**900 - Phase D Checklist**

This checklist is to be used by the Architect-Engineer during Phase D of the Project.

**Project Administration:**

 Complete N/A

 [ ]  [ ]  **Review**: Requirements in Chapter 9 – Phase D Construction, of the EKU DFMS Procedures Manual have been reviewed.

 [ ]  [ ]  **Phase D Authorization:** Phase D authorization has been received from Project Manager.

 [ ]  [ ]  **Unresolved Issues:** Any unresolved or incomplete issues from Phase C have been reviewed and resolved.

 [ ]  [ ]  **Contract:** The Construction Contract has been issued to the Contractor, copy to Architect-Engineer.

 [ ]  [ ]  **Project Directory:** The updated Project Directory has been distributed.

 [ ]  [ ]  **Communication:** A system of routing and distribution for project construction correspondence and submittals has been developed and implemented.

 [ ]  [ ]  **Pre-Construction Conference:** The Pre-Construction Conference has been scheduled and conducted. Architect-Engineer writes and distributes Pre-Construction Conference minutes.

 [ ]  [ ]  **Progress Meetings:** Phase D Construction Progress Meetings have been scheduled and conducted with Contractor, DFMS Project Manager, University Department Representative and Design Team. Architect-Engineer writes and distributes meeting minutes.

 [ ]  [ ]  **Commissioning Conference:** Phase D Commissioning Conference has been scheduled. Commissioning Authority conducts meeting; writes and distributes meeting minutes.

 [ ]  [ ]  **Construction Schedule:** Contractor’s Construction Schedule has been received and distributed. The Architect-Engineer shall review the updated construction schedule monthly.

 [ ]  [ ]  **Responsibilities:** Contract administration and site observation responsibilities have been assigned.

 [ ]  [ ]  **Contractor’s Submittal Schedule:** The Contractor’s submittal schedule has been obtained and reviewed.

 [ ]  [ ]  **Contractor’s Schedule of Values:** Prior to the first application for payment, receive and review Contractor’s Schedule of Values.

 [ ]  [ ]  **Contractor’s Application for Payment:** The Contractor’s Applications for Payment have been received, reviewed, and approved. **See Section 916**.

 [ ]  [ ]  **Tests and Inspections:** Required tests and inspection reports have been obtained and reviewed.

 [ ]  [ ]  **Drawings and Submittals:** Receive Shop drawings, samples and submittals have been received and reviewed. Appropriate action has been taken and returned to Contractor.

 [ ]  [ ]  **Recordkeeping:** Shop drawing, RFI, and Change Order logs have been maintained.

 [ ]  [ ]  **Change Orders:** Change Order proposals have been reviewed and an appropriate response given.

**Construction Contract Administration Files:** The Architect-Engineer shall create construction contract administration files including but not limited to the following:

 Complete N/A

 [ ]  [ ]  Correspondence and Meeting Minutes

 [ ]  [ ]  Construction Schedules

 [ ]  [ ]  Field Reports

 [ ]  [ ]  Project Photography

 [ ]  [ ]  Requests for Information (RFI’s)

 [ ]  [ ]  Requests for Proposals (RFP’s)

 [ ]  [ ]  Construction Change Directives or Architects Supplemental Instructions (ASI)

 [ ]  [ ]  Testing and Inspection Reports

 [ ]  [ ]  Submittals

 [ ]  [ ]  Regulatory Inspections, Permits and Approvals

 [ ]  [ ]  Applications for Payment

 [ ]  [ ]  Contract Agreements

 [ ]  [ ]  Schedule of Values

 [ ]  [ ]  Certificates of Insurance

 [ ]  [ ]  Project Closeout

 [ ]  [ ]  Other files as necessary

 **Phase D Completion Checklist:**

 Complete N/A

 [ ]  [ ]  The Contractor shall provide notification of substantial completion and provide the Architect-Engineer a list of items to be completed or corrected.

 [ ]  [ ]  The Architect-Engineer shall provide a punch list inspection to verify substantial completion. The Architect-Engineer’s shall issue the punch list.

 [ ]  [ ]  The Architect-Engineer shall provide the Final Inspection to verify completion or correction of punch list items.

 [ ]  [ ]  When the project is judged to be substantially complete, a Certificate of Substantial Completion shall be issued.

 [ ]  [ ]  The Contractor’s record drawing mark-up prints shall be received and reviewed.

 [ ]  [ ]  Architect-Engineer shall transfer Contractor’s record drawing mark-ups to AutoCAD files.

 [ ]  [ ]  Contractor’s close-out submittals shall be reviewed for completeness.

 [ ]  [ ]  The Contractor has obtained a Certificate of Occupancy or occupancy permit.

 [ ]  [ ]  The Contractor’s application for final payment, including lien waivers, consent of surety and final affidavit, has been reviewed and signed.

 **Commissioning Authority:**

 Complete N/A

 [ ]  [ ]  Updated DFMS Project Management’s Project Requirements & Manual

 [ ]  [ ]  Submittals and Shop Drawing Review Summary

 [ ]  [ ]  Construction Checklist Distribution and Reviews

 [ ]  [ ]  Systems Commissioning Test Schedules

 [ ]  [ ]  Owner Training Schedule

 **Commissioning Authority: (continued)**

 Complete N/A

 [ ]  [ ]  Commissioning Progress Meetings

 [ ]  [ ]  Construction Phase Support / Testing / Inspections

 [ ]  [ ]  Progress Reports

 [ ]  [ ]  Operations and Maintenance Documentation

 [ ]  [ ]  Approved Record Documents

 [ ]  [ ]  Commissioning Report

 [ ]  [ ]  Updated Systems Manual

 [ ]  [ ]  Systems Maintenance Turnover Plan

 [ ]  [ ]  Case Study

 **Division Facilities Management & Safety Responsibilities- Project Manager:**

 Complete N/A

 [ ]  [ ]  Set up reminder for 1 year Warranty Meeting

 [ ]  [ ]  We have notified University Claims Specialist to obtain insurance for the facility prior to substantial completion

 [ ]  [ ]  We have participated in \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 [ ]  [ ]  List the project and costs

 [ ]  [ ]  Provides staff for Operations and Maintenance Training

**Facility Services Subgroup:**

 **Division 21 Fire Suppression:**

 Complete N/A

 [ ]  [ ]  Construction Phase Testing / Review

 [ ]  [ ]  Operating & Maintenance Manual Review

 [ ]  [ ]  Contractor’s Submittals & Shop Drawings Reviews

 [ ]  [ ]  Commissioning Report Review

 [ ]  [ ]  Training Program Participation

 **Division 22 Plumbing:**

 Complete N/A

 [ ]  [ ]  Construction Phase Testing / Review

 [ ]  [ ]  Operating & Maintenance Manual Review

 [ ]  [ ]  Contractor’s Submittals & Shop Drawings Reviews

 [ ]  [ ]  Commissioning Report Review

 [ ]  [ ]  Training Program Participation

**Facility Services Subgroup: (continued)**

 **Division 23 HVAC:**

 Complete N/A

 [ ]  [ ]  HVAC Systems TAB Report / Review

 [ ]  [ ]  Witnessed Equipment Factory Performance Tests

 [ ]  [ ]  Construction Phase Testing / Review

 [ ]  [ ]  Operating & Maintenance Manual Review

 [ ]  [ ]  Contractor’s Submittals & Shop Drawings Reviews

 [ ]  [ ]  Commissioning Report Review

 [ ]  [ ]  Training Program Participation

 **Division 25 Integrated Automation:**

 Complete N/A

 [ ]  [ ]  Construction Phase Testing / Review

 [ ]  [ ]  Operating & Maintenance Manual Review

 [ ]  [ ]  Contractor’s Submittals & Shop Drawings Reviews

 [ ]  [ ]  Commissioning Report Review

 [ ]  [ ]  Training Program Participation

 **Division 26 Electrical:**

 Complete N/A

 [ ]  [ ]  Construction Phase Testing / Review

 [ ]  [ ]  Operating & Maintenance Manual Review

 [ ]  [ ]  Contractor’s Submittals & Shop Drawings Reviews

 [ ]  [ ]  Commissioning Report Review

 [ ]  [ ]  Training Program Participation

 **Division 27 Communications:**

 Complete N/A

 [ ]  [ ]  Construction Phase Testing / Review

 [ ]  [ ]  Operating & Maintenance Manual Review

 [ ]  [ ]  Contractor’s Submittals & Shop Drawings Reviews

 [ ]  [ ]  Commissioning Report Review

 [ ]  [ ]  Training Program Participation

 **Division 28 Electronic Safety & Security:**

 Complete N/A

 [ ]  [ ]  Construction Phase Testing / Review

 [ ]  [ ]  Operating & Maintenance Manual Review

 [ ]  [ ]  Contractor’s Submittals & Shop Drawings Reviews

 [ ]  [ ]  Commissioning Report Review

 [ ]  [ ]  Training Program Participation

**End of Phase D Checklist**