CDB Project #** field, enter the project's number.

5. In the **Campus** field, click the drop-down and select the campus where the project will take place.

6. In the **Campus Construction Unit** field, select the unit.

7. In the **Select up to 15 University Core Team Members** section, add the names and roles of each individual who will serve the project during its lifecycle. Each selected individual, along with the role selected for that person, will be added to the next phase as it is created.

8. In the **Receives Event Notices** field, click the radio button for **Yes** or **No**. All University Team Members responsible for PRZM approvals must have their Event Notices set to **Yes**; this ensures they will receive Event Notices.

9. Review your work carefully.

10. When all information has been entered in the form, click the **Create Project** command button. Do not click the **Create Project** command button until information has been accurately completed. Errors made at this point cannot be corrected later.

    To begin using the project from your Dashboard, select the project name and click the link to the project.

Project Administration

The Project Administration document allows the Project Manager or Planner to establish the phases which will be included in the project.

If a Professional Services Consultant will be used on the project, select the AE Selection & Administration phase. This phase contains the documents relevant to payment for the Professional Services Consultant. If the project will use a Construction Manager, select the CM Selection & Administration phase.

Complete the Project Administration Document

1. From the **All Documents** view, click the Project Administration link.

2. Click the **Edit** command button.

3. In the **Campus Construction Unit** field, click the drop-down and select the appropriate CCU.

4. In the **Building #** field, enter the building's number. If this is a new building, leave the field blank until it is assigned a number.

5. In the **Project Status** field, select **Active**.

6. In the **Project Coordinator** field, select the project's Project Assistant. If a Project Assistant Team Member was not added for the project in the Team Members area of PRZM, the Project Assistant will not be able to be selected on this form.

7. In the **Project Manager** field, select the Project Manager or Planner for the project.

8. In the **Project Phases** area of the form, click each checkbox next to the phase that will be used on the project.

   ‣ **Reminder**: If the construction phase of a project is going to use a Construction Management firm or an Energy Service Company, the CM Selection & Administration or the EPC Selection and Administration must be selected on the Project Administration document. This is critical to ensure that PRZM uses the correct forms during the construction phase of the project and should be set before any Contractors are added to the Project Team.

9. In the **Notification of Changes** area of the form, select **Yes** to notify other Team Members about modifications to the Project Administration document.

10. Click the checkbox next to the names for whom to notify.

11. When the work is complete, click the **Save** command button.

Scope Statement

The Scope Statement provides a brief description of the project, including its budget, size, site, and justification. The Project Manager completes this document at the beginning of the project. Once it has been completed, and funding information has been entered by the Campus Business Manager, the Fund Source information displays on the Scope Statement and provides a quick view of the project's basic information.

Complete the Scope Statement

1. From the **All Documents** view, select the **Scope Statement** link.

2. Click the **Edit** command button.

3. In the **Project Construction Type** field, select the type of construction.

4. In the **Project Budget** field, enter the project's estimated total construction budget.

5. In the **Construction Budget** field, enter the project's estimated construction budget amount.

6. In the **Project GSF** field, enter the estimated gross square footage for the project.

7. In the **Programmed NASF**, enter the non-assignable square footage for the project.

8. In the **Project Site** field, enter the project's address or the names of relevant streets (e.g., corner of Main and First).

9. In the **Description** field, enter a brief description of the project.

10. In the **Reason for Project** field, enter the justification for the project.

11. In the **Proposed Project Schedule** area of the form, enter the estimated start and end dates for all phases that will be used.

12. In the **Capitalization** field, answer the **Recommend Capitalization?** question: **Yes** or **No.**

    a. If **Yes**, the form refreshes; from the drop-down, select the type of construction.

    b. If **No**, enter the reason the project will not be capitalized.

13. In the **Document Status** field, click the drop-down select **Completed**.

14. When the work has been completed, click the **Save** command button.

    Once the Fund Source document has been completed, open, edit, and save the Scope Statement to allow the Fund Source data to populate the Scope Statement document.

Fund Source

The Financial Manager / Campus Business Manager complete the Fund Source document.

Create the Fund Source Document

1. From the **Project Details** Menu, select **Funding Source**.

2. Click the **Create** command button.

3. In the **Account Number** field, enter the account number.

4. In the **Account Title** field, enter the account title.

5. In the **Fund Code** field, enter the fund code.

6. In the **Fund Title** field, enter the fund title.

7. In the **Fund Source** Provider field, enter the fund source provider.

8. In the **Fund Contact** field, enter the fund contact.

9. From the **Fund Source** drop-down, select the fund source.

10. In the **Auxiliary Unit** field, if the fund source relates to an auxiliary unit, click the drop-down and select the auxiliary unit.

11. In the **Request Date** field, enter the date the funds were requested in the following format: mm/dd/yyyy. Or use the Date selector icon to select the date from the calendar.

12. In the **Amount Received** field, enter the amount received.

13. In the **Received Date** field, enter the date the funds were received in the following format: mm/dd/yyyy. Or use the Date selector icon to select the date from the calendar.

14. In the **Notes** field, enter relevant information to the fund source.

15. From the **Document Status** drop-down, select Completed when the work has been completed.

16. Click the **Save** command button.

Document Management

Document Management is a PRZM feature that allows project team members to deposit project documents that have no other place within PRZM. Documents filed in the Document Management database follow the project throughout its history and are accessible from any phase.

Access to the Document Management database is restricted by the role individuals play in the project, and permissions are typically granted by the Project Manager. Therefore, some team members may be allowed to submit documents to the database, but would be unable to view documents restricted to specific individuals or groups. Security in Document Management is similar to that throughout PRZM and is controlled by the team member role.

Submit a Document

1. From the main drop-down menu, click Document Management menu, select **Personal Inbox**.

2. Click the **Create** command button.

3. In the Document Description section, in the **Subject** field, enter the subject of the document.

4. In the **Brief Description** field, enter in a short description of the document you are submitting.

5. In the **Document Type, Category and Readers** section, drop-down the menu and select the type from the **Type** field, which roughly corresponds to the project phase, with one exception.

6. In the **Category** field, drop-down the menu and select a category for the document. If no category applies, enter a new category in the text box provided.

7. If you wish to restrict the document to selected readers, in the **Restricted** field, click the radio button next to **Yes**.

   The list of Readers may refresh, depending upon the type of document selected. If you select Yes, the security settings for roles may already apply to the type of document, and it may be unnecessary for you to select individual project team members.

8. In the **Readers** field, click the checkbox next to each reader you wish to have permission to view the document.

9. In the **Attach Document Here** field, click the **Browse** command button.

   A dialog box opens that allows you to select a file from our local machine or network.

10. Select the file you wish to attach.

11. In the **Notify other team members of changes to this document** field, if you wish to notify team members, drop-down the menu and select **Yes**.

12. Click the checkbox of each individual you wish to notify.

13. When finished, click the **Save** command button.

View Documents

1. From the main menu, drop-down the Document Management menu.

2. Select either **Assigned Documents** or **All by Category**.

3. Click the **Expand View** option.

4. Click the title of the document to view.

5. If the document has an attachment, scroll down the document.

6. Click the document title to open it.

7. Select **Open** to open the document immediately, or click **Save** to save the document to your hard drive.

8. Navigate to the folder where you want to save the document.

9. Click the **Save** command button.

Team Members

The Team Member document is used by the Project Manager to assign roles to project team members. Before anyone else can begin to work with the project, the Project Manager must add the person to the project team and assign him or her an appropriate role. Team Members may be added at any time during the project or phase, and must be added to each phase of the project.

Team Member assignments transfer from one phase to the next. At the beginning of each phase of the project, the Project Manager must assign any additional team members to the phase as needed.

A Team Member may be added, or removed, from the Dashboard or from within a specific project.

Add a Team Member from the Dashboard

1. From the Administration drop-down menu, select **Team Management Form**.

2. Choose the radio button next to **Add User**.

3. Click the drop-down next to **Select User Type** and select the user type.

4. Click the drop-down next to **Select the User's Name** and select the Team Member.

5. Click the drop-down next to **Select the User's Role** and select the role.

6. Depending on the user type and role selected, the options on this form may verify. Continue selecting the correct options.

7. Click the drop-down next to **Select the Project** and select and select the project.

8. Check the box next to **Select the Phase(s)**.

9. Click the **Submit Request** command button.

10. A dialogue box will appear stating *The user was successfully added to the selected project.* Click the **OK** command button.

Remove a Team Member from the Dashboard

1. From the Administration drop-down menu, select **Team Management Form**.

2. Choose the radio button next to **Remove User**.

3. Click the drop-down next to **Select User Type** and select the user type.

4. Click the drop-down next to **Select the User's Name** and select the Team Member.

5. Click the drop-down next to **Select the Project** and select the project.

6. Check the box next to **Select the Phase(s)**.

7. Click the **Submit Request** command button.

8. A dialogue box will appear stating *The user was successfully removed from the selected project.* Click the **OK** command button.

Add a Team Member from within a Specific Project

1. From the Team Management drop-down menu, select any option.

2. Click the **Create** command button.

3. Drop-down the **Select By** menu.

4. Choose the sort you prefer for looking up team members: last name, first name, company, or city.

5. Click the **1. Click to Select User** command button.

   The view will vary, depending upon which option you have selected in the Select By drop-down menu.

   In order for the pop-up dialog box to appear, you must have your pop-up blocker disabled for the PRZM website.

6. In the **Search for…** text box, type the first part of the individual's name, company, or city.

7. Continue typing characters (including spaces) of the name, company, or city until you see the person's name you wish to add.**—Or—**

   Use the arrows to move through the list, with the right angled arrows moving forward in the list and the left angled arrows moving backward in the list.

8. In the list, highlight the individual to be added.

   (**Optional**) If you select someone in error, click the **Clear Selection** command button; select a different person. You may not select multiple persons in this selection box.

9. Click the **OK** command button.

10. Click the **2. Click to complete form** command button.

    The Team Member form refreshes to display the list of potential user roles as well as additional information about the individual you have selected.

11. In the **Select the User's Roles** field, click the checkbox to select the role(s) the individual will play on the project team. For Contractor team members, the User Roles correspond to the Agreement Worksheet(s).

    For a project to be successful, project team members play a role according to their expertise. This field contains a checklist of the roles played by various project team members. You may select more than one role for each individual.

12. In the **Receives Event Notices** field, click in one radio button to indicate: **Yes** or **No**.

University of Illinois staff members as well as vendors who are added to the project probably need to have their event notices set to Yes. Such team members as the Business Manager, Director, and UOCP&RES team members on Energy Performance projects definitely should have their event notices set to Yes. Anyone with a Project Manager role on the project may also need to have his or her Event Notices set to Yes as well.

13. When complete, click the **Save** command button.

Team Member documents may be edited, so that a person's role may be changed.

When a team member is added, PRZM generates a one-time Final Event notice. However, when a team member is deleted, no event notices are generated.

Remove Event Notices

The option to add Event Notices can be set to Yes at the time the Project is setup or when the Team Member is added to a Project. Recipients can be removed from all active events on a project from the Dashboard.

1. From the Administration drop-down menu, select **Event Management Form**.

2. Click the drop-down next to **Select the User's Name** and select the user.

3. Click the drop-down next to **Select the Project** and select the project.

4. Click the Update **Events** command button.

5. A dialogue box will appear stating *The user was successfully removed from the selected project event notices.* Click the **OK** command button.

Professional Services Consultant Selection

Procurement of services and materials at the University of Illinois is governed by the provisions of the Illinois Procurement Code which includes the Qualifications Based Selection Act (30 ILCS 535/1) and the section30 ILCS 500 Procurement of Professional & Artistic Services, the Joint Committee on Administrative Rules section 4.2035 (Competitive Selection Procedures for Professional and Artistic Services), and section 3005(g) Construction and Construction Related Professional Services. In accordance with these Acts, a Selection Team is formed. The team sets selection criteria, solicits interests, evaluates qualifications, and then selects the most qualified firm. Following the selection of a qualified firm, the professional services fee is negotiated based on a list of project specific deliverables per phase.

The key tasks for this phase are to:

1. Assemble the PSC Selection team.

2. Develop criteria for selecting a firm.

3. Solicit professional services.

4. Evaluate prospective service firms.

5. Select professional service providers based on selection criteria.

6. Negotiate deliverables and fees.

The key deliverables of this phase are:

1. A/E qualified submittal (letter of interest/255 form), RFP submittal, or EPC submittal.

2. Initial Evaluation Criteria and Evaluations.

3. Reference calls.

4. Discussion Meeting Questions and Evaluations.

5. Fee negotiation and fee document.

6. Board of Trustees' approval (if applicable).

PRZM Documents that are completed during this phase and following is the order in which they are completed:

Document	Responsible Individual(s)
1. AE/CM/P&A/ESCO Solicitation Worksheet	Committee Chair
2. Qualifications Submittal / CDB SF255	Professional Services Firm
3. Add PSC Selection Team Role to the Team Members in the Phase	Committee Chair
4. AE/CM/P&A/ESCO Committee Information	Committee Chair
5. Project Information Details – Initial Evaluation Criteria from Advertisement	Committee Chair
6. Initial Evaluation Minimum Qualifications	Committee Chair
7. Initial Evaluation	Committee Members
8. Reference Calls	Committee Chair
9. Approval Form For Firms To Be Invited To Discussion Meeting (Interview) – AE/CM/P&A Only	Committee Chair
10. Project Information Details – Discussion Meeting Questions	Committee Members
11. Discussion Meeting Evaluation	Committee Members
12. Approval Form To Negotiate With Recommended PSC From Discussion Meeting (Interview) – AE/CM/P&A Only	Committee Chair
13. Approval Form to Negotiate With Recommended ESCO – EPC Only	Committee Chair
14. Professional Services Approval Request – AE/CM/P&A Non-Retainer Selection Process Only	Committee Chair

- The Project Manager / Planner may preside over the committee that selects the Professional Services firm. Alternatively, staff from the University Office of Capital Programs and Real Estate Services may preside over the committee.

- The Project Manager or Planner / Selection Committee Chair must add each PSC Selection Team member to the phase and indicate their role in order for team members to fill our their evaluations.

AE/CM/P&A/ESCO Solicitation Worksheet

In order to publish the advertisement for proposals, the Project Manager or Planner must complete the AE Solicitation Worksheet.

Relevant Role(s):	Planner or Project Manager; Project Assistant.
Previous Steps:	Add the AE/CM/P&A Selection & Administration phase to the Project Administration form.
Next Steps:	Professional Services Firms submit their A/E qualifications submittal (letter of interest/255 form) or RFP Submittal.

Complete the AE/CM/P&A/ESCO Solicitation Worksheet

1. From the **Phases** menu, select **AE/CM/P&A/EPC Selection & Administration**.

2. From the **AE/CM/P&A/EPC Administration** submenu, select **AE/CM/P&A/ESCO Solicitation Worksheet**.

3. Click the **Create** command button.

4. In the **Original Offer Date** field, enter the date that the Public Notice is to first appear in the Procurement Bulletin (also known as the First Published date).

5. In the **Firms should submit one electronic copy of their complete submittal response (in PDF format) by** field, provide the date. Use the format MM/DD/YYYY.

6. In the **Select the name of the team member to receive the 255s** field, drop-down the menu and select the name of the person who should receive the submittals.

   The names that appear in the drop-down list are those of the team members who have been added to the project only.

7. In the **Document Status** field, if you have completed the Worksheet, select **Completed**.

   IMPORTANT: Do not select Completed until you are certain you have all of the correct information on this document. Selecting the Completed status publishes to a website to which firms will be directed to provide their submittals.

8. When complete, click the **Save** command button**.

   Once the AE/CM/P&A/ESCO Solicitation Worksheet has been saved, it automatically generates a published advertisement to the University of Illinois' Office for Capital Programs website, in the Capital Projects area. These advertisements are also published in the Illinois Higher Education Procurement Bulletin.

AE/CM/P&A/ESCO Qualified Submittals

Professional Service Consultants who wish to be considered for employment on a specific project must submit their qualifications to the Campus Construction Unit. The submittal used by Architects/Engineers for AE selection is titled, Standard Form, CDB SF255.

Architects/Engineers that wish to submit an electronic version of the CDB SF255 form can find the document by clicking the highlighted CDB SF255 link located at the bottom of the Professional Services Solicitation found on the proposals page of the UOCP&RES web site.

The Architect/Engineer will be provided the opportunity to download the document (in Microsoft Word format) to his/her workstation and complete the document offline.

In order to submit a proposal for the project, the firm must upload the proposal to the designated website for the project.

Relevant Role(s):	Professional Services Consultant.
Previous Steps:	Download and complete the SF255 form (see step 3, below) – Only for AE selection.
Next Steps:	If your firm was selected, your next task in PRZM will be to complete the AE Subconsultant Information documents.

Upload the Completed AE/CM/P&A/ESCO Qualifications Submittal

1. Navigate to the website where solicitations will be accepted, and find the project for which you are about to propose.

2. Click the relevant project's name.

   The AE/CM/P&A/ESCO Solicitation Worksheet view appears.

3. For Architect/Engineer, if you have not yet completed the 255 form, click the link to **Download an electronic copy of the 255**.

   A new window opens, with the File Download dialog box available.

   - Click **Save** to save the Professional Services CDB 255 form to your preferred location.

   - Navigate to the file location and double click the file.

   - Complete the 255 form.

   - Save the file in PDF format.

4. Click the **Submit complete response** command button.

5. Fill in the following:

    - **Company Name.**

    - **First Name** of the company's Principal.

    - **Last Name** of the company's Principal.

    - **Telephone Number** of the company's Principal.

    - **Email Address** of the company's Principal.

6. In the **Attach complete response** field, click the **Browse** command button.

7. Navigate to the file you wish to upload and click on it.

8. Click the **Open** command button. The path to the file appears in the **Attach complete response here** field.

9. Click the **Submit complete response** command button.

    A confirmation screen appears stating the proposal was successfully submitted.

AE/CM/P&A/ESCO Committee Information

1. From the **Phases** menu, select **AE/CM/P&A/EPC Selection & Administration**.

   - QBS: select AE Selection & Administration.

   - RFP (CM/P&A): select CM or P&A Selection & Administration.

   - EPC: select EPC Selection & Administration

2. From the **AE/CM/P&A/EPC Administration** submenu, select **AE/CM/P&A/ESCO Committee Information**.

3. Click the **Create** command button.

4. In the **Committee Chair** field, select Committee Chair.

   - If the name of the Committee Chair does not appear in the drop-down, ensure the Committee Chair has been added to the Team Members list and selected as Campus Construction Unit - Planner/Project Manager in Team Management.

5. In the **Committee Members** field, verify that all committee members are selected.

   - If the names of the committee members do not appear in the form, ensure all committee members are added to the Team Members list and selected as PSC Selection Team in Team Management.

   - Select appropriate committee members for the AE/CM/P&A selection processes.

6. For AE/P&A Only:

   In the **Selection for a Retainer** field, click the drop-down and select **Yes** or **No**.

   - If **Yes**, the PSC selection process will complete upon the approval of the Approval Form to Negotiate with Recommended PSC from Discussion Meeting (Interview).

7. In the **Comments** field, enter comments, if necessary.

8. In the **Document Status** field, select **Completed**; **Not Completed** if incomplete.

9. Review the criteria; click the **Save** command button.

   - The Save command button will ONLY appear after the expiration of the PSC submittal deadline.

Project Information Details – Initial Evaluation Criteria from Advertisement

1. From the **AE/CM/P&A/EPC Administration** submenu, select **PSP Selection Link**.

2. From the **PSP Dashboard,** click the **Open** command button next to **Project Information Details**.

3. Click the **Edit** command button.

Note: If the RFP CM/P&A/QBS/EPC advertisements include Conceptualization with the possibility of additional phases of work, the anticipated future fee amount must be used to determine the appropriate approval level.

4. For EPC Only:

   - In the **Diversity Percentages** field, enter the percentages of participation that were in the EPC RFP.

5. In the **Initial Evaluation Criteria From Advertisement** field, add the criteria that were published in the PSC advertisement on the IPHEC Bulletin Board.

   - EPC: enter the weighted percentage of each criteria that were in the EPC RFP.

6. In the **Initial Evaluation Criteria Complete** field, select **Yes**; **Pending** if incomplete.

7. Review the criteria; click the **Save** command button.

Initial Evaluation Minimum Qualifications

1. From the **PSC Dashboard,** click the **Open** command button next to **Project Information Details**.

2. In each **Firm** column, click the drop-down and select **Yes** or **No** for each Minimum Qualifications Question.

   - If the firm does not have a previous performance evaluation, the question for **Performance Evaluation Scores 3 or Above** does not apply; therefore, select **Yes**.

   - RFP (CM/P&A): If a question does not apply, select **Yes**.

3. In each **Firm** column, click the drop-down and select a score or a percentage for each MBE/FBE/FMB/PBE and VOSB/SDVOSB Question.

   - QBS and RFP (CM/P&A): The scoring for each question is based on the MBE/FBE/FMB/PBE and VOSB/SDVOSBInitial Selection Points in the QBS and RFP Policies. Refer to the UOCP&RES website for the current information.

   - EPC: The percentage for each question is based on the ESCO submittal.

   - If an AE/CM/P&A/ESCO firm is designated as **Fail**, the scores for MBE/FBE/FMB/PBE and VOSB/SDVOSB Questions are not required and not editable.

4. In each **Subconsultants** column, enter Subconsultant information for each **Firm.**

   Note: If PSC listed multiple firms for a same category, **create separate categories and enter only one firm per field** (e.g., MEP1, MEP2, Civil1, Civil2).

   - Some fields are populated with Subconsultant categories and may be edited.

   - Blank spaces are provided so additional Subconsultant categories may be entered.

5. In the **Comments** field, enter comments, if necessary.

6. In the **Status** field, select **Complete**; **Pending** if not complete.

7. Review the criteria; click the **Save** command button.

8. After the completion of **Initial Evaluation Minimum Qualifications**, the system will send an email notification to each committee member.

Initial Evaluation Individual

All Committee Members complete the Initial Evaluation Individual form.

1. After the completion of the **Initial Evaluation Minimum Qualifications**, committee members will receive an email notification.

2. Select the link in the email to login; enter your **Enterprise ID** and **Password**.

3. On the **PSP Projects** page, click the **Project Name**.

4. From the **PSP Dashboard,** click the **Create** command button next to **Initial Evaluation Individual**.

5. In each Firm column, click the drop-down and select a score for each question.

   - The scores or percentages for the MAFBE and VOSB are already filled in and cannot be edited.

6. In the Comments field, enter comments, if necessary.

7. In the **Status** field, select **Complete**; **Pending** if incomplete.

8. Review and complete the form; click the **Save** command button to submit.

Initial Evaluation Composite

1. After the completion of **Initial Evaluation Individual by all committee members**, the system will send an email notification to the Committee Chair.

2. From the **PSC Dashboard,** click the **Create** command button next to **Initial Evaluation Composite**.

3. In the **Status** field, select **Complete**; **Pending** if incomplete.

4. Review and complete the form; click the **Save** command button.

Approval Form for Firms to be Invited to Discussion Meeting (Interview)

QBS and RFP Only

1. From the **PSP Dashboard,** click the **Create** command button next to **Approval Form For Firms To Be Invited To Discussion Meeting (Interview)**.

2. Under the **Firms Recommended For Invitation** section in the **Firms** column, click the drop-down and select **the names of Firms Recommended For Invitation.**

3. Under the **Firms Recommended For Invitation** section, in the **CMS Diversity** column, click the drop-down and select **the appropriate designation for each Firm and its Subconsultants.**

4. Under the **Firms Recommended For Invitation** section in the **%** column, enter **the appropriate participation for each Firm and its Subconsultants.**

5. Under the **Firms Recommended For Invitation** section in the **Primary Firm has an Office in Illinois** column, click the drop-down and select **Yes** or **No.**

6. Under the **Firms Recommended For Invitation** section in the **Reference Calls Complete** field, click the drop-down and select **Yes , if complete.**

7. Under the **Firms Recommended For Invitation** section in the **Recommendation Supported By Documentation** field, click the drop-down and select **Yes** or **No**.

   - If **Yes**, select the radio button for an appropriate **Reason for Recommendation**. Enter an explanation in the **Reason For Recommendation Comment** field, if necessary.

   - If **Yes** and select **Other** or **No**, enter an explanation in the **Reason For Recommendation Comment** field.

8. In the **Attachments** section, upload documents, if necessary.

9. Under the **Approval Section** in the **Committee Chair** field, select **Yes**; **Pending** if incomplete.

10. In the **Comments** field, enter comments, if necessary.

11. Review and complete the form; click the **Save** command button.

Project Information Details

1. From the **PSP Dashboard,** click the **Open** command button next to **Project Information Details**.

2. Click the **Edit** command button.

3. In the **Discussion Meeting Questions/Criteria** fields, add the questions.

   - QBS: add the questions that were developed by the committee.

   - RFP (CM/P&A): add the questions that were published in the PSC advertisement on the IPHEC Bulletin Board.

   - EPC: add the criteria that were published in the EPC RFP.

4. In the **Discussion Meeting Questions Complete** field, select **Yes**; **Pending** if incomplete.

5. Review the questions; click the **Save** command button.

6. After the completion of **Discussion Meeting Questions,** the system will send an email notification to each committee member.

Discussion Meeting (Interview) Evaluation Individual

All Committee Members complete the Discussion Meeting (Interview) Evaluation Individual form.

1. After the completion of **Discussion Meeting Questions,** committee members will receive an email notification.

2. Select the link in the email to login; enter your **Enterprise ID** and **Password**.

3. On the **PSC Projects** page, click the **Project Name**.

4. From the **PSC Dashboard,** click the **Create** command button next to **Discussion Meeting (Interview) Evaluation Individual**.

5. In each **Firm** column, click the drop-down and select a score for each question and enter comments.

6. In the **Comments** field, enter comments, if necessary.

7. In the **Status** field select **Complete**; **Pending** if incomplete.

8. Review and complete the form; click the **Save** command button to submit.

Discussion Meeting (Interview) Evaluation Composite

1. After the completion of the **Discussion Meeting (Interview) Evaluation Individual by all committee members**, the system will send an email notification to the committee chair.

2. From the **PSP Dashboard,** Click the **Create** command button next to the **Discussion Meeting (Interview) Evaluation Composite**.

3. In each **Firm** column, enter comments, if necessary.

4. In the **Committee Final Recommendation in Priority Order** field, click the drop-down and select **the names of Firms** in ranking order that were agreed by the committee.

5. In the **Reason For Final Recommendation** field, enter reasons for the **Committee Final Recommendation in Priority Order**.

6. In the **Status** field, select **Complete**; **Pending** if incomplete.

7. After reviewing and completing the form, click the **Save** command button.

Approval Form to Negotiate with Recommended PSC/ESCO from Discussion Meeting (Interview)

1. From the **PSP Dashboard,** click the **Create** command button next to **Approval Form To Negotiate With Recommended PSC/ESCO From Discussion Meeting (Interview)**.

2. Under the **Based on Discussion Meeting (Interview) Evaluation Composite** section in the **Recommended Firm** field, click the drop-down and select **Recommended Firm.**

3. For RFP (CM/P&A) Only: Under the **Based on Discussion Meeting (Interview) Evaluation Composite** section in the **All Pricing Proposals opened** field, click the drop-down and select **Yes, if all Pricing Proposals** are opened.

4. For RFP (CM/P&A) Only: Under the **Based on Discussion Meeting (Interview) Evaluation Composite** section in the **All Pricing Proposals attached to this form** field, click the drop-down and select **Yes, if all Pricing Proposals** are uploaded in the **Attachments** section.

5. Under the **Based on Discussion Meeting (Interview) Evaluation Composite** section in the **Reason for Recommendation** field,

   - If **Yes**, select the radio button for an appropriate **Reason for Recommendation**. Enter an explanation in the **Reason For Recommendation Comment** field.

   - If **No**, enter an explanation in the **Reason For Recommendation Comments** field.

6. In the **Attachments** section, upload documents, if necessary.

   - For RFP (CM/P&A) only, upload all Pricing Proposals.

7. Under the **Approval Section** in the **Committee Chair** field, select **Yes**; **Pending** if incomplete.

8. In the **Comments** field, enter comments, if necessary.

9. Review and complete the form; click the **Save** command button.

Professional Services/ESCO Approval Request

QBS and RFP Non-Retainer PSC Selection ONLY

1. From the **PSP Dashboard,** click the **Create** command button next to **Professional Services Approval Request**.

2. Enter the **Address, City, State,** and **Zip Code** of the firm.

3. In the **Estimated Construction Budget From FCPWeb** field, enter the estimated construction budget for the project.

   - The estimated construction budget must include all construction budget items, except any contingencies and reserve.

4. Under the **Phases Included On PSA** section, enter the fee amount for each phase.

5. For EPC Only:

In the **EAA Fee** field, enter the proposed Fee for the project.

6. Under the **Phases Included On PSA** section in **Basic Services Fee Is Within Range Of The University's Scope/Fee Policy** field, click the drop-down and select **Yes or No.**

   - Ensure that **Base Fee Compensation Range** is within the range of the University's Scope/Fee Policy. Visit the UOCP&RES website for current information.

   - If **No**, comments must be included in the **Reason For Recommendation** field.

   - For RFP (CM/P&A) only, select N/A, if there is no Basic Services Fee.

7. In the **Attachments** section, upload files, if necessary.

8. Under the **Approval Section** in the **Committee Chair** field, select **Yes; Pending**, if incomplete.

9. In the **Comments** field, enter comments, if necessary.

10. Review and complete the form, click the **Save** command button.

Professional Services Payments (AE and CM)

Construction Manager: Professional Services Payments applies to the Architect/Engineer **AND** to the Construction Manager. To get started, the Construction Manager will select **CM Selection & Administration** and follow the same steps outlined for the AE.

Introduction

At the start of any project which employs a Professional Services Consultant (PSC), in order to process payments, the PSC will need to provide information about its:

- Negotiated fees.

- Summary of the fees intended to be paid to its Subconsultants.

- Fully executed Subconsultant agreements.

- Subconsultant disclosures and certifications.

This information must be entered into the AE & CM Selection Phase of PRZM before the payment process can be initiated. Some of the information contained in the Subconsultant documents appears on the Fee Proposal document within PRZM.

When approved, the Professional Services Consultant Fee Proposal document becomes the underlying document that supports the Professional Services Consultant payment process.

Once these two tasks have been completed, and the University provides accounting information, the Professional Services Consultant (PSC) may apply for payment within any phase of PRZM, except for the AE & CM Selection Phase.

The payment process is identical in all phases in which it's available. The Professional Services Consultant fills out payment requests, gathers them together into a payment certificate, and submits the certificate for approval by the Project Manager.

The next topic provides an overview of the payment process, along with a workflow diagram.

PSC Payment Process Overview

In order for the Professional Services Consultant firm to begin billing, the Project Manager must add the relevant individuals from that firm as Team Members for the phase(s) for which they will bill.

1. **AE & CM Selection Phase Preparation**. Before a Professional Services Consultant (PSC) may be paid, the following documents must be completed (and approved, as necessary) in the AE & CM Selection Phase of PRZM.

   - **Subconsultant Information**. Before a Professional Services Consultant (PSC) may be paid, the PSC must complete and submit a Subconsultant Information document for each Subconsultant to be used on the project. All Professional Services Consultants and their Subconsultants must be registered with the Vendor Services Application (VSA), in order to appear on the drop-down menus in PRZM. The PSC must also upload a copy of its Subconsultants' fully executed contracts and Subconsultants' disclosures and certifications. The UI Project Manager must approve each Subconsultant document, which occurs simultaneously as a part of the approval of the AE Fee Proposal document (see next step). Subconsultant documents which have yet to be approved will not appear on the Fee Proposal document or on payment request documents (see below).

   - **Hourly Rate Schedule**. The PSC must complete an Hourly Rate Schedule for the PSC firm as well as for each Subconsultant.

   - **AE Fee Proposal**. The PSC must complete a Fee Proposal document, which outlines the schedule of negotiated fees, and attach its own disclosures and certifications to the proposal document. On the Fee Proposal document the PSC must list negotiated fees for the PSC firm. The UI Project Manager then reviews and approves the Subconsultants, the Hourly Rate Schedule, and the Fee Proposal.

   - **Obligation Document**. Once the AE Fee Proposal document has been approved, the UI Campus Business Manager completes an Obligation Document to indicate the internal UI accounts to be charged during the payment process.

     The Fee Proposal, created in the AE Selection Phase, provides information to the payment request documents, with rates negotiated during the AE & CM Selection phase. Payment request documents also depend upon completion of the Obligation Information document, which is the responsibility of the Campus Business Manager. Both the Fee Proposal and the Obligation Information document must be present and completed prior to a Professional Services Consultant's requests for payment.

     The Payment Request will not be visible unless you have a Professional Services Consultant role. Professional Services Consultants cannot access payment forms during the AE & CM Selection phase.

If the PSC firm has Subconsultants, the Subconsultant Information document(s) must be completed and approved prior to a payment request. Subconsultant Information will not appear on Payment Requests until after approvals have been completed for those Subconsultants.

2. **Payments.** Payment preparation involves two steps: a) **Payment Requests** and b) **Payment Certificates.**

- **Payment Request Items**. The PSC creates payment requests for each payment type for which the firm will be paid.

    i. **Fixed Fee Payment Request**. The PSC creates Fixed Fee Payment Requests.

    ii. **Hourly-Not-to-Exceed (NTE) Payment Request**. The PSC creates Hourly NTE Payment Requests, if any.

    iii. **Reimbursables Payment Request**. If any reimbursables are to be paid during the indicated time period, the PSC will create a Payment Request for those as well.

    These payment request items appear in the *Pending Payment Requests* view.

- **Payment Certificate**. To submit the pending Payment Request items for approval to the PM, the PSC creates a Payment Certificate. Once the Payment Certificate has been saved, PRZM automatically generates an email to the PM stating that a Payment Certificate is awaiting approval with a link to the Payment Certificate.

    At this stage the PSC cannot create or edit payment documents. The status of the Payment Certificate document indicates *Pending PM Approval*.

3. **Approvals.** When the PM is notified by email that a Payment Certificate is pending approval, the PM edits the Payment Certificate and can use links on the certificate itself to review the associated pending payment request items.

- If the PM accepts the Payment Certificate, PRZM sends an email to the Campus Business Manager (CBM) to approve and complete the Payment Certificate. The status of the document becomes *Pending CBM Completion*.

- If there is an objection to any of the pending payment request items, the PM can reject the Payment Certificate (with required comments). A rejected Payment Certificate is moved to the Rejected Payment Certificates view as a non-editable document and an email notice is sent to the PSC that the Payment Certificate was rejected. In this case the PSC would review the comments on the rejected Payment Certificate, make the corrections specified and submit a new Payment Certificate for approval.

4. **Review of Documentation and Payment**. When the Campus Business Manager (CBM) receives an email notification that a Payment Certificate is pending approval and completion, the CBM edits the document and can review the associated pending payment request documents.

- If the Campus Business Manager accepts and completes the Payment Certificate the system sends a one-time email notice to the PSC (and the PM) that the Payment Certificate was completed. The Payment Certificate then appears in the Approved Payment Certificate view and all associated Payment Requests and Reimbursables are moved to their respective Approved view. The options to create and edit new payment documents are available to the PSC at this stage.

- If the Campus Business Manager rejects the Payment Certificate (with required comments), an active event notice is sent to the PM and the status of the document reverts to *Pending PM Approval*.

AE Subconsultant Information

All professional services firms need to be registered with the University of Illinois, Office of Capital Programs and Real Estate Services, Vendor Services Application (VSA), including the Professional Services Consultant firm's Subconsultants. Set up for and payment of the PSC's agreement relies on accurate information which is imported from VSA, including their own and their Subconsultants' names and addresses.

The Professional Services Consultant (PSC) must create a Subconsultant Information document for each Subconsultant they will employ on the job.[1] Other documents, such as the Fee Proposal and the Payment Request document, import information from these Subconsultant Information documents.

Each Subconsultant Information document requires that the PSC select the name of the Subconsultant firm and indicate the services the Subconsultant will provide. The PSC will also be required to upload a copy of the Subconsultant's and its Subconsultants' (Sub-Tier Vendors) contracts, disclosures, and certifications[2]. Once Subconsultant information documents have been created, PRZM gives them the status of *Pending*, because they are subject to University approval.

A Subconsultant with a *Pending* status must be approved by the UI Project Manager. If the Subconsultant Information document was created in conjunction with an Amendment (if the Subconsultant has been added after the approval of the PRZM Fee document), the Subconsultant is still subject to approval and will not appear on the various payment documents until approved.

IMPORTANT: If your agreement will not include Subconsultants, skip creating Subconsultants and go on to the AE Fee Document.

Complete the Subconsultant Information Documents

1. Drop-down the Phases menu, and click on **AE Selection & Administration**.

2. From the **Contract Information** submenu, click **AE Subconsultant Information**.

3. Click the **Create** command button.

4. In the **Select City for Vendor** field, click the drop-down select the Subconsultant firm's city.

5. In the **Vendor** field, drop-down the menu and select the name of the Subconsultant firm.

   The Subconsultant firm's address and other business information are automatically displayed from the Subconsultant's Vendor Services Application (VSA) registration information.

   If the information above is incorrect, direct the Vendor to update their Vendor information in the Vendor Services Application (VSA).

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[1] Illinois Public Act 096-795 requires that all Illinois state agencies, including universities, collect information about Professional Services Consultants' Subconsultants. The University of Illinois uses PRZM and the IPHEC Bulletin to collect documentation and report to the state.

[2] Board of Elections Registration Certificate; Certifications and Statutory Requirements form, completed and signed; and Financial Disclosures and Conflicts of Interest form(s), completed and signed.

To import the corrected information, you will need to return to this document, edit it, click the **Refresh** command button, and save after the Vendor has corrected their information in the Vendor Service Application.

6. In the **Original or Revised Subcontract Total** field, enter the amount of the subcontract.

7. In the **Subconsultant Work Summary** section, click the checkbox(es) for the service(s) the firm will provide.

    If the services to be provided are not listed, in the **Select or write in any other services not listed above** text box, enter each service separated by a semi-colon.

8. In the **Does this Subconsultant have any Sub-Tier contracts above $50,000** area, click the drop-down and select **Yes** or **No**.

9. If the answer is **Yes,** enter the names of the Sub-Tier Vendor in the table.

10. In the **Attach File** field, click the **Browse** command button to navigate to the electronic copy of the Subconsultant's and its Sub-Tier Vendors':

    - Signed contract (for all subcontracts greater than $50,000).

    - Certifications and Statutory Requirements form.

    - Financial Disclosures and Conflicts of Interest form.

    These uploaded documents must be in PDF format and must be named using the University's file naming conventions. To access the forms and the File Naming Convention job aid:

    1. Go to www.uocpres.uillinois.edu

    2. Click the **Design Professionals** or **Contractors** tab.

    3. Select the link for **Contracts and Forms** and note the links for:

        - Certifications and Statutory Requirements form.

        - Financial Disclosures and Conflicts of Interest form.

        - File Naming Conventions job aid.

11. When you are finished, click the **Save** command button.

    The AE Subconsultant Information view appears, displaying a list of all Subconsultants along with a table of billing information and the Status of the Subconsultant Information Document. When the document is first created, it will display a Pending status in the view until approved by the UI Project Manager. A partial Subconsultant information document appears on a previous page.

    Payment amounts to the Subconsultant will only appear on this document after payments have been submitted and approved.

12. For each Subconsultant listed in your agreement, repeat the above steps to create a Subconsultant Information document.

Delete a Subconsultant Information Document

If you have made an error and need to delete a Subconsultant Information document, you may do so provided the Fee Document has not been approved.

1. Navigate to the Subconsultant Information document you wish to delete.

   Do not click the **Edit** command button.

2. Scroll to the bottom of the document.

3. Click the **Delete** command button.

   The Subconsultant Information document has been deleted and the Subconsultant Information view appears.

AE Hourly Rate Schedule

The Hourly Rate Schedule provides the foundation for billing and approving services for Hourly Rate NTE for the Professional Services Consultant firm and its Subconsultants. The Hourly Rate Schedule also provides the foundation for negotiated fees for Hourly Rate Not-to-Exceed for the PSC firm and its Subconsultants for amendments.

Before you begin, you should gather the table of negotiated fees for the firm and those for all of its Subconsultant firms who will work on the project.

Complete the Hourly Rate Schedule

1. Drop-down the Phases menu, and click on **AE Selection & Administration**.

2. From the Contract Information submenu, click **AE Hourly Rate Schedule**

3. Click the **Create** command button.

4. In the **Vendor** field, drop-down the menu and select the name of the prime or Subconsultant firm.

5. Enter the **Original Position Title** and the **Original Rate ($/HR)** for each position. There are up to 50 positions allowable for the prime and for each Subconsultant.

6. Click the **Save** command button.

7. Repeat the steps above for each prime and for each Subconsultant.

8. Click the right arrow next to **Pending**.

   The AE Hourly Rate Schedule view appears displaying a list of the prime and all Subconsultants along with the version, date created, and number of files attached.

   When the documents are first created, they will display a *Pending* status in the view until approved by the University Project Manager.

AE Fee Document

The AE Fee Proposal Document provides the foundation for negotiated fees for Fixed Fee and Reimbursables for the Professional Services Consultant firm and its Subconsultants. The Hourly Rate Schedule provides the foundation for negotiated fees for Hourly Rate NTE for the Professional Services Consultant firm and its Subconsultants.

Before you begin, you will wish to have gathered the table of negotiated fees for your firm and those for all of its Subconsultant firms who will work on the project.

You may work on the Fee Document a little at a time, if you wish. Save it and return to it as information becomes available.

Create the AE Fee Document

1. Drop-down the Phases menu, and click on **AE Selection & Administration**.

2. From the Contract Information submenu, click **AE Fee Document**.

3. Click the **Create** command button.

4. The Subconsultant firm's address and other business information are automatically displayed from the Subconsultant's Vendor Services Application (VSA) registration information.

    If the information displayed is incorrect, you will need to modify it in the UOCP&RES Vendor Services Application, outside of PRZM. Use the link displayed on the Fee Proposal document to make the modifications, and then return to PRZM to continue.

5. In the **PSC Services Provided** area, select the services the firm will provide.

6. In the **Other Services** field, list services the firm will render that do not appear in the display and use semicolons to separate the services.

7. In the **Fees for Basic Services** area, enter the fees for each included phase for both Fixed Fee and Hourly Not-to-Exceed (NTE), as illustrated below.

    To enter fees, you may use any numeric format you wish. PRZM automatically reformats them to a two-digit decimal format with a dollar sign once you click the **Refresh** command button.

8. In the **Fees for Supplemental Services** section, as illustrated below, enter the fees for each included phase for both Fixed Fee and Hourly Not-to-Exceed (NTE). If there are additional Supplemental Services not listed, use the blank text boxes in the Services column to list them.

9. In the **Reimbursables** field, as illustrated below, in the **Estimated Cost** field, enter the amount of lump sum reimbursables.

10. To automatically calculate the summary table, below the Reimbursables section, and sum the amounts; click the **Refresh** command button.

11. In the **Subconsultant Work Summary** area, for each Subconsultant listed, review the subcontract amounts.

12. To automatically calculate the table, click the **Refresh** command button.

    If you make a mistake and the totals exceed the contract amount, you will receive an error message and will not be able to save.

13. In the **Ready for University Approval** area, when you have completed your work on the fee document, click the **Yes** radio button.

    IMPORTANT: Only select this option when the document is completed; the AE Fee Document will not be editable afterwards.

    To save the document, scroll to the bottom and click the **Save** command button.

    The document closes and the view returns indicating that the Fee Proposal is *Pending Project Manager's* approval.

Save the Fee Document without Submitting for Approval

1. To save the document at any time, scroll to the bottom and click the **Save** command button.

2. To return to the document, drop-down the Phases menu, and click **AE Selection & Administration**.

3. From the Contract Information submenu, click **AE Fee Document**.

4. In the **Status** column, click the **Pending Completion** link to the AE Fee Document.

5. At the top of the document, click the **Edit** command button.

    The screen refreshes to place the AE Fee Document in edit mode.

6. Continue editing as necessary.

    If you have added a Subconsultant after you created and saved the Fee Document, you will need to click the **Refresh** command button in order to bring in the new information.

7. When you have completed your work on the fee document, click the **Yes** radio button in the **Ready for University Approval** area.

    IMPORTANT: Only select this option when the document is completed; the AE Fee Document will not be editable afterwards.

8. To save the document, scroll to the bottom and click the **Save** command button.

    The document closes and the view returns, indicating that the Fee Proposal is pending Project Manager approval.

Approve the Fee Document

The Project Manager has the authority to **Approve** or **Reject** the Fee Document and **Approve**, **Approve with Conditions**, or **Reject** its related Subconsultant Information documents. The Project Manager will receive an email with a link when the AE Fee Document has been submitted for approval.

1. Login to PRZM.

2. From your Dashboard, click the link to the AE Fee document.

3. At the top of the document, click the **Edit** command button.

4. Review the services, fees, and attachments for the Professional Services Consultant.

    The Project Manager may edit the Fee Proposal, if an obvious typo or other trivial error needs correction.

5. Scroll down the document to the **Subconsultant Work Summary** area.

6. Review the Subconsultant Information documents to ensure that they:

    - Match the amounts of the Subconsultant contract.

    - Contain the required subcontract, certifications, and financial disclosure attachments required by law.

7. Within the Hourly Rate Schedules section, select the Vendor link to open the Hourly Rate Schedule document.

8. Review the **Hourly Rate Document** to ensure they match the rates in the PSC contract.

9. If you approve the Fee Proposal with its related Subconsultants in the University PM Approval area, click the **Yes** radio button.

    If you find that all the required documentation has not been uploaded, is not signed, or that file naming conventions have not been followed, you must either **Approve with Conditions** or **Reject** the Subconsultant Information document with a note to the Professional Services Consultant about the deficiencies.

10. When your review is complete, and you have selected the Yes button in the University PM Approval area, click the **Save** command button.

    UOCP&RES must upload the Subconsultant documentation to the IPHEC website for the CPO/SPO review. It is possible that a Subconsultant may be rejected for incomplete documentation or for incorrect file naming conventions. If that happens, the Project Manager will receive an email notification from PRZM. Until the documentation has been uploaded, the Subconsultant Information document status may have a status of **Pending**.

    The Professional Services Consultant cannot add additional Subconsultants, change Subconsultant contract amounts, or otherwise modify the Fee Proposal document once it has been fully executed without initiating the AE Amendment process.

> **IMPORTANT:** UOCP&RES must upload the Subconsultant documentation to the IPHEC Bulletin **and** the Campus Business Manager must add the accounting information to the Obligation Document before the AE may begin creating the firm's payment requests.

University Financial Manager: When the Project Manager completes the approval of the Fee Document, PRZM generates an email and an Active Event notice on the Dashboard for the Business/Financial Manager to indicate that the Obligation Document can be completed. See next topic for more on the Obligation Document.

AE Obligation Document

The Obligation Document contains the relevant contract number and encumbrance number that allow the University to account for the contract and payments for the professional services firm.

The Campus Business Manager is the only role which may complete this task. The Obligation document may be created in any phase in which the Professional Services Consultant will begin its billing, and it is required before a payment can be completed.

Complete the AE Obligation Document

A Funding Document must be completed within PRZM before the AE Obligation Document may be created.

1. Drop-down the Phases menu and select **AE Selection & Administration**.

2. Drop-down the **Contract Information** submenu.

3. Click **AE Obligation Information**.

4. Click the **Create** command button.

5. In the **Obligation Number / Encumbrance** field, enter the obligation number and encumbrance number.

6. In the **Contract Date** field, enter the date of the last agreement signature(s) in the format mm/dd/yyyy.

7. If it is not already expanded, click the arrow next to **CFOAPAL INFORMATION** to expand the form.

   The previously created Funding document should provide information necessary to fill in the Obligation document.

8. In the **Chart** field, drop-down the menu and select the chart (campus).

9. In the **Organization** field, drop-down the menu and select the organization.

10. In the **Organization (Alternate)** field, if the organization cannot be selected from the above list, enter the Organization here.

11. In the **Program** field, drop-down the menu and select the Program.

12. In the **Program (Alternate)** field, if the program cannot be selected from the above list, enter the Program code here.

13. In each of the listed Services areas, for each phase, drop-down the menu and select the fund source.

This process may involve only a few or many selections, depending upon the agreement. If there was only one fund source, the fields will auto-populate with that fund source. Otherwise, you will need to select the appropriate source for each phase.

14. Click the **Refresh** command button.

15. When you have completed the Obligation Document, set the document status to **Completed** and click the **Save** command button.

The Obligation document closes and the Obligation Information view appears.

Payment Requests

The Professional Services Consultant provides services in three basic categories: fixed fee, hourly not-to-exceed, and reimbursables. Each of these requires a slightly different method of handling; therefore, the PSC must create one document for each type for which they will be paid during a designated period. When all the types have been completed, a Payment Certificate document will bring them together for payment as a group.

Create a Payment Request

1. Drop-down the Phases menu and select **AE Selection & Administration**.

2. Drop-down the **Payment Requests** menu.

3. From the menu, select **Pending**.

4. Click the **Create** command button.

5. In the drop-down menu next to **Contract Payment Item**, select the type of service for which you are requesting payment: Fixed Fee, Hourly NTE (not-to-exceed), or Reimbursables.

6. In the **Payment Period** date text boxes, enter the start and end dates for the work performed.

7. Follow the steps below for each type of payment item.

Complete a Payment Request Item by Type of Payment

Is this payment for fixed fee, hourly, or reimbursables? Continue with the appropriate section below.

Fixed fee

1. In the drop-down menu under **Contract Payment Item**, select **Fixed Fee**.

2. In the **Amt This Billing** column, enter the dollar amount for which you are billing.

3. In the Fixed Fee Summary For area, next to **Service**, drop-down the menu and select the service or phase.

   Only those services negotiated and entered in the Fee Document will be listed.

4. In the **Amt This Billing** text box, enter the total amount of the billing, including all Subconsultant amounts.

5. In the **Subconsultant** table, in the **Amt This Billing** column, enter the dollar amount of the total which will be paid to each applicable Subconsultant firm.

6. Click on **Refresh** to allow the form to calculate the **% Complete** column.

7. Click the **Save** command button.

The AE Payment Request\Pending view appears. You may view this document at any time in the Payment Request Pending view.

Hourly NTE

1. In the Hourly NTE section, click the drop-down and select the **Vendor**.

2. In the **Position Title: Rate ($/HR)** section, click the drop-down and select the Position:Rate.

   Important: Repeat for each Vendor and each position.

3. In the **Hours (This Billing)**, enter the number of hours.

4. In the pull-down box next to **Hourly NTE Summary for Project Phase**, select the project phase in which this work occurred.

5. Click the **Refresh** command button to allow the system to calculate the values in the table.

6. In the **Subconsultant** table, in the **Amt This Billing** column, the totals for each Subconsultant will be computed automatically.

7. Click the **Save** command button.

   The AE Payment Request\Pending view appears. You may view this document at any time in the Payment Request Pending view.

Reimbursables

1. In the **Reimbursables Summary** table, in the **Amt This Billing** column, enter the total amount of the billing, including all Subconsultant amounts.

2. In the **Subconsultant** table, in the **Amt This Billing** column, enter the dollar amount of the total which will be paid to each applicable Subconsultant firm.

3. Verify that the information in this form is correct. If not, return to the Reimbursables form(s) and make those corrections.

4. Click the **Refresh** command button to allow the form to calculate the **% Complete** column.

5. Click the **Save** command button.

   The AE Payment Request\Pending view appears. You may view this document at any time in the Payment Request Pending view.

   Next Step: Create the Payment Certificate.

Edit a Payment Request

1. Drop-down the Phases menu and select **AE Selection & Administration**.

2. Drop-down the **Payment Requests** menu.

3. Click **Pending**.

4. Click the link to the payment request item you wish to edit.

5. Click the **Edit** command button.

6. Edit the payment request as desired.

7. When you have completed your edits, click the **Save** command button.

   The payment request is saved and the Payment Request view appears.

Delete a Payment Request Document

If you have made an error and wish to delete a payment request document, you may do so, provided the Payment Certificate has not been created.

1. Locate the Payment Request item you wish to delete; do not click the **Edit** command button.

2. Scroll to the bottom of the document.

3. Click the **Delete** command button.

   The Payment Request document is been deleted and the AE Payment Request view appears.

Payment Applications

The Payment Certificate gathers the individual payment request items that will be billed against the approved Professional Services Consultant fee proposal. The Professional Services Consultant initiates the approval of payment for those items by creating a Payment Certificate. Once it has been created, it is routed for approval through the Project Manager and the Business Manager.

Create and Submit a Payment Certificate

1. Drop-down the Phases menu and select **AE Selection & Administration**.

2. Drop-down the **Payment Applications** menu and select **Pending**.

3. Click the **Create** command button.

4. Scroll down the document to review it.

5. Click the **Refresh** command button to update the table.

6. Scroll down the form to the **Ready for Approval** field.

7. Click the **Yes** radio button.

8. In the **Payment Type** field, select the radio button for **Partial** or **Final**.

9. When you are satisfied that it is correct, click the **Save** command button.

    The AE Payment Applications - Pending view appears. The Project Manager will be notified by email to approve the Payment Certificate.

Approve a Payment Certificate: Project Manager

1. From your Dashboard, click the link to the pending **Payment Application**.

2. Click the link to **AE Payment Application**.

3. To put the document in edit mode, click the **Edit** button.

    The document refreshes, in edit mode.

4. In section 3.0 Certifications and Approvals, on the **Owner Authorized Representative Approval** line, click the appropriate radio button, where:

    - Yes indicates approval.

    - No indicates rejection.

    - Pending indicates that you have yet to act on the Payment Certificate.

5. Scroll down the document and click the **Save** command button.

    If the Payment Certificate was approved, the Campus Business Manager will be automatically notified that it is ready for review. If it was not approved, the Professional Services Consultant

will be automatically notified that the Payment Certificate was not approved. To rectify the objections of approvers, the PSC will delete/edit/add to their Payment Request document(s) and submit a new Payment Certificate for approval.

Approve a Payment Certificate: Business Manager

1. From your Dashboard, click the link to the pending **Payment Certificate**.

2. Click the link to **Pending Payment Certificate**.

3. To put the document in edit mode, click the **Edit** command button.

4. In the **Campus Construction Unit Financial Services Required Information** area of the form, review the CFOAPAL information provided. If necessary, enter the relevant information into the **User Reference 1** field and provide the **College Department No**. in the respective text boxes.

5. In the **Payment Type** field, select one radio button: **Partial** or **Final**.

6. In the **Required Information Completed?** line click the appropriate radio button, where Yes indicates approval, No indicates rejection, and Pending indicates that you have yet to act on the Payment Certificate.

7. Scroll down the document and click the **Save** command button.

8. Click the payment number to re-open the document.

9. Scroll to the bottom of the document and click the **View Print Friendly Page** command button to display the printable form.

10. Print the form for internal routing.

    If the Payment Application runs over to two pages, you can adjust the browser's margins to allow it to fit onto a single page.

11. Close the print-friendly window.

12. Scroll to the top of the Payment Application and click the **Close** command button to exit the Payment Application.

    If the Payment Certificate was not approved, the Project Manager will be automatically notified that the Payment Certificate was not approved.

Professional Services Changes and Amendments

The Professional Services Consultant uses the Professional Services Change Proposal form to complete the process of amending the Professional Services Consultant's agreement. Usually this process is completed in order to ensure that the agreement and amendment within PRZM reflect the correct amounts already agreed upon outside of PRZM. Once the Professional Services Consultant has completed the proposal, he will notify the Project Manager. After reviewing the proposal, the Project Manager will either approve or reject it. Approved proposals become amendments to the Professional Services Agreement.

Create the Professional Services Proposal

1. Drop-down the Phases menu and select **AE Selection & Administration**.

2. Drop-down the **Professional Services Proposals** menu and select **Pending**.

3. Click the **Create** command button.

4. The following fields are automatically generated and require no input from you:

   - Date of Issuance remains unchanged if the proposal is modified at a later date.

   - Professional Services Proposal number will appear only after the **Save PS Proposal** command button is selected.

   - Professional Services Consultant firm name.

   - Address.

   - City/State/Zip.

   - Contract number.

5. In the **PSP Brief Description** field, enter a brief description to help others identify this proposal.

6. In the **A/E Professional Services Not-to-Exceed** field, enter the not-to-exceed amount.

   If necessary, you may save this proposal as not ready for Project Manager review and then return to enter detailed information at a later time.

7. Below the following instruction, once you know the details of the proposal, you will enter those details into the proposal.

   Please submit an itemized proposal for changes in the Professional Services Agreement and Contract Time for the proposed modifications to the project design or Contract Documents described herein. Submit proposal within **7** days, or notify the Project Manager via e-mail of the date on which you anticipate submitting your proposal.

8. In the **Description** field, enter a detailed description of the proposed work.

9. In the **Attachments** field, list the attached documents that support the description.

- In the **Attach Document Here** field, click the **Browse** command button to locate and attach the file.

- Navigate to the file location on your computer in order to select the file to attach.

- Click the **Upload** command button.

- Repeat steps a. through c. to upload each document.

You may attach multiple files to this document. Make sure that each file has a unique filename. Your attachments will be saved as part of the document.

10. In the **Fees for Basic Services** area, the Phases and Current Fees are automatically generated and are those agreed upon during the fee negotiation and included in your Professional Services Agreement. If your proposal requires modifying any fees, list the proposed fee change in the **Proposed Fee Change** columns for Fixed Fee and Hourly NTE, as appropriate. Click the **Refresh** command button to generate a revised fee for this category.

11. In the **Fees for Other Services** area, the Services and Current Fees are automatically generated and are those agreed upon during the fee negotiation and included in your Professional Services Agreement. If your proposal requires modifying any fees or adding services, enter the changes in the appropriate columns.

12. Click the **Refresh** command button to generate a revised fee for this category.

13. In the **Estimated Cost for Reimbursables** area, the Reimbursables and Current Estimated Cost are automatically generated and are those agreed upon during the fee negotiation and included in your Professional Services Agreement. If your proposal requires revising an estimated cost for a reimbursable, or adding a reimbursable, enter the changes in the appropriate columns. Click the **Refresh** command button to generate a revised estimated cost for this category.

14. In the **Subconsultant Work Summary** area, if the amendment will affect the contract(s) of Subconsultant(s), indicate those changes in the **Revised Sub Contract Total** column.

- To edit the Subconsultant Work Summary, click the link to the Subconsultant firm.

- Click the **Edit** command button.

- Revise the subcontract total.

- Click the **Save** command button.

- Close the window.

- Return to the Professional Services Proposal.

- Click the **Refresh** command button.

The Revised Subcontract Total amount column should now reflect the revised amount.

15. Numbers in the **Totals** field are automatically generated. If you wish, you may scroll up and click the **Refresh** command button to generate a revised total for this proposal at any time. Changes are also recalculated when you save the proposal.

16. Changes to the **Hourly Rates** must be made on the Hourly Rates Schedule prior to submitting the PSP for approval. To edit the Hourly Rate Schedule:

    - Click the Vendor link within **New or Revised Hourly Rate Schedule**.

    - Click the **Edit** command button.

    - Make the necessary changes.

    - Click the **Save** command button.

    - Close the **AE Hourly Rate Schedule** window.

17. In the **Notify the PM that this proposal is ready for approval** field:

    - If the proposal is not yet ready for campus review, click **No**. You can complete this proposal at a later date.
    - If you have completed your proposal, checked it for accuracy, and are ready to submit it for review by the campus, click the **Yes** radio button.
    - If you submitted the proposal for approval, an e-mail will be automatically generated notifying the PM that the proposal is ready for review.

18. When you have completed work on this proposal, click the **Save** command button to save your work.

    The AE Professional Service Proposals\Pending view appears, listing the saved professional services proposal.

Approve an AE Professional Services Proposal: Project Manager

You will receive an email that a Professional Services Proposal is awaiting your review. You can click the link in the email, or follow the procedure below.

1. From your Dashboard, click the link to the pending **AE Professional Services Proposal**.

2. At the top of the Proposal, click the **Edit** command button; review the proposal.

3. Scroll to the bottom of the proposal.

4. In the **PM accepts this proposal for approval** field, click in one radio button:

    - Yes.
    - No.
    - Pending.

5. Click the **Save** command button.

The proposal closes; depending upon the action taken, one of the following the AE Professional Services views appears:

- Pending.
- Approved.
- Rejected.

If the proposal is accepted, the Professional Services Proposals Pending view appears.

When the PM approves the PSP an instant email and an active event notice are created for the Campus Business Manager(s) review and complete the Amendment approval and release.

Approve an AE Professional Services Proposal: Campus Business Manager

You will receive an email that a Professional Services Proposal is awaiting your review. You can click the link in the email, or follow the procedure below.

1. From your Dashboard, click the **AE Professional Services Amendment** link.

2. At the top of the Proposal, click the **Edit** command button.

3. Review the proposal.

4. Scroll to the bottom of the proposal.

In the **CCU Business Section Approval** area, click one radio button:
- Yes.
- No.
- Pending.

5. Click the **Save** command button.

If the proposal is accepted, the Professional Services Proposals - Pending view appears. The Proposal still needs to be approved as an Amendment.

6. Click the link to the Professional Services Amendment.

7. Click the **Edit** command button.

8. Scroll down the document.

9. In the **Final Release** field, click the **Yes** radio button.

10. Click the **Save** command button.

11. Drop-down the Professional Services Proposals menu and select **Approved**.

The AE Professional Services Amendments - Approved view appears, and shows that the amount was added to the Professional Services Consultant's contract.

Construction

Begin the Construction Phase

During this phase, the Project Team expands to include construction Contractors along with the University units and design professionals from the previous phase. These three groups come together to deliver a project which meets the requirements of the contract documents and the bounds of the construction budget and schedule.

Construction is documented by recording items in one of two main sections. First, the Information and Changes section records encountered problems/questions and the solutions provided. Second, the Payments/Closeout section records the Contractor's periodic pay application as well as the supporting data. In addition, project closeout is documented by including punch lists and substantial completion.

The key deliverables of this phase are:
- Contractor's Information Log (by Division of Work).
- Subcontractor / Vendor / Supplier documents.
- Contractor's Schedule of Values (CSV).
- Schedule of Work Completed (SWC).
- Requests for Information (RFI).
- Requests for Proposal (RFP).
- Change Orders (CO).
- Emergency Work Authorization (EWA).
- Architect's Supplemental Instructions (ASI).
- Submittal Requirements.
- Payment Applications.
- Affidavit and Partial Lien Waiver.
- Reduction in Retainage.
- Updated project budget.
- Updated project schedule.
- Certificate of Substantial Completion.

As the Construction phase opens, a number of tasks must be completed to initiate the phase within PRZM.

The **Project Manager** performs three initiating tasks:

1. Creates the Agreement Worksheets, one per Contractor.
2. Creates the Contractor's Pay Application Information document, one per Contractor.
3. Adds Team Members to the phase.

The **Campus Business Manager** performs the following initiating task:

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1. Creates Contractor Obligation documents for each Division of Work.

Once the Project Manager has performed his tasks, the Architect/Engineer can begin to enter submittal requirements for Contractors, which will be used by Contractors as the work progresses.

As **Contractors** are added to the project, their tasks within PRZM are to create in the following order:

1. Contractor Information Log.
2. Subcontractor/Vendor/Supplier (SVS) documents (as necessary). SVS documents are subject to the University Project Manager's approval.
3. Contractor's Schedule of Values for each Division of Work for which they are responsible. The Architect/Engineer or Energy Service Company and the Project Manager approve the Schedule of Values.

Step-by-step procedures for each of these tasks can be found within the following pages.

Agreement Worksheet

After the approval of the contract award, the Campus Construction Unit is responsible for the preparation and execution of the construction contracts for the various divisions of work. An Agreement Worksheet is provided to assist the Campus Construction Unit in the collection of pertinent data that is contained in the construction contract. The Payment Application form's Retainage information is now contained within the Agreement Worksheet.

The construction contract is developed outside PRZM, and the construction contract agreement worksheet is used only to provide data for Contractor payments.

The Agreement Worksheet document must be executed individually for each Division of Work requiring a construction contract.

Relevant Role(s):	Project Manager
Previous Steps:	If the Architect was not selected and/or paid through PRZM and you are beginning the project with the Construction phase, ensure that you have completed the following documents: Project Administration. Scope Statement. Funding Source.
Preparation for This Step:	Have the construction contract information available to you for each Division of Work you wish to add.
Next Steps:	Adding Construction Team Members.

Complete an Agreement Worksheet

1. From your Dashboard, click the link to the project you will be working with.

2. From the **Phases** drop-down menu, select **Construction Phase**.

3. Drop-down the Construction Administration submenu and click on **Agreement Worksheets**.

4. Click the **Create** command button.

5. From the **Division** drop-down menu, select the desired Division of Work number.

6. Under the **Agreement Worksheet Information** section, in the **Select City for Contractor** field, drop-down the menu and select the appropriate city in which the Contractor's company is located.

7. In the **Name of Contractor** drop-down menu, select the name of the company.

The form refreshes and displays the company's address and MAFBE status.

8. In the **Agreement Type** field, drop-down the menu and select the type of agreement for this Division of Work.

9. In the **Retainage Percentage** field, enter the percentage of retainage for that Contractor's contract.

    By default, a value is entered; you may modify this value as necessary.

    A retainage amount is typically held until the end of the construction. The retainage percentage may be reduced if the Contractor submits a request for a reduction in retainage later in the project, or the Project Manager may reduce retainage as the project matures by changing the value on this form.

10. If the firm requesting payment is a Contractor with Assigned Subcontractor, in the Contractor Assignment Fee Percentage field, a default percentage is displayed.

11. In Section 2.1 in the **Project Duration** table, in the **Calendar Days** field, enter the number of calendar days for the duration of the construction phase.

12. In Section 3.1 **The Contract Sum** table, in the **Contractor's Bid Date** field, enter the date of the Contractor's bid.

13. In Section 3.1 **The Contract Sum** table, in the **Base Bid** field, enter the Contractor's base bid.

14. If the agreement contains alternates, in the **Alternate Bid Total** field, enter the amounts of all alternates.

15. Click the **Refresh** command button.

16. In the **CMS MAFBE Certified Subcontractor/Vendor/Suppliers** table, complete the following for each CMS-Certified MAFBE Subcontractor, Vendor and Supplier that will be used by the Contractor:

    - In the **Select City** field, drop-down the menu and select the Subcontractor, Vendor, or Supplier's city.

    - In the **Select Vendor Name** column, select the name of the Subcontractor, Vendor, or Supplier that will be used.

      The Contractor is required to report all CMS MAFBE Certified Subcontractors, vendors, and suppliers that they will use. These Subcontractors, vendors, and suppliers must be registered with the Vendor Services Application (VSA), in order to appear on the drop-down menus in PRZM. If you do not see a Vendor's name on the drop-down list, that company may need to register with VSA.

    - In the **Total** column, enter the amount that will be paid to the Subcontractor, Vendor, or Supplier.

- Repeat the steps for each Subcontractor, Vendor, or Supplier that will be used.

17. Click the **Refresh** command button to allow the form to calculate sums.

    The CMS MAFBE Certified Totals (and Percent of Contract) table updates automatically.

18. In the Notice to Proceed area of the form, in the **Date of Award** field, enter the date of the award.

    Use the MM/DD/YYYY format for dates. Alternatively, click the calendar icon, and select the date from the pop-up calendar.

19. In the **Responsible for Builder's Risk** field, drop-down the menu and select Yes or No.

20. In the **Start Date** field, enter the date the contract will begin.

    Use the MM/DD/YYYY format for dates. Alternatively, click the calendar icon, and select the date from the pop-up calendar.

21. Click the **Refresh** command button.

22. In the **Contracting Officer** field, select the team member responsible for the contract (typically the Project Manager or Planner).

23. In the **Current Comments** field, if you wish to make a comment about the contract, enter your comment.

24. In the **Notification of Changes**, if you wish to notify other team members about changes to the Agreement Worksheet, select **Yes**.

25. If you need to attach a file related to the agreement, in the **Attach File** field, click the **Browse** command button.

    The Choose File to Upload window opens.

    - Navigate the file system and click the desired file.

    - Click the **Open** command button.

    - The filename and path appear in the Attach File field.

    - Click the **Upload** command button.

    The file is uploaded to the Agreement Worksheet.

26. Click the **Save** command button.

Contractor Obligation Document

The Contractor Obligation document provides information about University business accounts that are necessary to obligate funds and pay vendors. This document must exist prior to a Contractor's first payment. The Campus Business Manager completes this form for each Contractor on the project.

Relevant Role(s):	Business Manager.
Previous Steps:	Agreement Worksheet(s) (added by the PM).
Have Available	The relevant Funding accounts and CFOAP(s) for the project's charge account(s).

Complete a Contractor Obligation Document

1. From the drop-down menu, select **Construction Phase**.

2. Drop-down the Construction Administration submenu and select **Obligation Information**.

3. Click the **Create** command button.

4. In the **Obligation Number / Encumbrance** field, enter the appropriate numbers.

5. In the **Select**: field, drop-down the menu and select one:

   - Shell.
   - Systems.
   - Infrastructure.

6. In the **Chart** field, drop-down the menu and select the appropriate campus or University code.

7. In the **Fund** field, drop-down the menu and select the related fund.

8. In the **Organization** field, drop-down the menu and select the correct organization.

9. In the **Organization (Alternate)** field, if the Organization did not appear in the drop-down menu for Organization, enter an alternate Organization here. Otherwise, leave this field blank.

10. In the **Account** field, click the drop-down and select the account for this Division of Work.

11. In the **Program** field, drop-down the menu and select the appropriate Program Code.

12. In the **Program (Alternate)** field, enter the Program not listed in the Program field. Otherwise, leave this field blank.

13. In the **Activity (Optional)** field, if you used the Program (Alternate) field, you may enter an appropriate activity, if desired.

14. In the **Location (Optional)** field, if you used the Program (Alternate) field, you may enter a location, if desired.

15. Click the **Refresh** command button.

16. When you have completed your work, click the **Save** command button.

Edit a Contractor Obligation Document

1. From the drop-down menu, select **Construction Phase**.

2. Drop-down the Construction Administration submenu and click on **Obligation Information**.

3. Click the link to the Contractor Obligation Information document you wish to edit.

4. Click the **Edit** command button.

5. Modify the document as necessary; when you have completed your work, click the **Save** command button.

6. The document is saved and you are returned to the Contractor Obligation Information By Division view.

Contractor Information Log

Every Contractor must complete a Contractor Information Log at the beginning of a project. The log includes contact and other information that the construction team might need at a moment's notice.

You must fill out a Contractor Information Log for each Division of Work you are responsible for.

Relevant Role(s):	Contractor.
Have Available:	- Contact Information for the Primary, Job Site and Emergency Contacts, among others. - Performance and Payment Bond information. - Insurance information.
Following Step:	Subcontractor / Vendor / Supplier (SVS) documents.

Complete the Contractor Information Log

1. From the Phases drop-down menu, select **Construction**.

2. From the Contractor Information drop-down submenu, select **Contractor Information Log**.

3. Click the **Create** command button.

4. From the **Division of Work** drop-down menu, select your **Division of Work**.

   The Contractor Information Log refreshes to automatically include the firm's information from the Vendor Registration.

5. Scroll down. In the *Primary Contact Information* section of the document, fill out the requested **Contact Name** and **Email address** sections on the form. Phone numbers are requested, but not required.

   Phone numbers are requested so that other Project Team members can find contact information when necessary throughout the project.

6. In the **Job Site Contact** section of the form, give the name and email address of the person who will be the primary contact on the job site. Phone numbers are requested, but not required.

7. In the **Emergency Contact** section of the form, give the name and email address of the person who will be the primary contact on the job site. Phone numbers are requested, but not required.

8. In the **Warranty Contact** section of the form, give the name and email address of the person who will be the primary contact on the job site. Phone numbers are requested, but not required. Emergency Instructions are on this form as a convenience.

9. Fill out the **Performance and Payment Bonds (PPB) Information** section. All fields in this section are required.

10. Fill out the **Insurance Certificate Information** section. All fields in this section are required.

11. In the **Type of Insurance** section, provide the company name, policy number, and expiration date.

    Note: An email notification will be sent to the affected contractors and project managers on the 15th day prior to and on the expired date of insurance certificate.

12. Click the **Refresh** command button to see how many days are left before the policy expires.

13. Mark the document complete by selecting **Completed** in the **Document Status** drop-down menu.

14. Fill in the **Notification of Changes** sections as needed.

15. To save your work, click the **Save** command button.

    If you have not filled in all the required fields, the document will not save. You will see the following message:

    The document was not saved. Use the browser's back button to go back to the form and complete all of the required fields marked by the red dots.

    Use your browser button to return to the document, review it, fill in the missing information, and then save the document.

    If your document was filled in completely and saved, you will be returned to the Contractor Information Log view, and the new Contractor Information Log will appear as a hotlink.

Subcontractor/Vendor/Supplier (SVS) Document

All Contractors need to be registered with the University of Illinois' Office of Capital Programs and Real Estate Services' *Vendor Services Application (VSA)*, including a Contractor's Subcontractors. Set up for and payment of the Contractor's contract relies on accurate information which is imported from VSA, including their own and their Subcontractors' names and addresses.

The Contractor must create a Subcontractor / Vendor / Supplier (SVS) Information document for each Subcontractor they will employ on the job. Illinois Public Act 096-795 requires that all Illinois state agencies, including universities, collect information about Contractors' Subcontractors and their Subcontractors (Sub-Tier Vendors). The University of Illinois uses PRZM and the Illinois Public Higher Education Cooperative's (IPHEC) Bulletin to collect documentation and report to the state.

Other documents, such as the Schedule of Values and the Schedule of Work Completed document, import information from these Subcontractor / Vendor / Supplier Information documents.

Each Subcontractor / Vendor / Supplier Information document requires that the Contractor select the location and subsequently the name of the Subcontractor / Vendor / Supplier firm and indicate the Division of Work and a summary of work, materials, and/or equipment the Subcontractor / Vendor / Supplier will provide. The Contractor will also be required to upload a copy of the Subcontractor's and its Subcontractors' (Sub-Tier Vendors) contracts, disclosures, and certifications. Board of Elections Registration Certificate; Certifications and Statutory Requirements form, completed and signed; and Financial Disclosures and Conflicts of Interest form(s), completed and signed. Once Subcontractor / Vendor / Supplier information documents have been created, PRZM gives them the status of *Pending* because they are subject to University approval.

A Subcontractor / Vendor / Supplier with a *Pending* status must be approved by the University's Project Manager. If the / Vendor / Supplier Information document was created after the approval of the Schedule of Values document, the / Vendor / Supplier document is still subject to approval and will not appear on the various payment documents until approved.

Relevant Role(s):	Contractor

Previous Steps:	Before you create the Subcontractor / Vendor / Supplier Information documents, you will want to :
	
	 • Ensure that your Subcontractors / Vendors / Suppliers are registered with the University's *Vendor Services Application (VSA)*. You won't be able to create a Subcontractor / Vendor / Supplier Information document for an unregistered Subcontractor.
	 • Gather the following documentation, in PDF format, for each Subcontractor / Vendor / Supplier:
	     o The Subcontractor / Vendor / Supplier's signed and scanned contract with your firm (as required by Illinois Public Act 096-795.
	     o The Subcontractor / Vendor / Supplier's signed and scanned Certification and Statutory Requirements form.

	o The Subcontractor / Vendor / Supplier's signed and scanned Financial Disclosures and Potential Conflicts of Interest form.
Next Steps:	Approval of the SVS documents by the Project Manager. Then, complete the Contractor's Schedule of Values (CSV).

IMPORTANT: If a required document is not uploaded or if the uploaded document is not named properly, the Subcontractor / Vendor / Supplier may be rejected by the University and need to be corrected and resubmitted for approval or deleted.

Create a Subcontractor/Vendor/Supplier (SVS) Document

1. From the Phases drop-down menu, select **Construction**.

2. From the **Schedule of Values/Modifications** drop-down submenu, select **Subcontractor/Vendor/Supplier Info**.

3. Click the **Create** command button.

4. In the **Select City for Vendor** field, drop-down the menu and select the Subcontractor / Vendor / Supplier's city.

5. In the **Vendor** field, drop-down the menu and select the Vendor's name.

   If the Vendor's name does not appear, either you did not select the correct city, or the Vendor is not registered with the *Vendor Services Application (VSA)*. You will need to ask your Subcontractor / Vendor / Supplier to register. You may not enter a Vendor's name and address manually.

   The form refreshes and displays the Subcontractor's address, phone numbers, FTIN, and MAFBE (Minority and Female Business Enterprise) status.

6. In the **Contact** field, enter the name of the primary contact for the Subcontractor, Supplier, or Vendor.

7. In the **Email** field, enter the email address of the primary contact.

8. In the **Division of Work** field, drop-down the menu and select the appropriate division for the Subcontractor, Supplier, or Vendor.

9. In the **Summary of Subcontract Work, Materials or Equipment Provided** field, enter the work, materials, or equipment that the Subcontractor/Vendor/Supplier will be providing.

10. In the **Total Subcontract Value is above $50,000** field, if the Subcontractor's contract amount will be above $50,000, click the **Yes** radio button. If not, click the **No** radio button.

11. If the answer is **Yes**, in the **Does this SVS have any Sub-Tier contracts above $50,000** area, click the drop-down and select **Yes** or **No**.

12. If the answer is **Yes,** enter the names of the Sub-Tier Vendors in the table.

13. In the **Attach File** field, click the **Browse** command button to navigate to the electronic copy of the Subcontractor's and its Subcontractors' (Sub-Tier Vendors'):

   - Signed contract (for all subcontracts greater than $50,000).

   - Certifications and Statutory Requirements form.

   - Financial Disclosures and Conflicts of Interest form.

   These uploaded documents must be in PDF format and must be named using the University's file naming conventions. To access the forms and the File Naming Convention job aid:

   1. Go to www.uocpres.uillinois.edu

   2. Click the **Design Professionals** or **Contractors** tab.

   3. Select the link for **Contracts and Forms** and note the links for:

      - Certifications and Statutory Requirements form.

      - Financial Disclosures and Conflicts of Interest form.

      - File Naming Conventions job aid.

14. Once you have located the file, click the **Upload** command button. Upload each document individually. PRZM does not support multiple document uploads.

15. Repeat the Browse and Upload procedures until all required documents have been uploaded.

16. When you are certain that you have accurately and completely filled out this form, in the **Send Notification for Review** field, click the **Yes** radio button, to indicate that it is ready for the Project Manager's review.

17. Click the **Save** command button.

   If any Subcontractor / Vendor / Supplier has not been assigned to the CSV, and to an RFP Response or SWC Modification, if added after the CSV approval, the **Delete** command button appears for your use.   Use this function if you must delete this document and create a new one.

Review a Subcontractor/Vendor/Supplier (SVS) Document

1. From the Phases drop-down menu, select **Construction**.

2. From the Schedule of Values/Modifications drop-down submenu, select **Subcontractor/Vendor/Supplier Info**.

3. Click Expand View.

Under each Division of Work, any SVS Information Documents awaiting your review will appear under the *Pending* status.

4. Click the Subcontractor's name link.

5. Review the Subcontractor and its Sub-Tier Vendors information.

6. Click on each attachment and make sure they are the correct type of document and they have been signed.

7. Review each file's name for compliance with the University's required naming convention.

8. Scroll down to the bottom of the document.

9. If you approve the proposed Subcontractor / Vendor / Supplier, click the **Approve** command button.

    Approved Subcontractors / Vendors / Suppliers will now be listed in the drop-down lists on the Contractor's Schedule of Values (see next topic).

10. If for any reason you cannot approve the Subcontractor / Vendor / Supplier, click either the **Approve with Condition** or **Reject** command button.

    The SVS Information – All Divisions view appears, and the document has a status of either **Approved with Conditions** or **Rejected**.

    Approved with Conditions Subcontractors / Vendors / Suppliers will now be listed in the drop-down lists on the Contractor's Schedule of Values.

Contractor's Schedule of Values

Contractors submit their proposals to the campus during the Bid and Award phase on a lump sum basis; for example, a Contractor with Assigned Subcontractors or ESCO submits a proposal for general work for $3.5 million. The purpose of the Contractor's Schedule of Values (CSV) form is to allow the Contractor to break down a lump sum into smaller components of work that ultimately become payment items. The Contractor can draw on these individual payment items for payment over the course of construction. This form is filled out exclusively by the Contractor.

A Schedule of Values document describes each Contractor payment item for all of the work that will be done during the construction phase. Depending on the size of the project, this form could be used for many separate items for one contract. PRZM builds a table of information that will ultimately be approved by the Architect/Engineer or ESCO and the Project Manager.

You will create one CSV document for each line item of your CSV.

Create Contractor's Schedule of Values Line Items

1. From the Phases drop-down menu, select **Construction**.

2. From the Schedule of Values/Modifications drop-down submenu, select **Contractor's Schedule of Values (CSV)**.

3. Click the **Create** command button.

4. In the **Contract Division** section, drop-down the menu and select the Division of Work.

5. In the **Item Type** drop-down menu, select one type:

    ♦ Materials.

    ♦ Installation (Labor).

    ♦ Other.

    The form refreshes, to display applicable fields.

6. In the **Description of Contract Payment Item** section:

    • In the **Spec. Section** field, provide the numerical CSI designation for that specification section.

    Projects which began *after July, 2009* use the MF04 six-digit spec section numbers. If you need to convert from the MF95 five-digit spec section numbers, please use the matrix from the UOCPRES website's job aid area.

    • In the **Payment Item** field, describe the spec section; for example, masonry work.

    • In the **Subcontractor/Vendor/Supplier (if Applicable)** field, if the Spec. section item will be provided by a Subcontractor, Vendor or Supplier, drop-down the menu and select the

Vendor's name (previously provided on an **Approved** or **Approved with Conditions** SVS information document), and in the next drop-down menu, select the type of Vendor: Subcontractor/Vendor/Supplier.

If a Subcontractor/Vendor/Supplier (SVS) document was rejected or has yet to be approved by the Project Manager, it will not appear on the drop-down list.

- In the **Estimated Quantity** and **Measurement** fields, enter the number and the unit of measurement applicable to this payment item (e.g., 500 square feet for drywall).

7. In the **Cost Breakdown** section, depending on the previous Item Type selection:

   a. In the **Material & Equipment** field, enter a dollar value.

   b. In the **Installation (Labor, etc.)** field, enter a dollar value for labor costs.

   c. Click the **Refresh** command button to have the system calculate total cost and average cost per unit.

8. Click the **Save** command button.

9. Continue to add Schedule of Values Line Items documents by repeating this process until your Schedule of Values Line Items are complete. You will then submit the Schedule of Values Approval List, which contains all line items for approval (see next topic).

Schedule of Values Approval List

Once you have completed your Schedule of Values line items and related MAFBE Certification documents, and verified that the sum of your Schedule of Values matches your contract amount, you are ready to submit these documents for approvals by the Architect/Engineer or ESCO and Project Manager.

IMPORTANT: If you are a Contractor with Assigned Subcontractors, you must wait until all Schedules of Values for yourself and all your Subcontractors are ready for submission. The Contractor with Assigned Subcontractors submits for approval the Schedules of Values for all work simultaneously.

Once you have submitted your Schedule of Values for approval, you will be unable to alter them (unless they are not approved and returned to you for revision).

Relevant Role(s):	Assigned Subcontractor, Contractor with Assigned, Non-Assigned Contractor, and ESCO.
Previous Steps:	Contractor's Schedule of Values Line Item documents. If you are the Contractor with Assigned or ESCO, before you create your own CSV Approval List, first approve your Assigned Subcontractors' or ESCO Subcontractors' CSV Approval Lists.
Next Steps:	The Contractor's Schedule of Values Approval List will need to be approved by the Architect and the Project Manager prior to any billing.

Submit Schedule of Values for Approval

1. From the Phases drop-down menu, select **Construction**.

2. From the Schedule of Values/Modifications drop-down submenu, select **CSV Approval List**.

3. Click the **Create** command button.

4. From the *Contract Division* pull-down menu, select the Division of Work.

5. In the *Ready for Approval* section, click the radio button next to **Yes**.

   If the *Ready for Approval* section is not visible, please note the message in red which explains the issue you need to remedy. Often, a line item might be omitted and the scheduled values do not match the contract amount(s) for either or both the Contractor and/or the Contractor's Subcontractor(s), Subvendor(s) or Suppliers.

6. In the *Notification of Changes* section, if you wish to send a message to a team member, in the **Send Message** section click the radio button next to **Yes**, then select the person you wish to be notified by email.

7. When complete, click the **Save** command button.

    The approval list has been saved, and the first approver will be notified. The CSV Approval Status view appears with the CSV's status noted as *Pending*.

    IMPORTANT: A Subcontractor's CSV Approval goes to the Contractor with Assigned Subcontractor for review and approval when that firm submits its CSV Approval List.

A Contractor with Assigned Subcontractors or ESCO cannot submit his/her own CSV until all Subcontractors' or ESCO Subcontractors' CSVs have been submitted and approved by the Contractor with Assigned Subcontractors or ESCO. See next page for more about approvals.

View the Status of a CSV in the Approvals Process

You can view where a CSV is in the approvals process by going to the CSV Approval Status view.

1. From the Phases drop-down menu, select **Construction**.

2. From the Schedule of Values/Modifications drop-down submenu, select **CSV Approval List**.

3. Click **Expand View**.

Contractors' Schedules of Values Approvals

The Schedules of Values created by Contractors must be approved by others. All approvals take place serially. If the first approver rejects a Schedule of Values Approvals List, that Schedule of Values Approvals List is considered void. The Contractor must re-submit his Schedule of Values by editing and saving the original set of spec items and then re-submitting them for approval.

For Assigned Subcontractors and ESCO Subcontractors, the only approver is the Contractor with Assigned Subcontractors or ESCO. If the Contractor with Assigned Subcontractors or ESCO rejects a submission the submitting firm is notified of the rejection and must make the required adjustments to their Schedule of Values and resubmit for approval.

For ESCO, the first approver is the Project manager. The University Office of Capital Programs and Real Estate Services (UOCP&RES) then approves the Schedule of Values.

For Contractor with Assigned Subcontractors, the first approver is the Architect/Engineer. The Project Manager then approves the Schedule of Values.

For Non-Assigned Subcontractors, the first approver could be a Construction Manager if the project has one; otherwise, the first approver would be the Architect/Engineer and then the Project Manager. In these cases, if the first approver rejects a submission, the submitting firm is notified of the rejection and must make the required adjustments to their Schedule of Values and resubmit for approval.

In all cases when the submission has been approved, the corresponding PRZM Schedule of Work Completed documents will automatically be created.

Approve a Schedule of Values

1. From the Phases drop-down menu, select **Construction**.

2. From the **Schedule of Values/Modifications** drop-down submenu, select **CSV Approval List**.

3. Click the arrow next to **Pending**.

4. Click the **Edit** command button.

5. If you wish to review each spec item, click on its link.

6. Review the Schedule of Values.

7. In the **Approval** section, select the desired radio button:

   - Yes.

   - No.

   - Pending.

8. Scroll down the document and click the **Save** command button.

Submittal Requirements

With this form, the Architect/Engineer or ESCO communicates submittal requirements for the project by specification section. Here, the Contractor's submission of project data is designated. Contractors will be able to view submittal requirements for work within their contract in the Submittal Requirements view in the Construction Phase.

Create a New Submittal Requirements

1. From the Phases drop-down menu, select **Construction**.

2. From the Submittals/Closeout drop-down submenu, select the **Submittal Requirements** option.

3. Click the **Create** command button.

4. In the **Division of Work** section, drop-down the menu and select the Division of Work for this submittal. Because this step follows the Division of Work documents you completed earlier, only the divisions of work selected to be bid will appear.

5. In the **Description/Title** section, enter the description of work title of the CSI division of this submittal. For example, this is where you would list wood windows followed by the CSI specification number in the next line.

6. In the **Specification Section**, enter the CSI specification number of this submittal; for example, for wood windows enter 08550.

7. In the **Submittal Requirements** section, select all the submittals you require the Contractor to furnish for this specification section.

8. Click the **Refresh** command button.

   The As-Built and Maintenance Manual Requirements section refreshes with related requirements.

9. In the **As-Built and Maintenance Manuals** section, click the checkboxes for requirements for this submittal.

10. In the **Special Submittal Requirements/Instructions**, enter a list of requirements or instructions not adequately described elsewhere.

11. (**Optional**) In the **Notification of Changes** section, if you wish to notify other team members, in the Notify other team members of changes in this document section, click the **Yes** radio command button.

    - In the **Team Members to be Notified** section, select those to be notified.

    - Hold down the <Ctrl> key to select more than one name.

12. When done, click the **Save** command button.

View Submittal Requirements

1. From the Phases drop-down menu, select **Construction**.

2. From the Submittals/Closeout drop-down submenu, select the **Submittal Requirements** option.

3. Click the arrow next to the desired Division of Work.

4. Click the hotlink for the desired document.

Submit Submittal

1. From the Phases drop-down menu, select **Construction**.

2. From the Submittals/Closeout drop-down submenu, select the **Submittal Requirements** option.

3. Click the arrow next to the desired Division of Work.

4. Click the hotlink for the desired document.

5. Click the **Edit** command button.

6. In the **Contractor's Submittal Date** area, in the **Date submittal is required by Contractor** field, enter the date of the submittal using the mm/dd/yy format.

7. In the **Contractor's Routing Information** area, in the **Send from Contractor to AE** field, click the **Yes** radio button when you are ready to route the submittal.

8. In the date field, enter the date on which you are submitting using the mm/dd/yy format.

9. In the **Current Routing Method** field, enter the method used for routing the submittal.

10. If the submittal will be attached, in the **Attach File Here** field, click the **Browse** command button.

11. Locate the file to attach.

12. Click the **Open** command button.

13. Click the **Save** command button.

Review Submittals

1. From the Phases drop-down menu, select **Construction**.

2. From the Submittals/Closeout drop-down submenu, select the **Submittal Requirements** option.

3. Click the arrow next to the desired Division of Work.

4. Click the hotlink for the desired document.

5. Before responding to the submittal, review its contents, including all attachments.

6. Scroll down the document; open and review the attachments.

7. Scroll to the top of the Submittal Requirements document.

8. Click the **Edit** command button.

9. In the **Architect's Review** area of the form, click in one radio button:

   - Approved.
   - Approved as Noted.
   - Revise and Resubmit.
   - Rejected.

10. In the date field, enter the date on which you are submitting using the mm/dd/yy format.

11. In the **Current AE Comments** field, enter your comments regarding the submittal and its approval.

12. In the **Architect's Routing Information** area, in the *Send from Architect to Contractor* area, if you are ready to complete your review of the submittal, click the **Yes** radio button.

13. In the date field, enter the date on which you have reviewed the submittal using the mm/dd/yy format.

14. In the **Current Routing Method** field, enter the method used for routing the submittal review.

15. If another document will be attached, in the **Attach File Here** field, click the **Browse** command button, locate the file to attach, and click the **Open** command button.

16. In the **Notification of Changes** area, if you wish to notify others of this review, drop-down the menu and select **Yes**.

   - Click the checkbox for each team member you wish to notify.

   - In the Message field, enter the message to be sent to each team member.

17. If you wish to remove an attachments, click the checkbox next to the attachment's name.

18. When complete, click the **Save** command button.

   The Submittal Requirements view appears, displaying the last action taken and dates of submittals and reviews displayed.

Contractor Payments

Prior to submitting Schedules of Work completed, the Contractor must have completed the following documents:

- Contractor's Information Log.

- Subcontractor/Vendor/Supplier (SVS) Information documents.

- Contractor's Schedule of Values.

- Contractor's Schedule of Values Approval List.

In addition, the Project Manager must have completed the Contractor's Pay Application Information document and the Business Manager must have completed the Contractor's Obligation document.

Once a Contractor has completed work, in order to get paid, he must fill out the following documents:

- Schedule of Work Completed.

- Employee Utilization Report.

- Schedule of Work Completed Approval List.

These documents, while related to each other, must be completed separately. The Contractor first completes the Schedule of Work Completed for the time period which he wishes to be paid and saves the document. The Contractor must then create a Schedule of Work Completed Approval List. From the saved Approval List, the Contractor can then create the Employee Utilization Report which relates to the same time period and effort. The Contractor returns to the Schedule of Work Approval List and submits it for approval.

Approvals of the Schedule of Work Completed depend upon the Contractor's relationships. If the Contractor is a Subcontractor, the first approver would be the Contractor with Assigned Subcontractor. If the Contractor is unassigned, the first approver would be either a Construction Manager (if a Construction Manager has been employed by the owner) or the firm employed by the owner. Finally the Project Manager approves the Schedule of Work Completed. PRZM automatically creates a Payment Application document once all approvals for the Schedule of Work Completed have been saved. The Business Manager approves the Payment Application and expedites the payment. Once payment has been received, the Contractor indicates on the Payment Application that the payment was received.

If the Contractor is an Energy Performance Contractor, the first approver would be the ESCO. The Project Manager and UOCP&RES approve the Schedule of Work Completed. PRZM automatically creates a Payment Application document once all approvals for the Schedule of Work Completed have been saved. The Business Manager approves the Payment Application and expedites the payment. Once payment has been received, the ESCO indicates on the Payment Application that the payment was received.

Contractor's Schedule of Work Completed (SWC)

Contractors use the Schedule of Work Completed (SWC) Line Item documents to report:

- The completion percentage for each distinct item in the Schedule of Values.
- Payments to Subcontractors/Vendors/ Suppliers.
- The amount and location of any stored materials related to the Schedule of Values.

The Contractor or ESCO must update this form in order to get paid for work done on each Schedule of Values item during this payment period (as specified in the Contractor Pay Application Info form). The compilation of Schedule of Work Completed Line Items for a pay period is called the Schedule of Work Completed Approval List.

The Architect/Engineer or ESCO must update these forms when waivers of lien are received from the Subcontractor/Vendor/Supplier for this work.

Schedules of Work Completed documents are automatically created by PRZM when the Schedule of Values is approved. The first three sections of the form (Contractor Info, Description of Contract Payment Item, and Cost Breakdown) contain information taken directly from the Schedule of Values.

Your Contractor's Schedule of Values must have been approved by all approvers.

Complete a Schedule of Work Completed (SWC) Document

1. From the Phases drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click **Schedule of Work Completed (SWC)**.

3. Click the **Edit** command button.

4. In the **Contract Division** field, drop-down the menu and select the Division of Work.

5. In the **Spec Section** field, drop-down the menu and select the spec. section for which you are billing.

6. To indicate additional work on this item done during this period, update the **Current %**, column E, to represent the total accumulated completion percentage for this item. For example, if 50% of this item was completed and paid for in the past, and 25% additional completion occurred this period, enter 75 in this field.

7. To convert the other fields in this section into dollar values, you may optionally click the **Refresh** command button. If you do not click the **Refresh** command button, the calculations will be done automatically when the form is saved.

8. In the **Does this draw include stored materials?** field, if part of the completion percentage includes materials that have been purchased but not yet used, click the **Yes** radio button.

9. Complete the **Stored Materials** section; select the relevant options.

- Click the checkbox(es) to indicate if the stored materials are located *on-site* or *off-site*.

- If the materials are stored off-site, indicate if an appropriate insurance certificate has been transmitted to the owner.

  The Contractor cannot be paid for materials that are stored in a location at which the owner is not protected against loss of the materials.

- In the **Description** field, enter a brief description of the stored materials.

- In the **Total Value of Materials** field, provide the full dollar amount of the stored materials.

- In the **Percent Stored** field, indicate the percentage of materials which are stored in the location.

- To allow the form to calculate the Value of Stored Materials, click the **Refresh** command button.

10. When complete, click the **Save** command button to save your work.

11. If you wish to be paid for another line item, repeat steps 3-10.

12. When you have completed all line items, continue to the Schedule of Work Completed Approval List.

    Contractors with Assigned Subcontractors can submit for Subcontractors or for themselves alone, if necessary.

Schedule of Work Completed Approval List

The Schedule of Work Completed Approval List combines information taken from the Contractor's Schedule of Values with information submitted with the Schedule of Work Completed Line Items. This view allows those who must approve the current work period's submittal for payment to review all relevant information in a single view.

The Schedule of Work Completed Approval List can only be created when the following two conditions have been met:

- Any previous SWC Approval List has been approved by all approvers and a Payment Application has been approved and marked paid by the Contractor.

- The Contractor has marked some Schedule of Work Completed Line Items as partially completed for the next pay period.

If you try to create a Schedule of Work Completed Approval List when these conditions are not met, the following error message will display:

*** There are currently no applicable Divisions of Work. Close or select an option from the menu. ***
*** You cannot create an SWC Approval List if one is currently pending or there is a pending SWC Modification Approval document ***

Complete the Schedule of Work Completed Approval List

1. From the Phases drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click SWC Approval List.

3. Click the **Create** command button. The command button may say Create (Assigned), (Contractor with Assigned), or (Non-Assigned).

4. In the **Contract Division** field, drop-down the menu and select the appropriate Division of Work.

5. In the **Final Payment** field, select one: **Yes** or **No**.

6. In the **Current Pay Period** fields, give the dates which the current payment covers. Note that the previous Payment Period dates are listed for your reference.

7. Review the Schedule of Work Completed Line Items displayed as well as the Stored Materials Report. If you need to revise any of the Line Items, you will need to close the SWC Approval List without saving it and revise the Line Items, then return and re-create the SWC Approval List.

8. Attach a file, a partial Lien Waiver, or enter comments, if needed.

9. When you are satisfied with the Approval List, click the **Save** command button.

   The document is saved and the view returns to the SWC Approval Status – Contractor view.

   You will need to open the saved Schedule of Work Completed Approval List to complete its related Employee Utilization Report.

Create a Schedule of Work Completed Approval List: Contractor with Assigned Subcontractor or ESCO

A Contractor with Assigned Subcontractors or ESCO can submit a Schedule of Work Completed for himself or for Assigned Subcontractors or ESCO Subcontractors only. In order to submit for Subcontractors, the Contractor with Assigned Subcontractors or ESCO must first approve their Schedules of Work Completed. Once those are approved, they will show up on the Contractor with Assigned Subcontractors' or ESCO's Schedule of Work Completed to be submitted for approval to the next approver.

The following process includes both the Schedule of Work Completed Approval List and the Employee Utilization Report for the Contractor with Assigned Subcontractors or ESCO.

1. From the Phases drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click SWC Approval List.

3. Click the **Create** command button. The command button may say Create (Assigned) or Create (Contractor with Assigned).

4. In the **Contract Division** field, drop-down the menu and select the appropriate Division of Work.

5. In the **Final Payment** field, select one: **Yes** or **No**.

6. In the **Current Pay Period** fields, give the dates which the current payment covers. Note that the previous Payment Period dates are listed as a reference. Enter the dates or click the Date Navigator icon to select from a popup calendar.

7. In the **Submit for Assigned Only** field, click one radio button: **Yes** or **No**.

   If the SWC Approval List is only for the assigned, the form refreshes and displays a table listing a summary of the assigned Subcontractor(s)' SWC Approval list(s), with links to each. Skip to step # 8.

   If the SWC Approval List is for both the Contractor with Assigned and the Assigned Subcontractor, the form refreshes to display the Contract Division field.

8. In the **Contract Division** field, drop-down the menu and select the appropriate Division of Work.

9. In the **Final Payment** field, select radio button for **Yes** or **No**.

   The form refreshes and displays a table of all SWC line items.

10. In the **Current Payment Period** fields, give the dates which the current payment covers. Note that the previous Payment Period dates are listed for your reference.

11. Review the Schedule of Work Completed Line Items displayed as well as the Stored Materials Report.

If you need to revise any of the Line Items, you will need to close the SWC Approval List without saving it and revise the Line Items, then return and re-create the SWC Approval List.

12. Scroll down and review the Assigned Subcontractor area of the form. Click the link and review the Assigned Subcontractor's SWC Approval List, as necessary.

    The Contractor with Assigned will have reviewed each Subcontractor's SWC Approval List and approved it prior to completing their own SWC Approval list.

13. When you are satisfied with the Approval List, click the **Save** command button.

    You will need to open the saved Schedule of Work Completed Approval List to complete its related Employee Utilization Report.

14. Click the arrow next to **Pending Contractor Completion of Employee Utilization Report**, then click the arrow next to your Division of Work.

15. Click the link to the pay period.

16. Scroll down the list and click the link to the related **Employee Utilization Report**.

17. Click the **Edit** command button.

18. Enter the number of workers in each category and the minority status of those in each category.

19. Click the **Refresh** command button.

20. Enter the number of hours worked by each worker represented in the Contractor's Workforce.

21. Click the **Refresh** command button.

22. Scroll down to **Table C: Direct Subcontractors Included in the Report.** If the list of workers includes those from any listed Subcontractors, click the name(s) of the included Subcontractors. To select more than one Subcontractor, hold down the CTRL key while clicking.

23. Scroll down to the **Is this Employee Utilization Report Ready for Review** section.

24. Attach a file or enter comments, if needed.

25. When you are ready, click the **Yes** radio button.

26. Click the **Save** command button.

IMPORTANT: The next step is to submit the Schedule of Work Completed Approval List to the first approver. Until you have submitted the Schedule of Work Completed Approval List, your application for payment cannot be approved.

Employee Utilization Report

The Employee Utilization Report records the make-up of the construction workforce. This document goes hand in hand with the payment request process each month. Each Contractor completes an Employee Utilization Report on a periodic basis, as designated on the payment request. After Schedule of Work Completed Approval List has been complete, you will need to fill out a related Employee Utilization Report in order to request approval of your payment.

Complete the Employee Utilization Report

1. From the Phases drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click **SWC Approval List.**

3. Click the arrow next to the Division of Work.

4. Click the arrow next to **Pending Contractor Completion of Employee Utilization Report**.

5. Click the **Pay Period** link.

6. Scroll down the Schedule of Work Completed Approval List; click the **Link to Employee Utilization Report** link.

7. Click the **Edit** command button.

8. In **Table A: Contractor's Workforce** (includes Direct Subcontractors):

    *   Enter the **total number** of workers, including Subcontractors, who were on the job site during the period specified above.

    *   Fill in the number of **minority** workers, including Subcontractors, who were on the job site during the period specified above.

    *   Click the **Refresh** command button to view the totals.

9. In **Table B**, provide the number of hours worked by the various trade codes.

10. Click the **Refresh** command button to view the totals.

11. In **Table C: Direct Subcontractors Included in the Report**, click the checkbox(es) next to the names of the Subcontractor firms that are included in this report. To include more than one Subcontractor, click each checkbox for those Subcontractors involved in the current pay period.

12. In the **Is this Employee's Utilization Report ready for review?** field, click the **Yes** radio button.

13. When complete, click the **Save** command button.

    IMPORTANT: The next step is to submit the Schedule of Work Completed Approval List to the first approver. Until you have submitted the Schedule of Work Completed Approval List, your application for payment cannot be approved.

Submit the SWC Approval List for Approval

The Schedule of Work Completed Approval List combines information taken from the Contractor's Schedule of Values with information submitted with the Schedule of Work Completed. This view allows those who must approve the current work period's submittal for payment to review all relevant information in a single view.

Once the Contractor has completed the Schedule of Work Completed and the Employee Utilization Report, he is ready to mark the Schedule of Work Completed Approval List as ready for approval. Until he does so, none of the approvers will be able to view and approve the items which are ready for payment.

Submit the SWC Approval List for Approval:

1. From the Phases drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click **SWC Approval List.**

3. Click the arrow next to the Division of Work.

4. Click the arrow next to **Pending Contractor Submission**.

5. Click the **Pay Period** link.

6. Click the **Edit** command button.

7. Scroll down the form to the **Ready for Approval** field.

8. Click the **Yes** radio button.

9. Attach a file or enter comments, if needed.

10. Click the **Save** command button.

Approve an SWC Approval List

A Contractor with Assigned Subcontractors approves the Schedule of Work Completed (SWC) Approval List for each Subcontractor (prior to submitting their own SWC Approval List). The workflow for approvals of the SWC Approvals list when a Construction Manager is involved proceeds through any and all Professional Services Consultants' approval before the Project Manager approves the Contractor with Assigned Subcontractor's SWC Approval List.

Approve a Schedule of Work Completed Approval List

1. From the Phases drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click **SWC Approval List.**

3. Click the arrow next to the Division of Work.

4. Click the arrow next to **Pending Approval**.

5. Click the Pay Period link.

6. To view the Employee Utilization Report, scroll down the document and click the link.

   If you clicked on the SWC Approval List's Edit command button, you will need to click your browser's Back button. The Employee Utilization Report link is only viewable from the SWC Approval List in Read mode.

7. Review the document.

8. Click your browser's Back button to return to the Schedule of Work Completed Approval List.

9. Click the **Edit** command button.

10. Review the Schedule of Work Completed Approval List.

11. Scroll to the bottom of the document.

12. In the Approvals section, click the radio button that reflects your decision about this SWC Approvals List.

    - To approve, click the **Yes** radio button**.**

    - To reject, click the **No** radio button**.**

    - To postpone your decision, click the **Pending** radio button.

13. Attach a file or enter comments, if needed.

14. When you have finished, click the **Save** command button.

    The document closes and the SWC Approval Status view returns and the next approver is notified by PRZM.

Payment Application

Once the Project Manager has approved the SWC Approval list, the Business Manager completes the payment process by completing a payment application document for each Division of Work submitted.

Complete the Payment Application

1. From the **Phases** drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click **Payment Applications**.

3. Click the arrow next to Pending.

4. Click the arrow next to the Division of Work.

5. Click the link to the payment application number.

6. Click the **Edit** command button.

7. Review the payment application.

8. Click the **Refresh** command button.

   Clicking the Refresh command button ensures that the related financial services information is included in the payment application.

   If the Contractor's Obligation document has not yet been completed, the Business Manager will be required to do so prior to completion of the payment application.

9. In the Campus Construction Unit Financial Services Required Information section, enter the following information:

   - User Reference Number.

   - College Department No.

   - Payment Type (either Partial or Final).

10. Attach a file or enter comments, if needed.

11. When you have completed your review and entries, click the **Save** command button.

    If your answer was **No** the Project Manager will be notified that the Payment Certificate has been returned to the Project Manager approval stage.

12. To print the Payment Certificate, click Expand View.

13. Click the link to open the desired Payment Certificate and scroll to the bottom.

14. Click the **View Print Friendly Page** command button.

15. Right click anywhere on the Payment Certificate.

16. Click the **Print** option.

17. Click the **Print** command button.

Instructions to the Project Manager

In the event that a Business Manager returns a Payment Application to the Project Manager approval stage, follow these steps.

1. From the Phases drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click **Payment Applications**.

1. Click the arrow next to **Pending**.

2. Click the arrow next to the **Division of Work.**

3. Click the link to the payment application number.

    The Payment Application opens.   Review the Comments History to know what conditions need to be fulfilled before completing the next steps.

4. Click the **Edit** command button.

    In the **Owner's Authorized Representative** field, select **Yes** to indicate your approval. If your answer is **No**, the Contractor will be notified that the Payment Certificate has been returned to the Contractor approval stage.

5. Attach a file or enter comments, if needed.

6. When you have completed your approval, click the **Save** command button.

    The Payment Certificate is approved and the Business Manager will be notified again to complete the payment process.

Instructions to the Contractor

In the event that a Project Manager returns a Payment Application to the Contractor approval stage, follow these steps.

1. From the Phases drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click **Payment Applications**.

3. Click the arrow next to **Pending**.

4. Click the arrow next to the **Division of Work**.

5. Click the link to the payment application number.

    Review the Document History to know the conditions to fulfill before completing the next steps.

6. Click the **Edit** command button.

7.   Attach a file or enter comments, if needed.

7.   In the **Payment Application Complete** field, select Yes to indicate the Payment Application is ready for approval.

8.   Click the **Save** command button to submit for approval.

The Payment Certificate is submitted and the Project Manager will be notified again to complete the payment process.

Payment Received

After the University approval cycle has been completed and after the payment has been received by the Contractor or ESCO, the Contractor or ESCO is required to mark a payment received in PRZM to ensure that the next Payment Application Affidavit and Partial Lien Waiver which you submit are accurate and up-to-date.

Mark a Payment Received

1. From the Phases drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click **Payment Applications**.

3. Click the arrow next to your Division of Work.

4. Click the link to the payment application number.

5. Scroll to the bottom of the Payment Application.

6. Click the **Payment Received** command button.

Payment Application Affidavit and Partial Lien Waiver

This process is followed as part of the second and subsequent payments.

Prior to completing the Payment Application Affidavit and Partial Lien Waiver document, you need to:

- Marked the previous payment as Received for the previous pay period (see below). This is necessary to ensure that the next Payment Application Affidavit and Partial Lien Waiver to be submitted is accurate and up to date.

- Edit all relevant Subcontractor/Vendor/Supplier documents with the amounts paid to any Subcontractor, Vendor or Supplier for the previous pay period.

Following are step-by-step instructions for each of these processes and for the Contractor's Pay Application Affidavit and Partial Lien Waiver.

Mark Previous Payments as Received

1. From the Phases drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click **Payment Applications**.

3. Click the arrow next to your Division of Work.

4. Click the link to the payment application number.

5. Scroll to the bottom of the document.

6. Click the **Payment Received** command button.

   Your payment is marked received and the Payment Applications view returns.

Enter Payments to Subcontractors, Vendors, or Suppliers

1. From the **Phases** drop-down menu, select **Construction**.

2. From the **Schedule of Values/Modification** drop-down submenu, click **Subcontractor/Vendor/Supplier Info**.

3. Click the arrow next to your Division of Work.

4. Click the name of the Subcontractor/Vendor/Supplier whose payment information you wish to update.

5. Click the **Edit** command button.

6. In the **Total Paid to Date** field, enter the amount you have paid the Subcontractor, Vendor, or Supplier.

7. If the amount is less than that listed in the Current Work Completed field, in the **Detailed Explanation for Unpaid Amount** field, enter the reason for the discrepancy.

8. Scroll to the bottom of the document.

9. Click the **Save** command button.

Complete the Payment Application Affidavit and Partial Lien Waiver

1. From the **Phases** drop-down menu, select **Construction**.

2. From the **Payments** drop-down submenu, click **Payment Application Affidavit/Partial Lien Waiver**.

3. Click the **Create** command button.

4. Under **1. Identification**, drop-down the menu and select the Division of Work.

5. Review the automatically inserted data in the rest of the document.

   This document cannot be edited once it is marked completed and saved.

6. When you are ready to submit the document, under **Status**, click the radio button next to **Completed**.

7. Click the **Save** command button.

8. To print the Payment Certificate, open it and scroll to the bottom.

9. Click the **View Print Friendly Page** command button.

10. Right click the Payment Certificate.

11. Click the **Print** option.

12. Click the **Print** command button.

13. The notarized printed copy must be sent to the Project Manager.

Modify a Schedule of Work Completed Line Item

Occasionally, a Schedule of Work Completed line item may need to be modified. One reason may be to transfer an amount from one existing line item to another existing line item. For example, labor for one activity did not require as much as first designated but another line item required additional time and therefore additional resources.

The Contractor may break up the value of one SWC line item by reducing the value of an existing SWC document and creating another SWC doc for the balance.

The ESCO may do this for his own SWC line items or Subcontractor's line items.

Modify a Schedule of Work Completed Line Item

1. From the **Phases** drop-down menu, select **Construction**.

2. From the **Schedule of Values/Modification** drop-down submenu, click **Modifications Pending**.

3. Click the **Create** command button.

4. In the **Contract Division** drop-down box, select the appropriate Division of Work.

5. In the **Action** drop-down menu, select the action you would like to take: **Modify an existing Schedule of Work Completed Line Item**.

6. In the **Schedule of Work Completed line item to modify** drop-down list, select the Schedule of Work Completed line item to modify.

7. In the **New Values** column, enter the new value you would like for the line item.

8. Click the **Refresh** command button.

   The amount is reflected in the Over (+) or Under (-) Contract line of the form.

   The new values will be computed and updated and will show that this item will be billed out by the additional amount if the modification is approved. The total is a running balance for the Contractors so they know where they are relative to the contract.

   This modification process does not change the contract total, but merely moves money around. Only approved Change Orders can amend a contract total.

9. Click the **Save** command button.

10. Repeat the steps above to add the line item(s) that will also be modified to transfer money to or from a line item.

11. In the **Schedule of Work Completed line item to modify** drop-down box, select the Schedule of Work Completed line item you would like to transfer the value to.

    —Or—

Create a new **Spec Section** by entering the number and **Payment Item** name in the blanks provided.

12. If the adjustment will go to a Subcontractor, select the appropriate Subcontractor from the **Subcontractor/Vendor/Supplier** drop-down list.

    IMPORTANT: If this is a new Subcontractor/Vendor/Supplier, the Subcontractor/Vendor/Supplier must have been approved, and the Contractor Information and Schedule of Values for that Subcontractor/Vendor/Supplier must be available in PRZM prior to creation of any modifications to the Schedule of Work Completed.

13. In the **New Values** column, enter the new value for the line item.

14. Click the **Refresh** command button.

    The amount is reflected in Scheduled Values section, and the Over (+) or Under (-) Contract line is modified to zero on the form.

    The new values will be computed and updated and will show that this item will be billed out by the additional amount, if the modification is approved. The total is a running balance for the Contractors so they know where they are relative to the contract.

15. Click the **Save** command button.

16. The first approver will be notified via the event notice.

    SWC Line items [for the affected Division(s)] cannot be edited when there is a modification approval list that is pending approval in the system. The approval process is the same as other approvals (forward/backward).

You may create a new SWC Line item, if necessary. If you designate the line item for a new Subcontractor, that company must be registered with VSA and must have completed the following tasks in PRZM prior to creation of a new SWC Line item:

- Create a Contractor Information document.

- Create a Contractor's Schedule of Values (CSV).

- Submit a CSV which has subsequently been approved.

Add a New SWC Line Item

1. From the **Phases** drop-down menu, select **Construction**.

2. From the **Schedule of Values/Modification** drop-down submenu, click **Modifications Pending**.

3. Click the **Create** command button.

4. In the Contract Division drop-down box, select the appropriate Division of Work.

5. In the **Action** drop-down menu, select the action you would like to take: **Create a new Schedule of Work Completed Line Item**.

6. Create a new **Spec Section** by entering the number and **Payment Item** name in the blanks provided.

7. If the adjustment will go to a Subcontractor, select the appropriate Subcontractor from the **Subcontractor/Vendor/Supplier** drop-down list.

   IMPORTANT: If this is a new Subcontractor/Vendor/Supplier, the Subcontractor/Vendor/Supplier must have been approved, and the Contractor Information and Schedule of Values for that Subcontractor/Vendor/Supplier must be available in PRZM prior to creation of any modifications to the Schedule of Work Completed.

8. In the **New Values** column, enter the new value for the line item.

9. Click the **Refresh** command button.

   The amount is reflected in Scheduled Values section, and the Over (+) or Under (-) Contract line is modified to zero on the form.

   The new values will be computed and updated and will show that this item will be billed out by the additional amount, if the modification is approved. The total is a running balance for the Contractors so they know where they are relative to the contract.

10. Click the **Save** command button.

11. Once all SWC line item modifications have been made, create the SWC Modification Approval List.

    If you forget to create the SWC Approval list, the modifications will not be submitted for approval.

Create the SWC Modification Approval List

1. From the **Phases** drop-down menu, select **Construction**.

2. From the **Schedule of Values/Modification** drop-down submenu, click **Modifications Approval List**.

3. Click the **Create** command button.

4. In the **Contract Division** drop-down box, select the appropriate Division of Work.

5. If the modification changes any of the MAFBE Subcontractors' amounts and percentages, note that saving this form affirms that you have obtained permission for these changes with the following message.

   If the above modification to the SWC includes a change in the CMS MAFBE certified Subcontractors/Vendors/Suppliers, by submitting for Approval I acknowledged that UOCP Approval for the change has been obtained.

6. In the **Ready for Approval** field, click the **Yes** radio button.

7. Click the **Save** command button.

   The document closes and the SWC Modifications Approval List view is displayed.

8. The first approver will be notified via the event notice.

   SWC Line items [for the affected Division(s)] cannot be edited when there is a modification approval list that is pending approval in the system. The approval process is the same as other approvals (forward/backward).

Approve a Schedule of Work Completed Modification

1. Login to PRZM as usual.

2. On your Dashboard, in the My Action Items section, you will see a list of Schedule of Work Completed modifications awaiting your approval.

3. Click the document link to go to the Schedule of Work Completed Modification document.

4. Click the **Edit** command button.

5. On the Approval line, click the radio button which indicates if you approve the modification:

   - Yes.

   - No.

   - Pending.

6. Click the **Save** command button.

   If you clicked **Yes**, the approval goes to the next approver, and that person will receive an email notification.

   If the first approver rejects the SWC Modification approval list then that approval list is done and the Contractor would need to make any adjustments noted in the comments and resubmit a new SWC Modification approval list for approval.

   If you clicked **No**, the modification is sent back to the approver before you, or to the originator of the modification (if you are the first approver).

   If you clicked **Pending**, the approval list is awaiting your decision and will not move forward or backward until you make your decision.

Approvals for the Schedule of Work Completed Modification follow the same process as those for a Schedule of Work Completed. If the Modification was created by an Assigned Subcontractor or ESCO Subcontractor, then the first approver would be the Contractor with Assigned Subcontractors or ESCO. Otherwise, the first approver is the Architect/Engineer or Project Manager (unless the project is administered by a Construction Manager, in which case, the CM would be the first approver).

If a Modification is rejected, it returns to the Contractor through the approvals path in reverse order.

Construction Information Documents

Throughout the Construction phase the Project Manager, Architect/Engineer, ESCO, and Contractors communicate formally using several construction information documents. In PRZM, these construction information documents include the following:

- Requests for Information (RFI).

- Architect's Supplemental Instructions (ASI).

- Emergency Work Authorizations (EWA).

- Requests for Proposal (RFP).

- Field Directives (FD).

- Change Orders (CO).

The procedures for creating, viewing, responding, and approving each of these documents follows.

Charts for the workflow for each type of construction information document are shown with each topic.

Request for Information (RFI)

The Request for Information (RFI) form records the question and answer process between team members. Any team member may submit a Request for Information to another team member. The RFI should be construction-specific and usually involves a clarification of some type of construction activity.

The person initiating a construction information document, whether Request for Information or Architect's Supplemental Instructions, may require a response. If a response is required, the person addressed will respond from the original document.

An RFI sent directly or forwarded to a Contractor or Professional Service Consultant (AE or CM) team member can be edited by another team member from the same firm. The associated event notice will only go to the designated team member.

The person initiating a construction information document, whether Request for Information or Architect's Supplemental Instructions, may require a response. If a response is required, the person addressed will respond from the original document.

An RFI sent directly or forwarded to a Contractor or Professional Service Consultant (AE or CM) team member can be edited by another team member from the same firm.

Create a New RFI

1. From the **Phases** drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Request for Information**.

3. Click the **Create** command button. The RFI# is supplied by PRZM.

4. In the **To** field, from the drop-down box, select the individual your question is directed to.

5. In the **Response Requested by** field, enter the date or use the Date Selector to select a date by which you need a response.

6. If your question relates to a drawing, supply the drawing designation in the **Drawing #** field.

7. In the **Detail #** field, enter the detail number from the drawing.

8. In the **Subject** field, enter a brief description of the RFI.

9. In the **Request** field, record your question in the box.

10. If you have a recommended solution to share with others receiving the RFI, record it in the **Recommended Solution** field.

11. In the **Attach File Here** field, click the **Browse** command button to locate the file.

    Attach any documents to this form that support your question or solution by entering the file location in the box provided.

    - Navigate to the file.

- Click the file you wish to upload.

- Click the **Open** command button.

    The file path appears in the Attach File Here field.

    When you save the document, your attachment(s) will be saved as part of the document.

12. If you wish to notify others of this RFI, in the **Notification of Changes** section in the **Notify other team members of changes to this document** field, select the **Yes** radio button.

    The document refreshes, and a list of team members appears.

    - In the **Team Members to Notify** field, click the checkbox next to the names of those you wish to notify.

    - In the **Message** field, enter the message to accompany the notification.

13. When complete, click the **Save** command button.

    The RFI closes and the Request for Information view appears. PRZM sends an immediate email to the person(s) indicated on the RFI and places an Active Event on their Dashboard(s).

Respond to an RFI

1. From the **Phases** drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Request for Information**.

3. Click the link to the appropriate RFI.

4. Click the **Edit** command button.

5. Review the request, the proposed solution, and any supporting documentation.

6. In the **Response** section, select your name from the pull-down box, enter the date, and give a response in the text box provided.

7. If you believe that this response completes this RFI, select Complete in the **RFI Response** field.

8. Click the **Save** command button.

Forwarding an RFI

RFIs may be forwarded under specific circumstances and by certain roles. Here are the only scenarios when an RFI can be forwarded.

1. An Assigned Subcontractor can only send an RFI to a team member that has the Contractor With Assigned Subcontractors role. The Contractor With Assigned can forward the RFI received from an Assigned Subcontractor to any other team member.

2. On a CM project, a Non-Assigned Contractor can only send an RFI to a team member that has the CM role. The CM can forward the RFI received from a Non-Assigned Contractor to any other team member.

In both cases when the team member that receives an RFI that has been forwarded to them responds and marks the RFI complete, the RFI goes back to the person who forwarded the RFI. That person does not have the option to forward the RFI to anyone else. All that person can do is review the RFI and designate it as complete from his/her perspective and save. At this point the originator of the RFI is notified the RFI is complete.

An Assigned Subcontractor can only send an RFI to a Contractor with Assigned Subcontractor team member. But a Construction Manager (CM) and a Non-Assigned Contractor can only send an RFI to a CM team member. In these instances the Construction Manager or the Contractor with Assigned Subcontractors will see an option to forward the RFI, should that be necessary. When that option is selected, the form refreshes and displays a drop-down menu listing all the team members.

1. From the **Phases** drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Request for Information**.

3. Select the appropriate RFI.

4. Review the request, the proposed solution, and any supporting documentation.

5. In the **RFI Response** section, to forward the RFI to another team member, under RFI status, click the **Forward** radio button.

6. In the RFI Response section, in the **Forward To** section, select the name from the drop-down menu, enter the date, and give a response in the **Current Response Comments** text box provided.

7. Click the **Save** command button.

   The RFI is forwarded to the selected team member.

Architect's Supplemental Instructions (ASI)

The Architect's Supplemental Instructions (ASI) is a formal document that directs the Contractor to perform some action in the field with no change in contract sum or contract time. This document is authored by the Architect/Engineer or ESCO and is reviewed and accepted or rejected by the Contractor.

Those involved with an ASI and its approval sequence depends on the contractual relationship of the Contractor to the owner.

AE to Non-Assigned Subcontractors

The AE creates the ASI, completes the required fields, selects the divisions, and designates when the ASI is ready for the Contractors. The AE retains edit rights over the ASI at all times.

ESCO to ESCO Subcontractors

ESCO creates the ASI, completes the required fields, selects the divisions and designates when the ASI is ready for the ESCO Subcontractors. The ESCO retains edit rights over the ASI at all times.

AE to Contractor with Assigned Subcontractors

The AE creates the ASI and completes the required fields but cannot select the applicable Divisions. When the AE designates that the ASI is ready to send to the Contractor for their review, the Contractor with Assigned Subcontractors is notified and becomes the editor of the ASI. The Contractor with Assigned Subcontractors can select the applicable Divisions and designate that the ASI is ready to send to the Contractors. Alternatively, the Contractor with Assigned Subcontractors can reject the ASI, in which case the AE is notified and becomes the editor of the ASI again.

AE to CM

The AE creates the ASI and completes the required fields but cannot select the applicable Divisions. When the AE designates that the ASI is ready to send to the CM for their review, the CM is notified and becomes the editor of the ASI. The CM can select the applicable Divisions and designate that the ASI is ready to send to the Contractors. Alternatively, the CM can reject the ASI, in which case the AEO is notified and becomes the editor of the ASI again.

Create an ASI

1. From the **Phases** drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Architect's Supplemental Instructions (ASI)**.

3. Click the **Create** command button. The ASI# is supplied by PRZM.

4. In the **Instruction Summary/Type** field, enter a title for this ASI (e.g., Window caulking instructions).

5. In the **Detailed Instructions** field, provide detailed instructions.

6. In the **List contract documents that support the instructions** field, elaborate on how the attachments support your instructions or list any relevant documentation.

7. In the **Attach File Here** field, click the **Browse** command button to locate the file.

   Attach any documents to this form that support your question or solution by entering the file location in the box provided.

   - Navigate to the folder where the file is located.

   - Click the file you wish to upload.

   - Click the **Open** command button.

     When you save the document, your attachment(s) will be saved as part of the document.

8. In the **ASI Status** section of the document, in the **Current Comments** field, you may provide comments on the status of the ASI. The rest of this section will be automatically generated by PRZM once the document is saved.

9. When you are ready to route the ASI, in the **Status** field, drop-down the menu and select **Send to Contractor**.

10. If this is a Construction Manager (CM) project, in the **Status** field, select the radio button next to **Send to CM**.

    This option notifies the Construction Manager of the ASI prior to Contractor notification. The Construction Manager routes the ASI to the appropriate Contractor.

    This option will not be available if there is no Construction Manager on the project.

11. If you wish to notify others of this RFI, in the **Notification of Changes** section in the **Notify other team members of changes to this document** field, select the **Yes** radio button.

    - In the **Team Members to Notify** field, click the checkbox next to the names of those you wish to notify.

    - In the **Message** field, type the message you wish to accompany the notification.

    - Select the team members to be notified.

      To select more than one name, click the checkbox next to each person to be notified.

12. Click the **Save** command button.

    When an ASI for Contractor with Assigned or Construction Manager is created and released, an immediate email will be sent to the next editor and a Final Event notice is created.

When the next editor releases the ASI to all other Contractors, an instant email is sent to the primary contact for each affected Contractor and a final event notice is created. The Contractor with Assigned or

Construction Manager has the option of returning the ASI to the AE; in this case, an instant email is sent to all team members with the AE role (whose event notices are set to Yes), and a final event notice is created.

Respond to an ASI

Once the selected Contractors are notified that an ASI is ready for their response, they will see a command button on the ASI form to create an ASI Response. They can only create one response for a specified Division of Work. The response options are the same as before (Accept, Not Accept, and Additional Instructions Necessary). The associated event notice will go back to the individual team member who designated the ASI was ready for the Contractor response. Each Contractor retains edit rights over their own ASI Response documents.

Respond to an ASI: Contractor with Assigned Subcontractors Only

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Architect's Supplemental Instructions (ASI)**.

3. Click the link to the appropriate ASI.

4. Click the **Edit** command button.

5. Review the information in the ASI.

6. In the **Affected Divisions of Work** field, drop-down the menu and select one:

   - All - the ASI will be broadcast to all divisions of work.
   - Select - the document refreshes to list all divisions of work assigned to you.

7. Click the checkbox(es) to select the affected divisions of work.

8. In the **Current Comments** field, enter comments to accompany the ASI.

9. In the **Status** field, select one:

   - Send to Contractor.
   - Return to AE.
   - Pending.

10. Click the **Save** command button.

    Your ASI will be routed according to the selections you have made.

    Each selected Contractor will receive a one-time email instructing him/her to respond. However, the event will not appear on their Dashboards.

    As each Contractor responds to the ASI, a list of those responses will appear on the ASI document.

Respond to an ASI

The Contractor will receive a one-time email asking for an ASI response. This event will not appear on the Dashboard.

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Architect's Supplemental Instructions (ASI)**.

3. Click the link to the appropriate ASI.

4. Scroll down to the bottom of the document.

5. Click the **Create ASI Response** command button.

6. In the **Division of Work** field, drop-down the menu and select the Division of Work for which you are responding.

7. In the **Status** field, drop-down the menu and select one:

   - Accept.
   - Not Accept.
   - Additional Instructions Necessary.

8. In the **Current Comments** field, enter comments to accompany the ASI Response.

9. Click the **Save** command button.

   The ASI Response is saved and the ASI view appears. An immediate email will be sent to the Architect/Engineer team member who created the ASI, and a Final Event notice will be created on his/her Dashboard.

   To view your response, either open the ASI and scroll down to the Contractor Responses section, or from the Information/Changes menu, select ASI Response, expand the view, and click on your response link.

Request for Proposal (RFP)

Occasionally, it is necessary to change the work described in the construction documents or consider new work necessary to complete the requirements for the project. When changes in the work are called for, the Architect/Engineer, ESCO, or Project Manager prepares a request for proposal (RFP) to describe the specifics of the particular change.

When the Architect/Engineer, ESCO, or Project Manager initiates a Request for Proposal document, all Contractors must respond, to communicate whether they are affected or not, and to respond with a proposal.

Create an RFP

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Request for Proposal (RFP)**.

3. Click the **Create** command button. The RFP# is supplied by PRZM.

4. In the **RFP Brief Description** field, describe the RFP (e.g., provide caulking for windows on 4th floor).

5. If an ASI or RFI preceded this particular RFP, drop-down the menu and select the appropriate ASI or RFI in the **Architect's Supplemental Instructions #** and **Request for Instruction #** fields.

6. In the **A/E Cost Estimate** field, enter the cost estimate value. This number is only seen by the A/E and the PM.

7. [*Construction Manager Version Only*] In the **Divisions of Work** field, select the divisions that will sent the RFP.

   [*Non-Construction Manager Version Only*] The RFP will be broadcast to all Contractors or ESCO and ESCO Subcontractors, and the Divisions of Work field will not be available.

8. In the **Description** field, include a detailed description of the work being contemplated on the RFP. Your description should contain sufficient information so that the Contractors can understand the specific impact this RFP may have on their Divisions of Work.

9. In the **Attachments** field, list the attachments you will upload as part of this RFP.

10. In the **Attach File Here** field, click the **Browse** command button to locate the file(s).

    - Navigate to the file.

    - Click the file you wish to upload.

    - Click the **Open** command button.

    When you save the document, your attachment(s) will be saved as part of the document.

11. In the **Is this RFP ready for Contractor(s) response** field, indicate whether this RFP is ready for Contractor response by selecting *Yes*, *No*, or *Pending*.

   When there is a Contractor with Assigned Subcontractors, the Architect/Engineer prepares the RFP and indicates that it is ready for the Contractor with Assigned Subcontractors to add dates for the Subcontractors' submissions. Once the Contractor with Assigned Subcontractors has added those dates, the RFP is broadcast to all Subcontractors for their responses.

   When there is a Construction Manager, the A/E prepares the RFP and indicates that it is ready for the Construction Manager. After the Construction Manager reviews and accepts the RFP, the CM selects the affected Divisions of Work and the RFP is broadcast to the affected Contractors for their responses. If the RFP is rejected, the Construction Manager sends the RFP back to the A/E for revision.

12. In the **Notification of Changes** field, if you wish to notify someone that this RFP had been created and distributed to the Contractor, select Yes.

   - Click the checkbox next to the names of those you wish to notify.

   - To select more than one name, hold down the <Ctrl> key and click on each name you wish to select.

   - In the **Message** field, enter the message to accompany the notification.

13. When complete, click the **Save** command button.

   When the RFP is saved, PRZM automatically sends a one-time e-mail to all Contractors on the project indicating that an RFP has been placed in the RFP view.

   The RFP will not appear on the Contractor's Dashboard.

   Contractor with Assigned or Construction Manager. When an RFP for a Contractor with Assigned or CM is created and released, an immediate email is sent to all team members with the appropriate role (and event notices set to Yes) and a Final Event notice is created. When the next editor completes the RFP and releases it to all other Contractors, an immediate email is sent to the primary contact for each Contractor and a Final Event notice is created.

   It is up to each individual Contractor to determine whether the RFP affects his or her Division of Work and to respond either yes or no. See the next procedure.

Workflow of RFPs for Contractor with Assigned Subcontractors or ESCO

When a Contractor with Assigned Subcontractors or ESCO submits an RFP, it is essential for all team members to understand the flow of work. This workflow is summarized below.

1. The Architect/Engineer, Project Manager, or ESCO starts the process by creating an RFP and designating that it is ready for the Contractors. When the AE, PM, or ESCO saves the RFP, the

Contractor with Assigned Subcontractors or ESCO is notified, and then this Division releases the RFP to each Division of Work Contractor regardless of assignment.

2. A team member for each Division of Work views the RFP and uses the command button on the RFP form to create an RFP Response document.

3. The Assigned Subcontractor or ESCO Subcontractor team member filling in the RFP Response designates whether or not the Division is affected by the RFP. If it is affected, the RFP Response form refreshes and the team member completes the breakdown and designates that it is ready for approval. When the team member saves the Response document (designated ready for approval), PRZM notifies the Contractor that it is ready for approval.

4. The RFP Response for the Contractor with Assigned Subcontractors or ESCO includes his own affected breakdown table, a summary view of all Assigned Subcontractors or ESCO Subcontractors responses, a list of all Assigned Subcontractors or ESCO Subcontractors that have not responded, and a summary table of the totals for the existing RFP Responses. If the Grand Total is not equal to zero, the Contractor with Assigned Subcontractors or ESCO submits their RFP Response for approval by the AE or ESCO, PM, and UOCP&RES (for EPC projects).

5. When the RFP Response has been approved, the Change Order (CO) is automatically created. The PM will receive an event notice for the newly created CO. The CO lists the entire contract. The PM completes the CO and designates it is ready for approval. The Campus Business Manager is notified.

6. The Campus Business Manager (CBM) approves the CO and the AE is notified to print the CO and route for signatures.

7. When the signed copy is received by the UI Business Office, the CBM goes into PRZM, edits the CO, and appends the CO to the SWC line items. A SWC line item is created for all affected Divisions of Work. The CO is considered fully executed at this point and now appears in the Approved CO view.

When a Contractor with Assigned Subcontractors or ESCO is involved, the RFP is routed to that Contractor with Assigned Subcontractors or ESCO first so that dates for response may be entered. Once the Contractor with Assigned Subcontractors or ESCO assigns those dates, the RFP is broadcast to all Assigned Subcontractors or ESCO Subcontractors.

Add Dates to an RFP

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Request for Proposal (RFP)**.

3. Select the appropriate RFP from the list of documents in the main PRZM window.

4. Click the **Edit** command button to put the RFP in edit mode.

5. Enter the date by which the Assigned Subcontractor or ESCO Subcontractor should create the initial response.

6. Enter the date by which the Assigned Subcontractor or ESCO Subcontractor should create the cost breakdown

7. In the **Is this RFP ready for the Assigned Subcontractor(s) response**? area, click the **Yes** radio button.

8. When complete, click the **Save** command button.

   When the RFP is saved, PRZM automatically sends an e-mail to all Subcontractors on the project indicating that an RFP has been placed in the RFP view. It is then up to each individual Contractor to determine whether the RFP affects his or her Division of Work and to respond either yes or no.

   RFP Responses

   Contractors fill out a Request for Proposal Response form in response to each individual RFP item. *Contractors should fill out the RFP Response even if they are not affected by this RFP*.

Respond to an RFP: All Contractors or ESCO and ESCO Subcontractors

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Request for Proposal (RFP)**.

3. Select the appropriate RFP from the list of documents in the main PRZM window.

4. Scroll to the bottom of the form.

5. Click the **Create Assigned Subcontractor RFP Response** command button.

6. *If you are **not** affected by this Request for Proposal*:

   a. In the **Are you affected by this Request for Proposal** field, select No.

   b. Scroll to the bottom of the form, and click the **Save** command button.   No further action on your part is necessary.

7. *If you **are** affected by the Request for Proposal*:

   a. In the **Are you affected by this Request for Proposal** field, select **Yes**.

   b. In the **Summary of Detailed Breakdown** table, enter the information on your estimate in a manner that is consistent with the reviews by the Architect/Engineer or ESCO and the Project Manager. Provide information on additions and deletions to material, labor, and other costs associated with work that is specific to your contract.

      You can enter a value in the Deletions column in the **Summary of Detailed Breakdown** section on the RFP Response form or you can enter a negative value in the **Contractor's**

Markup On Work Of Subcontractors section of the RFP Response form. If both are necessary, you can enter values in both sections.

c. Click the **Refresh** command button to provide the net total of those values and calculate the overhead and profit.

d. In the **Contractor's Markup on Work of Subcontractors** table, enter the Subcontractor's name and contract work associated with this RFP.

e. Click the **Refresh** command button to provide the net total of those values.

If there is a change in the work that actually shrinks the scope (for example, only paint 400 instead of 500 feet), then the Contractor would reduce his portion of the work accordingly.

f. In the **Proposal** table is a summary of the detailed breakdown and the Subcontractor breakdown. Enter a percentage value that represents insurance, bond, and any applicable taxes.

g. Click the **Refresh** command button to generate the total RFP value that you will submit to the Architect/Engineer for review.

h. In the **Attach RFP price backing materials** field, attach an electronic file containing your estimates and/or your Subcontractors' estimates that provide the detail for the dollar values listed in the tables above. Attach your documents to this form by entering the location of the file in the box provided. You may also use the **Browse** command button to locate the file.

i. On the next line, select from the radio buttons whether this proposal will *increase*, *decrease*, or *not change* the number of days in the contract schedule.

j. If you selected increase or decrease, in the previous step, enter the number of days greater than zero.

k. In the Request for Proposal Complete field, click the **Yes** radio button to indicate that your response to the RFP is complete.

l. Click the **Save** command button.

The Request for Proposal – Response view appears.

When a Non-Assigned Contractor creates an RFP Response and designates they are not affected, an immediate email is sent to all Architect/Engineer and Project Manager team members whose event notices are set to Yes and a Final Event notice is created. When an Assigned Subcontractor or ESCO and ESCO Subcontractor creates an RFP Response and designates they are not affected, an immediate email is sent to all Contractor with Assigned Subcontractors or ESCO team members whose event notices are set to Yes and a Final Event notice is created.

Otherwise, RFP Response documents submitted for approval follow the usual review and approval workflow.

If a response document is rejected by the first approver, the primary contact for the associated Contractor gets an immediate email and PRZM puts an Active event notice on the Dashboard. This way the Contractor gets a constant reminder to correct and resubmit for approval or to change their response to Not Affected in order to turn off the event notice.

Instructions for the RFP Approvers

The approvers include the:

- Contractor with Assigned Subcontractors.

- Construction Manager.

- Architect/Engineer or Energy Service Company.

- Project Manager.

- UOCP&RES (for EPC projects).

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **RFP Response**.

3. Expand the view of the pending RFP from the list of documents.

4. Click the link to the appropriate RFP Response document.

5. Click the **Edit** command button.

6. Evaluate the RFP Response.

7. In the **Approval** area, click one radio button: **Yes** or **No**.

8. *If you are a Project Manager and wish to override the RFP in order to stop all action on it*, in the **PM Override** area, click the **Yes** radio button.

9. In the **Current Comments** field, enter comments about the approval or rejection.

10. In the **Notification of Changes** field, if you wish to notify someone about the action you have taken on this RFP, select **Yes**.

   - Click the checkbox next to the names of those you wish to notify.

   - To select more than one name, hold down the <Ctrl> key and click each name you wish to select.

   - In the **Message** field, enter the message to accompany the notification.

11. When complete, click the **Save** command button.

Once the RFP has been approved, a new Change Order document will be created by PRZM. A complete description of this process appears with the Change Order Process Summary topic.

Void or Reset the RFP

Only the Campus Construction Unit Project Manager, Planner, or Project Assistant have the system role to *Void* or *Reset* a Request for Proposal.

1. From within the project, land on Phases and select **Construction**.

2. Land on **Information/Changes** and select **Request for Proposal (RFP)**.

3. Select the **RFP#** link.

4. Scroll to the bottom of the screen and click the **VOID RFP** or **RESET RFP** command button.

   o **VOID RFP -** The status of the RFP will display as *Cancelled*.

   o **RESET RFP -** The status of the RFP will display as *Pending Release*.

Important:

- If the VOID RFP or RESET RFP command buttons do not appear on the RFP document, the RFP has already been cancelled or a Change Order exists for the RFP.

- RFPs that have been cancelled can still be edited and released to the Contractors for response. In this case, the ***VOID*** text must be manually removed where it appears before releasing the RFP.

Reset the RFP Response

Only the Campus Construction Unit Project Manager, Planner, or Project Assistant have the system role to *Reset* a Request for Proposal Response.

1. From within the project, land on Phases and select **Construction**.

2. Land on **Information/Changes** and select **RFP Response**.

3. Select the **Expand View** link.

4. Select the **RFP Response** document with the status of *No Further Action Required.*

5. Scroll to the bottom of the screen and click the **RESET RFP RESPONSE** command button.

   The status of the RFP will display as *Pending PM Approval.*

Contract Change Order

PRZM automatically generates a Change Order when the last approver saves either a Request for Proposal (RFP) Response document or an Emergency Work Authorization (EWA) Response document. The Project Manager must also edit the Change Order in order to note whether the change has an impact on the project's scope and to classify the Change Order.

Change Order Process Summary

1. The Architect/Engineer or ESCO creates an RFP and designates that it is ready for the Construction Manager, Contractor with Assigned Subcontractors, Unassigned Contractors, or ESCO depending upon the project's agreements.

2. If applicable, once the Construction Manager, Contractor with Assigned Subcontractors, or ESCO completes the RFP, the Division of Work Contractors are notified by email the RFP is saved.

3. A team member for each Division of Work views the RFP and uses the Create RFP Response button to create an RFP Response.

4. When an Assigned Subcontractor or ESCO Subcontractor team member fills in the RFP Response, he or she designates whether or not the Division is affected by the RFP. If they are affected and select the Yes radio button, the form refreshes and the team member completes the breakdown and designates that the form is ready for approval.

5. Once the Assigned Subcontractor saves the form, the Contractor with Assigned Subcontractors or ESCO is notified by email to approve it.

6. The RFP Response for the Contractor with Assigned Subcontractors or ESCO includes the affected breakdown table, a summary view of all Assigned Subcontractor responses, a list of all Assigned Subcontractors that have not responded, and a summary table of the totals for the existing RFP Responses. If the RFP Grand Total is not equal to zero, the Contractor with Assigned Subcontractors or ESCO their RFP Response for approval by the AE or ESCO, PM, and UOCP&RES (for EPC projects).

7. When the RFP Response is approved, the Change Order form is created. The Change Order lists the entire contract.

8. The Project Manager or UOCP&RES (for EPC projects) completes the Change Order and designates that it is ready for approval.

9. Once the Change Order has completed and saved, the Campus Business Manager is notified by email that it is ready for approval.

10. The Campus Business Manager approves the Change Order.

11. After the Campus Business Manager approves the Change Order, the AE or ESCO is notified to print the completed Change Order and route it for signatures.

12. When the signed copy is received by the UI Business Office, the Campus Business Manager uses PRZM to edit the Change Order and append the Change Order to the SWC line items. A SWC line item is created for all affected Divisions of Work. The Change Order is considered fully executed at this point and now appears in the Approved Change Order view.

Approve the Change Order

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Change Orders – Pending**.

3. Select the appropriate Change Order from the list of documents.

4. Click the **Edit** command button; review the Change Order document.

5. In the **Attach Documentation (if needed):** field, if necessary, click the **Browse** command button to locate the file.

   - Navigate to the file.

   - Click the file to upload.

   - Click the **Open** command button.

6. In the **This change order affects the Budget and/or Scope:** field, click one radio button: **Yes** or **No**.

   In the **This change order is classified as:** field, click the drop-down menu and select the appropriate classification.

7. In the **This change order is ready for approval** field, click the **Yes** radio button.

8. In the **Current Comments** field, if you wish to comment on the Change Order, enter your comments the text box.

9. If you wish to notify others of this RFI, in the **Notification of Changes** section in the **Notify other team members of changes to this document** field, select the **Yes** radio button.

   - In the **Team Members to Notify** field, click the checkbox next the members to notify.

   - In the **Message** field, enter the message to accompany the notification.

10. Click the **Save** command button.

    The Campus Business Manager will be notified that the Change Order is ready for review.

Approve Contract Change Orders

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Change Orders – Pending**.

3. Select the appropriate Change Order from the list of documents.

4. Click the **Edit** command button.

5. Review the Change Order document.

6. In the **CCU Business Section Approval** field, click the radio button which indicates your approval: **Yes** or **No**.

7. In the **Current Comments** field, to comment on the Change Order, enter the comments in the text box.

8. If you wish to notify others of this RFI, in the **Notification of Changes** section in the **Notify other team members of changes to this document** field, select the **Yes** radio button.

   - In the **Team Members to Notify** field, click the checkbox next the members to notify.

   - In the **Message** field, enter the message to accompany the notification.

9. Click the **Save** command button.

Additional Instructions to the Project Manager

In the event that a Business Manager returns a Change Order to the Project Manager, follow these steps.

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Change Orders – Pending**.

3. Select the appropriate Change Order from the list of documents.

4. Click the **Edit** command button.

5. Review the Change Order document.

6. In the **This change order is ready for approval** field, select **Yes** to indicate your approval. If your answer is **No**, the Contractor will be notified that the Change Order has been returned to the Contractor approval stage.

7. Attach a file or enter comments, if needed.

8. When you have completed your approval, click the **Save** command button.

Instructions to the Contractor or ESCO

In the event that a Project Manager returns a Change Order to the Contractor or ESCO approval stage, follow these steps.

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Change Orders - Pending**.

3. Click the arrow next to **Pending**; click the arrow next to the **Division of Work**.

4. Click the link to the Change Order number. Review the Document History to know the conditions to fulfill before completing the next steps.

5. Click the **Edit** command button.

6. In the **Change Order Complete** field, select **Yes** to indicate the Change Order is ready for approval.

7. Attach a file or enter comments, if needed.

8. Click the **Save** command button to submit for approval. The Change Order is submitted, and the Project Manager will be notified to complete the Change Order process.

Append Contract Change Orders to the Schedule of Work Completed

Once the Change Order has been routed for signatures, the Campus Business Manager will review the signatures and all backup documentation. The Campus Business Manager will then indicate in PRZM that the Change Order amount should be appended to the Schedule of Work Completed.

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Change Orders – Pending**.

3. Click the appropriate Change Order number from the list of documents.

4. Click the **Edit** command button; review the Change Order document.

5. In the **Append to SWC?** field, select the **Yes** option.

6. In the **Current Comments** field, enter comments about the Change Order.

7. If you wish to notify others of this RFI, in the **Notification of Changes** section in the **Notify other team members of changes to this document** field, select the **Yes** radio button.

   - In the **Team Members to Notify** field, click the checkbox next the members to notify.

   - In the **Message** field, enter the message to accompany the notification.

8. Click the **Save** command button.

Field Directive

A **Field Directive (FD)** is an intermediate type of Change Order (CO) that is used to expedite Change Orders that meet the FD definition. A FD allows time-critical work to proceed under a not-to-exceed estimate and material cost control basis. These Contract Document changes are detailed in the *Change Order & Amendment Policy*. To access the policy, go directly to the website for the University Office of Capital Programs and Real Estate Services:

1. Navigate to [www.uocpres.uillinois.edu.](www.uocpres.uillinois.edu)

2. Click the **Design Professionals** or **Contractors** tab on the sub-menu.

3. Select the **Policy and Laws** link.

4. Select the **Change Order & Amendment Policy** link.

When a change in work scope is contemplated or required, a Request for Proposal (RFP) is initiated to the Contractor(s) for pricing. After initiation, the project's Professional Services Consultant (PSC) and Project Planner/Manager (PM) may perceive that the normal process for approving the change can cause an unusual or exceptional delay to the project schedule, or pricing for the change may be in dispute. If this is substantiated, the PM will initiate or direct the PSC to initiate a FD to the Contractor to respond with a not-to-exceed cost, which may be lump sum or time and material based, for the contemplated work.

The FD is initiated, reviewed, and approved similarly to the RFP process. Once the FD has gone through the entire PRZM electronic approval cycle, the Contractor will be authorized by e-mail to begin work. The FD will eventually become a Change Order through completion of the RFP process prior to completion of the work as a lump sum basis or after completion of the work with backup documentation, including proof of hourly time used to implement the change along with material costs.

Emergency Work Authorizations (EWA) are only used for proceeding with the work under conditions of threat to public health or safety, loss of or damage to property or the integrity of vital records, or serious disruption of essential services.

Definitions of Terms

Following are the definitions of Change Orders, Field Directives and Emergency Work Authorizations which are included in Articles 1 and 13 of General Conditions (Document 00700) of the University's Construction Contract Documents. These definitions will determine which document to use for processing changes to the scope of the work.

A. **Change Orders**

"Change Order" means a written order to a Contractor executed by the Owner in accordance with an existing project construction contract authorizing and directing an addition to, deletion from, or adjustment or revision of the requirements of the Contract Documents, or an adjustment to the compensation payable to Contractor, or to the time for performance of the contract and

completion of the Project, or a combination thereof. All additional expenditures related to work performed or material purchased through an agreement with a Contractor will ultimately take the form of a Change Order. Change Orders shall utilize the approved format identified by the Office of University Counsel and University Office of Capital Programs and Real Estate Services. In order to comply with Section 30-35 of the Procurement Code, directives of the Board of Trustees, this Policy and other University and campus policies, all Change Orders shall be subject to approval by the appropriate authority and any Change Order $250,000 or more shall be routed to the University Office of Capital Programs and Real Estate Services for verification and concurrence.

A.1.   Field Directive (FD) Definition
"Field Directive" means a written order to a Contractor executed by the Owner in accordance with the existing project construction contract authorizing and directing an addition to, deletion from, or adjustment or revision to the requirements of the Contract Documents, or an adjustment to the compensation payable to Contractor, or to the time for performance of the contract and completion of the Project, or a combination thereof. Field Directives may only be utilized in distinct and exceptional situations when, due to circumstances beyond the University's control, a proposed Change Order is in dispute or the contemplated time of completion for the normal Change Order process would delay the project. Prior to commencement of work, the University shall set forth on the appropriate form not-to-exceed costs, which may be lump sum or time and material based, for the contemplated expenditure. A Field Directive is preliminarily authorized/supported with appropriate documentation and ultimately utilizes the Change Order form. Additional documentation supporting and justifying the completed work shall be required. Field Directives are subject to approval by the appropriate authority. Field directives must have appropriate University approval prior to commencement of the work. Field Directives in excess of the Small Purchase Threshold shall also be approved by the Chief Procurement Office and the Procurement Policy Board prior to the commencement of work.

A.2.   Emergency Work Authorization (EWA) Definition

"Emergency Work Authorization" means a written order to a Contractor executed by the Owner in accordance with an existing project construction contract and directing an adjustment to the Contract Document requirements according to 30 ILCS 500/20-30. An Emergency Work Authorization shall be utilized only in instances of a threat to public health or safety, loss of or damage to property or the integrity of vital records, or serious disruption of essential services. Issuance of an Emergency Work Authorization is entirely within the discretion of the Owner. Prior to commencement of work, the University shall set forth on the appropriate form not-to-exceed time and material costs for the contemplated expenditure. The time of the emergency work shall be limited to no more than 90 days; the time may be extended beyond 90 days with approval by the CPO. An Emergency Work Authorization is preliminarily authorized/supported with appropriate documentation and ultimately utilizes the Change Order form. Prior to commencement

of work, an Emergency Work Authorization shall be approved by the appropriate authority. Notice of emergency work shall be provided to the Procurement Policy Board no later than 3 business days after the emergency contract is awarded. When the actual final cost is determined, the cost shall also be provided to the Procurement Policy Board prior to the 10th day of the succeeding month.

Contractor with Assigned Subcontractors

1. When a change has been identified as necessary, the Professional Services Consultant (PSC) or Project Manager (PM) initiates a Request for Proposal (RFP) within PRZM.

2. The Professional Services Consultant (PSC) or Project Manager (PM) creates the Field Directive (FD), completes the required fields, and designates that it is ready for the approval process.

   The associated RFP **must** exist and be linked to the FD in PRZM. The associated RFP can be manually created beforehand or automatically at the time the FD is created.

   The PSC or PM must select how Contractors are to respond to FD within PRZM

   a. **Option 1:** The Contractor with Assigned Subcontract creates a single combined FD Response Document and includes the Not-to-Exceed Costs for all Assigned Subcontractors. Appropriate supporting documentation is attached within PRZM.

   b. **Option 2:** The Contractor with Assigned Subcontractor reviews and approves the Assigned Subcontractors' FD Response. The Contractor with Assigned Subcontractors then creates their own FD Response, at which time PRZM attaches all responses (i.e. Contractor with Assigned Subcontractors and Assigned Subcontractors) into one.

      i. PRZM notifies the Contractor with Assigned Subcontractors' primary contact to edit the Field Directive document.

      ii. When the Assigned Subcontractor receives notification, he/she responds with a Field Directive Response document, and selects **Affected** or **Not Affected**.

         1. If the Assigned Subcontractor is not affected, no further action is required.

         2. If the Assigned Subcontractor is affected, he submits a Not-to-Exceed cost estimate (NTE) on the Field Directive Response document and submits it to the Contractor with Assigned Subcontractors for approval.

      iii. The Contractor with Assigned Subcontractors must also submit a Field Directive Response document. Since his response summarizes all Assigned Subcontractors' responses, he waits for all Assigned Subcontractors to respond, completes the approval process for each, and then submits his own response along with the summary Not-to-Exceed estimate (NTE) for all affected divisions to the Professional Services Consultant (PSC) for approval.

3. If the Professional Services Consultant (PSC) approves, PRZM notifies the Campus Project Manager (PM) for approval. If the Professional Services Consultant (PSC) rejects the Contractor with Assigned Subcontractors' Not-to-Exceed estimate (NTE), it goes back to that Contractor to resolve and resubmit for approval if needed.

4. FD Approvals:

   a. Contract Change Amount <$50,000: Project Managers may approve FDs up to a threshold as determined by each campus and delegated by the Campus Construction Unit Director. FDs that exceed the PM approval level and up to $50,000 require the Campus Construction Unit Director (CCUD) approval. If the CCUD rejects the Contractor with Assigned Subcontractors' NTE, the FD goes back to the PM approval stage.
   b. Contract Change Amount >$50,000: After obtaining CCUD approval, the Senior Associate Vice President of Business and Finance approval is required.
   c. Contract Change Amount > Small Purchase Threshold: After obtaining the Senior Associate Vice President of Business and Finance's approval, the University Office of Capital Programs and Real Estate Services posts the FD on the State of Illinois Higher Education Procurement Bulletin to obtain approval from the Chief Procurement Officer and the Procurement Policy Board.
   d. After receiving all necessary approvals, the PM will mark that all external approvals have been received, and PRZM notifies the Contractor with Assigned Subcontractors to proceed with the work.
   e. The Contractor is notified to continue with the work and to complete the RFP Response process to fully document the costs and receive final approval for the Change Order.

5. If a revised NTE is submitted, repeat the process as outlined above.

CM with Non-Assigned Contractors

1. When a change has been identified as necessary, the Professional Services Consultant (PSC) or Project Manager (PM) initiates a Request for Proposal (RFP) within PRZM.

2. The Professional Services Consultant (PSC) or Project Manager (PM) creates the Field Directive (FD), completes the required fields, and designates that it is ready for the approval process.

   The associated RFP **must** exist and be linked to the FD in PRZM. The associated RFP can be manually created beforehand or automatically at the time the FD is created.

3. PRZM notifies the team members with the Construction Manager role (but only those who have been flagged to receive event notices) to edit the FD and notify Non-Assigned Contractors that they need to respond.

4. After they have been notified, Non-Assigned Contractors respond **Affected** or **Not Affected**.

   a. If a Non-Assigned Contractor is not affected, they submit a Field Directive Response document to the CM indicating they are not affected. No further action is required.

b. If a Non-Assigned Contractor is affected, he submits a Not-to-Exceed cost estimate (NTE) on the Field Directive Response document and submits it to the CM for approval.

5. If the CM approves, the Professional Services Consultant (PSC) is notified for approval. If the CM rejects, the NTE goes back to the Non-Assigned Contractor to edit and resubmit for approval if needed.

6. If the Professional Services Consultant (PSC) approves, the Campus Project Manager (PM) is notified for approval. If the Professional Services Consultant (PSC) rejects, the NTE goes back to the CM approval stage.

7. FD Approvals:

   a. Contract Change Amount <$50,000: Project Managers may approve FDs up to a threshold as determined by each campus and delegated by the Campus Construction Unit Director. FDs that exceed the PM approval level and up to $50,000 requires the Campus Construction Unit Director (CCUD) approval. If the CCUD rejects the Non-Assigned Contractor NTE, the FD goes back to the PM approval stage.
   b. Contract Change Amount >$50,000: After obtaining CCUD approval, the Senior Associate Vice President of Business and Finance's approval is required.
   c. Contract Change Amount > Small Purchase Threshold: After obtaining the Senior Associate Vice President of Business and Finance approval, the University Office of Capital Programs and Real Estate Services posts the FD on the State of Illinois Higher Education Procurement Bulletin to obtain approval from the Chief Procurement Officer and the Procurement Policy Board.
   d. After receiving all necessary approvals, the PM will mark that all external approvals have been received, and PRZM notifies the Non-Assigned Contractor to proceed with the work.
   e. The Contractor is notified to continue with the work and to complete the RFP Response process to fully document the costs and receive final approval for the Change Order.

8. If a Non-Assigned Contractor submits a revised NTE, the process goes back to Step 4 above.

Non-Assigned Contractors (no CM)

1. The Professional Services Consultant (PSC), or Project Manager (PM) creates the Field Directive (FD), completes the required fields, and designates that it is ready for the approval process. The associated RFP must exist in PRZM before the FD can be created.

2. The Contractors respond **Affected** or **Not Affected** after they have been notified.

   a. If a Non-Assigned Contractor is not affected, they submit a response that they are not affected. No further action is required.

   b. If a Non-Assigned Contractor is affected they submit a Not-to-Exceed cost estimate (NTE) to the Professional Services Consultant (PSC) for approval.

3. If the Professional Services Consultant (PSC) approves, the Campus Project Manager (PM) is notified for approval. If the Professional Services Consultant (PSC) rejects, the NTE goes back to the Non-Assigned Contractor to edit and resubmit for approval if needed.

4. FD Approvals:

    a. Contract Change Amount <$50,000: Project Managers may approve FDs up to a threshold as determined by each campus and delegated by the Campus Construction Unit Director. FDs that exceed the PM approval level and up to $50,000 require Campus Construction Unit Director (CCUD) approval. If the CCUD rejects the Non-Assigned Contractor NTE, the FD goes back to the PM approval stage.
    b. Contract Change Amount >$50,000: After obtaining CCUD approval, the Senior Associate Vice President of Business and Finance's approval is required.
    c. Contract Change Amount > Small Purchase Threshold: After obtaining the Senior Associate Vice President of Business and Finance's approval, the University Office of Capital Programs and Real Estate Services posts the FD on the State of Illinois Higher Education Procurement Bulletin to obtain approval from the Chief Procurement Officer and the Procurement Policy Board.
    d. After receiving all necessary approvals, the PM will mark that all external approvals have been received, and PRZM notifies the Non-Assigned Contractor to proceed with the work.
    e. The Contractor is notified to continue with the work and to complete the RFP Response process to fully document the costs and receive final approval for the Change Order.

5. If a Non-Assigned Contractor submits a revised NTE, the process goes back to step 4 above.

6. If a Non-Assigned Subcontractor submits a revised NTE, the process goes back to step 3 above.

Create a Field Directive: PSC or Project Manager

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Field Directive (FD)**.

3. Click the **Create** command button.

4. In the Associated RFP # section, from the drop-down menu, select the related RFP or the **Create Associated RFP** option if the RFP has not already been created.

5. In the **Reason for Urgency** section of the form, enter the reason for urgency.

   The additional work to be performed or material to be furnished must be germane to the original contract, and approval must be in writing prior to the performance of the work or procurement of material.

6. Enter a detailed **Description of the Problem**.

7. Enter a detailed description of the **Action to be Taken**.

8. In the **Work Completion Required By** section, enter the date (in the format mm/dd/yyyy) or select the date from the pop-up calendar.

9. In the **List the attached documents that support the description** section, list the documents you will attach to support this FD.

10. In the **Attach File here** section, click the **Browse** command button to select the file to attach.

11. In the **Required Responses** section, choose one of the radio buttons for:

    - Contractor with Assigned Subcontractors required to respond on behalf of all Assigned Subcontractors.

    - All Contractors respond.

12. When the FD is ready for routing, in the **Release for Response:** section, click the **Yes** radio button.

    If you leave this selection with the *Pending* radio button selected, the FD will not be routed when you click **Save**. The document will be saved with a status of *Pending completion by Professional Services Consultant (PSC)*.

13. When you have completed your work, click the **Save** command button.

    The document is saved with a status of *Contractor with Assigned Subcontractors Notified*.

Respond to the Field Directive

There are two options for which the Contractor can respond to Field Directives:

1. Contractor with Assigned Subcontracts can collect pricing using the most efficient means and respond to the Field Directive on behalf of the Assigned Subcontractors while completing and submitting your own response.

2. The Contractor with Assigned Subcontracts can forward the Field Directive to the Assigned Subcontractors, review and approve all Subcontractor Field Directive Responses, and then complete their own response.

Option 1: Contractor with Assigned Responds on Behalf of All Assigned Subcontractors:

The Contractor with Assigned creates a single combined FD Response Document and includes the Not-to-Exceed costs for all Assigned Subcontractors. Appropriate supporting documentation is attached within PRZM.

1. When a Field Directive is ready for your review, you will receive an email notification.

2. Logon to PRZM.

3. From your Dashboard, select the project from the drop-down menu.

4. Click the link to the project.

5. Drop-down the Phases menu and select **Construction**.

6. From the **Information/Changes** menu, select **Field Directive (FD)**.

7. Expand the list using the **Expand View** option.

8. Click the link to the Field Directive number you wish to respond to.

9. When you have reviewed the Field Directive, at the bottom of the document, click the **Create Contractor Field Directive Response** command button.

10. In the **Division of Work** field, select your division.

    The form refreshes, importing data from the Field Directive and its related RFP.

11. In the **Are you affected by this Field Directive?** section of the document, click the appropriate radio button:

    - Yes.

    - No.

    - Pending.

        - If you selected **Yes**, the document refreshes and a **Total Not-to-Exceed Cost to Complete (Labor, Material, Mark up, etc.):** field appears.

            i. Enter the **Not-to-Exceed (NTE)** amount for the work.

            ii. Click the **Refresh** command button.

                The document refreshes and calculates the total of the affected Contractors' NTE estimates.

12. Enter the **Not-to-Exceed (NTE)** amount for each Assigned Subcontractors.

    If an Assigned Subcontractor is not affected, enter a 0 amount in the NTE field.

13. Attach all **Field Directive price backing** materials as you would in other systems.

14. In the **Submit NTE for Approval** section, select the **Yes** radio button.

    If you are not ready to submit, leave the radio button as **No**.

15. Attach a file or enter comments, if needed.

16. Click the **Save** command button.

    The Field Directive Response has been submitted to the Professional Services Consultant for approval.

Option 2: All Contractors Respond

1. When a Field Directive is ready for your review, you will receive an email notification.

2. Logon to PRZM.

3. From your Dashboard, select the project from the drop-down menu.

4. Click the link to the project.

5. Drop-down the Phases menu and select **Construction**.

6. From the **Information/Changes** menu, select **Field Directive (FD)**.

7. Expand the list using the **Expand View** option.

8. Click the link to the Field Directive number you wish to respond to.

9. Click on each Subcontractor response number link.

10. Click the **Edit** command button.

11. In the **Contractor with Assigned Subcontractors Approval:** section, click the **Yes** radio button.

12. Attach a file or enter comments, if needed.

13. Click the **Save** command button.

    Important: You may create your response now but do not submit for approval until all Subcontractors have responded (unless of course the Response only affects the Contractor with Assigned, in which case you may respond at any time).

14. To respond to the Field Directive for which you have just approved for the Subcontractors' Field Directive response, click the Field Directive number.

15. When you have reviewed the Field Directive, at the bottom of the document, click the **Create Contractor Field Directive Response** command button.

16. In the **Division of Work** field, select your division.

17. In the **Are you affected by this Field Directive?** section of the document, click the appropriate radio button:

    - Yes.

    - No.

    - Pending.

18. If you selected Yes, the document refreshes and a **Total Not-to-Exceed Cost to Complete (Labor, Material, Mark up, etc.):** field appears.

19. Enter the **Not-to-Exceed (NTE)** amount for the work.

20. Click the **Refresh** command button.

The document refreshes and calculates the total of the affected Contractors' NTE estimates.

21. If you selected No, the document refreshes and you are directed to the next section.

22. Click the **Save** command button.

    Do not submit for approval until all Subcontractors have responded.

    Once all Subcontractors have responded, their responses will appear on the Field Directive Response document.

23. To submit the Field Directive Response for Approval:

    - Open the FD Response document.

    - Scroll down the document.

    - In the **Submit NTE for Approval** field, select the **Yes** radio button.

    - Click the **Save** command button.

    The Field Directive Response has been submitted to the Professional Services Consultant for approval.

Respond to a Field Directive: Assigned and Non-Assigned Subcontractors

1. When a Field Directive is ready for your review, you will receive an email notification.

2. Logon to PRZM.

3. From your Dashboard, select the project from the drop-down menu.

4. Click the link to the project.

5. Drop-down the Phases menu and select **Construction**.

6. From the Information/Changes menu, select **Field Directive (FD)**.

7. Expand the list using the **Expand View** option.

8. Click the link to the Field Directive number you wish to respond to.

9. Review the Field Directive.

10. When you are ready to respond, click the **Create Assigned Subcontractor Field Directive Response** command button.

11. In the **Division of Work** field, select your Division.

    The Field Directive Response refreshes, displaying the Reason for Urgency, the Description of the Problem, the Action to be Taken, and the Work Completion Required By date.

12. In the **Are You Affected by this Field Directive?** section, click the appropriate radio button:

- If you selected **Yes**, the form refreshes, to display the **Total Not-to-Exceed Cost to Complete (Labor, Material, Mark up, etc.):** field. Enter the amount of your **Not-to-Exceed Cost to Complete** estimate.

- If you selected **No**, continue to the next step.

13. In the **Attach Field Directive price backing materials:** section, if necessary, use the Browse command button to attach relevant file(s).

14. In the **Submit NTE for Approval:** section, click the **Yes** radio button.

15. (Optional) In the **Current Comments** section, enter any relevant comments about your response.

16. Click the **Save** command button.

Your response is saved and routed to the Contractor with Assigned Subcontractors.

Approve the Field Directive

Once the Contractor with Assigned Subcontractor has created his response, the PSC will receive notification that it is ready for approval. Each approver may follow this procedure.

1. From your Dashboard, click the link to the relevant document.

2. Review the response, and, in particular, the Not-to-Exceed estimate.

3. Click the **Edit** command button.

4. Scroll down the document.

5. If you approve the estimate, in the {**Role**} (e.g., **Contractor with Assigned Subcontractors**) **Approval** section, click the **Yes** radio button.

    Your role will appear in the approval section, with those who have approved the Field Directive listed above yours.

6. If you do not approve the estimate, in the **Contractor with Assigned Subcontractors Approval** section, click the **No** radio button.

7. In the **Message** section, enter any directions fir the Assigned Subcontractor.

8. When you are finished, click the **Save** command button.

    The Assigned Subcontractor will be notified of your decision.

- If you have approved, the document will be routed to the next approver.

- If you did not approve, the document will be returned to the Assigned Subcontractor for editing.

FD Approvals:

a. Contract Change Amount <$50,000: Project Managers may approve FDs up to a threshold as determined by each campus and delegated by the Campus Construction Unit Director. FDs that exceed the PM approval level and up to $50,000 require the Campus Construction Unit Director (CCUD) approval. If the CCUD rejects the Non-Assigned Contractor NTE, the FD goes back to the PM approval stage.

b. Contract Change Amount >$50,000: After obtaining CCUD approval, the Senior Associate Vice President of Business and Finance approval is required and is obtained via email. The approval should be attached/uploaded into PRZM.

c. Contract Change Amount > Small Purchase Threshold: After obtaining the Senior Associate Vice President of Business and Finance approval, the University Office of Capital Programs and Real Estate Services posts the FD on the State of Illinois Higher Education Procurement Bulletin to obtain approval from the Chief Procurement Officer and the Procurement Policy Board. Upon receipt of approval, UOCPRES notifies the PM the approval should be attached/uploaded into PRZM.

d. After receiving all necessary approvals, the PM will mark that all external approvals have been received, and PRZM notifies the Contractor to proceed with the work.

e. The Contractor is notified to continue with the work and to complete the RFP Response process to fully document the costs and receive final approval for the Change Order.

Emergency Work Authorization (EWA)

On rare occasions, the Project Manager or the Architect/Engineer or ESCO may direct the Contractor or ESCO to perform changes in the work immediately. Unlike a Request for Proposal process when a Contractor or ESCO prepares a fixed fee price, an Emergency Work Authorization (EWA) allows the Project Manager to authorize work to immediately proceed in the field when he is given a not-to-exceed price by the affected Contractors or ESCO.

The EWA is authored by the Architect/Engineer or ESCO and approved by the Project Manager or UOCP&RES (for EPC projects).

When there is a Contractor with Assigned Subcontractors or ESCO, each Subcontractor or ESCO Subcontractor must respond with their initial response and not-to-exceed estimate.

Emergency Work Authorization Workflow

The Emergency Work Authorization document can be authored by the Architect/Engineer, ESCO, Project Manager, or UOCP&RES (for EPC projects) and must be approved by whoever did not author the document. Once the EWA has been approved, the Contractor will receive an email indicating approval. The Contractor must respond with a not-to-exceed amount, and the EWA Response must be approved before the Change Order is initiated, as indicated in the workflow diagram above.

Create an Emergency Work Authorization (EWA)

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Emergency Work Authorization (EWA)**.

3. Click the **Create** command button. The EWA# is supplied by PRZM.

4. In the **Brief Summary** field, provide a summary of the EWA.

5. In the **Description** field, provide a description of the work.

6. In the **Action** field, describe the action to be taken at the job site.

7. In the **Work Completed by** field, enter the date the work should be completed.

8. In the **Attach File here** field, attach any relevant file necessary to support the Emergency Work Authorization by clicking on the **Browse** command button and selecting the file.

9. In the **Is this EWA ready for the Project Managers Approval?** field, click the **Yes** radio button.

10. Click the **Save** command button.

    When the EWA is saved and approved, an e-mail is sent to the Project Manager to approve the EWA.

Approve the EWA

1. From your Dashboard, you may click the link to the relevant document.

2. Click the **Edit** command button.

3. In the **CCU Approval** field, click the appropriate radio button:

   - Yes.
   - No.
   - Pending.

4. In the **Current Comments** field, if you wish to comment on the EWA, enter your comments.

5. In the **Notification of Changes** field, if you wish to notify someone that this EWA has been created and distributed to the Contractor, select **Yes**.

   - Click the checkbox next to the names to notify.

   - To select more than one name, hold down the <Ctrl> key and click on each name you wish to select.

   - In the **Message** field, enter the message to accompany the notification.

6. When complete, click the **Save** command button.

   The EWA closes and the Emergency Work Authorization view appears. An email will be sent to the Contractor with Assigned Contractors or ESCO for review and distribution to all Contractors or ESCO Subcontractors.

   If you selected No, in the CCU Approval area, the A/E will be notified of the rejection.

Respond to the EWA: Contractor with Assigned Subcontractors or ESCO

1. From the Phases drop-down menu, select **Construction**.

2. From the Information/Changes drop-down submenu, click **Emergency Work Authorization (EWA)**.

3. Expand the list using the **Expand View** option.

4. Select the appropriate EWA from the list of documents in the main PRZM window.

5. Review the EWA document.

6. Click the **Edit** command button.

7. In the **Assigned Subcontractor's initial response (affected or not) needed by:** field, enter the required date.

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8. In the **Affected Assigned Subcontractor's cost breakdown needed by:** field, enter the required date.

9. In the **Is this EWA ready for the Assigned Subcontractor(s)' response?** field, click the **Yes** radio button.

10. When complete, click the **Save** command button.

    The EWA closes and the Emergency Work Authorization view appears. An email will be sent to the Assigned Subcontractors for their responses.

    All Contractors fill out an Emergency Work Authorization Response form in response to an EWA item.

    Contractors should fill this form out even if they are not affected by this EWA.

Respond to the EWA: All Contractors or ESCO and ESCO Subcontractors

1. From the Phases drop-down menu, select **Construction**.

2. From the Information/Changes drop-down submenu, click **Emergency Work Authorization (EWA)**.

3. Expand the list using the **Expand View** option.

4. Click the appropriate EWA from the list of documents.

5. Review the EWA document.

6. To respond to an EWA, scroll down the document and click the **Create EWA Response** command button. The command button you see depends on your role.

7. *If you are **not** affected by this Emergency Work Authorization:*

    a. In the **Are you affected by this EWA** field, select **No**.

    b. Scroll to the bottom of the form, and click the **Save** command button.

       No further action on your part is necessary.

    *If you **are** affected by this Emergency Work Authorization*:

    a. In the **Are you affected by this EWA** field, select **Yes**.

    b. In the **Description of Work** field, enter a description of the work for this EWA.

    c. In the **Cost Not-to-Exceed** field, enter an estimate of the cost for this EWA.

       ‣ **Note:** At this point you are not required to submit actual cost information until after you have completed the work.

d. (Optional) In the **Current Comments** section, enter any relevant comments about your response.

e. Click the **Save** command button.

The Architect/Engineer or ESCO will be notified that your response is complete and ready for review.

Approve the EWA Response – NTE Estimate

The AE, PM, and CCU Director or UOCP&RES (for EPC projects) must approve the EWA Response containing the combined Not-to-Exceed (NTE) estimates.

1. From your Dashboard, click the link to the relevant document.

2. Click the **Edit** command button.

3. In the **NTE Cost Approval** field, click the appropriate radio button:

   - Yes.
   - No.
   - Pending.

4. In the **Current Comments** field, if you wish to comment on the EWA, enter your comments.

5. In the **Notification of Changes** field, if you wish to notify someone that this EWA had been created and distributed to the Contractor, select **Yes**.

   - Click the checkbox next to the names of those you wish to notify.

   - To select more than one name, hold down the <Ctrl> key and click on each name you wish to select.

   - In the **Message** field, enter the message to accompany the notification.

6. When complete, click the **Save** command button.

   The EWA closes and the Emergency Work Authorization Response view appears.

   When the CCU Director approves the EWA Response document with NTE estimate(s), the Contractor with Assigned Subcontractors will be notified that the work can begin and that s/he needs to print the EWA Response with NTE estimate(s) for wet signatures.

Print the Approved EWA Response with NTE Estimate(s)

1. From the Phases drop-down menu, select **Construction**.

2. From the Information/Changes drop-down submenu, click **EWA Response**.

3. Expand the list using the **Expand View** option.

4. Select the appropriate EWA Response from the list of documents.

5. Scroll to the bottom of the document.

6. Click the **View Print Friendly Page** command button.

7. Print the document.

8. Sign and route the printed document for wet signatures, beginning with the Professional Services Consultant.

EWA Response Approvals

The first round of approvals on the EWA Response document occurs right after the Contractor or ESCO and ESCO Subcontractors has submitted the approximate cost. The work then takes place in the field. Once the work is completed, the Contractor or ESCO and ESCO Subcontractors returns to the EWA Response document and supplies the detail on the work provided as well as the final cost.

A second round of approvals occurs when the Contractor with Assigned Subcontractors, Architect/Engineer, ESCO, Project Manager, and UOCP&RES (for EPC projects) approve the final cost.

Enter EWA Response Cost and Approval Information

Subcontractors submit their actual costs first, for approval by the Contractor with Assigned Subcontractors. Subsequently, after reviewing and approving all of the Subcontractors' actual costs, the Contractor with Assigned Subcontractors completes a EWA Response with that company's own actual costs. This EWA Response includes linked and summarized costs for all Contractors, and is submitted for approval to the PSC and the Project Manager.

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **EWA Response**.

3. Expand the list using the **Expand View** option.

4. Select the appropriate EWA Response from the list of documents.

5. Click the **Edit** command button.

6. Scroll down the document to the Summary of Detailed Breakdown section.

7. In the **Summary of Detailed Breakdown** table, enter the information on your estimate in a manner that is consistent with the reviews by the Architect/Engineer and the Project Manager. Provide information on additions and deletions to material, labor, and other costs associated with work that is specific to your contract.

8. Click the **Refresh** command button to allow PRZM to calculate the net total of those values and calculate the overhead and profit.

9. In the **Contractor's Markup on Work of Subcontractors** table:

   - Drop-down the menu and select the Subcontractor's name.

   - In the **Contract Work Description** field, enter a brief description of the contract work associated with this EWA.

   - Click the **Refresh** command button to allow PRZM to calculate the net total of those values.

     If there is a change in the work that actually shrinks the scope (for example, only paint 400 instead of 500 feet), then the Contractor would reduce his portion of the work accordingly.

10. The **Proposal** table contains a summary of the detailed breakdown and the Subcontractor breakdown. Enter a percentage value that represents insurance, bond, and any applicable taxes.

11. Click the **Refresh** command button to allow PRZM to calculate the net total of those values.

12. In the Attach Price Backing Materials field, click the **Browse** command button.

    Locate the price backing materials and attach an electronic version of your estimates and/or your Subcontractors' estimates that provide the detail for the dollar values listed in the tables above. The attachments will be saved as part of the document.

13. On the next line, in **The contract completion date will** field, select one radio button for the contract amount:

    - Increase.
    - Decrease.
    - Not change.

    If it will increase or decrease the contract schedule, in the **By number of calendar days:** field, enter the number of calendar days.

14. In the **Is this EWA Response Complete?** field, click the **Yes** radio button.

    ‣**Note:** If you wish to wait until you have further information, you may leave the radio button at its default, **Pending**. The EWA Response will not be routed until you select Yes and save the document.

15. Click the **Save** command button.

    The EWA Response document closes and the EWA – Response view displays. The EWA Response document is routed to the first approver, usually the Professional Services Consultant.

Instructions for Approvers

- Contractor with Assigned Subcontractors.
- Construction Manager.
- Architect/Engineer or Energy Service Company.

- Project Manager.
- UOCP&RES (for EPC projects).
- Campus Business Manager.

Approve the EWA Response – Actual Costs

The AE, PM, and CCU Director or UOCP&RES (for EPC projects) must approve the EWA Response containing the combined actual costs.

1. From your Dashboard, click the link to the relevant document.

2. Scroll down the EWA Response and review the actual costs.

3. Scroll to the bottom of the document and click the link to any price backing documents, attached to the EWA Response document, and review them.

4. Scroll up to the top of the EWA Response and click the **Edit** command button.

   The Emergency Work Authorization Response opens in edit mode.

5. In the **Final Costs Approved by** field, click the appropriate radio button:

   - Yes.
   - No.
   - Pending.

6. In the **Current Comments** field, if you wish to comment on the EWA, enter your comments.

7. In the **Notification of Changes** field, if you wish to notify someone that this EWA has been created and distributed to the Contractor, select **Yes**.

   - Click the checkbox next to the names to notify.

   - To select more than one name, hold down the <Ctrl> key and click on each name you wish to select.

   - In the **Message** field, enter the message to accompany the notification.

8. When complete, click the **Save** command button.

   When the EWA Response document with actual costs is approved, PRZM creates a contract Change Order. The Project Manager or UOCP&RES (for EPC projects) needs to complete the Change Order process in order for any amounts to be appended to the Schedules of Work Completed.

Complete the EWA Response to Change Order Process

This process involves the Project Manager, the Campus Business Manager, and the Contractor with Assigned Contractors.

Classify the Change Order: Project Manager or UOCP&RES (for EPC projects)

1. From the **Information/Changes** drop-down menu, select **Change Orders – Pending**.

2. Expand the list using the **Expand View** option.

3. Select the appropriate Change Order from the list of documents.

4. Click the **Edit** command button.

5. Scroll to the bottom of the document; in the **This change order affects the Budget and/or Scope** field, click one: Yes or No.

6. In the **This change order is classified as a:** field, drop-down the list and select one classification from the list.

7. In the **Is this change order ready for Approval?** field, click the **Yes** radio button.

Approve the Change Order: Campus Business Manager

1. From your Dashboard, click the link to the relevant document.

2. Click the **Edit** command button; review the Change Order.

3. Scroll to the **Approval** section of the document.

4. In the **CCU Business Section Approval** field, click the **Yes** radio button.

   The Change Orders – Pending view displays with the Change Order listed under the Status of Approved - Pending Wet Signatures.

   The Contractor with Assigned Subcontractors or ESCO is responsible for printing and routing the Change Order for wet signatures.

Print and Route for Wet Signatures: Contractor with Assigned Subcontractors or ESCO

1. From the Phases drop-down menu, select **Construction**.

2. From the Information/Changes drop-down submenu, click **Change Orders – Pending**.

3. Expand the list using the **Expand View** option.

4. Select the appropriate Change Order from the list of documents.

5. Scroll to the bottom of the document.

6. Click the **View Print Friendly Page** command button.

7. Print the Change Order.

8. Sign and route it to the first approver, usually the A/E or ESCO.

Approve the Change Order: Campus Business Manager

Once all wet signatures have been returned, along with any backing materials necessary, the Change Order will route to the Campus Business Manager for final approval. The Campus Business Manager must return to PRZM and indicate that the entire Change Order package of materials is in order with appropriate wet signatures.

1. From the Phases drop-down menu, select **Construction**.

2. From the **Information/Changes** drop-down submenu, click **Change Orders – Pending**.

3. Expand the list using the **Expand View** option.

4. Select the appropriate Change Order from the list of documents.

5. Click the **Edit** command button.

6. In the **Append to Contractor SWC?** field, click the **Yes** radio button.

7. Click the **Save** command button.

    The Change Order closes and the Change Orders – Pending view displays. The Change Order amount has been appended to the Contractor's Schedule of Work Completed (SWC).

8. To confirm that the amounts have been appended, you may view them as line items of the Schedule of Work Completed.

    - From the **Payments** submenu, click **Schedule of Work Completed (SWC)**.

    - Expand the Division of Work.

    The Contractors may now begin to bill for these additional line items.

Tasks of Construction Closeout

As construction draws to a close, the work will be inspected by the Architect/Engineer or ESCO, Project Manager, and the University's Operations and Maintenance personnel to determine how close the project is to completion. During this time, Contractors will need to correct items noted in the Punch List and deposit As-Built Drawings and Maintenance Manuals into PRZM.

Before final payment may be made to the Contractor, the University must determine that the work is substantially complete. At this time, the retainage amount may be released back to the Contractor.

Therefore, construction closeout involves the following activities recorded in PRZM:

- O&M Inspection Reports.

- Punch List Items.

- As-Built Drawings and Maintenance Manuals.

- Reduction in Retainage Affidavit.

- Certificate of Substantial Completion.

- Contractor's Final Payment Affidavit.

- Contractor's Final Release and Waiver of Lien.

- Contractor's Final Release and Waiver of Lien for SVS.

Construction Closeout Checklist

	Task No.	Role	Activities	Actions within PRZM
For the Construction Closeout Checklist: • The ESCO is the same as the A/E. • The ESCO is the same as the Contractor with Assigned Subcontractor. • The ESCO Subcontractor is the same as the Contractor.				
☐	1.	Contractor or	Contractor believes that the work is substantially complete (>90% complete).	
☐	2.	Contractor	Ensures that all submittal requirements have been met.	If Submittal Requirements are used within PRZM, Contractor completes all submittal requirements documents.
☐	3.	A/E	A/E reviews all submittals.	
☐	4.	Contractor	Contractor prepares a list of work remaining to be completed and submits the list to the Architect/Engineer or Energy Service Company.	
☐	5.	Contractor	Contractor requests for substantial completion from the A/E*.	
☐	6.	A/E	A/E evaluates the substantial completion request and all requirements.	
☐	7.	A/E	A/E approves or denies the request. If denied, Contractor must resubmit at a later time. Assuming the request is approved, it moves forward.	
☐	8.	A/E	A/E schedules a walk-thru of the area with appropriate project team members, in order to develop the Punch List of work to be completed by the Contractor.	
☐	9.	A/E	A/E records Punch List items within PRZM.	A/E records Punch List Items
☐	10.	A/E & CCU*	Campus Construction Unit and A/E determine the Owner Possession Date.	A/E records the Owner Possession Date on the Certificate of Substantial Completion within PRZM but does not yet complete the remainder of the document.

	Task No.	Role	Activities	Actions within PRZM
☐	11.	Contractor	Contractor begins work on Punch List Items.	
☐	12.	A/E	A/E completes the Certificate of Substantial Completion and begins the approvals process.	A/E completes the Certificate of Substantial Completion.
☐	13.	CM*	CM approves the Certificate of Substantial Completion*	Approves the Certificate of Substantial Completion
☐	14.	Contractor with Assigned Subcontractors	Contractor with Assigned Subcontractors approves the Certificate of Substantial Completion	Approves the Certificate of Substantial Completion
☐	15.	A/E	A/E approves the Certificate of Substantial Completion	Approves the Certificate of Substantial Completion
☐	16.	PM*	PM approves the Certificate of Substantial Completion	Approves the Certificate of Substantial Completion
☐	17.	PM	PM notifies appropriate campus units of Substantial Completion	
	18.		Substantial Completion Certificate is fully executed. Contractor has 30 days within which to complete all Punch List items. If Contractor does not meet this deadline, he faces liquidation damages for violation.	
☐	19.	Contractor	Guarantee of work by Contractor begins. Contractor addresses all Punch List items.	Contractor records Punch List items' completion in PRZM.
☐	20.	Contractor	Notifies A/E that Punch List items are ready for inspection.	
☐	21.	A/E	A/E schedules walk-thru of project with appropriate team members for final inspection.	
☐	22.	A/E & CCU	Accept (or reject) work as in full compliance with the Contractor's contract. This involves a field-verification of the completion of all Punch List items.	
	23.	Contractor	If the work is not in full compliance, the Contractor must remedy any defects. A later, additional inspection occurs, as in step 18 above.	

	Task No.	Role	Activities	Actions within PRZM
☐	24.	PM	Reduces Contractor's Retainage amount to zero.	PM marks the Contractor's Pay Application Information document with a zero Retainage amount.
☐	25.	PM	Notifies Contractor to submit Final Pay Application, the Contractor's Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers	
☐	26.	Contractor	Contractor ensures that all payments have been made to Subcontractors / Vendors / Suppliers.	Contractor zeros out all payments to Subcontractors / Vendors / Suppliers in their respective SVS Documents.
☐	27.	Contractor	Completes Final Pay Application, the Contractor's Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers	Completes Final Pay Application, the Contractor's Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers
☐	28.	A/E	Approves Final Pay Application, the Contractor's Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers	Approves Final Pay Application, the Contractor's Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers
☐	29.	PM	Final Pay Application, the Contractor's Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers	Approves Final Pay Application, the Contractor's Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers
☐	30.	CCU	Approves Final Pay Application, the Contractor's Affidavit for Final Payment, and Final Release and Waiver of Lien for Subcontractors/Vendors/Suppliers	
☐	31.	Business Manager	Completes Final Payment Application	Approves Final Payment Application

Abbreviations Used:
- A/E = Architect Engineer.
- CCU = Campus Construction Unit.
- CM = Construction Manager.
- ESCO = Energy Service Company.
- PM = Project Manager.

Retainage Reduction Affidavit

The Contractor uses this form to apply for a reduction in retainage (RR). This may only be done when the construction work for the contract is at least 90% complete and the work completed by the Contractor is in accordance with provisions of the contract. Only one Affidavit for Reduction in Retainage per Division of Work is allowed.

The reduction in retainage must be approved by the Architect/Engineer and the Project Manager. In addition, if the Contractor is not the Contractor with Assigned Subcontractor, the reduction must also be approved by the Contractor with Assigned Subcontractor.

Create the Contractor's Affidavit for Reduction in Retainage

1. In the Construction navigator, drop-down the **Submittals/Closeout** menu.

2. Select **Retainage Reduction Affidavit**.

3. Click the **Create** command button.

4. Enter the county in which the Contractor's business resides.

5. In section 1, select the Division of Work for the contract (general, electrical, etc.).

6. In section 6, enter the requested amount of the retainage to be released, in numerals, rounded to the nearest two significant digits (e.g., 92,785.00).

7. Click the **Refresh** command button to allow PRZM to calculate the percentage of the total contract value of the requested retainage reduction amount.

8. In the **Ready for Approval** field, click the **Yes** radio button when you are ready to submit the document for approval.

9. When complete, click the **Save** command button.

   The first approver is notified by PRZM.

Retainage Reduction Approvals

The Affidavit for Reduction in Retainage is approved by the following roles, in order:

- Contractor with Assigned Subcontractor or ESCO.
- Architect/Engineer.
- Project Manager.

Approve the Contractor's Affidavit for Reduction in Retainage

1. From your Dashboard, click the link to the relevant document.

2. Click the **Edit** command button.

3. Review the information presented in the affidavit.

4. In the **Approval** field, select the **Yes** radio button; choose **No** if you do not approve.

5. When complete, click the **Save** command button.

Manually Modify Retainage

The Project Manager can also reduce retainage by reducing the percentage of payment retainage.

Reduce Retainage (PM ONLY)

1. Drop-down the **Construction Administration** submenu.

2. Click **Pay Application Information**.

3. Click the link to the Division of Work to modify the retainage.

4. Click the **Edit** command button.

5. In the **Retainage Percentage** field, enter the new percentage retainage.

   —Or—

   In the **Fixed Value** field, enter the retainage reduced dollar value.

6. Click the **Save** command button.

   The retainage amount is saved and the Contractor Payment Application Information By Division view displays.

Construction Inspection Report (CIR)

The Construction Inspection Report (CIR) is the result of an inspection near substantial completion. It is authored by the Campus Lead Inspector.

The Campus Lead Inspector, a Campus Construction Unit role assigned by the Project Manager, records the findings of an inspection, and routes the report to the Project Manager, who instructs the Architect/Engineer or ESCO to review and, if necessary, direct affected Contractors or ESCO Subcontractors to take action as a result.

Once the Architect/Engineer or ESCO has reviewed and approved the CID, an immediate email is sent to the Contractor(s) or ESCO Subcontractors who submitted them to indicate the approval. If the CID was rejected, the affected Contractor(s) or ESCO Subcontractors receive an immediate email and can edit the CID to correct it.

If a CIR or CID fails review, it is returned to the previous individual for correction and resubmission. When the reviewer saves the document with the failed review, the previous reviewer or submitter receives an immediate email notification.

Create a Construction Inspection Report

1. Logon to PRZM.

2. From your Dashboard, select the project from the drop-down menu.

3. Click the link to the project.

4. Drop-down the **Phases** menu and select **Construction**.

5. From the **Submittals/Closeout** submenu, select **Construction Inspection Report (CIR)**.

6. Click the **Create** command button.

7. In the **Inspection Subject** field, enter a definitive subject for the report.

8. In the **Inspection Statement** field, summarize the results of the inspection.

9. In the **Priority Field**, drop-down the menu and select one:

   - Normal.
   - Low.
   - High.
   - Emergency.

10. In the **Affected Contractors** field, click the checkbox for each affected Contractor; if none, click Not Applicable.

11. In the **Ready for Project Manager** field, click the **Yes** radio button.

12. In the **Current Comments** field, enter additional comments.

13. If you have a file to attach, in the **Attach File Here** field, click the **Browse** command button to navigate and select the file to attach.

14. In the **Notification of Changes** field, if you wish to notify someone that this EWA had been created and distributed to the Contractor, select **Yes**.

    - Click the checkbox next to the names to notify.

    - To select more than one name, hold down the <Ctrl> key and click on each name you wish to select.

    - In the **Message** field, enter the message to accompany the notification.

15. When complete, click the **Save** command button.

    The document is saved and the first approver is notified by immediate email.

Review a Construction Inspection Report (CIR): Project Manager

1. From your Dashboard, click the link to the relevant document.

2. Click the link to the Construction Inspection Report.

3. Click the **Edit** command button.

4. Review the document.

5. In the **Ready for Architect/Engineer Review?** field, click the **Yes** radio button.

6. Scroll down the document and click the **Save** command button.

    The document is saved and the Professional Services Consultant is notified.

Review a Construction Inspection Report (CIR): AE or ESCO

1. From your Dashboard, click the link to the relevant document.

2. Click the link to the Construction Inspection Report.

3. Click the **Edit** command button.

4. Review the document.

5. In the **Architect/Engineer Review** section of the document, enter directions in the **Instructions to Contractors** text box.

6. In the **Ready for the Contractor Inspection Document Review Process?** field**,** click the **Yes** radio button.

7. Scroll down the document and click the **Save** command button.

The document is saved and the Construction Inspection Reports view displays, with the document status as *Pending Contractor Action*. Contractor(s) now respond with the Construction Inspection Document.

Respond to a Construction Inspection Report (CIR) with a Construction Inspection Document (CID)

1. Logon to PRZM.

2. From your Dashboard, select the project from the drop-down menu.

3. Click the link to the project.

4. Drop-down the **Phases** menu and select **Construction**.

5. From the **Submittals/Closeout** submenu, select **Construction Inspection Report (CIR)**.

6. Click the link to the relevant Construction Inspection Report.

7. Review the Construction Inspection Report.

8. Scroll down the document and click the **Create Construction Inspection Document** command button.

9. In the Contractor Review area, in the **Current Comments** text box, enter the comments regarding the inspection and any remedies proposed by the A/E or ESCO.

10. In the **Ready for Architect/Engineer approval** field, click the **Yes** radio button.

11. When complete, click the **Save** command button.

Review the Construction Inspection Document (CID)

1. Logon to PRZM.

2. From your Dashboard, select the project from the drop-down menu.

3. Click the link to the project.

4. Drop-down the **Phases** menu and select **Construction**.

5. From the **Submittals/Closeout** submenu, select **Construction Inspection Report (CIR)**.

6. Click the link to the relevant Construction Inspection Report (CIR).

7. Scroll down the document.

8. In the Contractor Inspection Documents area, click the link to the related Construction Inspection Document (CID).

9. Review the CID.

10. In the **Additional Instructions** field, enter additional instructions.

11. If you have further comments, in the **Current Comments** text box, enter your comments.

12. In the **Approved by Architect?** field, click the **Yes** radio button.

13. Click the **Save** command button.

   The document closes and the Construction Inspection Reports by Number view displays.

Punch List Items

The Punch List and the Certificate of Substantial Completion constitute the formal acceptance of the work that the Contractor has done on the project. After conducting a walk-through of the project, the Architect/Engineer or ESCO fills out a Punch List to record corrective work that needs to be performed by the Contractor. The Contractor then uses the punch list to indicate agreement and to show completion. Finally, the Architect/Engineer or ESCO returns to the form to indicate acceptance of the work.

Create a Punch List Item

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **Punch List**.

3. Click the **Create** command button.

4. From the **Division of Work** drop-down menu, select the appropriate division.

5. In the **Date of Inspection** field, enter the date that the area being declared substantially complete was inspected.

6. In the **Location or Room Designation** field, describe the location where the corrective action is to take place.

7. In the **Description of Corrective Work to be performed** field, describe the corrective action you want the Contractor to take.

8. In the **Estimated Affected Subcontractors** field, if Subcontractors will be affected, select those from those listed.

   - In the **CSI Division of Work** field, select the affected CSI Division of Work.

   - If none, click the checkbox next to **None**.

9. In the **Value of Corrective Work to be** Performed field, estimate the dollar value of the corrective work.

10. In the **AE: Punch List Item ready for Contractor** field, select the appropriate radio button:

    - **Yes.**
    - **No** (to be completed by the Architect/Engineer at a later date).
    - **Pending** (to be completed by the Architect/Engineer at a later date).

11. Attach a file or enter comments, if needed.

12. In the **Current Comments** field, record any comments on this particular punch list item.

13. When complete, click the **Save** command button.

Until you set the Punch List Item Ready for the Contractor radio button to Yes, it will not be routed to the Contractor.

The Punch List view appears, listing the newest item on the Punch List, with a status of *Pending Contractor agreement with corrective work*. The Contractor must review and accept the Punch List item.

Respond to a Punch List Item

1. In the **Construction** phase, drop-down the **Submittals/Closeout** menu.

2. Select **Punch List**.

3. Navigate to the appropriate document and click its punch list item number to open it.

4. Click the **Edit** command button.

5. Scroll down to the section entitled **Contractor: Agrees with Corrective Work**. Answer **Yes** or **No** and provide the date.

6. Click the **Save** command button.

   The Punch List view displays, with the item's status listed as *Pending Contractor completion of corrective work*.

7. Complete the work in the field.

8. When the field work has been completed, return to the Punch List item as in step 1 above.

9. Click the **Edit** command button.

10. Scroll down the document.

11. In the **Corrective Work Complete?** field, answer **Yes** or **No** and provide the date.

12. Attach a file or enter comments, if needed.

13. When complete, click the **Save** command button.

    The Punch List view displays, with the item listed as *Pending AE review of corrective work*.

Respond to the Contractor's Response to a Punch List Item

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **Punch List**.

3. Navigate to the appropriate document and click the Punch List item number to open it.

4. Click the **Edit** command button.

5. Scroll down to the section entitled **Corrective Work Complete and Accepted?** Answer **Yes** or **No** and provide the date.

6. Attach a file or enter comments, if needed.

7. When complete, click the **Save** command button.

    The Punch List view displays with the item listed as *Pending PM review of corrective work*.

Respond to the AE's Response to a Punch List Item

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **Punch List**.

3. Navigate to the appropriate document and click its Punch List item number to open it.

4. Click the **Edit** command button.

5. Scroll down to the section entitled **CCU: Corrective Work Accepted?** Answer **Yes** or **No**.

6. Attach a file or enter comments, if needed.

7. When complete, click the **Save** command button.

    The Punch List view displays with the item listed as *Corrective Work Complete and Accepted*.

Certificate of Substantial Completion

The Certificate of Substantial Completion is an important document for the Contractor and the Project Manager because it establishes the date that the University assumes responsibility for the project from the Contractor. That takeover includes responsibility for such things as utility costs, security, and other normal operations of the project. Substantial Completion is defined as the use of the space for the purpose originally intended.

The Architect/Engineer or ESCO authors the Certificate of Substantial Completion. However, on CM projects, the Construction Manager authors the Certificate of Substantial Completion. The Contractor reviews and indicates his/her agreement with it. Subsequently, other individuals approve this document.

Create the Certificate of Substantial Completion

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **Certificate of Substantial Completion**.

3. Click the **Create** command button.

4. In the **Contractor** field, drop-down the list and select the appropriate Contractor.

5. In the **Inspection Date** and **Owner Possession Date** fields, enter the dates.

6. In the *Inspection* section, name the **Inspection Participants** who participated in the punch list walk through and their **Representing (Firm or Agency)**.

7. In the **Areas or Sections Inspected for Occupancy** field, describe the areas inspected.

8. Scroll down the document and under the *Extended Warranties* section, list the items that have unusual guarantees on elements of construction that differ from the normal 365-day warranty. Designate the **Items** by name, **Specification Section**, the **Date of Commencement** on the warranty, and the **Duration** of the warranty.

   The Date of Expiration field calculates automatically from the date of commencement and the duration. Click the **Refresh** command button to calculate the expiration dates.

   If there are more than 12 items, attach a document which outlines the additional warranties.

9. Attach any files or drawings to this form that support the Certificate of Substantial Completion by entering the location of the file in the **Attach file here** field provided. You may also use the **Browse…** command button to locate the file.

10. In the **Ready for Contractor Approval** field, click the **Yes** radio button.

11. In the **Notification of Changes** field, if you have made changes and wish to notify other team members that the document is completed or has been modified, drop-down the menu and select **Yes**.

- Click the checkbox for each team member to be notified.

- In the **Message** field, enter the message to send to the selected team members.

12. When complete, click the **Save** command button.

    PRZM notifies the first approver that the Certificate of Substantial Completion is ready for review.

Approvals

Depending on the delivery method of the project, the following individuals may approve this document:

- Construction Manager.

- Assigned Subcontractor.

- Contractor with Assigned Subcontractors.

- Architect/Engineer or Energy Service Company.

- Project Manager.

Each of these individuals must indicate whether they agree or disagree with the Certificate by giving a Yes or No approval response on the document.

Instructions for the Approvers

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **Certificate of Substantial Completion**.

3. Navigate to the appropriate document and click its Division of Work link to open it.

4. Click the **Edit** command button.

5. Scroll down the document to the **Approval** section near the bottom of the document.

6. Click the radio button for *Yes* or *No* as desired.

7. In the **Notification of Changes** field, if you have made changes and wish to notify other team members that the document is completed or has been modified, drop-down the menu and select **Yes**.

   - Click the checkbox for each team member to be notified.

   - In the **Message** field, enter the message to send to the selected team members.

8. When complete, click the **Save** command button.

   PRZM notifies the next approver that the Certificate of Substantial Completion is ready for review.

As-Built Drawings/Maintenance Manuals

In order to close a construction contract, each Contractor must deliver the required maintenance manuals and as-built drawings to the owner. The submission of these documents is tracked through the **As-Built Drawings/Maintenance Manuals** feature, located under the View/Edit section of *Contractor Payments/Close-out*.

As part of the completion of the Construction phase, the Architect/Engineer or ESCO prepared submittal documents that contain the requirements for each Division of Work on the As-Built Drawings and Maintenance Manuals. If an As-Built/Maintenance Manual requirement was indicated on the Submittal, once the Submittal Requirements document have been completed and approved, the As-Built/Maintenance Manual document is created automatically by PRZM and must go through its approval workflow.

Submit As-Built Drawings/Maintenance Manuals

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **As-Built Drawings/Maintenance Manuals**.

   Each Division of Work and the requirements associated with the As-Built Drawings/Maintenance Manuals appears in the view.

3. Expand the appropriate Division of Work.

4. Click the link to the appropriate document.

   Each Contractor or ESCO Subcontractors will navigate to its As-Built Drawings/Maintenance Manuals requirements by selecting the *Specifications* section associated with each requirement in the main view. Selecting that specification section displays a form with detailed information and date fields required by the Contractors or ESCO Subcontractors as they submit documents to the Architect/Engineer or ESCO for review.

5. Click the **Edit** command button.

6. In the **Contractor's Routing Information** area, click the **Yes** radio button to send to the first approver.

7. In the **Current Routing Method or See Specified Attachment** field, enter the method the document will be routed (or indicate the name of the attachment which contains that information).

8. In the **Attach File Here** field, click the **Browse** command button to navigate and select the file to attach.

9. In the **Notification of Changes** field, if you have made changes and wish to notify other team members that the document is completed or has been modified, drop-down the menu and select **Yes**.

   - Click the checkbox for each team member to be notified.

   - In the **Message** field, enter the message to send to the selected team members.

10. Click the **Save** command button.

Review and Approving As-Built Drawings and Maintenance Manuals

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **As-Built Drawings/Maintenance Manuals**.

3. Expand the appropriate Division of Work.

4. Click the link to the appropriate document.

   Each Contractor or ESCO Subcontractor will navigate to its As-Built Drawings/Maintenance Manuals requirements by selecting the *Specifications* section associated with each requirement in the main view. Selecting that specification section displays a form with detailed information and date fields required by the Contractors or ESCO Subcontractors as they submit documents to the Architect/Engineer or ESCO for review.

5. Click the **Edit** command button; review the information submitted.

6. In the **Approval Routing Information** section, click in one radio button to approve or reject the submission, as appropriate,

   - Yes.
   - No.
   - Pending.

7. In the **Current Comments** field, enter comments in the text box.

8. Upon the completion of all submissions by a specific Division of Work, forward the submission to the Campus Construction Unit by selecting *Yes* in the **Send from A/E to Campus Construction Unit (if approved)** field.

9. Click the **Save** command button; the submission is routed to the next approver.

Final Payment Affidavit

The Final Payment Affidavit is a boilerplate document that brings in information about the Contractor or ESCO and ESCO Subcontractor and is the last in a series of close-out documents. It is typically submitted along with the Contractor's Final Waiver of Lien.

The Contractor or ESCO and ESCO Subcontractor has to submit the last Schedule of Work Completed and its related Schedule of Work Completed Approval List to reduce payments to zero. Submitting this affidavit does **not** generate a payment process.

This document is typically created by the Contractor or ESCO and ESCO Subcontractor, but if a Construction Manager is used in the project, the Construction Manager creates the document.

Submit the SWC Approval List for the final payment.

Complete the Contractor's Affidavit for Final Payment:

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **Final Payment Affidavit.**

3. Click the **Create** command button.

4. Under #1, drop-down the menu and select the Division of Work.

5. In statement #4, a text description of the dollar value that you are due (for example, Six thousand) and the numerical value (for example, $6000.00) will be automatically populated.

6. In the **Ready for Approval** field, click the **Yes** radio button.

7. When done, click the **Save** command button.

   A print-friendly version is available once the document has been approved. The Contractor or ESCO and ESCO Subcontractor must print this version for final submission.

Instructions for Approvers

This document is approved by:

- Contractor with Assigned Subcontractors or ESCO.
- Architect/Engineer.
- Project Manager.
- UOCP&RES

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **Final Payment Affidavit.** Review the information presented in the affidavit.

3. In the Approval section of the document, choose one radio button:

- **Yes** radio command button if you approve of the affidavit.

- **No** radio command button if you do not.

4. In the **Current Comments** field, enter comments into the text box.

5. In the **Notification of Changes** field, if you have made changes and wish to notify other team members that the document is completed or has been modified, drop-down the menu and select **Yes**.

   - Click the checkbox for each team member to be notified.

   - In the **Message** field, enter the message to send to the selected team members.

6. When done, click the **Save** command button.

   If you approve the Final Payment Affidavit, saving the document will queue it up for the next approver.

Contractor's Final Release and Waiver of Lien for SVS

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **Final Release for SVS**.

3. In the **Contract Division** field, using the drop-down menu, select the Division of Work.

4. In the **Subcontractor/Vendor/Supplier** field, using the drop-down menu, select the appropriate Subcontractor/Vendor/Supplier.

5. In the **Subcontract/PO#:** field, enter the Subcontract/PO number.

6. When done, click the **Save** command button.

7. Click the link to the Division of Work.

8. Scroll down and click the **View Print Friendly Page** command button.

9. Print the document for signatures.

10. Route the printed document.

Contractor's Final Release and Waiver of Lien

1. In the Construction phase, drop-down the **Submittals/Closeout** menu.

2. Select **Final Release**.

3. In the field after **…the sum of**, enter a text description of the dollar value due to you (e.g., six thousand).

4. When done, click the **Save** command button.

5. Click the link to the Division of Work.

6. Scroll down and click the **View Print Friendly Page** command button.

7. Print the document for signatures.

8. Route the document for signatures.

Warranty

To begin using PRZM in the Warranty phase, the Project Manager adds team members and assigns the following roles during the Warranty phase:

- Campus Warranty Officer.

- Campus Building Problem Reporter.

- Operation and Maintenance Warranty Representative.

- Architect/Engineer or ESCO Warranty Representative.

Assign Warranty Roles

You may assign more than one person to the same role, as needed. Assigning multiple roles to a single individual is also allowed; however, the role with the most permissions will override permission restrictions on the subsequent roles.

Once you have assigned Warranty roles, you may review the Warranty Information document to ensure that all necessary roles have been assigned. Information in this document is supplied from team member documents that you just completed, and no editing is necessary.

Review the Warranty Information Document

1. From the Phases menu, drop-down and click Warranty.

2. In the **Warranty** submenu, select **Warranty Information**.

3. Ensure that the following roles have been assigned to a team member:

    - Warranty Officer.

    - Building Problem Reporter.

    - O&M Representative.

    - A/E Representative.

4. If the roles have not been assigned, return to the Team Members area and add or edit the team member documents.

5. When you are certain that the Warranty Information is complete, click the **Close** command button.

Report Building Problems

Building problems are reported during the Warranty phase using the Building Problem Report document within PRZM, which may be filled out only by the person designated as the Building Problem Reporter. Using a single point of contact prevents duplication. Responses to these problems are then generated by the Warranty Officer and the Contractor responsible for the work.

The Building Problem Report is used to report building warranty problems. This form can be completed by the Campus Building Problem Reporter **only** (the person identified in PRZM by the Project Manager as the reporter of building problems). Other people should report building problems to this person who will record the problems in PRZM.

If, after the Warranty Officer has reviewed the corrective actions, the Warranty Officer does not agree that the problem has been resolved, the Contractor and Warranty Officer may repeat the steps until all parties have agreed on the solution.

Create a Building Problem Report

1. From the Phases menu, drop-down and click Warranty.

2. In the **Warranty** submenu, select **Building Problem Report**.

3. Click the **Create** command button. The information contained in the **Report Information** box is automatically generated by PRZM.

4. In the **Priority** field, drop-down the list and select one of the following priorities for the work:

   - Normal.
   - Low.
   - High.
   - Emergency.

5. In the **Problem statement** text box, describe the problem in detail. Be sure to give precise locations and the date of first occurrence.

6. When complete, click the **Save** command button.

   An immediate e-mail notification to the Warranty Officer is automatically sent by PRZM. The Warranty Officer is responsible for notifying Contractors who may be affected by the Building Problem Report.

View a Building Problem Report

1. From the Phases menu, drop-down the menu and select **Warranty**.

2. In the **Warranty** submenu, select **Building Problem Report**.

3. To view all Building Problem Reports, click the Expand View option.

Warranty Calls

The Campus Warranty Officer responds to a Building Problem Report with a Warranty Officer Response. The Warranty Officer should review the building problem and decide whether it is covered by the warranty. This decision determines how the form will be filled out.

Respond to Building Problem Reports

1. From the **Phases** menu, drop-down the menu and select **Warranty**.

2. In the **Warranty** submenu, select **Building Problem Report**.

3. To view all Building Problem Reports, click the Expand View option.

4. Click the relevant Building Problem Report number.

5. To create a service call, click the **Create Warranty Officer Response** command button.

6. In the **Additional Problem statement** field, enter additional information or instructions regarding this Building Problem Report.

7. In the **Priority** field, drop-down the menu and select the priority.

8. Each Contractor currently under contract for a Division of Work appears in the **Division(s) of Work** list.

   - If the problem described **is** covered by warranty, click the checkbox to select the Contractor/Division of Work responsible. You may select more than one Contractor if appropriate. An e-mail will be automatically sent to the Contractor(s) selected, notifying them of the problem and their responsibility to address the problem.

   - If the problem is **not** covered by warranty select **Not Applicable**. An e-mail will be automatically sent to O&M (Physical Plant), notifying them of the problem and their responsibility to address the problem.

9. In the **Text message for Contractor(s) (if applicable)** field, enter the message to go to the Contractors.

10. In the **Notify O&M (Physical Plant) Rep** field, select **Yes** to send a copy of the Contractor's notice to the Physical Plant.

11. In the **Notify A/E Rep** field, select **Yes** to send a copy of the Contractor's notice to the A/E.

12. If you need to attach any further information about the problem, in the **Attach File Here** field, click the Browse command button to locate and attach a file.

13. When you have completed the form, click the **Save** command button.

    PRZM generates immediate e-mail notifications to the selected individuals.

View Problem Resolutions

The Contractor Call Response document allows a Contractor to report on work completed for warranty calls. Using the Warranty Officer Response document, the Contractor views building problems that the Warranty Officer has judged to be his responsibility. The Contractor accesses this form by one of two means: by clicking on the link in the e-mail notification received from PRZM, or by selecting this document from the Warranty Officer Response view.

After performing corrective work requested in the Warranty Officer Response document, the Contractor uses the Contractor Call Response document to describe the corrective work, note its completion date, and notify the Warranty Officer.

As a Contractor, you may have to update this form several times because the corrective work may occur over a period of time, or there can be a lack of agreement on the resolution of the work. After you have created the document, you can access it from the Contractor Call Response view.

If the Warranty Officer notifies you that the work did not solve the problem, a link to this form will be included in that e-mail notification.

Instructions for the Contractor

1. From the **Phases** menu, drop-down and select **Warranty**.

2. In the **Warranty** submenu, select **Warranty Officer Response**.

3. To view all Warranty Officer Responses, click the **Expand View** option.

4. Click the relevant **Warranty Officer** Response number.

5. Review the **Warranty Officer Response** and any instructions contained within it.

6. Determine how to fix the problem and schedule the corrective work.

   If this problem is **not** the warranty responsibility, respond with a note in the Contractor Response text box.

7. After you have performed the corrective work and solved the problem, return to this report, scroll to the bottom, and click the **Create Contractor Call Response** command button.

8. In the **Current Contractor Comments** text box, detail your corrective work.

9. In the **Date(s) Contractor was on site** section, fill in the date(s) the work was performed.

10. In the **Resolved by Contractor** field, click the appropriate radio button:

    - Yes.
    - No.
    - Pending.

11. When complete, click the **Save** command button.

    The Warranty Officer is sent an e-mail notification about the Contractor Call Response, and the Warranty Officer must respond with agreement before the issue is closed.

Review the Contractor's Call Response

The Warranty Officer views the Contractor's Call Response document after the Contractor has performed corrective work and has requested confirmation that the problem has been fixed. The Warranty Officer reviews the work performed, determines if the response was appropriate and effective, and notes the decision regarding final resolution.

1. Review the Contractor's description of the corrective work. Determine if the Building Problem originally reported has been solved.

2. From the **Phases** menu, drop-down and select **Warranty**.

3. In the **Warranty** submenu, select All Problem Report Documents.

4. To view all Warranty Officer Responses, click the **Expand View** option.

5. Click the number of the Contractor Call Response document you wish to respond to.

6. Click the **Edit** command button.

7. If the corrective work was both appropriate and effective, under **Final Resolution** next to **Warranty Officer Agrees**, click the **Yes** radio button.

    The date will automatically generate. PRZM will automatically generate e-mails to the Building Problem Reporter and the Contractor that the work has been completed and the problem solved.

8. If the corrective work did **not** solve the problem, under **Final Resolution** next to **Warranty Officer Agrees**, click the **No** radio button.

    PRZM will automatically generate an e-mail to the Contractor that the work was not effective and the problem remains unsolved. The Contractor will be asked to contact the Warranty Officer.

9. When complete, click the **Save** command button.

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