

CONSTRUCTION DOCUMENTATION CHECKLISTS

Record The Truth, Eliminate Surprises, and Avoid Disputes

- Bid _____
- Contract _____
- Changes _____
- Agreements _____
- Payment Provisions _____
- Protocols _____

BID CHECKLIST

Create a bid checklist to support change orders and to address issues regarding a comparison of bid scope versus owner expectation or direction during construction.

Use a bid checklist to verify assumptions, estimates, discussions, and pricing of scope of work.

Include the bid checklist in the overall project record retained in accordance with legal requirements.

- Bid/Proposal book with pricing
- Bid plans and specifications
- Addenda
- Site visit notes
- Pre-bid questions
- Estimate showing calculations and assumptions
- Subcontractor proposals
- Supplier/Vendor quotes

CONTRACT CHECKLIST

Create a contract checklist that includes a conformed set of specifications and drawings.

Maintain a contract checklist that includes a copy of the specifications and all specification changes such as special provisions or change orders that alter the contract language.

Keep one conformed set of all contract documents in one place. Do not remove the changed pages; just insert the new pages so the history of the changes is there. Same with drawings; insert changed drawings over the old ones and keep as a set.

- Conformed Contract
 - Executed Contract plus any change orders that alter it
- General Conditions or General Provisions
- Technical Specifications
- Referenced Standards
- Notice of Award
- Executed Contract
- Notice to Proceed
- Notice, Submission, and Response times
 - List when notice must be provided
 - List submission dates and time frames for
 - Submittals
 - Shop drawings
 - Material certifications
 - Project schedules
 - Certified payroll
 - Invoices or Pay Applications

- Any Contract requirement that includes a date or time frame requirement; review the contract once so dates or time frames are immediately available to you
- Response times for the owner and for you
- Change order and claims time requirements
- Working day time count

CHANGES CHECKLIST

Create a changes checklist to support discussion and submission of change orders for changes to the scope of work.

Identify all items that may be needed to address contract time, scope, and cost changes and procedures for submitting a change order or supporting a claim if agreement cannot be reached regarding a changed condition.

- Locate the Changes clause
- List the specification requirements precisely
- Create list of Changes and status of Changes
- Provide notice if required
- Change order pricing, breakdown only as required by the Contract
 - Bilateral, agreed-to pricing, unit price or lump sum
 - Unilateral, actual costs
- Force account
 - List what is needed to substantiate
 - List mark up
- Time extension provisions
 - Identify what is eligible
 - Determine what is needed to submit and how many copies
- Unresolved changes, disputes section
- Locate the Claims provisions
 - Notice
 - Submission requirements
 - Procedural requirements
- Create a list of Disputes/Claims and status of Disputes/Claims

CRITICAL CONTRACT DATES CHECKLIST

Create a critical contract dates checklist to ensure timely contract-required submissions and responses.

Review contract requirements and list all the dates and required Contractor actions. This will eliminate the need to find in the contract and to prevent oversight when time is short.

Place all critical contract dates in a calendar that will provide timely alerts so you don't have to remember them or remember to look at the list.

- Submittals
 - When to submit
 - When to expect return
 - Keep a log
- Requests for Information – (RFI)
 - Submit as far in advance as possible before the work will be performed
 - Keep a log
- Schedules
 - When is baseline due
 - When are updates due
- Mechanics Liens
 - Are waivers necessary with Invoices/Pay Applications
- Invoices/Pay Applications
 - When are Invoice/Pay Applications due and at what frequency
- Change orders
 - Notice

- How long after notice is the Change Order due
- How long after review is Change Order resubmission due
- Disputes and Claims
 - Notice
 - Claim documentation
 - Response time for requests for additional information
- Contract Completion
 - Completion date
 - Substantial completion
 - Final acceptance
- Liquidated damages
 - Completion
 - Milestones
- Stop Notices
 - Response time

AGREEMENTS CHECKLIST

Create an agreements checklist to track all subcontracts and materials vendor agreements that provide part of the work or materials for completing the work.

Maintain subcontracts and agreements and changes to them during the project.

- Subcontracts
 - Signed contract with subcontractor scope of work
 - Insurance provided matches what the GC has to provide
 - Worker's Comp
 - Liability
 - Other Contract insurance requirements
 - Certified payroll
 - Submittals
 - Schedules
 - Invoices
 - Lien releases with proof of payments
 - Bonds
- Vendor agreements
 - Delivery requirements
 - Material and equipment delivery dates
 - Expiration dates
 - Escalation dates
- Purchase orders
 - Material delivery requirements
 - Material delivery dates

PAYMENT PROVISIONS CHECKLIST

Create a payment provisions checklist to establish the timing and procedures for submission of invoices/pay applications.

Maintain the status of Invoice/Pay Applications to the owner, receipt of payments received from the owner, and payments made to subcontractors and vendors.

- When are Invoices/Pay Applications due (monthly or other frequency)
 - When you will need subcontractors invoices
- Identify if the Contract requires a specific Invoice/Pay Application format
- Determine what each Invoice/Pay Application must look like and contain
- What are the Contract prompt payment requirements
 - Owner payment to GC after submission of invoice
 - GC payment to subcontractors and suppliers after receipt of payment from the owner
 - Status of payments from owner
- Lien Releases
 - Subcontractors
 - General Contractor
- Schedule updates
 - Are updates required and approved before payment of invoice
- Retention
 - Does the Contract require retention of invoiced amounts
 - Does retention vary over the duration of the project
- Joint check

- Does Contract allow joint checks
- Work progress reports
 - Are progress reports required with invoices/pay applications
- Quality compliance records
 - Are quality compliance records required with invoices/pay applications
- Payments to subcontractors and vendors
 - Status of payments to subcontractors and vendors

DOCUMENTATION PROTOCOLS CHECKLIST

(Procedures, Logs, and Files)

Create a documentation protocols checklist to provide procedural steps for project record keeping.

Implement these documentation protocols to maintain complete and comprehensive project records throughout the project.

Project records using these documentation protocols will support your ability to effectively address issues on the project. They will provide objective data to enhance timely, data-based decisions for the project.

Procedures

- Date stamp all received documents
- Sign all created documents
- Maintain version control for all documents
- Monitor approval status of all requests
- Provide appropriate distribution of created and received documents

Project files

- Contract log
 - Executed Contract
 - Contract Amendments/Change Orders
 - Invoices
 - Payments
- Specifications log
 - Specifications and Special Provisions in Contract
 - Referenced Standards
 - Specification updates

- Project Plans log
 - Drawings in Contract
 - Drawings revisions
 - Working Drawings file
 - Conformed plans set of as-built Drawings
- Subcontractor files
 - Separate file for each Subcontractor
- Supplier/vendor files
 - Separate file for each Vendor and Supplier
- Submittals log
 - Clean copy – submitted to owner
 - Reviewed copy – received from owner
 - Cross-file to subs/suppliers – multiple copies of same approved submittal received from owner and sent to each appropriate sub/supplier
- RFIs log
 - Clean copy – submitted to owner
 - Reviewed copy – received from owner
 - Cross-file to subs/suppliers – multiple copies of same approved RFI/response received from owner and sent to each appropriate sub/supplier
 - Post RFIs to working drawings file and cross reference to appropriate project files
 - Review owner responses to RFIs for consistency with contract documents and contract requirements
- Correspondence Log
 - By issue, topic, activity, material

- By organization, individual
- Chronological
- Photo/video documentation
 - Date, who took, where the electronic file is located
 - Regular, frequent, and unique circumstances – do not overdo
- Issues files
 - Separate file for each issue
- Meeting minutes
 - Chronological
 - Topical
- Written notices
 - Issue
 - Response
 - Resolution
- Non-Compliance Reports (NCR)
 - Material
 - Deficiency
 - Response
 - Resolution

AS-BUILT DOCUMENTS CHECKLIST

Maintain an as-built checklist to support final acceptance, final payment, and close out of the project.

Use an as-built checklist to verify completion of all final project documentation to ensure final payment.

Include the as-built checklist in the overall project record retained in accordance with legal requirements.

- Plans
- Final Schedule Update
- Pay Records – Final Pay Application
- Lien Releases
- Material Quality Records
- Manuals
- Job Cost Reports