

**Construction Alliance**  
Friday, September 21, 2018

The meeting was called to order at 7:32 am. In attendance were:

<b>AGC</b>	Jon Danuser, Johnson Controls Denise Hasty, AGC of Missouri	<b>SLCCC</b>	Kelly Jackson
<b>ACEC/MO</b>	Marc Alper, Alper Audi, Inc. Cary Duchene, Black & Veatch, Inc. Mike Erdtmann, GBA, Inc. Linda Moen, EFK Moen, LLC Joel Weinhold, Geotechnology, Inc. Dan Wilson, Retired	<b>IFMA</b>	
		<b>CSI</b>	Greg Zipfel, BJC Const. & Real Est. Services
		<b>AIA</b>	Todd Jacobs, KAI Design & Build

### Minutes

Minutes of the July 20, 2018 meeting were amended due to incorrect reporting of attendees.

### Glossary Terms for Construction Guidelines

The glossary continues on the agenda for updates at each meeting. There was one definition added to the Glossary. Revised version showing edits is attached.

### Guidelines under Development

**Progress Meetings** (G. Zipfel) – G. Zipfel presented a draft of this new guideline and members made suggested edits (copy attached for reference). This guideline was approved for posting on the website under the Contract Administration tab.

**Design Team** (M. Alper) – M. Alper presented a draft of a definition of Design Team for review. Changes to the draft were made (see attached for reference). The alliance asked to review these edits again at the next meeting.

**Project Delivery Methods** (D. Hasty) – As previously requested by the Alliance, D. Hasty presented a compilation of project delivery methods that were defined in the Glossary for consideration as a new guideline. Alliance members made edits (see attached for reference) and asked to review guideline again at the next meeting for some specific additions they still desired to make.

### Updates on Guidelines in Process

**Sets of Documents for Construction, Sets of Documents for Bidding & Use of Plan Rooms** (Steve Gantner) – At prior meeting alliance members called for a significant update to “Documents for construction” guideline and Steve Gantner volunteered to draft a revision. At a subsequent alliance meeting, members reviewed “Documents for Bidding” and “Use of Plan Rooms” guidelines and asked that these three guidelines be merged into a single guideline. No further action has been taken on this guideline.

**Inspection of the Construction Project** (Steve Gantner) – At the November 2016 meeting, alliance members called for an update to this guideline and S. Gantner volunteered to review and bring edits to a future meeting. No further action has been taken on this guideline.

### Review of Existing Guidelines

**Project Closeout** – Alliance members intended to give final review/approval to these guideline edits but ultimately asked to defer again, pending the finalization of the Design Team definition for the Glossary. No further edits were made to this document (July edits are attached as reference.)

**Punch Lists** – Alliance members edited this guideline and again held final approval pending a reconciliation of the terms in this guideline with the terms in the “Project Closeout” guideline which is

also still pending (see above). See attached for updated edits.

**Other Business**

Denise is still searching for General Contractor members of the AGC of Missouri to participate on the alliance. Any suggestion of individuals by other alliance members is appreciated.

The meeting adjourned at 9:07 AM.

## Glossary Terms for Construction Guidelines

**AABCA:** African American Business and Contractors Association

**ACEC/MO:** American Council of Engineering Companies of Missouri

**Addenda:** An update to a set of Bid Documents issued before bids are received.

**AGC:** Associated General Contractors of Missouri.

**AIA:** American Institute of Architects, St. Louis Chapter.

**Allowance:** A sum of money defined in the documents, to be included in the bid to cover the cost of work not fully defined by the documents.

**Alternates:** Amount to be added to or deducted from the base bid if the corresponding change in project scope or alternate materials and/or method of construction is accepted.

**Architects Supplemental Instruction (ASI):** A written document issued by the Architect for minor changes in the work that do not affect contract time or cost.

**Bid Documents:** See Procurement Documents.

**Boring Logs:** Documentation of soil samples to be found at various depths with the purpose of estimating the load-carrying capacity of the soil and predicting subsurface conditions.

**Brooks Act:** Federal Property and Administrative Services Act of 1949 which provides guidelines for Qualification Based Selection of firms.

**Bid Bond:** The Bid Bond ensures the Owner that Contractor will execute a contract at their submitted bid amount.

**BIM:** Building Information Modeling. Building Information Modeling (BIM) is a digital representation of physical and functional characteristics of a facility. A BIM is a shared knowledge resource for information about a facility forming a reliable basis for decision making during its life-cycle; defined as existing from earliest conception to the end of its useful life. It relies on object-based, multi-dimensional modeling as the design of record and for as-constructed, as-built and as-operated information.

**Biological Hazards:** Also referred to as biohazards, refers to substances and contaminated materials that pose a threat to the health of living organisms, primarily humans. They include but are not limited to fungi

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(mold), bloodborne pathogens, bodily fluids, feces and sewage, viruses, bacteria, and plants, insects or other wildlife that may be poisonous, venomous or infectious.

**CAP:** Change Acceleration Process.

**Certificate of Occupancy:** The document prepared by the authority having jurisdiction certifying that the work is approved for the designated use.

**Certificate of Substantial Completion:** The document that is prepared by the design professional, after an inspection of the work, to establish that the work, or portion of the work, is sufficiently complete in accordance with the Construction Contract Documents that the owner can occupy or utilize the work for its intended use.

**Change Order:** A written order to the contractor signed by the owner or his authorized representative authorizing changes in the work or adjustments in the contract sum or the contract time. The change order must also be signed by the contractor to indicate his acceptance of the adjustment in the contract sum and the contract time. The contract sum and the contract time may be changed only by change order.

**ConsensusDOCS:** Standardized contract documents developed by organizations representing owners, contractors, subcontractors, designers and sureties originally released in September, 2007.

**Construction Management:** A professional management practice consisting of an array of services applied to construction projects and programs through the planning, design, construction and post construction phases for the purpose of achieving project objectives including quality, cost, time and scope.

**Construction Management at Risk:** Is a delivery method which entails a commitment by the construction manager to deliver the project within a Guaranteed Maximum Price (GMP). The construction manager acts as consultant to the owner in the development and design phases, and acts as the equivalent of a general contractor during the construction phase.

**Construction Manager (CMA or CMC):** An entity that typically contracts with the owner to provide construction management services. The Construction Manager as Agent (CMA) is employed by the owner to act as an adviser during both the pre-construction and construction phases. The construction manager as contractor (CMC) is engaged to provide pre-construction and construction services. During pre-construction the CMC provides construction expertise, estimating, and scheduling services. During construction, the CMC performs contracting, purchasing, and supervising of construction by guaranteeing the cost of the project and signing subcontracts, in which case the construction manager acts as a contractor and not an adviser.

**Construction Contract Documents:** The owner-contractor agreement, the conditions of the contract (general, supplementary and other conditions), the drawings, the specifications, and all addenda issued prior to execution to the contract, all modifications thereto, and any other items specifically stipulated as being included in the construction contract documents.

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**Contractor Controlled Insurance Program (CCIP):** The General Contractor provides certain insurance coverage for all contractors on the project site under an umbrella program through an insurance company. CCIP will normally reduce the cost of the project insurance since the umbrella rates would be lower than the sum of individual contractor rates on the job. An additional benefit is to provide unified insurance coverage for the entire project rather than piecemeal coverage that may result in cross claim coverage.

**Constructability:** Ability to construct the designed work in a timely and cost effective manner. The extent to which the design of a facility provides for ease of construction yet meets the overall requirements. The integration of construction knowledge and experience in the planning, design, procurement, and construction phases of projects consistent with overall project objectives.

**Construction Contract Documents:** Completed drawings, specifications including addenda and all documents list an enumerated in the agreement..

**CSI:** Construction Specifications Institute, Greater St. Louis Chapter.

**Date of Substantial Completion:** The date certified by the design professional when the work or a designated portion thereof is sufficiently complete, in accordance with the construction contract documents, so the owner may occupy the space or designated portion thereof for the use for which it is intended.

**Disadvantaged Business Enterprise (DBE):** Entity that is at least 51% owned and day-to-day operations are controlled by one or more socially and economically disadvantaged individuals. Title 49 Part 26 of the Code of Federal Regulations is frequently imposed when Federal funds are part of the project's funding.

**Design/Bid/Build:** A project delivery method in which the Owner engages a designer to prepare the design of the complete facility, including construction contract documents and other contract documents. Once completed, the bid package is presented to interested general contractors (GC), who prepare bids for the work. In many cases, the qualified contractor submitting the lowest responsive bid is selected to perform the construction.

**Design/Build:** The project delivery method by which a single team develops a project including the design as well as construction.

**Design Competition:** A process in which design professionals submit their preliminary design solutions in response to a written narrative describing a proposed project.

**Design Professionals:** Designation reserved, usually by law, for a person or organization professionally qualified and duly licensed to perform either architectural or engineering services.

**Diversity:** The inclusion of minority and women owned businesses and employee workforce (boots on the ground) in the industry.

**[EJCDC: Engineers' Joint Contract Documents Committee.](#)**

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**Environmental Site Assessment (E.S.A.):** Phase I provides preliminary site investigation; Phase II is performed if site contamination is believed to be present.

**Experience Modification Rating (EMR):** This is an adjustment that is made to the Workers' Compensation insurance premium of companies that meet or exceed a certain size threshold. This means that an adjustment factor will be calculated for a company based on prior years' payroll and loss data, essentially comparing the loss data of that particular company to average loss data for all other employers in that state who share the same classification codes. Experience modifiers are calculated by rating bureaus (or as they are now designated, Advisory Organizations). Most states use NCCI for this work. NCCI is a private corporation, created and funded by member insurance companies.

**Green Guide for Health Care (G.G.H.C.):** Similar to LEED, but also addresses health care operational aspects.

**Hazardous Communication Standard (HCS):** An OSHA standard that outlines the protocols for handling hazardous materials.

**I.F.M.A.:** International Facilities Management Association, St. Louis Chapter.

**Inspection:** The examination of construction activities and products for the purpose of verifying compliance with the construction documents and other project requirements. The Owner normally obtains this service under a direct contract with the Inspection Service that specifically delineates the inspection scope and documentation requirements.

**International Building Code (IBC):** Construction codes and standards that address design, installation, testing and materials related to building construction.

**Integrated Project Delivery (IPD):** An alternative project delivery method that is characterized by a formal contractual relationship between the Owner, Design Professionals, General Contractors and key subcontractors. IPD may be used by the Owner to optimize project results and is best utilized on large and complex projects. This incentivizes collaborative behavior and team risk-sharing to enhance project success criteria.

**Latent Conditions:** Conditions, which are hidden or unforeseen through reasonable interpretation of construction contract documents and site investigation.

**Lean Construction:** A Project Management Delivery approach focused on maximum value and minimum waste. A system intended to manage and improve overall performance by using input from all team members. Lean Construction focuses on optimization of labor, materials and time assets rather than costs.

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**LEED:** Leadership in Energy & Environmental Design. The LEED Green Building Rating System® developed by the U.S. Green Building Council is a voluntary, consensus-based national standard for developing high-performance, sustainable buildings.

**LEED Accredited Professional (LEED AP):** LEED accreditation is awarded to building industry practitioners with detailed knowledge of LEED project certification requirements and processes and a command of integrated design principles. These proficiencies have to be successfully demonstrated on a comprehensive exam administered by the U.S. Green Building Council.

**Lien Waivers:** An instrument by which a person or organization who has or may have a right of mechanics lien or materials lien against the property relinquishes such right.

**Material Safety Data Sheets (MSDS):** Written or printed material concerning a hazardous chemical. These sheets shall be developed by chemical manufacturers and employers shall have material safety data sheet for each hazardous chemical, which they use.

**MEP:** The acronym, "MEP," stands for "Mechanical, Electrical and Plumbing" services and is a significant component of the design and construction industry. The mechanical component of MEP is also often referred to as HVAC (heating, ventilation and air conditioning systems). When necessary, the mechanical component also includes air filtration, smoke control and exhaust. The electrical component includes not only powering equipment and appliances but also utility power distribution, lighting, switches, fire alarms, security systems, as well as lightning protection when necessary. The plumbing component focuses on the delivery of water and the draining/removal of waste and storm water. Sometimes fire protection may be included as part of the design and construction services under the plumbing component.

**Minority Business Enterprise (MBE):** Entity that is at least 51% owned and day-to-day operations are controlled by a minority.

**MOKAN:** An organization of minority and women owned businesses.

**Multiple Prime Contractors:** Circumstance on project where more than one contractor has a contract directly with the owner.

**Observation:** The collection of information, visually in most cases, during project walkthroughs. This normally occurs from time to time during the project and is intended to allow a design professional to become familiar with the progress of construction and the general conformance to the design intent.

**OSHA:** Occupational Safety and Health Administration.

**Owner Controlled Insurance Program (OCIP):** The owner provides certain insurance coverage for all contractors on the project site under an umbrella program through an insurance company. OCIP will normally reduce the cost of the project insurance since the umbrella rates would be lower than the sum of individual

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contractor rates on the job. An additional benefit is to provide unified insurance coverage for the entire project rather than piecemeal coverage that may result in cross claim coverage.

**Payment Bond:** Payment Bonds guarantee the payment of all bills incurred by the Contractor for labor and materials in connection with the project.

**Performance Bond:** Performance Bonds will indemnify the Owner (or General Contractor in the case of Subcontractor bond) against loss resulting from the failure of the Contractor to complete the work in accordance with the Contract Documents.

**Permits:** Written approvals by appropriate governmental or municipal agencies required to begin work on a project.

**Plans:** Drawings developed by a Design Professional that show the horizontal layouts. Contract Drawings include plans, sections, elevations, diagrams, schedules and details.

**Prime Contractor:** A contractor on a project having an agreement directly with the owner.

**Procurement Documents:** The documents used to obtain pricing from prospective contractors. In a competitive bidding process, these documents include the advertisement or invitation to bid, instruction to bidders, the bid form and the proposed construction contract documents including any addenda issued prior to receipt of bids.

**Professional Seal:** Design professionals' seal signifying that they are registered and licensed to practice in a specific state.

**Project Closeout:** Deliverables at the end of the construction phase and beginning of occupancy phase to close out the construction effort and to allow final payment. This includes operational demonstrations, submission of warranties, operation and maintenance manuals, consent of surety, punch list completion, record drawings, and record project manuals.

**Project Manual:** Contracting requirements and specifications usually bound into one or more volumes.

**Punch List:** The comprehensive list of uncompleted items and corrections as prepared by the Contractor, Design Professional and Owner, required for completion of the Work.

**QBS:** Qualification Based Selection. Selection based on qualifications of firm, team, experience and project capability.

**RFI:** Request for Information. A written request for more specific information about a certain aspect of a project.

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**RFP:** Request for Proposals. A written request from an owner, design professional or contractor for cost proposals for design, management or construction services. The RFP defines the scope of proposed Work.

**RFQ:** Request for Qualifications. A written request from an owner, design professional or contractor documenting a scope of Work and requesting professional qualifications for that scope of Work.

**RUCC (Regional Union Construction Center):** A nonprofit incubator, established by PRIDE of St. Louis, Inc., the area's construction labor-management organization, to help minority owners of union construction companies that have shown the desire to grow their businesses and are interested in a structured program to learn improved methods of operating a business.

**SLCCC:** St. Louis Council of Construction Consumers

**Shop Drawings:** Detailed drawings by suppliers and manufacturers of various material and equipment. They must conform to the original drawings, but are not construction contract documents. Drawings, diagrams, illustrations, schedules, performance charts, calculations, brochures and other data prepared by the contractor or subcontractor, manufacturer, supplier or distributor, which illustrate how specific portions of the Work are to be fabricated or installed.

**Specifications:** A description of the performance, materials and workmanship required in a construction project. The specifications may be included in a project manual or shown on the drawings or both. The written material containing the standard provisions and special provisions as may be necessary, pertaining to the types and qualities of material to be furnished under the contract.

**Standards:** A rule or principle that is used as a basis for judgment as established by authority, custom, or general consent as a model or example, sometimes set up and established by authority as a rule for the measure of quantity, weight, extent, value or quality. For example, there are Owner standards, standards for drawings, operations and maintenance, quality assurance / control, sustainability, testing and certification.

**Submittals:** Shop Drawings, product data, samples, certifications, calculations and project closeout documents prepared and submitted to the design professional by the contractor/subcontractor. Submittals more fully describe the work the contractor/subcontractor will install that the design professional needs to review for general compliance with the design intent. The information is typically more detailed than what is shown in the construction contract documents and provides specific data on the material to be used. Submittals are not construction contract documents but they are contract requirements.

**Testing:** The physical measurement of attributes of the construction products such as strength, density, flow, temperature, system performance etc.

**U.S. Green Building Council (U.S.G.B.C.):** A national organization that promotes buildings that are environmentally responsible, profitable and healthy places to live and work. They have established the LEED Green Building Rating System® which is a voluntary, consensus-based national standard for developing high-performance, sustainable buildings.

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**Value Engineering (VE):** A process whose objective is to affect economy in the cost of constructing a project or to improve the constructability without detrimental impact on project quality. VE includes evaluating any object's function and modifying the object in terms of cost and functional objectives while maintaining or enhancing quality.

**Women Business Enterprise (WBE):** Entity that is at least 51% owned and day-to-day operations are controlled by a female.

Revised: January, 2011  
March, 2013 and November, 2013  
May, 2014 and November, 2014  
January, 2015, May, 2015, July, 2015, and September, 2015  
January, 2016  
January 2018  
September 2018

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## Progress Meetings

Offers a collaborative environment to maintain the orderly flow of construction operations.

Progress meetings are regularly occurring meetings during the course of construction that are typically attended by the Contractor, Architect, Engineer(s), and Owner. On occasion, other individuals may be asked to attend Progress Meetings including but not limited to subcontractors, suppliers, manufacturer representatives, and testing/inspection companies. These meetings focus on raising and resolving developing construction-related issues. They are held more often than other types of meetings and are the most effective tools contractors have for effective project coordination. For most contractors, progress meetings help maintain an orderly flow of construction operations. Specific requirements for a Project's Progress Meetings are identified in the terms and conditions of the Contract and/or in the Project Manual, Division 01 – General Requirements.

**Frequency:** Progress meetings should be held often enough to address or avert developing problems. For most projects, it is common to expect at least one Progress Meeting per month, however, the complexity and duration of the Project may require meetings on a more frequent basis. In addition, there may be critical construction activities when weekly or daily progress meetings are necessary. The frequency and regularity of the meetings should be discussed with all attendees prior to commencing construction.

**Attendees:** The Contractor's project manager and superintendent shall attend. The Architect and Engineer(s) ~~shall~~should be represented by their project manager and/or field representative. The Owner's representative (or the Construction Manager if one is retained) should also attend all Progress Meetings. Occasionally, other individuals may need to attend. Major subcontractors concerned with current progress or involved in planning for impending activities should attend. Material suppliers and manufacturers' representatives are often asked to attend when their products are used in unusual applications or when special conditions arise involving their products. It is important that the attending representatives have sufficient authority to act on behalf of the organization they represent to make Project-related decisions.

**Agenda:** Unless otherwise identified in the Contract Documents, ~~T~~he Contractor is responsible to prepare an agenda in advance of the Progress Meeting. The following issues should be discussed at every meeting:

- Safety. Site safety and any safety issues should be discussed.

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- **Job Progress.** Reviewing construction progress made since the previous meeting is one of the most important items on the agenda at every progress meeting. All participants need to know if some construction activity is behind schedule and could affect job progress. The participants should take appropriate action to avert delays and be prepared to make whatever commitments are necessary to resolve problems. They should also be prepared to make adjustments to the Contractor's construction schedule if necessary to maintain construction progress.
- **Upcoming Construction.** Equally important is planning for upcoming operations. The parties taking part in upcoming operations need to discuss and coordinate the completion of preparatory work in anticipation of their construction activities.
- **Status Reports.** Every progress meeting should include a report on matters that affect progress, such as submittals and delivery of materials. The current production status of long lead items and materials fabricated off-site is a matter of particular concern and should be reported at all progress meetings until the items are delivered or installed.
- **Proposed Changes.** Every progress meeting should include a report on the status of requests for substitutions and other proposed changes and modifications to the Project, if any are pending.
- **Problems and Conflicts.** When problems or conflicts arise, the parties should discuss and resolve the issues at a progress meeting, where everyone can examine issues critically and arrive at a reasonable and equitable solution.
- **Site Utilization.** Any changes in the use of the premises should be reported as soon as possible. Such changes include notice of a need to temporarily relocate some support facility for installation of permanent work.
- **Progress Payments.** The Architect and/or Owner may review the current Progress Payment request during a Progress Meeting. Often times, a draft (pencil copy) may be reviewed and discussed before the final payment request is prepared. This allows an opportunity for the Architect and/or Owner to ask questions and reconcile the completed Work with the payment requested.
- **Record Documents.** Development of Record Documents and the responsibilities of individual parties for recording and submitting record data may also be discussed at progress meetings.

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As the Project nears completion, preparation and submittal of Record Documents become increasingly important.

- Additional Information. Progress meetings offer participants an opportunity to request additional information on construction issues. Additional information is often needed to help everyone involved understand the reasoning behind an unusual construction procedure. Clarification or interpretation of some construction detail may prevent a serious misunderstanding or a future problem.
- Other Business, Any number of other issues may be discussed during a normal progress meeting.

**Minutes:-** Unless otherwise identified in the Contract Documents, theThe Contractor is responsible to document and distribute Meeting Minutes to each representative in attendance and any other person as required or as directed.

#### REFERENCES:

AIA A201 - General Conditions

Consensus Docs??

EJCDC (Engineers Joint Contract Documents Committee) General Conditions

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## “Design Team” definition (FIRST DRAFT)

The “~~d~~Design ~~t~~Team” includes all participants ~~that are~~ involved in the project design process ~~for a project~~. The Owner or Owner’s Representative is always part of the design team, and participates when necessary to provide guidance and to make decisions such as those that affect contract details, cost, aesthetics, or quality. These participants will vary depending on the nature of each project, (e.g. buildings, or public works projects...), and on the project delivery method, (e.g. design-bid-build, design-build, CM,...). This team ~~will~~ typically falls under the leadership of the contracted prime design professional, and ~~so~~ may be either Architect or Lead Engineer. The Design Team ~~will~~ includes appropriate staff from the Architect (on building projects), and ~~all of the project’s necessary~~ consultant disciplines, (which could include structural, civil, mechanical, electrical, plumbing, fire protection, geotechnical, interiors, as well as specialty consultants like process, kitchen, lab, ~~controls,~~ curtainwall, or elevators as needed), whether these sub-consultants are directly under contract to the prime professional, or are brought to the project by the Owner, Contractor or otherwise. In ~~the case of~~ design-build or CM projects, the necessary contractor disciplines are also included on the design team, and may include GC’s, and sub-contractors of each major component. ~~The owner or owner’s representative is always part of the design team, and participates when necessary to provide guidance and to make decisions such as those that affect contract details, cost, aesthetics, or quality.~~

## Project Delivery Methods

A variety of project delivery options are available to an Owner; one may be better suited to a particular project than another.

Project Delivery Method is a system used by an agency or owner for organizing and financing design and construction services for a project. There are several options an owner may choose to execute a project. As the design and construction industry changes/evolves, project delivery methods will change as well. Creative project delivery methods have become more accepted and the contractual options continue to change. This guideline is intended to provide a sampling of options and may not be all-inclusive.

Construction Management at Risk: Is a delivery method which entails a commitment by the construction manager to deliver the project within a Guaranteed Maximum Price (GMP). The construction manager acts as consultant to the owner in the development and design phases, and acts as the equivalent of a general contractor during the construction phase.

**Design/Bid/Build:** A project delivery method in which the Owner engages a designer to prepare the design of the complete facility, including construction contract documents and other contract documents. Once completed, the bid package is presented to interested general contractors (GC), who prepare bids for the work. In many cases, the qualified contractor submitting the lowest responsive bid is selected to perform the construction.

**Design/Build:** The project delivery method by which a single team develops a project including the design as well as construction.

~~Construction Management at Risk: Is a delivery method which entails a commitment by the construction manager to deliver the project within a Guaranteed Maximum Price (GMP). The construction manager acts as consultant to the owner in the development and design phases, and acts as the equivalent of a general contractor during the construction phase.~~

**Integrated Project Delivery (IPD):** ~~An~~ relatively new alternative project delivery method that is characterized by a formal contractual relationship between the Owner, Design Professionals, General Contractors and key subcontractors. IPD may be used by the Owner to optimize project results and is best utilized on large and complex projects. This incentivizes collaborative behavior and team risk-sharing to enhance project success criteria.

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NOTE: The Project Delivery Methods above are as listed in glossary. Alliance will contemplate additional delivery methods for potential addition both here and to Glossary. Defer to next meeting.

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Cary Duchene suggested amending D-B to include a list of various types of D-B  
Jon Danuser suggested adding Public/Private Partnerships to the list

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## PROJECT CLOSEOUT

Efficient closeout ensures Owner's timely occupancy and prompt payment.

Smooth, successful project closeout depends on clear definitions of responsibilities and timely completion of contract requirements.

- As defined in the specifications, the Contractor is responsible for initiating all actions outlined, and for securing required documents and approvals such as
  - record documents
  - warranties
  - operations and maintenance manuals
  - owner training
  - occupancy and other permits
  - release of surety
- In a traditional Design-Bid-Build the Contractor shall provide written notification to the Owner that the project is substantially complete. The Design Team Contractor will develop the Punch List and provide to the Contractor. The Contractor shall provide written notification to the Design Professionals Team that the Punch List is -complete.
- The Contract Documents shall clearly assign the responsibility between Owner and Contractor for the period between substantial completion and final payment for utilities, HVAC, maintenance, insurance, and building security.
- When the project is divided into phases to be completed and occupied at different times, each phase shall be treated separately in the final closeout procedure.
- Items not identified ~~Items not identified~~ on the Punch List shall not affect the ~~not affect the~~ release of retainage and final payment, and will be addressed according to the terms of the warranty.
- Contractor and Design Team ~~It should be verified that documentation is in the correct file format, and that~~ extra materials, tools, and ~~and~~ parts have been delivered to the Owner in proper quantities as identified in the Project Manual prior to release of retainage and final payment.

### REFERENCES

AIA A201 General Conditions  
 Application and Certificate for Payment; AIA G702-  
 Certificate of Substantial Completion; AIA G704-  
 Contractor's Affidavit of Payment of Debts and Claims; AIA G706-  
 Contractor's Affidavit of Release of Liens; AIA G907a-  
 Division 1 – General Requirements-

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Guideline: Project Record Documents  
ConsensusDOCS 200, Owner/Contractor Agreement and General Conditions  
Application for Payment ConsensusDOCS 292  
Certificate of Substantial Completion ConsensusDOCS 280  
Certificate of Final Completion ConsensusDOCS 281  
Guideline: Punch List

Issued: 2001

Revised: 2008, 2013, 2018

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## PUNCH LIST

### Prepare and Administer incomplete items

The responsibility for preparing and administering the Punch List to complete a project or a phase of a project should be clearly assigned in the contract documents. Depending upon the contract, the General Contractor takes the lead in administering the punch list process.

Things to consider when managing the Punch List process:

- ~~The Contractor should begin the Punch List process by preparing his~~ the initial Punch List. Contractor should not schedule the Punch List review until the Work has reached substantial completion. This is when the Owner can begin to use the space for which it was designed and when warranty and insurance periods are determined.
- The Design Team/Owner should review Contractor's list, perform a joint inspection of the completed work and add any additional items to the Contractor's initial Punch List.
- There should only be one Punch List. If other items ~~come~~ are identified later, they should be added to the ~~master~~-Punch List.
- ~~The use of colored stickers or painter's tape (or newer technologies) is a good way to identify the Punch List item needing attention.~~ Punch lists should identify exact locations within the project.
- The Punch List should be published within 24 hours of the joint inspection.
- ~~Contractors should not schedule the Punch List review until the Work has reached substantial completion.~~
- The Punch List should list the subcontractor responsible for each item and anticipated completion date.
- Each item should be addressed by the Contractor or Subcontractors. The Contractor should verify each item is addressed ~~checked, initialed and dated on the Punch List document when completed.~~
- Once the Contractor has completed and re-inspected all the Punch List items, the Contractor should request final inspection by the Design Team. ~~—~~ If it becomes clear that the work was not corrected the final inspection should be rescheduled. ~~The contracts should provide for administering completion.~~
- The final inspection should be signed off on by the Design Team, Owner and Contractor.
- If schedule demands that the Owner occupies the space prior to the final completion of the Punch List items, then a value should be assigned to each uncompleted Punch List item. Refer to Contract Documents for release of retention during the Punch List process.

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**Construction Guidelines for the Metropolitan St. Louis Construction Industry**

- Work outside the contract scope or pending change order(s) should not be listed on the Punch List.
- The Contractor's schedule should include Punch List activities. The durations should be reasonable given the project complexity.

**REFERENCES:**

AIA A201 General Conditions

Owner/Contractor Agreement and General Conditions, CONSENSUSDOCS 200

Guideline: Retainage of Payment

Guideline: Project Closeout

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