

ROLES AND RESPONSIBILITIES DURING DESIGN & CONSTRUCTION OF CAPITAL PROJECTS

March 29, 2017

Contacts:

Janet Jansen
Program Manager
Engineering & Architectural Services
Janet.Jansen@des.wa.gov
(360) 407-8265

Bob Bourg
Claims & Disputes Manager
Engineering & Architectural Services
Bob.Bourg@des.wa.gov
(360) 407-9370

TABLE OF CONTENTS

INTRODUCTION	3
MASTER PLANNING	3
CAPITAL PROGRAM DEVELOPMENT	4
PROJECT INITIATION	4
CONSULTANT SELECTION	5
DESIGN - PROGRAMMING, SCHEMATIC DESIGN (SD), DESIGN DEVELOPMENT (DD) & CONSTRUCTION DOCUMENTS (CD)	5
BIDDING & CONTRACT AWARD	7
CONSTRUCTION ADMINISTRATION	7
CLOSEOUT	8

INTRODUCTION

Dept. of Enterprise Services, Facility Professional Services Division, Engineering & Architectural Services (E&AS) offers expertise on a wide range of facility issues and public works project management on behalf of public organizations throughout Washington. E&AS is authorized by [RCW 43.19.450](#) for public works project management and was created in 1959.

The primary clients of E&AS are state agencies within the executive branch of state government. These include:

- Community and Technical Colleges
- Department of Corrections
- Department of Social and Health Services
- Department of Veteran's Affairs
- Department of Health
- Department of Enterprise Services
- Washington State Patrol
- Military Department
- Numerous state boards, commissions and agencies

E&AS is committed to using our diverse expertise, knowledge, and skills to meet the needs of our customers. It is our goal to build facilities that are of enduring quality, energy efficient, environmentally sustainable, operationally effective, and universally accessible.

The purpose of this document is to define the roles and responsibilities of E&AS and Client Agencies in the design and construction of public facilities. It is our goal to provide understanding and transparency in our processes, and offer clear direction and expectations to our Client Agencies.

MASTER PLANNING

	E&AS Project Manager (PM), unless noted	Client Agency (Agency)
1	E&AS receives Public Work Request (PWR) and assigns a Project Manager (PM) who initiates A/E selection process.	Prepares a Public Works Request (PWR)
2	Manages A/E selection process, requests and evaluates A/E proposal, recommends and gains approval from Agency, prepares and ensures A/E Agreement is in place prior to work starting.	Participates in A/E selection process reviews A/E proposal & PM's recommendation, gives approval and provides funding authorization for A/E Agreement.
3	Attends planning meetings as a member of the core group to develop an understanding of Agency's goals.	Articulates long-range strategic (<i>and academic, where applicable</i>) plans of the institution. Identifies a core group to work with A/E and PM as well as who is authorized to make decisions and to participate in meetings.
4	Advises on procedural requirements and content development of master plan & issues, which may require intergovernmental coordination.	Shares institutional history including relationships between facilities master plan and any specific land-use, permitting and environmental conditions.
5	Reviews deliverables from A/E to ensure that A/E is providing contracted services.	Reviews proposed deliverables with core group and provides review comments.

6	Participates in stakeholder presentations.	Assists PM and A/E in coordinating final presentation(s) of master plan to stakeholders and facilitates plan adoption.
7	Advises Client Agency (Agency) and ensures A/E submits final approved Master Plan to Authority(s) Having Jurisdiction (AHJ) as required.	In consultation with PM, works with A/E to submit the final approved Master Plan to Authority(s) Having Jurisdiction (AHJ) as required.

CAPITAL PROGRAM DEVELOPMENT

	E&AS Project Manager (PM), unless noted	Client Agency (Agency)
1	Develops and maintains an understanding of capital repair, renovation and replacement needs of Agency and assists/advises Agency during capital program development process.	Identifies deficiencies and assesses their capital program needs each biennium.
2	Assists Agency by reviewing proposed projects to determine if there are additional project management fees, extraordinary environmental procedural requirements and other issues to be included in the capital request.	Determines if will submit a Project Request Report (PRR) for a major capital project and prepares a list of Minor Program Request projects for each biennium.
3	Assists with cost estimates, using historical records from recent projects and prepares A/E Agreement, when necessary.	Discusses delivery method(s), funding sources as well as Agency operational needs with PM for each proposed project and submits a PWR if A/E services are needed to develop cost estimates.

PROJECT INITIATION

Note: Capital projects can be initiated in several different ways and constructed using a variety of methods. The steps below are a summary only and not considered to be all-encompassing.

	E&AS Project Manager (PM), unless noted	Client Agency (Agency)
1	Works with Agency to develop a master project schedule for each biennium. Discusses project delivery options and look for opportunities to bundle similar projects under one contract.	Receives funds for projects and consults with PM to determine project delivery options for completing projects. Works with PM (<i>and Campus Architect if applicable</i>) to develop a master project schedule for all capital projects to be completed within the biennium. Look for schedule conflicts between projects and identify projects with weather or Agency calendar related constraints.
2	Receives PWR, and assigned PM contacts Agency to discuss project scope, schedule, budget and delivery methods: <ul style="list-style-type: none"> • Design-Bid Build • Design Build • General Contractor Construction Manager (GCCM) • Job Order Contract (JOC) • Small Works Roster • Energy Savings Performance Contracting 	Submits a PWR and engages E&AS to support the contracting process.

3	Once declaration of emergency is approved by DES Director, facilitates Emergency Contracting procedures, works with Agency to select Contractor and A/E, if needed.	When applicable, writes declaration of emergency letter requesting (<i>concurrency by E&AS and</i>) approval by DES Director.
---	---	---

CONSULTANT SELECTION

	E&AS Project Manager (PM), unless noted	Client Agency (Agency)
1	Reviews capital projects for the biennium with Agency and confirms project scope, budget, proposed schedules. Discusses consultant selection options with Agency, and determines which consultant selection process to use: <ul style="list-style-type: none"> • Expedited Selection (<i>fees ≤ \$100k, A/E Ref. File</i>) • Small Project Selection (<i>fees ≤ \$350k, A/E Ref. File</i>) • Large Project Selection (<i>fees > \$350k, uses advertised Request for Qualifications (RFQ)</i>) • On-call Services Selection (<i>statewide, regional, or local/campus for projects with fees \$200k, advertised</i>) • Declared emergency contracts 	Reviews capital projects for the biennium with PM and confirms project scope, budget proposed schedules. Discusses consultant selection options with PM.
2	Conducts consultant selection process according to RCW 39.80 and DES Policy 4.10 . Negotiates and prepares A/E Agreement for execution and issues a Notice to Proceed (NTP) to A/E.	Participates in consultant selection process reviewing consultant’s scope of service and fee proposal.
3	When applicable, administers Diverse Business inclusion requirements of A/E selection process.	Supports Diverse Business outreach and inclusion activities and requirements.

DESIGN - PROGRAMMING, SCHEMATIC DESIGN (SD), DESIGN DEVELOPMENT (DD) & CONSTRUCTION DOCUMENTS (CD)

	E&AS Project Manager (PM), unless noted	Client Agency (Agency)
1	Works with Agency on major capital projects to apply LEED standards.	Works with PM and A/E to identify Leadership in Energy & Environmental Design (LEED) target for major capital projects (<i>silver, gold or platinum</i>).
2	E&AS conducts an ADA review (SFAC Committee) during the Design Development (DD) phase.	Includes their internal ADA representative on the project team if applicable.
3	PM provides oversight for technical, legal, and financial responsibilities for the project. .	Includes a facility representative(s) on the project team and incorporates their knowledge and technical expertise in the design process.
4	Facilitates communication between Agency staff, A/E design team, and other consultants.	Provides relevant drawings and background information and coordinates communication between design team and staff/faculty/campus community.
5	Participates in design meetings, reviews meeting minutes for accuracy and completeness, and follows up as required.	Participates in project design meetings, reviews meeting minutes and follows up as necessary.
6	In consultation with Agency, reviews A/E-prepared design schedule for conformity with project schedule requirements.	Compares project schedule with Agency calendar, known events, and facility needs.

7	Monitors development of design for conformance to the Agency scope and the Maximum Allowable Construction Cost (MACC) in A/E Agreement.	Works with project team to keep project scope within the legislative mandate as applicable and budget allocation.
8	Reviews and approves consultant invoices for payment.	Authorizes and processes payment on consultant invoices upon PM approval.
9	Reviews all project documents in consultation with Agency and provides recommendations at each phase of design.	Reviews all project documents and provides feedback and recommendations at each phase of design.
10	Reviews project specifications for conformance to public works open competitive bidding requirements, and requires justification documentation for any closed proprietary or sole source procurement specifications.	Provides any intended sole source and closed proprietary procurement requirements to PM and design team for assessment of justification for incorporation into project specifications.
11	In consultation with Agency, verifies satisfactory completion of each phase of design and, with Agency's concurrence, approves advancement of project to next phase of design.	Gives PM approval to advance project to next phase of design.
12	Reviews and approves changes in A/E scope of services, schedule, budget and fees, and with concurrence of Agency amends A/E Agreement.	When applicable, requests to expand scope of project to meet changed conditions or institutional needs. Reviews and approves changes in A/E scope of services, schedule, budget and fees, and authorizes funding for amendments to A/E Agreement.
13	In consultation with Agency, establishes the liquidated damages per day amount for a construction contract during Construction Documents phase.	Provides cost information on likely impacts of delayed completion to Agency's operations for estimating the liquidated damages per day amount for construction contract.
14	In consultation with A/E and Agency, drafts Supplemental Bidder Responsibility Criteria to address specific requirements for each project, when applicable.	Reviews and approves Supplemental Bidder Responsibility Criteria with PM, when applicable.
15	Develops bidding and construction schedule, in consultation with Agency.	Works with PM and A/E to develop the bidding and construction schedule, being mindful of Agency calendar and seasonal weather related constraints.
16	Works with Agency and A/E to resolve logistical and/or contractual issues.	Works with PM and A/E to resolve logistical and/or contractual issues.
17	Facilitates timely and equitable resolution of issues, disputes or claims throughout the design process.	Collaborates on timely and equitable resolution of issues, disputes or claims throughout the design process.
18	When applicable, monitors A/E performance and conformance in administering their approved Diverse Business Inclusion Plan.	
19	In consultation with Agency and A/E, determines the construction contract Time for Completion consistent with requirements of the Project Schedule.	Confirms that the Contract Documents construction schedule and Time for Completion conform with Agency needs.
20	For Design-Bid-Build projects, develops and arranges for publishing of bid advertisements.	For Design-Bid-Build projects, works with PM in determining timing of bid advertising and bid date.

BIDDING & CONTRACT AWARD

	E&AS Project Manager (PM), unless noted	Client Agency (Agency)
1	In consultation with Agency and A/E, schedules and participates in pre-bid conference / site walk-throughs. When applicable, includes diverse business outreach with pre-bid conference.	Assists in scheduling and participates in pre-bid conference / walk-throughs. When applicable, attends diverse business outreach with pre-bid conference.
2	For Design-Bid-Build, and for GC/CM subcontract bidding when GC/CM elects to bid to self-perform, E&AS conducts bid opening and evaluates bids for responsiveness.	May assist in bid openings, with approval from E&AS.
3	Assists Agency in scope of award including base bid and selection of alternates	Determines base bid and alternates to be awarded based on available funds.
4	Coordinates with Agency and A/E to evaluate low bidder Supplemental Bidder Responsibility Criteria submissions.	May participate in Supplemental Bidder Responsibility evaluations, if requested.
5	For Design-Bid-Build projects, upon determination that low bidder is responsive and responsible, E&AS prepares and issues funding approval form to Agency for construction contract funding authorization.	Authorizes and returns funding approval form to E&AS.
6	Upon receipt of funding approval from Agency and execution of construction contract, coordinates with Agency, A/E and Contractor to determine date of Notice To Proceed (NTP).	Assists in determination of Notice To Proceed (NTP) date to meet facility needs with consideration for contract requirements.
7	Conducts Preconstruction Conference with Contractor with assistance of A/E and Agency.	Reserves room for and attends Preconstruction Conference, provides Agency requirements of Contractor during construction, and fields any questions about the facility.
8	After the bidding process, ensures that Construction Administration (CA) and closeout services are part of A/E Agreement. In consultation with Agency, approves changes in A/E scope of services, schedules, budget, and fees, and amends A/E Agreement when appropriate.	In consultation with PM, reviews and authorizes funding of amendments to A/E Agreements for authorized changes in A/E scope of services, schedules, budget and fees.

CONSTRUCTION ADMINISTRATION

	E&AS Project Manager (PM), unless noted	Client Agency (Agency)
1	Monitors processes for Requests for Information (RFI), change orders, submittals and shop drawings, and invoicing for responsiveness and timeliness. Resolves concerns or deficiencies with project team.	Reviews substitution requests suggested by Contractor and approved for consideration by A/E. Reviews substitution requests and confirms alignment with Agency needs.
2	Monitors construction progress and compliance with administrative, contractual and legal requirements of Contract. Monitors Contractor compliance with submission of project jobsite safety plans and reporting at construction progress meetings.	Facilitates site access to ensure unimpeded Contractor access. Communicate to facility users regarding construction site limits and access to ensure public safety.
3	Leads coordination for establishing construction progress meetings with Agency, A/E and Contractor; attends and participates in regular jobsite visits to observe the Work for general conformance with the Contract Documents; reviews meeting minutes and follows up to address any noted ambiguities or inaccuracies.	Participates in construction progress meetings with PM, A/E, and Contractor as a core team member; attends regular jobsite visits; reviews meeting minutes and follows up to address any noted ambiguities or inaccuracies.

4	With A/E, reviews Contractor's construction schedule for conformity with contract time requirements.	Reviews Contractor's construction schedule for conformity with facility requirements for access during construction, as applicable, and move-in and occupancy at completion.
5	Coordinates with A/E, Agency and Contractor to ensure Owner contract issues, including salvage and Owner-furnished items are incorporated into Contractor's construction schedule and work plan.	Provides Owner-furnished items for Contractor installation timely in accordance with Contractor's construction schedule as agreed upon.
6	Reviews and approves entitlement, scope and pricing of Change Order Proposals (COP's) and Field Authorizations (FA's) to incorporate into a Change Order (CO).	Reviews, approves and authorizes funding for Change Order Proposals (COP's) and Field Authorizations (FA's). Actively monitors the project budget to ensure adequate funding is available for duration of project.
7	In consultation with A/E, Agency and Contractor, reviews Contractor invoices for alignment with construction progress and in accordance with approved schedule of values and approves for payment.	In consultation with PM and A/E, reviews and approves Contractor invoices for payment, and processes timely payment.
8	Reviews changes in A/E scope of services, schedule, budget and fees and with concurrence of Agency amends A/E Agreement as necessary	Reviews and approves changes in A/E scope of services, schedule, budget and fees, and authorizes funding for amendments to A/E Agreement, as necessary.
9	Monitors Contractor and subcontractor submissions of Dept. of Labor & Industries (L&I) Statements of Intent to Pay Prevailing Wages and Affidavits of Wages Paid, and monitors Contractor compliance with apprenticeship reporting requirements.	Retains copies of Labor and Industries Intents and Affidavits of Wages Paid.
10	When applicable, monitors Contractor performance and conformance in administering their approved Diverse Business Inclusion Plan through B2GNow program.	
11	Facilitates timely and equitable resolution of project issues, disputes or claims throughout the construction, construction completion and warranty phases. <i>(This may occur with support from additional E&AS staff.)</i>	In consultation with PM, monitors construction activities and reports any observed design, schedule or construction related deficiencies to PM in a timely manner.

CLOSEOUT

	E&AS Project Manager (PM), unless noted	Client Agency (Agency)
1	Verifies Substantial Completion requirements with A/E, Agency, and Contractor; determines date(s) of Substantial Completion.	Assists PM and A/E in determination of date(s) of Substantial Completion.
2	Coordinates with A/E, Agency and Contractor and assists with and facilitates post-Substantial Completion punch list process; and in consultation with A/E, Agency and Contractor, facilitates and verifies resolution of all identified deficiencies.	Participates with PM and A/E in punch list process, and identifies any observed deficiencies to PM and A/E.
3	Facilitates and verifies delivery to Agency of complete and approved construction completion and closeout submittals, including Operation and Maintenance Manuals and Training, As-built Documents, Warranties, etc.	Confirms receipt of complete and approved construction completion and closeout submittals and training.

4	Reviews and approves final consultant and Contractor invoices for payment.	Authorizes and processes final payment on consultant and Contractor invoices upon PM approval.
5	Accepts completed work on behalf of the State and coordinates project Final Acceptance.	Accepts completed work and submits the Notice of Completion of Public Works Contract to L&I.
6	Confirms satisfactory completion of consultant services with Agency, reconciles as required and closes A/E Agreements.	
7	Supports Agency with warranty item resolution, schedules and conducts a warranty walk-through inspection with Agency and Contractor (<i>A/E participation as needed</i>) to address any outstanding warranty items prior to expiration of warranty—recommended to occur in the 10 th month of the warranty period.	Monitors project and reports warranty issues to PM and Contractor. Coordinates directly with Contractor for resolution of warranty issues.