CAPITAL PLANNING & PROJECT MANAGEMENT
TRAINING GUIDE

CONSTRUCTION CONTRACTS
# CPPM Construction Contract

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ESTABLISH CONSTRUCTION CONTRACT

DESIGN - BID – BUILD CONSTRUCTION CONTRACTS

Primary Responsibility: Project Manager

Secondary Responsibility: Finance Manager

Approvers: PM Supervisor
  Physical Plant Director
  Office of Legal Affairs
  EVP, Business Affairs
  Contractor

DESIGN - BID – BUILD CONTRACT PROCESS

WorkDesk → Contract Administration → Construction Contract

STATUS: REQUESTED

RESPONSIBILITY: PROJECT MANAGER

1. Create a new Construction Contract record in AiM by completing the following
   a. From the WorkDesk Screen, navigate to the Contract Administration Screen
b. Select the ‘New’ Icon next to ‘Construction Contract’

c. Select the Construction Contract Type by clicking the ‘Zoom’ icon in the Type field

d. Select the appropriate type
e. Search for the Capital Project by clicking the ‘Zoom’ icon in the Type field. If the Project Number is known, type it into the field before clicking ‘Zoom’

f. Select the Capital Project from the list

g. Enter the Construction Contract Description (Capital Project Number and Name - Construction Contract Type)
i.e. 9663 - MCCONNELL RESIDENCE HALL HVAC SYSTEM REPLACEMENT AND RENOVATION DBB DB.)
h. Use the entry date as the Request Date field

2. Save the Construction Contract record

When ready to begin the selection process:

3. Attach the **SE-310** - Invitation for Construction Services
   a. Click the 'Edit' button to return to edit mode
b. Click the ‘Related Documents’ button

c. Click the ‘Add’ button

d. Click ‘Choose Files’ select signed and scanned form from document library
e. Select signed and scanned form from your document library then click ‘Next’

f. Select the icon for the ‘Type’ box

g. Select ‘SE Form’ from Document Type list, then click ‘Next’ on the next 3 screens
h. Click ‘Done’ when your document is attached

i. Click the item icon in the Status box

j. Choose and click on the status ‘SELECTION’
STATUS: SELECTION

RESPONSIBILITY: PROJECT MANAGER

1. Conduct the selection process
   - Advertise in SCBO
   - Pre-bid Conference (~10 days after advertisement)
   - Bid opening
   - Bid closing (typically 30 days after opening)
   - Review bids
     - If bids are within range, select low bidder
     - If bids are within 10% of range, negotiate (update status to NEGOTIATE)
     - If bids are more than 10% of top of range, value engineer and re-bid or submit budget revision

2. When a selection has been made Attach as related document(s): Type: SE Form
   - SE-360 - Request for Concurrence in Posting Notice of Intent to Award
   - SE-370 - Notice of Intent to Award as a related document
   - Update the status to INTENT TO AWARD and SAVE

STATUS: INTENT TO AWARD

RESPONSIBILITY: PROJECT MANAGER

1. Intent to Award is posted and protest period begins
2. Attach bid tabulation documentation to AiM contract record
3. Generate the construction contract
4. At the end of the protest period update the status to CONTRACT PREP and SAVE
STATUS: CONTRACT PREP

RESPONSIBILITY: PROJECT MANAGER

1. Complete Contract record in AiM
   a. Click the ‘Edit’ button to return to edit mode

   ![AiM Screen Shot](image1)

   b. Complete the Contractor Information Block Data
      i. Select the Contractor by clicking the ‘Zoom’ Icon in the Contractor field

   ![AiM Screen Shot](image2)

   ii. Search for the Contractor by typing the name in the ‘Description’ field then clicking ‘Execute’
iii. Select the Contractor which will default Address Code

c. Add the name of the contractor to the Contract Description field
d. Create the Construction Contract Line Item Detail Record
   i. Click ‘Add’ to add a new line item

ii. Select the Component Group by clicking the ‘Zoom’ icon in the ‘Component Group’ field
### iii. Select the appropriate Line Group

<table>
<thead>
<tr>
<th>Component Group</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONSTRUCTION/RENOVATION</td>
<td>CONSTRUCTION &amp; RENOVATION COMPONENT GROUP COMPONENT GROUP</td>
</tr>
<tr>
<td>PROFESSIONAL SERVICES</td>
<td>PROFESSIONAL SERVICES COMPONENT GROUP COMPONENT GROUP</td>
</tr>
<tr>
<td>DEMOLITION</td>
<td>DEMOLITION</td>
</tr>
<tr>
<td>ADVERTISEMENT/POSTING</td>
<td>ADVERTISEMENT COMPONENT GROUP</td>
</tr>
<tr>
<td>TECHNOLOGY</td>
<td>TECHNOLOGY COMPONENT GROUP COMPONENT GROUP</td>
</tr>
<tr>
<td>FFE</td>
<td>FFE COMPONENT GROUP COMPONENT GROUP</td>
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<tr>
<td>MOVING</td>
<td>MOVING COMPONENT GROUP COMPONENT GROUP</td>
</tr>
<tr>
<td>INSPECTIONS/PERMITS</td>
<td>INSPECTIONS AND PERMITS COMPONENT GROUP COMPONENT GROUP</td>
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<tr>
<td>SAFETY</td>
<td>SAFETY COMPONENT GROUP COMPONENT GROUP</td>
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<td>COMMISSIONING</td>
<td>COMMISSIONING COMPONENT GROUP COMPONENT GROUP</td>
</tr>
<tr>
<td>UTILITIES</td>
<td>UTILITIES COMPONENT GROUP COMPONENT GROUP</td>
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<tr>
<td>SITE WORK</td>
<td>SITE WORK COMPONENT GROUP COMPONENT GROUP</td>
</tr>
<tr>
<td>HAZMAT/HAZWASTE</td>
<td>HAZARDOUS MATERIALS/HAZARDOUS MATERIALS WASTE COMPONENT GROUP COMPONENT GROUP</td>
</tr>
<tr>
<td>SIGNAGE</td>
<td>SIGNAGE COMPONENT GROUP</td>
</tr>
<tr>
<td>PROJECT CONTINGENCY</td>
<td>PROJECT CONTINGENCY COMPONENT GROUP COMPONENT GROUP</td>
</tr>
</tbody>
</table>

### iv. Select the Component

<table>
<thead>
<tr>
<th>Component</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW CONSTRUCTION</td>
<td>NEW CONSTRUCTION - DEFAULT BANNER ACCOUNT = 780510 - CONSTRUCTION</td>
</tr>
<tr>
<td>ROOFING</td>
<td>ROOFING - DEFAULT BANNER ACCOUNT = 780522 - ROOFING</td>
</tr>
<tr>
<td>RENOVATION</td>
<td>RENOVATION - DEFAULT BANNER ACCOUNT = 780528 - RENOVATION</td>
</tr>
</tbody>
</table>
v. Enter the Anticipated Award Amount for the Line Item. Click the ‘Refresh Totals’ button

<table>
<thead>
<tr>
<th>Capital Project</th>
<th>1061</th>
<th>Total Budget</th>
<th>$2,456,600.00</th>
</tr>
</thead>
<tbody>
<tr>
<td>Component Group</td>
<td>CONSTRUCTION &amp; RENOVATION</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Component</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

 vi. Select ‘Account Setup’ from the View Menu
vii. Define the Encumbrance Amounts for the following:
   a. Construction Contract Line Item Detail Index/Account
   b. Construction Contract Line Item Detail Funding Source(s)

   Refresh totals for the Construction Contract Line Item Details

   e. Click ‘Done’ until you return to the main Contract screen SAVE
2. Attach Related Documents: Contract, SE Forms

**NOTE: Attach all revisions of documents as they are generated**

a. Click the ‘Edit’ button to return to edit mode

b. Click the ‘Related Documents’ button

c. Click the ‘Add’ button
d. Click ‘Choose Files’ select signed and scanned form from document library

![Image of 'Choose Files' button with 'No file chosen' message]

e. Select scanned form from your document library then click ‘Next’

![Image of 'Next' button highlighted]

f. Select the search icon for the ‘Type’ box

![Image of search icon selected in 'Type' box]
g. Select appropriate document type from list, then click ‘Next’ on the next 3 screens

h. Click ‘Done’ when your document is attached

i. Click SAVE
3. Create the eProcure Cart and push it to the Finance Manager
4. Click ‘Edit’ to update the contract status to **SUPERVISOR REVIEW** to begin the approval workflow and SAVE

**APPROVAL WORK FLOW**

Route the contract through the workflow below for review, approval, and signatures. Each approver can approve or return the contract for revisions. Notes should be added when applicable. The contract should be signed and reattached to the contract record as applicable.

- **SUPERVISOR REVIEW**
- **DIRECTOR APPROVAL**
- **OLA APPROVAL**
- **EVP APPROVAL**
- **CONTRACTOR APPROVAL**

The Project Manager processes the Construction Contractor’s Workflow in AiM and obtains the Contractor’s signature and approval (see process below)

**Contractor Workflow Approval Process**

Responsibility: Project Manager

1. Receive WorkDesk and email notifications when a Workflow requires your attention
2. Click on the WorkDesk or email link to view the Workflow
3. Click on the Contract Number to view the Contract Record. Click on the Document Thumbnails to review and download the Related Documents.

4. Send the Construction Contract to the Contractor for review and signature.
5. Receive the signed Contract from the Contractor.
6. Upload the signed Contract and attach it to the Contract Record as a Related Document:
   a. Scan the Signed Contract
   b. From the Contract Record, click on ‘Related Documents’
c. Click ‘Edit’

![Image of AiM Related Documents page with 'Edit' button highlighted]

- Click 'Edit'

- Choose the document file name and click 'Next'

![Image of AiM Related Documents page with document listing and 'Add' button highlighted]

d. Click ‘Add’

![Image of AiM Related Documents page with document listing and 'Add' button highlighted]

e. Choose the document file name and click ‘Next’
f. Select Document Type = Construction Contract. Rename the Document Title if the file name does not meet Document Naming Standards. Click ‘Next’ until you return to the ‘Related Documents’ screen.

7. If the Contractor provided a note with the signed Contract, add it as a note on the Workflow.
   a. From the Workflow screen, click ‘Notes Log’.
b. Click ‘Add’ a new note

![Image of the notes log with an Add button highlighted]

- Copy and paste or type the note into the note field. Select the appropriate note type.

![Image of the note with a CONSTRUCTION CO type selected]

d. Click ‘Save’ and then click ‘Done’ on the next screen

![Image of the note with 'Save' and 'Done' buttons highlighted]
8. Respond to the Workflow on the behalf of the Contractor
   a. Click ‘Edit’
   
   b. Select the Contractor’s response from the ‘Response’ drop down menu
      i. **Approved** – the Contract will advance to the next status and Workflow approver
      ii. **Approved with Notes** – the Contract will advance and signal to other approvers to check the Notes Log
      iii. **Revisions Required** – the Contract will return to the Project Manager for revisions.
   c. Click ‘Save’
STATUS: ACCT REVIEW

RESPONSIBILITY: FINANCE MANAGER

1. Confirm that the ratified contract is attached to the record as a Related Document, type: CONSTRUCTION CONTRACT, tag: APPROVED and SE 390

2. Confirm that the Component(s) applied to the Contract has sufficient funds. If not, a Budget Revision is required.

3. Convert the eProcure Cart into a Requisition. Initiate approval routing in eProcure.

4. The Purchase Order is processed in eProcure

5. Edit the Construction Contract in AiM and add the following information

   a. Add the Banner Purchase Order Number to the Construction Contract “Reference Number” field
   b. Enter dates
      - Award Date – date EVP signs the contract
      - Start Date – PO date
      - Award Days – amount of days Contract is awarded for
6. Attach a copy of the eProcure PO to the Contract as a Related Document – Type: BANNER PO
   a. Click ‘Related Documents’
   b. Click ‘Add’
c. Choose the File and click ‘Next’

![Image of AIM New Document screen with 'Next' button and 'Choose Files' option selected]

**d. Insert the Type and click ‘Next’**

![Image of AIM New Document screen with 'Next' button and 'Type' field selected]

**e. Click ‘Next’ until back to the main Related Documents screen. Click ‘Save’**

![Image of AIM Related Documents screen with 'Save' button selected]

7. Update the status to **AWARDED** and SAVE
8. Update the status to **NOTICE TO PROCEED** and SAVE

![Image of AiM Construction Contract interface]

**STATUS: NOTICE TO PROCEED**

**RESPONSIBILITY: PROJECT MANAGER**

1. Issue Notice to Proceed document. Email the document to the Contractor and OSE from the contract record.
2. Attach Notice to Proceed document to Contract as a Related Document –
   
   **SE-390** - Notice to Proceed - Construction Contract
   
   Type: OSE SE Documentation, Tag: Notice to Proceed
3. Transactions can now be processed against the contract

**STATUS: CLOSED**

**STATUS: CANCELED**

**STATUS: REVISIONS REQUIRED**
IDC CONSTRUCTION CONTRACTS

Primary Responsibility: Project Manager

Secondary Responsibility: Finance Manager

Approvers: PM Supervisor
Physical Plant Director
EVP, Business Affairs
Contractor

IDC CONSTRUCTION CONTRACT PROCESS

*WorkDesk → Contract Administration → Construction Contract*

STATUS: REQUESTED

RESPONSIBILITY: PROJECT MANAGER

1. Create a new Construction Contract record in AiM by completing the following
   a. From the WorkDesk Screen, navigate to the Contract Administration Screen
   b. Select the ‘New’ Icon next to ‘Construction Contract’
c. Select the Construction Contract Type by clicking the ‘Zoom’ icon in the Type field

d. Select the appropriate type: Select the Construction Contract Type – IDC CONST ED (Editable Date) OR IDC CONST DB (Days Based)
e. Search for the Capital Project by clicking the ‘Zoom’ icon in the Type field. If the Project Number is known, type it into the field before clicking ‘Zoom’

f. Enter the Construction Contract Description (Capital Project Name - Construction Contract Type)
   i.e. 9660 - Lesene House Renovation – IDC Construction
   Request Date – Date of Entry

2. Save the Construction Contract record.

3. When ready to begin the selection process, update status to **SELECTION** and SAVE.
   a. Click ‘Edit’ on the Construction Contract
b. Choose and click on the status ‘SELECTION’

STATUS: SELECTION
RESPONSIBILITY: PROJECT MANAGER

1. Request and Review bids from selected IDC Construction Contractors
2. Select CONTRACTOR
3. Update the status to CONTRACT PREP and SAVE

STATUS: CONTRACT PREP
RESPONSIBILITY: PROJECT MANAGER

1. Complete Contract record in AiM
   a. Click the ‘Edit’ button to go into Edit mode
b. Complete the Contractor Information Block Data
   i. Select the Contractor by clicking the 'Zoom' icon in the Contractor field
      ![](image1)

   ii. Search for the Contractor by typing the name in the ‘Description’ field then clicking ‘Execute’
      ![](image2)

   iii. Click on the Contractor. Contractor Selection will default your address code.
      ![](image3)
c. Add the name of the contractor to the contract description field

d. Create the Construction Contract Line Item Detail Record
   i. Click ‘Add’ to add a new line item

   ii. Select the Component Group by clicking the ‘Zoom’ icon in the ‘Component Group’ field
iii. Select the appropriate Component Group

iv. Completes the Capital Project Information Block Data
   Capital Project Number (defaulted from Construction Contract screen)
   Selects the Component
v. Enter the anticipated award amount for the line item. Click ‘Refresh Totals’

vi. Select Account Setup from the View Menu
vii. Define the Encumbrance Amounts for the following:

- Construction Contract Line Item Detail Index/Account
- Construction Contract Line Item Detail Funding Source(s)

Refresh totals for the Construction Contract Line Item Details

e. Click ‘Done’ until you return to the main Contract screen

f. Click Save
2. Attach any related documents such as the proposal, contract and SE Construction IDC Delivery Order Contract form Note: Attach all revisions of the proposal and contract as they are generated
   a. Click ‘Edit’ then click ‘Related Documents’
   b. Click ‘Add’
c. Choose the document file name and click ‘Next’

f. Select Document Type = Construction Contract. Rename the Document Title if the file name does not meet Document Naming Standards. Click ‘Next’ until you return to the ‘Related Documents’ screen

g. SAVE
4. Create the eProcure Cart and push it to the Finance Manager

5. Update the status to **IDC REVIEW**
   a. Click the ‘Edit’ button to return to edit mode
   b. Click the ‘Zoom’ icon in the Status field
   c. select IDC Review
44

d. SAVE

STATUS: IDC REVIEW

RESPONSIBILITY: FINANCE MANAGER

1. Verify the delivery order number
2. Verify the IDC balance
3. Update the OSE IDC spreadsheet
4. Verify appropriate funding source and availability
5. Update the contract status to SUPervisor REVIEW to begin the approval workflow.
   a. Click ‘Edit’

b. Click the ‘Zoom’ Icon in the ‘Status’ field
c. Select ‘Supervisor Review’

d. SAVE

APPROVAL WORK FLOW

Route the contract through the workflow below for review, approval, and signatures. Each approver can approve or return the contract to the Project Manager for revisions (REVISIONS REQUIRED). Notes should be added when applicable. The contract should be signed and reattached to the contract record as applicable.

- **SUPERVISOR REVIEW**
- **DIRECTOR APPROVAL**
- **EVP APPROVAL**
- **CONTRACTOR APPROVAL**

Project Manager manages the Consultant workflow and obtains the Consultant's signature and approval.
Contractor Workflow Approval Process
Responsibility: Project Manager

1. Receive WorkDesk and email notifications when a Workflow requires your attention
2. Click on the WorkDesk or email link to view the Workflow
3. Click on the Contract Number to view the Contract Record. Click on the Document Thumbnails to review and download the Related Documents
4. Send the Construction Contract to the Contractor for review and signature
5. Receive the Signed Contract from the Contractor
6. Upload the signed Contract and attach it to the Contract Record as a Related Document
   a. Scan the Signed Contract
   b. From the Contract Record, click on ‘Related Documents’
   c. Click ‘Edit’
d. Click ‘Add’

e. Choose the document file name and click ‘Next’

f. Select Document Type = Construction Contract. Rename the Document Title if the file name does not meet Document Naming Standards. Click ‘Next’ until you return to the ‘Related Documents’ screen
g. ‘Save’

7. If the Contractor provided a note with the signed Contract, add it as a note on the Workflow
   a. From the Workflow screen, click ‘Notes Log’
b. Click ‘Add’ a new note

![Notes Log]

<table>
<thead>
<tr>
<th>Entry Date</th>
<th>Created By</th>
<th>Name</th>
<th>Note Type</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

- Click on the ‘Add’ button.
- Select the appropriate note type.

![Note]

Entry Date: Feb 03, 2017 03:34 PM
Created By: RACHEL VRANCKEN
Note Type: CONSTRUCTION CO

- Copy and paste or type the note into the note field.

Notes: CONTRACTOR'S NOTE HERE

- Click ‘Save’ and then ‘Done’ on the next screen.
8. Respond to the Workflow on the behalf of the Contractor
   a. Click ‘Edit’
      i. Approved – the Contract will advance to the next status and Workflow approver
      ii. Approved with Notes – the Contract will advance and signal to other approvers to check the Notes Log
      iii. Revisions Required – the Contract will return to the Project Manager for revisions.
   b. Select the Contractor’s response from the ‘Response’ drop down menu
      i. Approved – the Contract will advance to the next status and Workflow approver
      ii. Approved with Notes – the Contract will advance and signal to other approvers to check the Notes Log
      iii. Revisions Required – the Contract will return to the Project Manager for revisions.
   c. Click ‘Save’
STATUS: ACCT REVIEW

RESPONSIBILITY: FINANCE MANAGER

1. Confirm that the ratified contract is attached to the record as a Related Document, type: CONSTRUCTION CONTRACT, tag: APPROVED and SE 690
2. Confirm that the Component(s) applied to the Contract has sufficient funds. If not, a Budget Revision is required.
3. Convert the eProcure Cart into a Requisition. Initiate approval routing in eProcure.
4. The Purchase Order is processed in eProcure
5. Edit the Construction Contract in AiM to add PO number
   a. Click ‘Edit’ add the Banner Purchase Order Number to the Construction Contract “Reference Number” field
   b. Add the Banner Purchase Order Number to the Construction Contract “Reference Number” field
   c. SAVE
6. Attach a copy of the eProcure PO to the Contract as a Related Document – Type: BANNER PO
   a. Click ‘Edit’ then click ‘Related Documents’

   ![Related Documents Screen]

   b. Click ‘Add’
c. Choose the Document File and click ‘Next’

d. Insert the Type and click ‘Next’

e. Click ‘Next’ until back to the main Related Documents screen. Click ‘Save’
7. Enter dates:
   Award Date - date the EVP signs the contract
   Start Date – PO date
   End Date – End date from contract if one is available

8. Update the status to **AWARDED** and SAVE

6. Update the status to **NOTICE TO PROCEED** and SAVE
STATUS: NOTICE TO PROCEED

RESPONSIBILITY: PROJECT MANAGER

1. Issue Notice to Proceed document. Email the document to the Contractor and OSE from the contract record
2. Attach Notice to Proceed document to Contract as a Related Document – Type: OSE Documentation, Tag: Notice to Proceed
3. Transactions can now be processed against the contract

STATUS: CLOSED

STATUS: CANCELED

STATUS: REVISIONS REQUIRED
CONSTRUCTION MANAGER AT RISK (CMAR) CONTRACTS

Primary Responsibility: Project Manager

Secondary Responsibility: Finance Manager

Approvers: PM Supervisor
            Physical Plant Director
            Office of Legal Affairs
            EVP, Business Affairs

CMAR CONSTRUCTION CONTRACT PROCESS

WorkDesk → Contract Administration → Construction Contract

STATUS: REQUESTED

RESPONSIBILITY: PROJECT MANAGER

1. Create a new Construction Contact record in AiM by completing the following:
   a. From the WorkDesk Screen, navigate to the Contract Administration Screen
   b. Select the ‘New’ Icon next to ‘Construction Contract’
c. Select the Construction Contract Type by clicking the ‘Zoom’ icon in the Type field

d. Select the appropriate type: Select the Construction Contract Type - CMAR ED or DB
e. Search for the Capital Project by clicking the ‘Zoom’ icon in the Type field. If the Project Number is known, type it into the field before clicking ‘Zoom’

f. Enter the Construction Contract Description (Project Number – Project Name - Construction Contract Type
   *i.e. 9653-B- MAINTENANCE NEEDS 2013-14 - 12 GLEBE STREET EXTERIOR REPAIRS - CMAR DB

   g. Request Date – Date of Entry
2. Attach CMAR approval documents and Service Level Agreement
   a. Click ‘Related Documents’

   ![Image of Related Documents]

   b. Click ‘Add’

   ![Image of Related Documents]

   c. Choose the Document File and click ‘Next’

   ![Image of New Document]
d. Select the Document Type then click the ‘Next’ button until you return to the ‘Related Documents Screen’. Repeat steps with SLA documents. Then click ‘Done’

3. Save the Construction Contract record

4. When ready to begin the selection process,
   Attach as related document(s): **SE-410** - Invitation for CM-R Services
   a. Click ‘Related Documents’
b. Click ‘Add’

c. Choose the Document File and click ‘Next’

d. Select the Document Type then click the ‘Next’ button until you return to the “Related Documents Screen. Repeat steps with SLA documents. Then click ‘Done’
3. Update status to **SELECTION** by
   a. Clicking the Zoom Icon next to Status

```
<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>REQUESTED</td>
<td>REQUESTED, INITIAL ENTRY INTO AIM.</td>
</tr>
<tr>
<td>SELECTION</td>
<td>CMG@RISK SELECTION SELECTION PROCESS (SEE SERVICE LEVEL AGREEMENT FOR TIMELINE)</td>
</tr>
<tr>
<td>OSE APPROVAL</td>
<td>OFFICE OF STATE ENGINEER REVIEW AND APPROVAL</td>
</tr>
<tr>
<td>INTENT TO AWARD</td>
<td>INTENT TO AWARD NOTIFICATION (SE-470) 10 DAY PROTEST PERIOD</td>
</tr>
</tbody>
</table>
```

b. Choose ‘Selection’

c. SAVE

**STATUS: SELECTION**

**RESPONSIBILITY: PROJECT MANAGER**

*Forms: SE-415, SE-417, SE-419, SE-425, SE-427*

1. Conduct the selection process (see sub-process map)
2. When a selection has been made, update the status to **OSE APPROVAL** and SAVE
STATUS: OSE APPROVAL

RESPONSIBILITY: PROJECT MANAGER

1. Submit documentation to the Office of the State Engineer (OSE)
2. Receive approval from OSE
3. Update the status to **INTENT TO AWARD** and SAVE

STATUS: INTENT TO AWARD

RESPONSIBILITY: PROJECT MANAGER
Forms: SE-460 and SE-470

1. Intent to Award is posted and the 10-day protest period begins
2. Attach selection process documentation to AiM contract record with the correct labels
3. Receive the signed Contract from the Contractor
4. At the end of the protest period, update the Contract status to **CONTRACT PREP**

STATUS: CONTRACT PREP

RESPONSIBILITY: PROJECT MANAGER
Forms: AIA 133 & SE-475

1. Complete Contract record in AiM
   a. Click the ‘Edit’ button to return to edit mode
b. Complete the Contractor Information Block Data
   i. Select the Contractor by clicking the ‘Zoom’ Icon in the Contractor field

   ii. Search for the Contractor by typing the name in the ‘Description’ field then clicking ‘Execute’

   iii. Select the Contractor which will default Address Code
c. Add the name of the contractor to the Contract Description field

d. Create the Construction Contract Line Item Detail Record
   i. Click ‘Add’ to add a new line item
ii. Select the Component Group by clicking the ‘Zoom’ icon in the ‘Component Group’ field

iii. Select the appropriate Line Group
iv. Select the Component

<table>
<thead>
<tr>
<th>Component</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW CONSTRUCTION</td>
<td>NEW CONSTRUCTION - DEFAULT BANNER ACCOUNT = 780510 - CONSTRUCTION</td>
</tr>
<tr>
<td>ROOFING</td>
<td>ROOFING - DEFAULT BANNER ACCOUNT = 780522 - ROOFING</td>
</tr>
<tr>
<td>RENOVATION</td>
<td>RENOVATION - DEFAULT BANNER ACCOUNT = 780528 - RENOVATION</td>
</tr>
</tbody>
</table>

v. Enter the Anticipated Award Amount for the Line Item. Click the ‘Refresh Totals’ button

vi. Select Account Setup from the View Menu
vii. Define the Encumbrance Amounts for the following:
   a. Construction Contract Line Item Detail Index/Account
   b. Construction Contract Line Item Detail Funding Source(s)

   Refresh totals for the Construction Contract Line Item Details

   e. Click ‘Done’ until you return to the main Contract screen SAVE

2. Attach related document (same steps as first SE Form): Type: Construction Contract
3. Create the eProcure Cart and push it to the Finance Manager
4. Click ‘Edit’ to update the contract status to **SUPERVISOR REVIEW** to begin the approval workflow and SAVE
5. SAVE
APPROVAL WORK FLOW

Route the contract through the workflow below for review, approval, and signatures. Each approver can approve or return the contract for revisions. Notes should be added when applicable. The contract should be signed and reattached to the contract record as applicable.

- SUPERVISOR REVIEW
- DIRECTOR APPROVAL
- OLA APPROVAL
- EVP APPROVAL

STATUS: ACCT REVIEW

RESPONSIBILITY: FINANCE MANAGER

1. Confirm that the ratified contract is attached to the record as a Related Document, type: CONSTRUCTION CONTRACT, tag: APPROVED and SE - 490
2. Confirm that the Component(s) applied to the Contract has sufficient funds. If not, a Budget Revision is required.
3. Convert the eProcure Cart into a Requisition. Initiate approval routing in eProcure.
4. The Purchase Order is processed in eProcure
5. Edit the Construction Contract in AiM to add the Banner Purchase Order Number to the Construction Contract “Reference Number” field
   a. Click ‘Edit’
b. add the Banner Purchase Order Number to the Construction Contract “Reference Number” field

6. Attach a copy of the eProcure PO to the Contract as a Related Document – Type: BANNER PO
   a. Click ‘Edit’ then click ‘Related Documents’
b. Click ‘Add’

c. Choose the Document File and click ‘Next’

d. Insert the Type and click ‘Next’
e. Click ‘Next’ until back to the main Related Documents screen. Click ‘Save’

7. Enter dates:
   - **Award Date** - date the EVP signs the contract
   - **Start Date** – PO date
   - **End Date** – End date from contract if one is available
8. Update the status to **AWARDED** and SAVE

6. Update the status to **NOTICE TO PROCEED** and SAVE

**STATUS: NOTICE TO PROCEED**

**RESPONSIBILITY: PROJECT MANAGER**

1. Issue Notice to Proceed document. Email the document to the Contractor and OSE from the Contract record.
2. Attach Notice to Proceed document to Contract as a Related Document – Type: OSE Documentation, Tag: Notice to Proceed
3. Transactions can now be processed against the Contract

**STATUS: CLOSED**

**STATUS: CANCELED**

**STATUS: REVISIONS REQUIRED**
CHANGE PROPOSAL

Primary Responsibility: Project Manager

CHANGE PROPOSAL PROCESS

WorkDesk → Contract Administration → Change Proposal

STATUS: REQUESTED

RESPONSIBILITY: PROJECT MANAGER

1. Create the new Change Proposal in AiM by completing the following:
   a. From the main WorkDesk, select ‘Contract Administration’

   ![Image of WorkDesk interface]

   b. Click the Page/New icon next to Construction Change Proposal

   ![Image of AiM interface with Construction Change Proposal highlighted]
c. Search and select the contract that requires amending
a. From the contract record, select ‘Insert Record’ from the Action menu

b. Select ‘Change Proposal’
c. The Change Proposal number will auto-assign

2. Determine if any Issues are associated with this proposal. If so, proceed to the next step. If no issues, proceed Step 4
3. Select the issue related with the Change Proposal
   a. Click the Zoom icon next to Issue

b. Select the issue
c. The following will auto-populate:
   Issue Description
   Proposed Amount
   Estimated Amount

4. Enter the Change Proposal Details
   a. Enter the Description:  Enter the Description: Project Number – Project Name – Change Proposal – Includes Issues #

   b. Select the appropriate Type by clicking the Zoom Icon next to type
c. Click the appropriate Proposal type

<table>
<thead>
<tr>
<th>Type</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>CIVIL</td>
<td>CIVIL</td>
</tr>
<tr>
<td>CLIENT REQUEST</td>
<td>CLIENT REQUEST</td>
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<tr>
<td>DESIGN</td>
<td>DESIGN</td>
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<tr>
<td>ELECTRICAL</td>
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<tr>
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<tr>
<td>FINISHES</td>
<td>FINISHES</td>
</tr>
<tr>
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<td>FIRE PROTECTION</td>
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<tr>
<td>GMP PRICING</td>
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<td>HVAC</td>
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<tr>
<td>MECHANICAL</td>
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</tr>
<tr>
<td>OWNER REQUEST</td>
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</tr>
<tr>
<td>PLUMBING</td>
<td>PLUMBING</td>
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<tr>
<td>SAFETY</td>
<td>SAFETY</td>
</tr>
<tr>
<td>STRUCTURAL</td>
<td>STRUCTURAL</td>
</tr>
<tr>
<td>WEATHER</td>
<td>WEATHER</td>
</tr>
</tbody>
</table>

d. Add dates:
  Proposal Date
  Review Date – if applicable
e. Select the Zoom Icon next to Reason – Select the appropriate reason
f. Amend Contract Line Item (note: If this change will result in a NEW line being added to the existing Contract, leave blank)
   i. Click the Zoom Icon next to Line Item select the appropriate line number

   ii. Select the line item the Proposal is for
g. Select Component Group/Component
   i. Click the Zoom Icon next to Component

ii. Select the Component Group
iii. Select the Component

vii. Proposed Amount – Update if necessary

ix. Estimated Amount – Update if necessary

x. Negotiated Amount – Enter the negotiated amount if agreed upon at this time

5. Attach the Change Proposal document as a Related Documents – Type: CHANGE PROPOSAL

a. Click Related Documents
b. Click ‘Add’

c. Choose the Document File and click ‘Next’

d. Insert the Type and click ‘Next’
e. Click ‘Next’ until back to the main Related Documents screen. SAVE

6. Update the Status to **UNDER REVIEW** and SAVE

**STATUS: UNDER REVIEW**

**RESPONSIBILITY: PROJECT MANAGER**

1. Notification Workflow to PM Supervisor and Physical Plant Director
2. Update the Negotiated Amount as appropriate
3. Update the status to **FINALIZED** when the Proposal is ready to be added to a Change Order
4. SAVE

*A Change Proposal must be in **FINALIZED** status to be attached to a Change Order*

**STATUS: FINALIZED**

**RESPONSIBILITY: PROJECT MANAGER**

The Change Proposal is ready to be added to a Construction Change Order

**STATUS: PROCESSED**

**RESPONSIBILITY: PROJECT MANAGER**

The Change Proposal has been processed as part of a Construction Change Order

**STATUS: DECLINED**

**STATUS: CANCELED**
CHANGE DIRECTIVE

Primary Responsibility: Project Manager

CHANGE DIRECTIVE PROCESS

WorkDesk → Contract Administration → Change Directive

STATUS: OPEN

RESPONSIBILITY: PROJECT MANAGER

1. Create the new Change Directive in AiM by completing the following:
   a. From the main WorkDesk, select ‘Contract Administration’
   b. Click the Page/New icon next to Construction Change Directive
c. Search and select the contract that requires amending
Or

a. From the contract record, select ‘Insert Record’ from the Action menu

b. Select ‘Change Directive’

c. The Change Directive number will auto-assign

2. Determine if any Issues are associated with this Change Directive. If issues proceed to the next step. If no issues, proceed to Step 4
3. Select the issue related with the Change Directive
   a. Click the Zoom icon next to Issue
   b. Select the issue
c. The following will auto-populate:
Description
Proposed Amount
Estimated Amount

4. Enter the Change Directive Details
   a. Enter the Description: Project Number – Project Name – Change Directive – Includes Issues #
b. Select the appropriate Type by clicking the Zoom Icon next to type
c. Add dates if not filled in
   Directive Date
   Review Date – if applicable

d. Select the Zoom Icon next to Reason – Select the appropriate reason
e. Amend Contract Line Item (note: If this change will result in a NEW line being added to the existing Contract, leave blank)
   i. Click the Zoom Icon next to Line Item
ii. Select the line item the Proposal is for

f. Select Component Group/Component
   i. Click the Zoom Icon next to Component
ii. Select the Component Group

<table>
<thead>
<tr>
<th>Component Group &amp; Description</th>
<th>Capital Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>ADVERTISEMENT/POSTING</td>
<td>1061</td>
</tr>
<tr>
<td>COMMISSIONING</td>
<td>1061</td>
</tr>
<tr>
<td>CONSTRUCTION/RENOVATION</td>
<td>1061</td>
</tr>
<tr>
<td>DEMOLITION</td>
<td>1061</td>
</tr>
<tr>
<td>FFE</td>
<td>1061</td>
</tr>
<tr>
<td>HAZMAT/HAZWASTE</td>
<td>1061</td>
</tr>
<tr>
<td>INSPECTIONS/PERMITS</td>
<td>1061</td>
</tr>
<tr>
<td>MOVING</td>
<td>1061</td>
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<tr>
<td>PROFESSIONAL SERVICES</td>
<td>1061</td>
</tr>
<tr>
<td>PROJECT CONTINGENCY</td>
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<tr>
<td>SAFETY</td>
<td>1061</td>
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<td>SIGNAGE</td>
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<tr>
<td>SITE WORK</td>
<td>1061</td>
</tr>
<tr>
<td>TECHNOLOGY</td>
<td>1061</td>
</tr>
<tr>
<td>UTILITIES</td>
<td>1061</td>
</tr>
</tbody>
</table>

iii. Select the Component

<table>
<thead>
<tr>
<th>Component</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>NEW CONSTRUCTION</td>
<td>NEW CONSTRUCTION - DEFAULT BANNER ACCOUNT = 7802510 - CONSTRUCTION</td>
</tr>
<tr>
<td>ROOFING</td>
<td>ROOFING - DEFAULT BANNER ACCOUNT = 7802522 - ROOFING</td>
</tr>
<tr>
<td>RENOVATION</td>
<td>RENOVATION - DEFAULT BANNER ACCOUNT = 7805252 - RENOVATION</td>
</tr>
</tbody>
</table>

vii. Directive Amount – Update if necessary  
ix. Estimated Amount – Update if necessary  
x. Negotiated Amount – Enter the negotiated amount if agreed upon at this time
5. Attach the Change Proposal document as a Related Documents – Type: Change Directive
   a. Click Related Documents

   ![Diagram of Related Documents]

   b. Click ‘Add’
c. Choose the Document File and click ‘Next’

![Image of uploading files](image1)

*d. Insert the Type: Change Directive and click ‘Next’*

![Image of inserting type](image2)

*e. Click ‘Next’ until back to the main Related Documents screen. Click ‘Save’*

![Image of clicking save](image3)

6. Update the Status to **UNDER REVIEW** and SAVE
STATUS: UNDER REVIEW
RESPONSIBILITY: PROJECT MANAGER

1. Notification Workflow to PM Supervisor and Physical Plant Director
2. Update the Negotiated Amount as appropriate
3. If the College and the Contractor cannot agree upon terms, update the status to MEDIATION and SAVE
4. When the Directive is ready to be added to a Change Order, update the status to FINALIZED and SAVE

STATUS: MEDIATION
RESPONSIBILITY: PROJECT MANAGER

1. Work with the Contractor to resolve the dispute

STATUS: FINALIZED
RESPONSIBILITY: PROJECT MANAGER

The Change Directive is ready to be added to a Construction Change Order

STATUS: PROCESSED
RESPONSIBILITY: PROJECT MANAGER

The Change Directive has been processed as part of a Construction Change Order

STATUS: CANCELED
CHANGE ORDER

Primary Responsibility: Project Manager

Secondary Responsibility: Finance Manager

Approvers: PM Supervisor
           Physical Plant Director
           EVP, Business Affairs
           Office of the State Engineer

CHANGE ORDER PROCESS

WorkDesk → Contract Administration → Change Order

STATUS: REQUESTED

RESPONSIBILITY: PROJECT MANAGER

1. Create the new Change Order in AiM by completing the following:
   a. From the main WorkDesk, select ‘Contract Administration’
b. Click the Page/New icon next to Construction Change Order

c. Search and select the contract that requires amending
a. From the contract record, select ‘Insert Record’ from the Action menu

b. Select ‘Change Order’

c. The Change Order number will auto-assign
2. Enter the Change Order Details
   a. Enter the description of the Change Order:
      Project Name + Change Order + Change Proposals or Directives if included
   b. Change Order Date – Date of Entry

3. Determine if there are any Change Proposals or Change Directives that should be incorporated into the Change Order
   To load Change Proposals, click the ‘Load Proposals’ button
   To load Change Directives, click the ‘Load Directives’ button
4. Determine if there are any new changes that should be included in the Change Order
   a. To Add a new Change, click the ‘Add’ Button

   b. Select either ‘Add New Contract Line’ or ‘Adjust Contract Line’
c. To add a new Construction Change Order Line Item
   1. Enter the description – Component + Line Group + Specific Change Reason
   2. Select the Component Group and Component
   3. Select the Line Group if applicable
   4. Select the reason
   5. Enter number of days if applicable
   6. Enter the total, refresh the total
d. To adjust a Contract Line
   1. Enter the description – Component + Line Group + Specific Change Reason
   2. Select the Line Item to be adjusted
   3. Enter number of days if applicable
   4. Enter the total, refresh the total

5. Return to the main Change Order screen
6. Attach any related documents
7. Initiate the Budget Revision process if a Budget Revision is required
8. Update the status to SUPERVISOR REVIEW and SAVE

**APPROVAL WORK FLOW**

Route the contract through the workflow below for review, approval, and signatures. The contract should be signed and reattached to the contract record as applicable.

- SUPERVISOR REVIEW
- DIRECTOR APPROVAL
- EVP APPROVAL
- OSE APPROVAL

Project Manager manages the OSE workflow, amendments under $15,000 do not require OSE Approval

**STATUS: ACCT REVIEW**

**RESPONSIBILITY: FINANCE MANAGER**

1. Enter Change Order in eProcure (Initiate approval routing in eProcure)
2. The Change Order is processed in eProcure
3. If a Budget Revision is required, verify that it is complete and approved
4. Update status to **APPROVED** and SAVE

**STATUS: APPROVED**

**RESPONSIBILITY: FINANCE MANAGER**

1. Transactions can now be processed against the contract
2. If a Contract Amendment changes the dollar amount of the Contract, a Consultant Contract Encumbrance Adjustment is required so that the entire contract remains encumbered on the Capital Project record.
CONTRACT ENCUMBRANCE ADJUSTMENT

Primary Responsibility: Finance Manager

CONTRACT ENCUMBRANCE ADJUSTMENT PROCESS

WorkDesk → Contract Administration → Consultant Contract

Responsibility: Finance Manager

1. Navigate to the Construction Contract record that requires amending
   a. From the main WorkDesk, select ‘Contract Administration’
   b. Click the Zoom icon next to Construction Contract
c. Search and select the contract that requires amending
2. Select the Line Item to amend

3. Select ‘Account Setup’ from the ‘View’ menu
4. Select ‘Adjustment’ from the ‘Action’ menu

5. Enter the amount of the revision in the ‘Change’ field
PAYMENT APPLICATION

Primary Responsibility: Finance Manager

Secondary Responsibility: Accounts Payable

Approver: Project Manager

PAYMENT APPLICATION PROCESS

WorkDesk → Accounts Payable → Payment Application

- The Pay App should be received by ACCOUNTS PAYABLE
- If the PROJECT MANAGER or FINANCE MANAGER receives the invoice, ACCOUNTS PAYABLE needs to be notified that it was received immediately
- The recipient of the invoice emails the invoice to the FINANCE MANAGER immediately

STATUS: ENTERED

RESPONSIBILITY: FINANCE MANAGER

1. Review Pay App and verify against Banner PO
2. Make any necessary adjustments
3. Find the Contract to which the Pay App should be applied and insert a new record:
   a. From the main WorkDesk screen, click ‘Contract Administration’
b. Click the ‘Zoom’ icon next to ‘Construction Contract’

c. Use the Contract Number, Contract Description, or Capital Project Number to search for the contract. Click ‘Execute’ to search.

d. Select the Contract to which the Payment Application should be applied
e. From the Contract record, select ‘Insert Record’ from the Action menu

f. Select ‘Payment Application’

4. Create the new Construction Contact Payment Application Record Header by completing the following:
   The Invoice Number, Contractor, Contract, Capital Project, and Banner PO Number will auto-populate

   a. Enter Description of the Payment Application: Project Number – Project Name - Contractor Name - Invoice #
b. Insert Pay App Number and Date

5. Load the line items for which there are charges and apply line totals
   a. Click ‘Load’
b. Select the Line to which the Payment Application should be applied and click 'Next'

c. Enter the Pay App Amount and click 'Done'

d. SAVE

6. Stamp the Pay App as received
7. Attach a PDF copy of the Pay App
8. For all other Contract Types, update the status to PM REVIEW and SAVE
1. Receive Workflow notification that the invoice is available to be reviewed. Click on the link to access the Workflow.

2. Review Invoice PDF and Pay App Record for accuracy
   a. Click on the Document Thumbnail to view the Pay App PDF
b. Click on the Pay App Transaction Number to view the Pay App record

3. Determine if the Pay App is accurate
   a. If the Pay App is correct and no changes are needed:
      i. Click ‘Edit’
ii. Update the SUBMITTED DATE to the current date and SAVE

iii. Click the AiM ‘Back’ button to return to the Workflow screen. Do not click the Browser’s back
iv. Add any applicable notes to the Note Log

v. Click ‘Edit’

vi. Choose your response, and click ‘Save’

vii. By approving the Workflow, you are advancing the Payment Application to Accounts Payable for review and acceptance. The Finance Manager will receive notification that the Pay App was approved and advanced.
b. If inaccuracies are discovered and the pay app needs to be revised:
   i. Amend the Pay App and notify the contractor
   ii. Document the dispute by inserting a note on the Pay App record

iii. Attach a PDF copy of the amended Pay App
iv. Click the AiM ‘Back’ button to return to the Workflow. Do not click the Browser ‘Back’ button.

v. Click ‘Edit’

vi. Select REVISIONS REQUIRED as your Workflow response, and click ‘Save’

vii. By selecting ‘Revisions Required’, you are sending the Invoice back to the Finance Manager.
STATUS: REVISIONS REQUIRED

RESPONSIBILITY: FINANCE MANAGER

1. Receive the Workflow notification
2. Review Invoice revisions and verify against Banner PO
3. Make any necessary adjustments
4. Update SUBMITTED DATE
5. Verify that the most current version of the Invoice is attached
6. Update status to **AP REVIEW** and SAVE

STATUS: AP REVIEW

RESPONSIBILITY: ACCOUNTS PAYABLE

1. Receive the Workflow notification on your WorkDesk and via email. Clink on the link to access the Workflow.

2. Click on the Document Thumbnail to download the Pay App
3. Add any applicable notes
   a. Click ‘Notes Log’

   b. Click ‘Add’

   c. Type the Note into the box and select the appropriate Note Type
d. SAVE then click ‘Done’ on the next screen

4. Click ‘Edit’
5. Select your Workflow response, then click ‘Save’. Available responses:
   a. **ACCEPTED** – Accounts Payable accepts the Pay App and will process it for payment. The charge is released in AiM. AP did not add any notes to the record.
   b. **ACCEPTED WITH NOTES** – Accounts Payable accepts the Pay App and will process it for payment. The charge is released in AiM. AP added notes to the record.
   c. **REVISIONS REQUIRED** – There was an error with the Pay App or accompanying Banner information. Accounts Payable does not accept the Pay App and returns it to the Finance Manager for revisions. AP should include a note explaining why the Pay App was not accepted.

6. Once the Invoice has been accepted, process the Invoice for payment

**STATUS:** AP ACCEPTED  
**STATUS:** REJECTED  
**STATUS:** VOIDED
CLOSE CONSTRUCTION CONTRACT

Primary Responsibility: Finance Manager

CLOSE CONSTRUCTION CONTRACT PROCESS
WorkDesk → Contract Administration → Construction Contract

STATUS: NOTICE TO PROCEED
RESPONSIBILITY: FINANCE MANAGER

1. Post all Invoices
2. Verify with Project Manager that the contract is ready to be closed
3. Update the Contract status to CLOSED and SAVE