

103 - Project Process Overview

The following is a brief overview of a typical capital construction project from creation to completion.

103.1 Project Initiation

<i>Need identified by University:</i>	A need arises to alter, improve, construct, or demolish.
<i>Project funded by the State Legislature (exceeding \$1,000,000):</i>	The project is approved by the General Assembly as a line item of the budget.
<i>Project approved by University (not exceeding \$1,000,000):</i>	The project is funded by a University with an approved source of funds, i.e., a maintenance pool or federal funds, etc.
<i>Project funded by Bond Funded Maintenance Pools (These projects can exceed \$1,000,000):</i>	The project is funded by the University from an authorized pool as established by the General Assembly. The use of these funds, if exceeding \$1,000,000, is required to be pre-approved by the Governor's Office for Policy and Management and reported to the Capital Projects Bond and Oversight Committee through the Secretary of the Finance and Administration Cabinet. These projects are required to be of a more permanent nature i.e. roofs, HVAC systems, windows, etc. with a useful life that approximates the life of the bonds (20 years). Typically, they may also have a two-year limit on the expenditure of these funds.

103.2 Project Pre-Design

<i>Architect-Engineer Selection:</i>	The University solicits prospective professional service firms with expertise necessary to design the project. Depending on the size of the project, Architect-Engineer is selected through a qualifications-based process or from a Master Agreement list. A contract for professional services is offered, negotiated, and awarded.
<i>Selection of Commissioning Authority:</i>	DFMS will determine if there is a need for a Commissioning Authority for the project. If yes, DFMS Project Management in consultation with the University, identifies the Commissioning Authority that will lead the implementation of the project's Commissioning Process. The Commissioning Authority may be DFMS Project Management, an independent professional commissioning provider, other appropriate entity, or a combination thereof. The scope and delivery method of the project will impact the Commissioning Authority selection. Third party commissioning providers may be selected through a qualifications-based process or from a Master Agreement list. A contract for professional services is offered, negotiated and awarded.

Project Requirements identified: The University, DFMS Project Management the Architect-Engineer and the Commissioning Authority develop the DFMS Project Management's Project Requirements.

103.3 Project Design

Initial Meeting: The Architect-Engineer, Project Manager, Department Representative(s), and members of the Commissioning Team (when applicable) will meet to discuss the DFMS Project Management's Project Requirements.

Phase A: Schematic Design: The Architect-Engineer verifies that the Project Program portion of the DFMS Project Management's Project Requirements is sufficient for the project. Site analysis, conceptual diagrams, schematic drawings, systems descriptions and project cost estimates are created by the Architect-Engineer. Decisions are made concerning the basic design of the project. For projects seeking LEED certification, the Architect-Engineer shall register the project with the USGBC, determine and identify the appropriate LEED checklist and appropriate credits. The Architect-Engineer shall provide a preliminary energy model as required to document compliance for the LEED Energy and Atmosphere Credit 1. The Commissioning Team reviews the design to affirm compliance with the DFMS Project Management Project Requirements.

Phase B: Design Development: The Architect-Engineer fully develops the design concepts, specifications, drawings, equipment, and cost estimate. With the basic design set during Phase A, the design is fine-tuned and final decisions about the design are reached. For projects seeking LEED certification, the Architect-Engineer shall participate in commissioning, finalize LEED points, and provide a preliminary energy model as required to document compliance for the LEED Energy and Atmosphere Credit 1. The Commissioning Team reviews the design to affirm compliance with the DFMS Project Management's Project Requirements.

Phase C: Contract Documents: The Architect-Engineer completes final development of bidding and contract documents. The Architect-Engineer re-affirms that the project is within budget and in conformance with the DFMS Project Management's Project Requirements. The Commissioning Team concurs that the design meets the DFMS Project Management's Project Requirements and the Commissioning Plan will assure its successful implementation. For projects seeking LEED certification, the Architect-Engineer shall incorporate details and specifications as necessary to meet the LEED requirements for all credits being pursued. The Architect-Engineer shall provide the final energy model and the resulting number of points for Energy

and Atmosphere Credit 1. The Architect-Engineer shall prepare and submit the LEED Design Application to the USGBC.

Bidding Phase:

EKU Purchasing Department solicits bids from potential construction companies, issues addenda, receives bids, analyzes the lowest and best bid and awards the contract for construction.

103.4 Construction

Construction of the Work:

The contractor selected through the bidding process performs the construction work. The Architect-Engineer provides construction administration services. The Commissioning Authority administers the Commissioning Plan to quantify the success of the project.

Substantial Completion:

The point at which, as certified in writing by the Architect-Engineer, the Project is at a level of completion in strict compliance with the Contract, and necessary approval by public authorities has been given, such that the University Department can enjoy beneficial use or occupancy and can use, operate and maintain it in all respects, for its intended purpose. Partial use or occupancy of the Project shall not result in the Project being deemed substantially complete and such partial use or occupancy shall not be evidence of Substantial Completion.

Final Completion:

The work is accepted and is turned over to the University Department.

Post-Occupancy Period:

The Commissioning Authority conducts any off-season system testing required and continues to evaluate the University Department operating methods. The University Department reports warranty issues to the Contractor for remediation. The Architect-Engineer, in association with the Contractor, shall submit the LEED application to the USGBC and shall coordinate all comments and reviews for response to the USGBC until the specified certification has been achieved.

End-of-Warranty Inspection:

The Project Manager, Department Representative, Architect-Engineer, and the Commissioning Authority inspect the Work and document warranty issues. The Contractor repairs the deficiencies found.

Capital Construction Project Closeout:

The capital construction account is closed.