# APPENDIX R
# CONSTRUCTION CHANGE ORDER PROCEDURE GUIDELINES

## SECTION R.1 - OVERVIEW

The A/E shall use the following procedures in the development of change orders to any construction project. The procedures are based on the requirements of Section 38 of the General Conditions. Construction change orders may be necessary during the course of construction to deal with unforeseen construction conditions, user-directed changes, or for other reasons. All changes involving a modification to contract cost or time for completion must be documented with a Contract Change Order (HECO - 11). Procedures outlined herein will begin once a change in the work is identified by the University, A/E, or Contractor.

## SECTION R.2 – PROCEDURE

### R.2.1 Change Order Procedures

In order to ensure compliance with Paragraph 38 of the General Conditions, the following change order procedures are established:

R.2.1.1 Where the University desires to modify the requirements of the contract documents to add, to delete from, or to alter the sequence or timing of the work, the University will have the A/E prepare an RFP to the Contractor describing the requested change and asking that the Contractor submit a price proposal for accomplishing said change in the work.

R.2.1.2 Where the A/E determines that a change to the contract documents is necessary or desired, the A/E will obtain approval from the University PM to prepare an RFP to the Contractor describing the requested change and asking that the Contractor submit a price proposal for accomplishing said change in the work.

R.2.1.3 Where the Contractor desires to make a substitution and/or where the Contractor desires to delete a requirement for work described in the contract documents, or where the Contractor determines that the direction provided by the University or the A/E constitutes a change in the work required by the contract documents, the Contractor shall prepare a price proposal for same and request that the University issue a change order.

R.2.1.4 Where unit prices for work were requested in the Bid Form and included in the contract [reference General Conditions Section 38(a)(2)], the Contractor and the A/E will agree upon the actual quantity of the work performed and multiply by the unit price included in the contract to determine the value of such work accepted. If the value of such work is more than or less than the value for such work included in the contract price, a change order will be prepared by the A/E to increase/decrease the contract price to reflect the work performed and accepted.

R.2.1.5 Where Work or changes in the work are to be performed under the procedures described in General Conditions Section 38(a)(3), the A/E shall prepare a change order describing the work to be performed and directing the Contractor to keep an accounting of all labor, material and associated costs of performing the work. The change order shall cite General Conditions

Section 38(a)(3) as the basis for determining the cost of such work and shall identify any specific requirements or formats not specified in Section 38(a)(3) which the Contractor will be required to use. One or more subsequent change orders will be issued to adjust the contract price and/or Time and each shall cite or reference the initial change order authorizing such work to be done using this method for determining price and time compensation.

### R.2.2 Analysis of the Pricing Proposal

The Contractor will send his pricing proposal for the change order to the A/E and University. To facilitate analysis by the University and A/E, this estimate shall be prepared using the below forms. The general contractor and each affected Subcontractor and Sub-subcontractor must sign these forms. These forms are available on the OUA website or from the VCCO.

- GC- 1, General Contractor s Estimate for change order
- SC- 1, Subcontractor s Estimate for change order
- SS- 1, Sub-Subcontractor s Estimate for change order

### R.2.3 A/E Written Recommendation

When a mutually agreed price has been determined, the A/E shall make his written recommendation to the University for acceptance by signing the bottom of Form GC-1. A statement as to how any differences were reconciled shall be provided by to the University by the A/E.

### R.2.4 Authorization to Prepare a Change Order

If the change order proposal is acceptable, the University shall have a change order prepared.

### R.2.5 Use of form HECO-11 and HECO-11a

The A/E shall prepare the change order form (Form HECO-11) and the change order Justification (Form HECO-11a) accompanied by a full description of the change, including drawings if applicable, and copies of the estimate sheets used to reach the mutually agreeable price.

### R.2.6 Signature and Backup

The Contractor will sign Form HECO-11 and send it to the University. All backup material must be provided with each copy of the change order.

### R.2.7 Urgent Approvals and Notice to Proceed Instructions

If urgent conditions require a Contractor to begin work associated with a change order prior to issuance of the formal change order, a Notice to Proceed shall be issued. Use of the Notice to Proceed is appropriate for safety, unforeseen condition remediation which will halt progress, prevention of loss, prevention of significant rework, or similar situations. Use the Notice to Proceed/Not to Exceed Change Request form available on the OUA website. The Notice to Proceed will be approved by the University Architect and shall be formalized as a change order within 30 days.

### R.2.8 No Work Prior to Approval

No work associated with any change order shall be accomplished prior to approval of the change order or prior to issuance of a Notice to Proceed as outlined above. The University will distribute approved change orders to the A/E and Contractor.