**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**