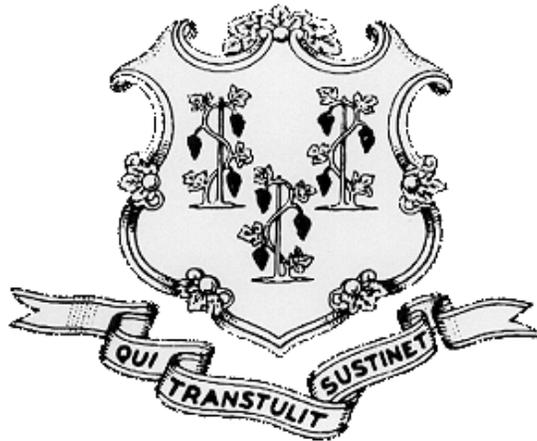


**STATE OF CONNECTICUT
DEPARTMENT OF ECONOMIC
AND COMMUNITY DEVELOPMENT**



**CONSTRUCTION MONITORING PROCEDURES
FOR
INFRASTRUCTURE AND REAL ESTATE PROJECTS**

**JOAN MCDONALD
COMMISSIONER**

Construction Monitoring

When any office within DECD requires construction oversight by the Office of Responsible Development or Office of Housing Development and Finance (ORD/OHDF), whether it's plan review, site inspections or payment requisitions to developers and/or contractors, we shall be notified a minimum of two weeks prior to contract signing of the construction contract.

The following is a list of documents which shall be submitted to the ORD/OHDF Construction Manager during the construction phase of a project:

1. Copy of contract (including a signed set of plans, specs, and addenda), bonds (including power of attorney), insurance certificate prior to the start of construction.
2. Approved schedule of values prior to start of construction
3. Approved monthly requisitions (*Copies of Certified Payrolls must be submitted to the owner at time of requisition submittals*)
4. Job meeting minutes *
5. Proposal requests*
6. Approved change orders
7. Supplemental instructions
8. Copies of correspondence between Owner, Architect and/or Contractor*
9. Copies of architect's directives

The Construction Manager will attend construction job meetings whenever possible. However, due to circumstances beyond his control, he may not be able to attend every meeting. It will be the responsibility of the Owner/ Developer to submit the above documents, when applicable, to the DECD Construction Specialist prior to the next scheduled job meeting.

The following documents shall be submitted to the DECD Construction Manager at the completion of a project.

1. Certificate of occupancy (where applicable)
2. Record documents (As Builts)
3. Certificate of Substantial Completion (AIA form G704)
4. Contractor's Affidavit of Payment of Debts and Claims (AIA form G706)
5. Contractor's Affidavit of Release of Liens (AIA form G706A)
6. Subcontractors and Suppliers Release or Waiver of Liens.
7. Consent of Surety Company to Final Payment (AIA G707)
8. Consent of Surety to a Reduction in or Partial Release of Retainage, if applicable: (AIA form G707A).
9. Final Application and Certificate for Payment (AIA form G702, and continuation sheet G703).

10. 91 Days after Certificate of Substantial Completion has been Issued, the General Contractor may submit his request for the balance of his Retainage (AIA form G702).

* Denotes those documents which are for informational purposes only, not to be retained in file

Construction Monitoring

Construction Oversight and Technical Assistance:

Construction Monitoring: The DECD Construction Specialist acts as the department's agent regarding the management and administration of construction projects funded by the State of Connecticut.

Construction Monitoring covers the development phases of projects from pre-bid activities through construction contract administration to final construction closeout. Functions include, oversight of bidding, bid tabulation and recommendation of the lowest responsible bidder, coordination with pre and post bid meetings, review of construction contract documents, review and approval of payment requisitions, change orders, shop drawings, and other construction periodicals, construction inspection

Construction monitoring by DECD Construction Specialists, applicable to all programs, includes:

- Provide technical assistance involving various projects and programs with other offices within DECD.
- Work with Local, State and/or Federal officials during the development phase of a project.
- Conduct site investigations for feasibility of development.
- Review budgets and cost estimates as they relate to construction costs.
- Review plans and specifications for conformance to Agency requirements prior to bidding.
- Assist Developer/Sponsor during the bidding period.
- Review bid documents, bid advertisements, bid instructions and bidding requirements
- Attend and oversee pre-bid inspections, bid openings, construction contract briefings, and construction contract execution meetings.
- Review construction bids, bid bonds, and contractor selection.
- Compliance review of executed construction contract documents received; review contracts, bonds, schedule of values and insurance certificates between Sponsor and General Contractor
- Construction Oversight and Technical Assistance: Monitor progress of work during construction for compliance with Agency, State & Federal requirements and procedures, (Labor and safety standards, wage standards, etc.)
- Conduct periodic inspections of the project construction activities.
- Review construction meeting minutes, proposal requests, change orders, review costs, review requisitions and construction periodical payments for work completed, review architect's supplemental instructions and directives, and review correspondence.
- Review and process payment applications for disbursement of state funds.
- Review materials and products being used in the construction.
- Participate in the final inspection of the construction contract to ensure that the completed work is satisfactory. Review construction contract certificate of completion.
- Review construction closeout procedures with sponsor prior to acceptance of a project.
- Review construction closeout documentation prior to acceptance of a project, including certificates of occupancy, record documents. Certificates of substantial completion, affidavits of payments of debts, releases of liens, lien waivers, final applications and certificates for payment.

PROTOCOL FOR CONSTRUCTION COORDINATION

The Developer/Owner shall submit one complete set of stamped bid documents to the Infrastructure & Real Estate Division of the DECD for their review prior to advertising a project for bid.

During the construction phase of a project, the following procedures shall apply:

- The Developer/owner shall notify the DECD Construction Manager of the time and location of the contract signing two weeks prior to the scheduled signing.
- Documents for contract signing shall include four copies of each of the following (one copy each to the owner, contractor, consultant, and DECD):
 1. Contract
 2. Insurance certificate (DECD additionally insured, ATIMA)
 3. Performance bond (including power of attorney signing the bond)
 4. Labor and material payment bond (including power of attorney signing the bond)
 5. Plans and specifications signed, sealed, and dated by the Developer/Owner and General ContractorOne copy of each of the above documents shall be submitted to the DECD Construction Manager after contract signing and prior to the start of construction.
- Weekly job meetings will be scheduled within one week of the contract signing. The DECD Construction Manager is to be notified as soon as the schedule has been established. The DECD Construction Manager or his designee will attend weekly job meetings whenever possible. The Developer/Owner shall mail one copy of the weekly job meeting minutes to the DECD Construction Manager for his review prior to the next job meeting.
- The General Contractor / Construction Manager shall submit four (4) copies of a Schedule of Values to the Developer/Owner for review within ten (10) days of the contract signing. The Developer/Owner, Architect and General Contractor shall sign all four (4) field approved copies on the face and each page. One copy of the signed Schedule of Values shall be submitted to DECD for their records.
- The Developer/Owner shall submit one copy of the approved monthly requisition for payment (AIA G702 & G703) to the DECD Construction Manager for his records.
- The Developer/Owner shall submit one signed copy of each change order proposal requests (AIA G709) to the DECD Construction Manager for his review. All proposal requests shall include a detailed breakdown of all costs associated with the change.
- Upon approval of the proposal request by the Developer/Owner, the Architect/Engineer shall prepare the formal Change Order (AIA G710) for signatures by the Architect/Engineer and General Contractor. One copy of the signed Change Order is to be submitted by the Developer/Owner, to the DECD Construction Manager for his records.
- When applicable, the General Contractor shall submit wage certification forms (WH-347) to the Developer/Owner for his records, with each monthly requisition for payment. These forms are to be executed by the General Contractor and all Subcontractors. These forms must be available to the Connecticut Department of Labor inspectors and to the DECD staff.
- The Developer/Owner shall submit, to the DECD Construction Manager, copies of all correspondence between themselves, the Architect/Engineer and General Contractor.
- The Developer/Owner shall submit, to the DECD Construction Manager, one copy of all Architects' supplemental instructions and Architect's directives for his review.

At the completion of a project the following documents shall be submitted to the DECD Construction Manager for his records.

- Certificate of Occupancy (where applicable)
- Record documents (as Built)
- Certificate of substantial Completion (AIA form G704)
- Contractor's Affidavit of Payment of Debts and Claims (AIA form G706)
- Contractor's Affidavit of Release of Liens (AIA form G706A)
- Subcontractors and Suppliers Release or Waiver of Liens
- Consent of Surety Company to Final Payment (AIA G707)
- Consent of Surety to a reduction in or partial release of retainage, if applicable (AIA form G707A)
- Final application and certificate for payment (AIA form G702 and continuation sheet G703)

91 days after Certificate of Substantial Completion has been issued, the General Contractor may submit his request for the balance of his retainage (AIA form G7

**The following documents shall be submitted to the DECD
Building Construction Specialist during the construction phase
of a project**

- 1. Copy of contract (including a signed set of plans, specs, and addenda), bonds (including power of attorney), insurance certificate prior to the start of construction.**
- 2. Approved schedule of values prior to start of construction**
- 3. Approved monthly requisitions (*Copies of Certified Payrolls must be submitted to the owner at time of requisition submittals*)**
- 4. Job meeting minutes ***
- 5. Proposal requests***
- 6. Approved change orders**
- 7. Supplemental instructions**
- 8 Copies of correspondence between Owner, Architect and/or Contractor***
- 9 Copies of Architect's directives**

* Denotes those documents which are for informational purposes only, not to be retained in file

The following documents shall be submitted to the DECD at the completion of a project

- 1. Certificate of occupancy (where applicable)**
- 2. Record documents (As Builts)**
- 3. Certificate of Substantial Completion (AIA form G704)**
- 4. Contractor's Affidavit of Payment of Debts and Claims (AIA form G706)**
- 5. Contractor's Affidavit of Release of Liens (AIA form G706A)**
- 6. Subcontractors and Suppliers Release or Waiver of Liens.**
- 7. Consent of Surety Company to Final Payment (AIA G707)**
- 8. Consent of Surety to a Reduction in or Partial Release of Retainage, if applicable: (AIA form G707A).**
- 9. Final Application and Certificate for Payment (AIA form G702, and continuation sheet G703).**
- 10. 91 Days after Certificate of Substantial Completion has been Issued, the General Contractor may submit his request for the balance of his Retainage (AIA form G702).**