

907.1 – Pre-Construction Conference - Sample Agenda

The Contractor shall confirm status of the Construction Contract prior to this meeting. The Following is a Suggested Agenda for the Pre-Construction Conference:

1. Record of attendance and introduction of representatives:

- Project Manager
- Supporting personnel from Division of Engineering and Contract Administration (e.g. mechanical, electrical, civil, etc.)
- Construction Specialist
- Using Agency Representative(s)
- Facility Staff
- Commissioning Authority
- Architect-Engineer Representatives
- Resident Observer
- Contractor Representatives
- Subcontractor Representatives
- Special Inspections Contractor and/or Contractors

2. Communication:

- All project communication from the Contractor shall be through the Architect-Engineer.
- All correspondence shall bear project title and File Number. **See Section 110.**
- All correspondence shall be copied to the Project Manager, Using Agency Representative and others designated by the Project Manager.
- Representatives shall exchange project phone numbers, including site, office, cell and emergency numbers.
- Any communication with the press shall be directed to the office of the Finance and Administration Cabinet and coordinated with the Project Manager of the Division of Engineering and Contract Administration.

3. Drawings:

- Confirm that the Contractor has an official set of Contract Documents.
- Confirm that the approved Housing Building and Construction contract documents are on the Project site at this meeting and that they shall remain at the site for the duration of the construction.
- Check Contractors need for additional drawings, including what is needed for Record Drawings Set.

4. Discussion of Plan of Operations: shall include a general overview of construction schedule, procedures, use of site, etc.

Storm Water Pollution Prevention Plan (SWPPP):

- The contractor shall submit a copy of the SWPPP and discuss how these measures will be maintained. **See Section 220 and Sections 312500-0 through 312500-9** for more information.

- The certification of Contractors and Sub-contractors of the **312500-2 SWPPP Guide Specifications** shall be edited for the specific Project and included in the contract documents. The Contractor shall sign the certification statement that they will implement all BMP control measures before performing any work on the Project site.

5. Construction Schedules:

- Contract Time – for the Work or for Phases, if any
- Critical Work Sequencing and long-lead items (No extension of time will be allowed due to late order of materials which results in late delivery)
- Coordinate all shut down times with the Using Agency. (72 hours advance notice of shut down required)
- Phasing
- Initial Progress Schedule
- Major equipment deliveries and priorities
- Coordination with other contracts and/or Owner
- Required Substantial Completion
- Projected Final Completion
- Discussion of time delays. All delay requests and approvals shall be documented by Change Order as they occur. Late requests for extensions of time will not be honored. Do not wait until the end of the Project to deal with time extensions.

6. Contractor's Use of Premises:

- Site limitations
- Facility Policies and Procedures
- Security
- Housekeeping
- Responsibility for temporary facilities, utilities and controls
- Anticipated activity on site by the Using Agency or general public (if any)
- Areas of site that will be used by others for specific periods of time (if any)

7. Progress Meetings and Other Meetings:

- Establish date for Progress Meetings – one per month unless more are necessary.
- Architect-Engineer shall compile and distribute meeting minutes within seven days of meeting. Discussion of who receives minutes. The Project Manager and Using Agency Representative shall receive copies of all minutes.
- Discuss required pre-installation meetings (i.e. pre-waterproofing, pre-roofing, pre-controls, pre-concrete etc).
- Special coordination meetings, if required.

8. Pre-Roofing Conference:

- Schedule at least four weeks prior to start of roofing installation.
- Roofing superintendent and manufacturer representative shall attend along with all trades that are affected by roofing work.
- Discussion of who performs flashing
- Inspection of the deck by Architect-Engineer prior to roofing.

9. Applications for Payment: See Section 916

- Schedule of Values must be completed and submitted by the Contractor and approved by the Architect-Engineer and Project Manager prior to submittal of the first Application for Payment.
- Application shall be made on State forms that are accessible at the following web site: <http://finance.ky.gov/services/stateplan/Pages/ConstructionFormsandInformation.aspx>; Examples of how to use these forms are accessible at the same link.
- A bar chart shall be submitted showing both planned and actual progress. This chart shall be submitted with each Application for Payment.
- A Critical Path Method (CPM) format shall be used on projects in excess of \$1,000,000.
- Draft Copies of Application for Payment may be submitted to the Architect-Engineer and Sub-consultants in advance for preliminary review.
- Suggest the monthly billing schedule correspond to the monthly Progress Meetings.
- Retainage attachments to payment applications.
- All stored materials shall be properly secured and protected from the weather.

10. Off-site storage: Payment for off site storage requires that the following criteria be met:

- Materials are clearly marked as belonging to the Commonwealth of Kentucky and the name of the Project is clearly indicated.
- Materials are stored in a bonded warehouse, and are inspected by the Architect-Engineer, Project Manager and/or other designee of the Division of Contract and Administration.
- An insurance certificate shall be attached to the Application for Payment in the amount of the value of the stored materials.
- See General Conditions Article 18 for Payment requirements.

11. Payroll and Wage Scales:

- Contractor shall submit all required information directly to the Department of Labor.

12. Submittals:

- List of Subcontractors and suppliers.
- Submittal Schedule.
- Shop Drawing Log shall be maintained and submitted by the Contractor.
- Establish number and format of submittals. Contractor shall keep three approved copies of submittals, for delivery to the state upon completion of the Project.
- Additional copies of approved submittals for respective disciplines may be requested by civil, mechanical, electrical or other support personnel from the Department of Engineering and Contract Administration.

- Discuss actual routing of all submittals.
- Expected review time.
- Discuss Department of Housing Building and Construction review and approval process. i.e. sprinkler system, fire alarm, elevator, and boiler. These submittals shall be approved by the appropriate consultant prior to submittal to HBC.
- Approved copies of each submittal shall be kept on job site.
- Payment will not be approved for Work performed or installed without approved Shop Drawings.

13. Systems and Equipment:

- The contractor shall provide adequate maintenance access points for all mechanical and electrical equipment. If there are site conditions that make equipment maintenance points difficult it shall be brought to the attention of the Architect-Engineer for resolution.
- All mechanical and electrical equipment shall be kept clean and dry as stored materials and in place during installation.

14. Safety Issues:

- Contractor is responsible to maintain a safe and clean site.
- Safety meetings encouraged to be held weekly.
- Reporting of accidents (major and minor).
- Review any security policies on special projects such as correctional facilities.
- Complete and distribute the Hazardous Materials Construction Guidelines for Capital Construction Projects that is located in 907.2. The Contractor shall contact all parties listed in this guideline in the event hazardous materials are encountered.

15. Procedures for Requests for Information (RFI):

- Requests for Information, issues and instructions.
- Contractor shall maintain a log of Requests for Information.

16. Change Orders:

- Initial request shall come from the Contractor, Architect-Engineer, Using Agency Representative or Project Manager.
- The Project Manager shall authorize the Request for Proposal.
- Contractor submits proposal to the Architect-Engineer for review and recommendation.
- Project Manager has final approval on whether to accept the proposal.
- If directed by the Project Manager, the Architect-Engineer shall prepare the Change Order on the official form. After signature by the Contractor, the Architect-Engineer shall sign and forward the form directly to the Administrative Services Branch of the Division of Engineering and Contracting Administration. (do not send to the attention of the Project Manager).
- Change Order forms can be found at the following web site:
<http://finance.ky.gov/services/stateplan/Pages/ConstructionFormsandInformation.aspx>
- Every item shown on the Change Order shall have a justification written on the Change Order form. "Owner request" is not an acceptable reason.

- The total allowable overhead and profit markup for a Change Order is 15%. This may be split between the Contractor and Subcontractor.
- The Contractor shall provide sufficient itemized cost detail to allow for confirmation of appropriate cost.
- Change Orders are generally processed and returned to the Contractor and Architect-Engineer within 15 days.
- Extensions of time will require a Change Order and shall be determined at the time of request.
- Contractor shall maintain a Change Order log.
- Sub-contractors, manufacturers or vendors that have been listed in the Form of Proposal cannot be changed unless approved by the Division of Engineering and Contract Administration. Any change in sub-contractors will require a Change Order.

17. Field Orders and/or Architects Supplemental Instructions (ASI):

- All changes in the Work that are for the purpose of clarification and/or minor changes, that **DO NOT** involve added costs and/or time extensions shall be documented by AIA document, Architects Supplemental Instructions G710 or other Architects standard format.

18. Testing Materials, Inspections, Laboratory Reports, and Certificates:

- Special Inspections testing including concrete and soils testing shall be paid by the Division of Engineering and Contract Administration. All test reports shall be sent directly to the Architect-Engineer and the Project Manager at the same time it is sent to the Contractor.
- All other testing required by the Contract Documents shall be paid for by the Contractor. The testing service shall be approved by Architect-Engineer and the Project Manager prior to testing. All test reports shall be sent directly to the Architect-Engineer and the Project Manager at the same time it is sent to the Contractor.
- The Contractor shall not use private inspectors. All electrical inspections will be performed by inspectors from the Kentucky Division of Building Code Enforcement, Electrical Inspections. Contact at (502-573-1797) or follow the link:
<http://dhbc.ky.gov/bce/ei/Pages/default.aspx> .
See Article 10.4.1 of the General Conditions at the following link:
<http://finance.ky.gov/services/stateplan/Pages/ConstructionFormsandInformation.aspx>.

See Section 226 of this Procedures Manual for Building Code information.

The contractor shall be responsible for requesting, scheduling and coordinating all electrical inspections through the Electrical Inspections Section. The Project Manager will arrange to pay the associated inspection fees directly to the Electrical Inspections Section.

- HVAC Testing, Adjusting and Balancing: These services shall be obtained and paid by separate contract by the Division of Engineering and Contract Administration. The Contractor shall coordinate with the selected TAB Contractor in accordance with the Specifications. The Contractor will be back-charged for unproductive site visits by the TAB Contractor if coordination procedures are not properly followed.
- The Contractor is responsible for coordinating and scheduling all Plumbing Inspections.
- The Contractor is responsible for coordinating and scheduling all inspections by the Department of Housing Building and Construction.
- The Contractor shall perform roof cores if necessary to determine the existing conditions prior to the work beginning to provide a proper installation.

19. Architect Engineer: The Architect-Engineer shall be main point of contact and discuss communication hierarchy. **See Section 902.** The Architect-Engineer shall:

- Monitor Project progress and conformance to contract requirements.
- Supervise Resident Observer.
- Process Shop Drawings, applications for payment, Change Orders, etc. in a timely fashion.
- Prepare minutes of progress meetings.
- Provide field observation reports of site visits. Minimum of 2 visits per month.
- Provide Contract Document clarifications and supplemental instructions as necessary.
- Prepare agenda and facilitate monthly progress meetings.

20. Resident Observer: See Section 903

- The Resident Observer shall be employed by and is responsible to the Architect-Engineer.
- The Resident Observer shall keep daily records of job site activities, weather, visitors, etc.
- Duties include inspecting the Work for compliance to Contract Documents.
- Office, phone and data access shall be provided by the Contractor for the use of the Resident Observer.

21. Job Superintendent:

- Contractor shall submit the resume of the Job Superintendent to the Architect-Engineer for review and approval.
- Superintendent shall be full time on this Project and shall be on site whenever work is underway.

22. Conduct of Workers:

- No contraband (alcohol, recreational drugs, weapons, etc.) allowed on site.
- Proper dress for site and weather conditions.
- No fraternization with Owner/Using Agency staff.
- No sexual harassment.

23. Safety: Contractor is responsible for safety of workers, visitors and others on site.

24. Record Drawings:

- It is the Contractor's responsibility to ensure that Record Drawings are kept up to date.
- Architect-Engineer shall inspect Record Drawings at monthly intervals to verify timely documentation of field modifications and changes. The Architect-Engineer shall adjust the Contractor's application for payment if necessary to ensure compliance.

25. Temporary Utilities and Field Office: Verify that Contract Documents correctly identify who provides and pays for:

- Water
- Gas
- Electric
- Heating/Cooling

- Phone
- Field Office
- Data access

Discussion of temporary heating and/or cooling during construction: The new heating and cooling system shall not be used for temporary heat and/or cooling unless approved by the Architect-Engineer and the Project Manager.

- If the new system is to be used then documentation of how that system is to be protected and maintained shall be submitted and approved by the Architect-Engineer and Project Manager.
- The Contractor shall take steps to conserve and minimize use of Owner provided utilities.

26. Project Signage:

- **See Section 608.21 Project Sign** for the format.
- Project sign format drawing is a guide. Reasonable modifications to this format may be approved by the Project Manager.

27. Substantial Completion Inspection (Punch List):

- Review what constitutes Substantial Completion
- Work is complete such that Using Agency may occupy and use the facility as intended.
- Punch list inspection has been made.
- Division of Engineering and Contract Administration, Using Agency and Architect-Engineer must agree that Substantial Completion has been reached.
- Temporary or permanent Certificate of Occupancy has been issued.
- Contractor shall run his own punch list and work it off prior to requesting inspection by Architect-Engineer.
- Contractor shall not request Substantial Completion Inspection until Project is ready.
- Architect-Engineer punch list shall utilize continuity of numbered items to distinguish between old and new.

28. Retainage: The following are excerpts from the General Conditions of the contract:

18.5 Held Retainage/ Retainage Reduction. *Until fifty percent (50%) of the construction work has been completed in accordance with the contract, the Owner may withhold no more than ten percent (10%) retainage from the amount of any undisputed payment due, and retainage held after fifty-one percent (51%) of the construction project has been completed shall not be more than five percent (5%) of the total contract amount.*

18.5.1 *Subsequently, the Contractor shall withhold no more than ten percent (10%) retainage from the amount of any undisputed payment due to a subcontractor, and retainage held after fifty-one percent (51%) of the construction project has been completed shall not be more than five percent (5%) of the total amount contracted with a subcontractor.*

Upon Certification of Substantial of Completion by the Architect-Engineer, the retainage may be reduced to a sufficient lump sum (cost of the work times 2) to cover the value of the punch list items.

29. Transfer of Insurance: Owner will assume responsibility for insurance and utilities on the date of Substantial Completion.

30. Certificates of Compliance and Acceptance: The Contractor shall be responsible for providing certificates of compliance for the following:

- Plumbing
- Electric
- Boiler (if applicable)
- Other (sprinkler, fire alarm, elevator, kitchen exhaust hood, etc.)
- Special guarantees as required by Contract Documents
- Certificate of Occupancy

31. Final Payment Contingent Upon:

- Punch list items completed, corrected or otherwise satisfactorily addressed.
- Submittal of Project close-out documents (warranties, operation and maintenance manuals, Record Drawings, certificates and approvals, etc.).
- Completion of owner/user training sessions.
- State Affidavit of Final Payment – B-210-13 ; **See Section 907.3** or the following link:
<http://finance.ky.gov/services/stateplan/Pages/ConstructionFormsandInformation.aspx>

32. LEED: For Projects seeking LEED certification, discuss the LEED checklist and the responsibilities of the contractor to comply with the LEED requirements during construction.

33. Commissioning:

- Introduce the Commissioning Authority and discuss the Commissioning process that will be utilized throughout the construction process.
- Schedule the Construction Phase Commissioning Conference.

34. Additional Items: In addition to the above items, the Contractor, Project Manager or Construction Specialist may have additional items for discussion. The Architect-Engineer should contact these entities prior to the meeting to identify any items that should be included in the agenda for the meeting.

35. Meeting Minutes: The Architect-Engineer shall prepare minutes of the Pre-Construction meeting and disburse the minutes to all meeting attendees within five working days following the meeting. These minutes shall include a summary of all discussions and issues that occurred during the meeting. The minutes shall include a record of all attendees.

36. Corrections or Modifications: Should anyone believe that a correction or modification is required to make the distributed minutes accurately reflect the proceedings of the meeting; a written request shall be promptly forwarded to the Architect-Engineer. The Architect-Engineer shall prepare a supplement to the meeting minutes that precisely reflects the requested correction. This supplement shall be forwarded to all meeting attendees. Should there be no requests for corrections or modifications, the written minutes as distributed shall stand and become an official project record.