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Carter & Carter Policies and Procedures



Policies and Procedures Manual

Section 1. Pre-Construction

1.1 Preliminary Conceptual Estimate

POLICY: Preliminary Conceptual Estimate

PURPOSE: To ensure the consistent and thorough preparation and presentation of conceptual estimates. "Conceptual Estimating" is defined as the process of developing an estimate for a project based on a concept or scheme utilizing quantity takeoff and actual construction cost history.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

A. When an estimate is requested for a project, the Estimator in Charge will gather all applicable information related to the project.

B. To the greatest extent possible, each estimate will include quantity surveys applicable to the information provided. The plans will be taken off and quantities identified.

C. For information not easily gathered from the documents provided, the Estimator in Charge will use historical information from similar projects to identify quantities and/or anticipated cost.

D. The Estimator in Charge will consult with a Senior Manager or Field Operations personnel for potential schedule and staffing issues.

E. As part of the estimate presentation, the following shall be included in all cases:

1. Cover letter
2. Comments and Clarifications and Outline Specs as applicable. The following note will be placed on all comments and clarifications. "Note: Items in the following comments and clarifications indicated in bold are anticipated project cost items that are not included in this estimate." The Estimator in Charge will be responsible for ensuring the approving authority understands the scope included and excluded and the associated costs.
3. Estimate Summary sorted by specification section, phase level with quantities. Estimate summary will be listed in Labor, Material, and Subcontract categories.
4. Alternates and value engineering as applicable.
5. If estimate is an updated estimate, an estimate recap sheet will be included. This recap will indicate previous estimate cost, itemized changes within this estimate to arrive at the current estimate being presented.
6. An estimate comparison analyzing costs of a project similar in size and scope of construction. Note, this comparison sheet should be updated for any subsequent estimate and will be provided as part of all estimate presentation.

F. After the estimate presentation is complete, it will be reviewed and approved by another Estimator and the Senior Project Manager. Approval will be indicated by signatures located on the estimate comparison

and the last page of the actual estimate.

G. After the estimate is reviewed and approved, it will be presented to the Approving Authority. The Estimator in Charge and the Senior Project Manager will attend the Estimate Presentation. All applicable operations executives are encouraged to attend when possible.

H. A copy of each preliminary estimate to be provided to all upper management executives.

[Estimate Presentation Sample](#)

1.2 Estimating Start Up

POLICY: Estimating Start Up

PURPOSE: To assign duties for the preparation of all estimates.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

The attached Estimating Action List (Form O.EST.-10) is to be completed by the Estimator In Charge and discussed at the estimating start-up meeting, which is to be attended by all Bid Team Members at the beginning of the estimating process.

[Estimating Action List](#)

1.3 Estimating Dropbox Folders

POLICY: Estimating Dropbox Folder Setup

PURPOSE: To ensure the orderly filing and cataloging of information throughout the estimating process.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

To create a new project in dropbox go to **Carter & Carter/1. PROJECTS/00-00 New Project Template**. Copy all standard folders and paste into a newly created project folder. Project numbers are derived by the Year-Next project number. For example 15-24 then include the name of the project.

Within the Estimating folder you will find:

- 0. Current Estimate
- 1. Estimate Presentation
- 2. Take-Off

[Project Information Model](#)

1.4 Preliminary Overall Project Schedule

POLICY: Preliminary Overall Project Schedule

PURPOSE: To ensure the entire plan for constructing the project is drafted into a bar chart format to be used (1) during the estimating phase to convey durations to subcontractors and vendors and (2) as part of the bid package.

RESPONSIBILITY: Project Manager

PROCEDURE:

A. The Project Manager and the Superintendent (if available) will develop a preliminary Overall Project Schedule using a bar chart format as listed in Project Startup Policy (O.EST.-010).

B. The following activities, at a minimum, will be shown on the schedule:

- Sitework
- Foundations
- Framing (Steel, Wood or Concrete as applicable)
- Interior Framing/Rough Ins
- Drywall/Finishes
- Roofing

C. The following milestones, at a minimum, will be denoted:

- Framing/Erection start
- Truss delivery, if applicable
- Dry-In
- Inspections
- Substantial Completion
- Intermediate turnover dates if applicable

D. Specifications and owner time restraints will be considered when developing the overall duration.

E. The schedule must be professionally drafted so that it can be reproduced and included in the estimate presentation.

F. The appropriate upper management officials must approve the preliminary Overall Project Schedule prior to its use for estimating purposes.

[Project Schedule Sample](#)

1.5 Site Visit Checklist

POLICY: Site Visit Checklist

PURPOSE: To note all existing site conditions and collect important local information so that accurate information can be used to complete the estimate.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

A site visit must be made at the beginning of the estimating process on all projects. The attached Site Visit Checklist (Form O.EST.-20) should be used during this visit. After the site visit, a contact list with the addresses and phone numbers of all government officials and authorities in the area will be completed. The Superintendent and/or the Project Manager should accompany the Estimator in Charge on the visit.

[Site Visit Checklist](#)

1.6 Subcontractor/Vendor Identification and Qualification

POLICY: Subcontractor/Vendor Identification and Qualification

PURPOSE: To identify qualified subcontractors and vendors in locations where Carter & Carter plans to build.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

1. Develop preliminary bid list using Google Sheets. This should then be shared with the project team.
2. Contact and plan visits with major subcontractors and vendors to personally evaluate qualifications. Visits should include, at a minimum, site work, concrete, masonry, steel, framing, drywall, mechanical, plumbing, and electrical. This procedure is optional but recommended.
3. The preliminary bid list, prequalification, and subcontractor/vendor visits shall begin at least three to four weeks prior to the receipt of final documents and shall conclude approximately one week before receipt of documents so that a bid list can be finalized.

[Project Template – Bid List](#)

1.7 Subcontractor/Vendor Database

POLICY: Subcontractor/Vendor Database

PURPOSE: To maintain a complete list of available subcontractors and vendors to assist in creating individual project bid lists.

RESPONSIBILITY: Chief Estimator

PROCEDURE:

1. A complete list of potential subcontractors and vendors will be maintained within the Procore directory.
2. For bidding purposes vendors should only be set up at the company level. Once a specific vendor has been picked for a job they can then be assigned to the job at the project level.

<https://www.youtube.com/embed/t7CAtydrjx8?rel=0>

1.8 Invitation to Bid

POLICY: Invitation to Bid

PURPOSE: To solicit bidders and establish pricing conditions for the project.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

1. An Invitations to Bid is to be sent to all bidders that wish to qualify to bid on the project or that are solicited by Carter & Carter.
2. All Invitations to Bid memos are to include drawings & specs, supplemental instructions, insurance requirements and sample insurance certificate.

[Invitation to Bid](#)

[Standard Insurance Requirements](#)

[Sample Certificate of Insurance](#)

<https://www.youtube.com/embed/Ku96gPWvPXc?rel=0>

1.9 Bidder Information Sheet

POLICY: Bidder Information Sheet

PURPOSE: To Pre-qualify Bidders for Future Projects.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

1. A copy of the Bidder Information Sheet (Form O.EST.-50) will be mailed, emailed, or faxed to a prospective bidder as an enclosure with the attached prequalification memo in accordance with O.EST.-25. If the bidder has not furnished Carter & Carter with a Bidder Information Sheet within the past year, he will be requested to complete and return the sheet as a pre-requisite to consideration or acceptance of a bid.
2. The Estimator in Charge will review the completed Bidder Information Sheet. Based on this information, the Estimator in Charge will determine the acceptance of the bidder. If further research is required, it will be performed in accordance with Estimating Policy O.EST.-115.
3. A master file of all Bidder Information Sheets furnished to Carter & Carter will be kept. When Sub/Vendor sheets are printed from the database, a date will appear which indicates the latest Bidder Information Sheet on file for that sub or vendor. Also included in the master files will be all financial information previously obtained and sub reference reports conducted.
4. At such time as a sub or vendor is being considered for a particular job, current up-to-date financial information should be obtained to supplement the information contained in the master files.

[Bidder Information Sheet](#)

[Qualification Memo](#)

1.10 Public Bid Room Notification

POLICY: Public Bid Room Notification

PURPOSE: To provide broad public notification of bidding information pertaining to the project.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

Notify the Dodge Rooms or Builders Exchanges (sample memo attached) in the proximity of the construction and near our office to publish bid information. The following items of information should be included in the listing:

1. The name and location of the project.
2. The type of construction, size of building and approximate total contract amount.
3. The date, time and location of receipt of bids.
4. The names of Carter & Carter's personnel to contact regarding the bid.
5. The telephone and fax numbers of our office.
6. The company names of the pre-selected subcontractors, if any.
7. A statement that all bidders must pre-qualify to bid.
8. A copy of the Invitation to Bid memo.
9. A copy of the Bidder Information Sheet.

[Plan Room Bid Notification Letter](#)

1.11 Estimating & Job Number/Cost Code

POLICY: Estimating & Job Number/Cost Code

PURPOSE: To ensure continuity in the issuance of estimate numbers, job numbers, and cost codes.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

Job numbers, estimate numbers, and cost codes shall be assigned by the Estimator in Charge. The following applies:

ESTIMATE & JOB NUMBER:

1. The estimate & job number will be the same and will consist of four (4) digits that are separated by a dash. The first two digits will be the year the project estimate begins. The second two numbers will be in the chronological number the particular project falls as it relates to previously estimated projects for the year.

Example: 08-02

This project was estimated in 2008, and was the second project estimated.

2. All expenditures made on a project in the estimating phase shall be approved by the Estimator in Charge.

COST CODES:

1. Five (5) digit codes included in the Carter & Carter database will be used and will accompany each line item description in both the estimate and the cost report. The code number and letter is described as follows:

Example: 02-220

02 The division number of the specifications.

220 Specific item code from CSI MasterFormat.

2. The following are cost type letters that can be found and used within the Timberline estimate and cost report:

L – Only to be used in conjunction with Carter & Carter direct labor.

M – Only to be used in conjunction with materials purchased through formal vendor Purchase Orders.

S – Only to be used in conjunction with subcontractor line items.

O – To be used for miscellaneous purchases that do not require formal agreements as set forth O.P.M.-10, O.P.M.-20, or O.P.M.-30.

E – Reserved for special use. Estimating will provide direction when electing to use E.

3. Cost codes will be maintained within the Estimating Department. New cost codes will be added to the Master Code List after approval by the Chief Estimator.

1.12 The Estimate

POLICY: The Estimate

PURPOSE: To establish the estimated cost of a project based on final plans and specifications.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

To provide a final estimate using the following procedures:

A. The Estimator/Project Manager shall review the plans and specifications to determine the scope of work.

B. The Estimator/Project Manager shall conduct an estimate start up meeting with the Estimating Team to discuss the project and make work assignments in accordance with O.EST.-10.

C. The Project Manager and Superintendent (if available) shall prepare a preliminary construction schedule in accordance with O.EST.-15. The Estimator in Charge shall prepare a General Conditions estimate. This estimate will be checked by the Project Manager.

D. The Estimator in Charge shall review the plans and specifications and prepare an Estimate Summary using the standard Timberline database cost codes. All sections of specifications shall be included whether the work item appears on the plans or not.

NOTE: Lumber takeoffs should be from an outside source. Bulletin/addendum indicate who is required to price.

E. Quantity takeoffs shall be prepared as directed in the start up meeting using quantity sheets and lists to record the work of the Estimating Team. The Estimator shall use checking methods to back check quantities to ensure accuracy of the quantity takeoffs.

F. Bid Analysis Worksheets, O.EST.-110, shall be generated by the person responsible for the spec section takeoffs. These worksheets shall be reviewed by the Project Manager and Estimator in Charge.

G. The Estimator in Charge shall insert the quantities into the Estimate Summary along with unit prices in order to calculate an estimated cost prior to Bid Day. A correction sheet shall be prepared with transfers checked for use on Bid Day.

H. The Estimate Team shall receive bids using the Telephone Bid Form (O.EST.-85) or via facsimile. This form shall be filled in completely, questions should be asked relative to completeness of bid, qualifications, duration of the work, delivery times, possible duplications, and possible breakdown of prices.

All requests by subcontractors and vendors for their bid position are to be referred to the Project Manager

for handling. All bid information is to be withheld until our position is finalized and the estimate is approved by the Owner or until authorized by the Chief Estimator.

I. The Estimator in Charge will check the Subcontractor/Vendor Worksheet Form (O.EST.-100) to verify that all bids promised are received. Those subcontractors and vendors who have not entered a proposal will be called to verify their intentions. The Estimator in Charge will complete the Bid Analysis Sheets (Form O.EST.-110) to analyze various bid combinations which shall be checked by the Project Manager.

J. After receipt of final bids, the Estimator in Charge will incorporate the bids into the Estimate and a final estimate calculated. This final estimate must be checked and approved by the Project Manager, the President and/or the Vice President of Contract Management and will be presented to the client by the Project Manager and/or the Estimator in Charge in the form of an estimate presentation (O.EST.-140).

A subcontractor shall not be included in the estimate and presented to the owner without a written confirmation received.

K. After the estimate has been presented to the client, a final revision will be made to the Estimate by the Estimator in Charge, reflecting accepted alternates, changes, etc. by correcting affected line items in the Estimate.

The revised estimate figure shall be equal to the Final Contract Amount.

L. A complete copy of the estimate, bids, and presentation shall be provided to the Project Manager. The Project Manager and Estimator in Charge shall review the estimate to discuss:

1. Low bid used in estimate.
2. Subcontractor/vendor names.
3. Estimate logic and scope inclusions/exclusions.
4. Any other information required to prepare Purchase Orders and Subcontracts.
5. Buyout losses will not be finalized without approval by the Estimator in Charge.
6. Changes in Subcontractors and Vendors after the final estimate presentation will be reviewed by and agreed upon by the Estimator in Charge and the Project Manager.

[Telephone Bid Sheet](#)

[Estimate Summary Sheet](#)

[Quantity Takeoff Sheet](#)

1.13 Drawing and Specification Log

POLICY: Drawing and Specification Log

PURPOSE: To provide a list of all drawings and specifications received and distributed.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

- A. All drawings and specifications received from the Owner or Architect will be listed in the Drawing and Specification Log, which is maintained and updated through the Timberline Project Management software.
- B. The log will be used to ensure that all subcontractors, vendors, and employees are utilizing the most current drawings throughout the pre-construction and construction stages.
- C. After budget acceptance, the Log will be maintained by the Project Manager who will ensure that all documents received from the owner are recorded.

[Drawing & Specification Log](#)

1.14 Subcontractor/Vendor Worksheets

POLICY: Subcontractor/Vendor Worksheets

PURPOSE: To use as a worksheet for recording bidding data.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

A. The company name of all subcontractors and vendors who are bidding or who have been contacted for bids will placed on the Subcontractor/Vendor Worksheet (O.EST.-100). The company name, address, telephone number, facsimile number, name of their person to contact, action taken regarding bid, recommendations, status of Bidder Information Sheet, bondability, and the amount of the quotation will be listed on the sheet.

B. The Estimator in Charge will generate the worksheets and circulate them as assigned in the estimating start-up meeting (O.EST.-10).

C. An 8-1/2 × 11 copy of the final sheets are to be kept in the permanent estimate file.

D. If performance is noted as Poor or Unacceptable in the “Recommended By” column, **do not contact** without permission from the Chief Estimator.

[Sub-Vendor Call List](#)

1.15 Bid Analysis Worksheet

POLICY: Bid Analysis Worksheet

PURPOSE: To analyze various bid combinations, check scopes, and establish the order of low, complete bids.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

A. Bid Analysis Worksheets (O.EST.-110) will be generated by the Bid Team as assigned in the Estimating Start Up Meeting (O.EST.-10).

B. The person assigned to the individual specification section at the start up meeting will “set up” the sheets indicating the following:

- Description of items should be included in bid, i.e., hoisting, clean-up, temporary power, general contractor trailer services, taxes, schedule, etc.
- All applicable information regarding the company, i.e., address, phone, etc.

C. When bids are received, the written quote will be used to determine the scope and completeness of the bid by answering the questions established on the Bid Analysis Worksheet.

D. If the written quote is not detailed enough or if it has not been received, the responsible person will telephone the bidder and ask the appropriate questions. A Telephone Bid Form (O.EST.-80-A) will be used to document the conversation. Any revision of a sub/vendor's price is to be confirmed, by them, in writing.

E. The Project Manager should be able to review the Bid Analysis Worksheets and determine the order of the bidders.

[Bid Analysis Sheet](#)

1.16 Subcontractor Reference Report

POLICY: Subcontractor Reference Report

PURPOSE: To qualify the subcontractor or vendor before recommending an award, issuing a subcontract, or purchase order.

RESPONSIBILITY: Project Manager

PROCEDURE:

A. The Project Manager will complete the attached eight-page reference report (Form O.EST.-115) to check the subcontractor's bonding company, bank, trade references, etc. prior to recommending the award of a subcontract to the client or owner. This report will also be completed before contracts are awarded, if clients or owners do not review pricing.

B. Form O.EST.-115 must be reviewed, approved, and signed by the Vice President of Project Management.

[Subcontractor Reference Report](#)

1.17 Projected Cash Flow Chart

POLICY: Projected Cash Flow Chart

PURPOSE: To advise the owner of the project's projected cash flow.

RESPONSIBILITY: Project Manager

PROCEDURE:

If required, a Projected Cash Flow Chart will be prepared by the Project manager providing the data requested on the attached Form O.EST.-130. The Project Manager will project monthly billings by anticipating work completed, material billings, and release of retainage. The attached form should be completed and returned to the Estimator in Charge for computer processing prior to the budget presentation assembly.

[Projected Cash Flow](#)

1.18 Estimate Presentation

POLICY: Estimate Presentation

PURPOSE: To present the estimated cost of the project for owner approval.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

1. After the Estimate is complete, a minimum of two days prior to presentation to the Approving Authority, the Chief Estimator, the Senior Project Manager, the Project Manager, and the Superintendent (if identified) at a minimum will review the estimate including cost and all subcontractors/vendors included in the estimate. At this meeting, the subcontractors/vendors will be finalized. Note: Changes to the estimate or subcontractors/vendors should be made with the agreement of the Senior Estimator and Senior Project Manager.

2. The following items are to be in the estimate presentation in the order they are listed:

A. Cover letter

B. Comments and Clarifications and Outline Specs as applicable. The following note will be placed on all comments and clarifications. "Note: Items in the following comments and clarifications indicated in bold are anticipated project cost items that are not included in this estimate." The Estimator in Charge will be responsible for ensuring the approving authority understands the scope included and excluded and the associated costs.

C. Estimate Summary sorted by specification section phase level with quantities. Estimate summary will be listed in Labor, Material, and Subcontract categories.

D. Alternates: Any item specifically designated in the specs or plans to be priced separately. These alternates are to be priced and numbered just as indicated on the plans and specs. (This section will be omitted if the plans or specs do not require any alternates.)

E. Cost Reduction Alternates: An alternate scope of work which specifies a cost savings. The following introductory statement shall appear at the head of the Cost Reduction Alternate page: "The following cost reduction suggestions and/ or substitutions are not covered under the bid documents. This information is for the sole benefit of the owner. All accepted items shall be agreed to by the owner and the design consultant, and shall be incorporated into the contract documents by the Architect/ Engineer of record.

F. List of project allowances.

G. Key personnel list (as applicable).

H. Subcontractor bond analysis.

I. Schedule: this is to be a preliminary overall project schedule as defined in O.EST.-15.

J. Projected Cash Flow Chart (see O.EST.-130 for development of chart – as applicable).

K. Site Layout and Signage Plan (see O.S.-150 for development of plan).

L. Estimate Comparison as with approval by Senior Project Manager and Estimator as provided in the preliminary conceptual estimate.

M. Estimate reconciliation if the final estimate cost is different from the previous estimate.

N. Project Fact Sheet

3. The Estimate to be presented to the Approving Authority will be reviewed and approved by another Senior Estimator and the Senior Project Manager.

4. The Estimator in Charge is to take the estimate file to the estimate presentation meeting.

5. The Estimator in Charge, Senior Project Manager, and the Project Manager (if identified) will be present at all estimate presentations.

6. The Estimator in Charge will be responsible for ensuring the approving authority understands the scope included and excluded and the associated costs.

7. After the estimate is presented and accepted by the Approving Authority, the project will be transferred to Accounting and Operations.

[Sample Cover Page](#)

[Cover Letter](#)

[Comments & Clarifications](#)

[Standard Estimate Report](#)

[Cost Reduction Alternatives](#)

[List of Allowances](#)

[Key Personnel List](#)

[Bond Worksheet](#)

[Estimate Comparison](#)

[Estimate Recap](#)

[Summary Schedule](#)

[Site Utilization Plan](#)

1.19 Estimate Transfer from Timberline Estimating to Timberline Accounting

POLICY: Estimate Transfer from Timberline Estimating to Timberline Accounting

PURPOSE: To manage the transfer of cost codes and related budget amounts from estimating into accounting.

RESPONSIBILITY: Estimator in Charge

PROCEDURE:

After a formal notice is given that an estimate should become an actual project:

1. Open the estimate in Timberline Estimating.
2. Select the Job Cost function from the Interface menu item.
3. Follow the steps outlined in the Job Cost Transfer Wizard:

PART I

Step 1: Tab 1: Enter the Job Cost Number (see O.EST.-70 in the Procedures Manual)

Step 2: Tab 2: Make the appropriate selections. (Typically, the default selections will not need to be changed.)

Step 3: Tab 3: Allocate location or WBS Codes to each transaction. (If no location or WBS Codes are available to be assigned, this step may be skipped.)

Step 4: Tab 4: Select Printer for a record of transactions generated with the transfer. Click the Generate Transactions button to complete the transfer to accounting.

PART II

Step 5: Review the transaction report generated with the previous step. Make sure the phase/item numbers, category designations, units, and totals match the estimate. If any errors are found, make all necessary corrections and repeat Steps 1 thru 5.

Step 6: When all details match between the Estimate and Job Cost Transaction File, close Precision Estimating and open Timberline Accounting.

Step 7: Enter your operator ID and password. From the TS main screen, select the Job Cost application.

Step 8: From the Tools menu item, select Import. Select Estimate from the list.

Step 9: In the Import Estimate Information Box, name the import file (click on the button with the three dots to the right of the Dialog Box). Select the file with the .JCE extension. This is the estimate you transferred with Step 4.

Step 10: Name the rejection file "Reject". If a rejection report already exists, select Overwrite File.

Note: Do not put a check mark in the Allow Creation of Cost Codes.

Step 11: Select Start to print an Estimate to Job Cost Import Report. The Estimate to Job Cost Report will list the estimate line items (called Entries), line item totals and any errors from the transaction. Make sure all cost codes have the correct job cost category assignment (L, M, S, E, G). If any errors are listed, i.e. invalid cost code, enter the correct line item using Enter Estimates in the Tasks menu bar.

Step 12: Post entries after all corrections and adjustments have been made. From the Tasks menu, select Post Entries. If "JC Transaction File Not Found" displays along with the correct directory path, the master file has already been posted with all available new entries.

Step 13: Change the options displayed in the print selection window or accept the defaults.

Step 14: Click Start. When posting is complete, review the Post Entries Report to verify totals and check for errors.

Step 15: This procedure is complete when the Job Cost Report matches the Precision Estimate in every regard.

1.20 Historical Data

POLICY: Historical Data

PURPOSE: To gather and maintain historical information for all completed projects. This will include the Project Cost History as well as the Quantity History.

RESPONSIBILITY: Chief Estimator

PROCEDURE:

1. After a project is completely closed out in the accounting system, the Accounting Manager will forward a copy of the project's final Cost Report.
2. The Project Manager will review the final cost report for accuracy.
3. The final cost information will be input into Form O.EST.-160.
4. The quantities used on a project will be determined, i.e. number of doors per square foot, windows per unit and other. This information will assist when preparing conceptual estimates and will be used for comparisons.
5. A record of all of the project's final cost will be maintained by the Estimating Department.

[Historical Data Spreadsheet](#)

Section 2. Project Start Up

2.1 Project Start Up Action List

POLICY: Project Start Up Action List

PURPOSE: To provide a check list of typical/critical items that will ensure proper project start-up.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. The Project Manager will obtain a copy of the Carter & Carter Project Start-Up List
2. The Project Manager will assign responsibilities for set up or completion of the items denoted on the Start-Up List.
3. The Project Manager will establish "and note" on the form the earliest possible estimated completion date of each item.
4. The Project Manager distributes the Project Start-Up List to all parties with an assigned responsibility. The Project Manager holds responsible parties accountable until the list is complete. Completion dates are noted on the Project Start-Up Check List.
5. The Project Manager provides the Senior Project Manager and Vice President of Construction a copy of the check list on a weekly basis until all items are completed.

NOTE: A copy of the Project Start-Up Check List is attached.

[Project Start Up Check List](#)

2.2 Request for Information (RFI)

POLICY: Request for Information (RFI)

PURPOSE: To ensure a consistent system for the orderly processing and tracking of questions and answers by all parties involved in a project.

RESPONSIBILITY: Project Manager

PROCEDURE:

Tutorial on how to create and respond to Requests-for-Information (RFIs) using Procore
[Creating an RFI](#)

2.3 Buyout Schedule

POLICY: Buyout Schedule

PURPOSE: To ensure the buyout of the project is performed in a timely manner and supports the schedule.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. Review the estimate for all items to be purchased by written purchase order and/or subcontract.
2. List each item to be purchased with its cost code, estimated cost, and delivery date onto the Buying Schedule. Include all materials, labor only subcontract, and conventional subcontracts. Items listed in the Buying Schedule should be arranged by CSI Divisions.
3. Buyout should progress in a timely manner and should complete not later than sixty (60) to ninety (90) days after budget approval.
4. The Buying Schedule will be set-up by the Project Manager.
5. It is the Project Manager's responsibility to ensure buyout progresses in a logical manner that supports the project schedule.
6. The Project Manager provides the Senior Project Manager and Vice President of Construction a copy of the schedule on a weekly basis until buyout is completed. Additionally, status of the buyout schedule will be discussed during the month Superintendent/PM project meeting.

[Blank Buyout Schedule](#)

2.4 Submittal & Material Lead Time Logs

POLICY: Submittal and Material Lead Time Logs

PURPOSE: To ensure the approval of submittals and the delivery of materials is performed in a timely manner and supports the schedule.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. The following logs will be used to list all materials required for the project and material delivery dates to be supplied by a Vendor or Subcontractor, and should be entered on these logs in order according to specification sections. The log within Procore is to be utilized for submittals.
2. The information on these logs will be completed within four (4) weeks after budget approval. These logs will be continuously updated and circulated weekly.
3. The cumulative Submittal Log will be established for tracking all project submittal requirements, including due dates and approval status from each subcontractor/vendor in conjunction with the Procore submittal process utilized to attain formal approval by the Design Team.
4. The Material Lead Time Log is the Project Managers tool for tracking fabrication and shipping timelines for these materials and ensuring timely delivery in accordance with the Overall Project Schedule.
5. It is imperative that dates be established with the person who can control that date of submittal, approval, or delivery. It is preferable to have written confirmation from fabricators or manufacturers.
6. Submittal due dates and delivery dates will be a part of the subcontract/purchase agreement.
7. It is the Project Managers responsibility to ensure that materials and equipment are available in accordance with the Overall Project Schedule.
11. The Material Lead Time Log will be utilized in conjunction with Overall Schedule to establish critical delivery dates.
12. The Material Lead Time Log will be reviewed at the Near Term Schedule Meeting.
13. The Project Manager is responsible for keeping the Submittal and Material Lead Time Logs current. Additionally, status of the Submittal and Lead Time Logs will be discussed during the month Superintendent/ PM project meeting.

Tutorial on how to create and respond to a Submittal using Procore Construction Project

[How to Create a Submittal](#)

[Sample Submittal Log](#)

[Sample Lead Time Log](#)

2.5 Subcontractor Insurance Certificate

POLICY: Subcontractor Insurance Certificate

PURPOSE: To have adequate insurance coverage.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. An insurance certificate will be received from each subcontractor prior to his starting any work. **No subcontractor** shall be allowed to perform work without valid insurance coverage.
2. Insurance certificates are to be requested when the subcontract is written, based on the specifications, the general contract provisions or Carter & Carter's requirements (whichever are more stringent).
3. Typical insurance limits and other required language are noted on the attached sample certificate. These requirements should be communicated to the subcontractor and included in their bid.
4. The actual amount of insurance required should be evaluated as necessary on a case by case basis determined by the amount of risk involved in the subcontractor's work. (For instance, the requirements for a "blasting" sub would be different.)
5. A copy of each insurance certificate shall be filed with the subcontract at the jobsite. The original certificate shall be filed in the subcontractor insurance file.

[Certificate of Insurance Requirements](#)

[Sample Insurance Certificate](#)

2.6 Schedule of Values and Cost Codes

POLICY: Schedule of Values and Cost Codes

PURPOSE: To provide an itemized list of construction activities along with their respective value to establish an accurate basis of payment.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. Review the construction documents, estimate and schedule to establish a complete listing of construction activities and their values.
2. The Schedule of Values will be as detailed as necessary to evaluate a request for payment. Items listed in the Schedule of Values should be arranged by Carter & Carter's budget breakdown format and C.S.I. division.
3. Schedule of Values will be input into Procore upon review and approval by the Senior Project Manager and/or Vice President of Operations.
4. A Schedule of Values will be approved by Architect and/or Owner prior to submission of initial pay request.

Tutorial video demonstrating how to create a Schedule of Values for a Prime Contract

[Creating a Schedule of Values for a Prime Contract](#)

2.7 Subcontractor Qualification

POLICY: Subcontractor Qualification

PURPOSE: To ensure quality subcontractors who are capable of performing the specified scope of work are contracted.

RESPONSIBILITY: Project Manager

PROCEDURE:

Upon solicitation for bid, Subcontractors will be emailed a link for to access Carter & Carter's SCORE system. Subcontractors provide information to SCORE and a rating is assigned based on financial information, etc. Carter & Carter will evaluate subcontractor history based on number of projects utilized and total value to identify the subcontractors to go through the pre-qualification process. In the event a subcontractor cannot or will not provide information into SCORE system, the Vice President of Operations will discuss options for a manual SCORE calculation. If safety SCORE is the issue, Vice President of Operations will contact subcontractors and obtain necessary documentation in order to complete SCORE. If financial SCORE is the issue, Director of Administration will contact subcontractors and obtain necessary documentation in order to complete SCORE. Manual SCOREs and annual expiration date will be put into Procore.

Pre-qualification Committee includes the President, Vice President of Pre-Construction, and the Vice President of Operations. The SCORE rating is reviewed along with Trend Analysis (past performance) and Safety records to determine Carter & Carter's own rating for the subcontractor on a scale of 1-5. Subcontractors who are rated low for whatever reason such as safety concerns, financial stability, etc., the committee will develop a mitigation plan at the committee level. If and when such subcontractor is utilized on a project, the mitigation plan will be reviewed and project specific details added. The project specific mitigation plan will be approved by the Vice President of Operations and/or the President.

Pre-qualification Committee will meet as needed to review and approve subcontractors. Initially, anticipate meeting frequently to get subcontractors qualified. An annual renewal process will also be implemented for qualified subcontractors.

A reference tool will be provided to Estimating for use during the bidding process to evaluate bidding subcontractors. If subcontractor has not been qualified, a quick run through SCORE can provide some information and follow up with detailed pre-qualification process.

Once a subcontractor performs, the Operations staff will begin the process for Trend Analysis that gathers information regarding subcontractor's performance. This information is routed back around into the pre-qualification process for consideration of subcontractor's rating.

All backup Information obtained for consideration and rating will be stored in Procore. Procore will also contain all subcontractor's contact information, project history, etc.

ADDITIONAL RESOURCES

Prior to issuing a subcontract, if the project team is not familiar enough with the company to make a knowledgeable judgment on a subcontractor's ability to effectively perform the work, a Subcontractor Reference form can be utilized to gain additional information. A minimum of (3) references is recommended. The project team, including the VP of Operations, shall utilize this additional information to determine if the subcontractor meets financial and performance standards required to work for Carter & Carter. See blank reference form below.

[Subcontractor Reference Form](#)

2.8 Project Directory – Subcontractor/Vendor Directory

POLICY: Project Directory – Subcontractor/Vendor Directory

PURPOSE: To provide and maintain a listing of subcontractors, vendors, and project personnel, their addresses and telephone numbers.

RESPONSIBILITY: Project Manager

PROCEDURE:

Project Manager shall assemble job specific project directory by importing all subcontractor/vendor company and contact information from the “Company Level” Procore directory.

Tutorial on how to use Procore Construction Project Directory Tool

[Creating a Project Directory](#)

2.9 Overall Project Schedule (OPS)

POLICY: Overall Project Schedule (OPS)

PURPOSE: To ensure the entire plan for constructing the project is drafted into a bar chart format and confirmed by Carter & Carter and its subcontractors.

RESPONSIBILITY: Project Manager, Superintendent

PROCEDURE: An Overall Project Schedule will be developed and drafted on each project in conjunction with a construction scheduling consultant. The development takes place in the following phases:

PHASE I:

See Section 1.4 Preliminary Overall Project Schedule

PHASE II:

When management is reasonably assured that Carter & Carter will construct the project, an Overall Project Schedule draft will be prepared by the Project Manager and the Superintendent. The following criteria will be used during this preparation:

1. A weather allowance worksheet for the last ten years will be solicited from one of the regional climatic data centers on the attached sheet. Weather days are to be considered during the preparation of the Overall Project Schedule.
2. The Preliminary Overall Project Schedule will be reviewed to ensure the drafts duration is compatible with the estimate.
3. The project will be divided into manageable parts as applicable, i.e. buildings, floors, units, sections, areas, etc. These parts will be identified by separation lines on floor and site plans that can be referred to by Carter & Carter and its subcontractors.
4. Important milestone events and major or problem equipment and material deliveries will be denoted.
5. The schedule will be drafted in a time scale bar chart format with an actual calendar at the top and bottom of the document. The time scale will be rearranged to include the anticipated days that will be lost due to weather.
6. The weather days will be loaded into the schedule based on the ten year average. The average will be calculated on the number of days per month over ten years that equivalent rainfall precipitation was equal or greater than .25" and/or the high temperature was equal to or less than 25 degrees Fahrenheit. The days should only be loaded into the calendar when weather could likely impact the schedule.

7. The preliminary schedule will be circulated to all subcontractors and their in depth review solicited. This process can begin with a meeting of all subcontractors if the situation warrants.

PHASE III:

Final Overall Project Schedule

1. After all comments have been received and reviewed, they will be incorporated into the schedule based on their merit.
2. The Critical Path will be shaded so it can be identified throughout.
3. The schedule will be reviewed by the Vice President of Field Operations and/or General Superintendent prior to issuance.
4. After approval, the final schedule will be distributed to the jobsite and all subcontractors.
5. It will be used to monitor the progress of the project against the scheduled completion date.
6. The final schedule will be displayed in the field office and corporate office with a horizontal plumb line used to denote the current date. The work completed will be shaded. Activities shaded behind the plumb line are behind schedule, activities shaded beyond the line are ahead. The line will be moved and the schedule updated the day before the Near Term Schedule every two weeks.

2.10 C&C Internal Pre-Construction Conference

POLICY: Carter & Carter Team Internal Pre-Construction Conference

PURPOSE: To provide a formal status report to the members of the Carter & Carter Construction Team at the beginning of each project.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. Prior to actual construction or mobilization on the jobsite, the Project Manager will schedule and conduct a meeting with the Carter & Carter "TEAM". The "TEAM" will include, as a minimum, the Project Manager AND Superintendent. The Vice President of Operations, Vice President of Pre-Construction and President are to be included at their discretion or if specifically requested. Other members would be the Assistant Superintendent, Project Engineer, etc., as determined for each individual job.
2. The meeting is to be held at the corporate office.
3. During the meeting, the field staff will be updated on the current status of all aspects of the project including overall project schedule, buyout, lead times, etc. As items are reviewed, copies will be given to the Superintendent. Additionally, the project team will identify and discuss key criteria for the overall success of the project. These criteria will be reviewed in the form of a Project Specific Business Plan. See template Project Specific Business Plan below.

[Project Business Plan](#)

2.11 Mandatory Posting Requirements

POLICY: Mandatory Posting Requirements

PURPOSE: To ensure compliance with all Federal and State posting requirements

RESPONSIBILITY: Superintendent/Director of Administration

PROCEDURE: The following documents must be displayed in a prominent location, i.e. field office, bulletin board, etc. from the beginning of construction until completion:

1. Federal Job Safety and Health Protection OSHA poster
2. Emergency Information Form
3. Federal Minimum Wage
4. Equal Employment Opportunity is the Law
5. Family and Medical Leave Act of 1993
6. Employee Polygraph Protection Act
7. OSHA 300 Log (O.F.M.-210-G) and Annual Posting OSHA 300-A Log
8. Workers Compensation (specific to state)
9. Child Labor Law (specific to state)
10. Hazard Communications Program and Material Inventory
11. MSDS contact poster
12. MSDS phone/fax stickers.
13. Supervisor MSDS wallet cards.
14. A list of all authorized forklift operators.
15. Job Safety Plan

The state's Department of Industrial Relations should be consulted when building outside of Alabama to ensure compliance with their regulations.

2.12 Site Logistics Plan

POLICY: Site Logistics Plan

PURPOSE: To ensure a plan is established for temporary facilities set up prior to mobilization. The plan will provide for storage, offices, traffic, signage, parking, utilities and other requirements and will be compatible with the estimate.

RESPONSIBILITY: Superintendent

PROCEDURE:

1. The Superintendent and Project Manager will review the drawings and establish a list of temporary facilities or items required to conduct daily business on the site.
2. The plan will include the following as a minimum:
 - Office trailers
 - Required safety signage
 - Temporary power services (metering stations and feeders with voltage requirements)
 - Sanitary sewer, septic tanks or holding tanks
 - Material storage and/or staging areas for all contractors (space should be specifically assigned for major subcontractors)
 - Directional/informational and/or safety signage
 - Employee parking
 - Office parking
 - Temporary fencing
 - Temporary drives/roadways/curb cuts/gates
 - Temporary water sources – both for trade use and for office needs
 - Any semi-permanent structure or service required to support the construction process
3. The items above will be professionally drawn, to scale, on a site plan that includes permanent utilities, i.e. water, sewer, power, etc. Care will be taken to coordinate temporary facilities planning with permanent construction so as not to create unnecessary and costly relocations.
4. The Site Logistics Plan will be revised and approved by the General Superintendent prior to its implementation.
5. The Site Logistics Plan will be prominently displayed in the field office and used for a reference when planning and sequencing material deliveries, storage or actual work.

2.13 Field Office Layout and Setup

POLICY: Field Office Layout and Setup

PURPOSE: To ensure a plan is established for the selection and delivery of field offices and furnishings that are consistent throughout the company, functional and compatible with the estimate.

RESPONSIBILITY: Superintendent

PROCEDURE:

1. The Superintendent, Project Manager and Vice President will review the project scope and determine which approved trailer layout is required.
2. The Project Manager will place the order allowing three weeks (minimum) for delivery.
3. Insurance, delivery, setup and tie downs will be coordinated by the equipment manager.
4. Sewer, water, power and telephone service will be coordinated by the Superintendent.

2.14 Jobsite Safety

POLICY: Jobsite Safety

PURPOSE: To ensure a safe working environment for all persons employed and/or visiting a Carter & Carter jobsite and to comply with all applicable OSHA regulations.

RESPONSIBILITY: Superintendent

PROCEDURE:

1. The Job Safety Plan will be prepared by the Superintendent in accordance with our Project Safety and Hazcom Manual.
2. The Jobsite Safety Plan will consist of but not be limited to the following in accordance with our Safety and Hazcom Manual:
 - a. Statement of Policy;
 - b. Safe jobsite responsibilities;
 - c. General safety procedures;
 - d. Employee orientation;
 - e. Employee general safety requirements; and
 - f. Employee Job Safety Agreement;
 - g. Other Jobsite Safety Practices.
3. The Superintendent and all permanent employees will be familiar and use the plan as a guide in all operations at the job site.
4. The Job Safety Plan will be kept at the jobsite in the field office along with all other posting requirements.
5. The Job Safety Plan will be filed in the Procore Documents tab for each project.

See Safety and Hazcom Manual.

2.14.1 Reporting Injuries

POLICY: Reporting Injuries

PURPOSE: To establish a uniform procedure for reporting injuries.

RESPONSIBILITY: Superintendent

PROCEDURE:

If an injury occurs:

1. Obtain appropriate medical treatment.
2. Contact the corporate office and report the injury to the Vice President of Operations, the Senior Project Manager, or the President.
3. Complete the Accident Investigation Form and submit to the Vice President of Operations within 24 hours of the injury.
4. Conference will be scheduled within (5) business days to discuss the root cause of the accident and ways to prevent similar instances from occurring in the future. Vice President, Superintendent, Senior Project Manager, Project Manager and any other pertinent project team members will participate in the conference.

[Accident Investigation Form](#)

2.15 Drug and Alcohol Program

POLICY: Drug and Alcohol Program

PURPOSE: To provide guidelines for implementing the company drug and alcohol policy. A copy of the company drug and alcohol policy found in the employee handbook is attached.

RESPONSIBILITY: Director of Administration

PROCEDURE:

1. It is the responsibility of all employees to read and understand the policy and procedures regarding drugs and alcohol.

2. All jobsites and office locations will maintain an adequate supply of forms, testing kits, and signs.

3. Drug testing is a pre-employment requirement. Pre-employment applicant screening will require approximately five days to complete. This will require advanced planning for hourly trade employees so that time is allowed for screening. Employee service companies with established drug testing policies compatible with our policy can be used as an emergency labor pool.

4. Testing Procedures

A. Under non-emergency situations (Applicants, Random Testing, Return to Duty, Patterned Observed Unusual Behavior), testing procedures will be as follows:

1. The Director of Administration will instruct the employee/applicant to visit the designated collection site where the appropriate test in accordance with the Drug and Alcohol Program Policy will be performed.

2. Test results will be communicated in accordance with the Drug and Alcohol Program Policy and procedures. The Laboratory will notify the Medical Review Officer of the results of the test. Upon a positive result, the MRO will discuss the results with the employee or applicant by phone or face-to-face. The results will then be communicated to the Substance Abuse Committee. The SAC will decide on appropriate action of dismissal, rehabilitation or guidance for this employee/applicant. Upon a negative test result, the MRO will communicate the results to the SAC. The SAC will advise the Director of Administration of the results.

B. Under emergency situations (serious accident) the testing procedure will be as follows:

1. All steps will be as described above, except the Superintendent will accompany the employee to the collection site immediately following the emergency occurrence.

2. Under extreme emergency conditions where a collection site may not be available, the Superintendent will administer the drug test using an on-site drug testing kit.

3. In the case of injury to an individual requiring treatment from a physician or in an emergency room, the individual will be tested at the location of treatment or, if released without testing, will be accompanied by the Superintendent to the designated collection site within 32 hours.

2.16 Project Roles and Responsibilities

POLICY: Project Roles and Responsibilities

PURPOSE: To assign specific responsibilities and establish a chain of command for each individual project.

RESPONSIBILITY: Vice President of Operations

PROCEDURE:

1. After a contract or a firm commitment has been made to Carter & Carter, a team will be assigned to the project during the project start up phase.
2. Roles and responsibilities narratives will be produced outlining specific responsibilities for each member of the team.
3. Team members to be included in the narrative will include as applicable the Senior Project Manager, Project Manager, Superintendent, Assistant Superintendent, Assistant Project Manager, Field Engineer, or any other Carter & Carter employee responsible for management, supervision, or administrative work.

2.17 Out of Town Expense/Living Allowance Reimbursement

POLICY: Out of Town Expense/Living Allowance Reimbursement

PURPOSE: To maintain a standard policy for the reimbursement of out of town expenses for supervisors assigned to projects more than 60 miles from the corporate office.

RESPONSIBILITY: Senior Project Manager

PROCEDURE: Personnel assigned to projects more than 60 miles from the corporate office, or from their primary residence, will receive a monthly expense reimbursement/living allowance in accordance with the attached schedule and the expense agreement.

Expense Agreements:

1. In accordance with the Project Start Up Policy, the Senior Project Manager for the project will confirm to each member of the project team their expense agreement for the project term. Any change made to the expense/reimbursement agreement must be reviewed and approved by the Senior Project Manager.
2. A copy of the expense agreement will be forwarded to the accounting department with the applicable cost report codes.
3. Living allowance direct deposit will be issued by submitting a reimbursement request on Expensify. This will be done on a monthly basis in accordance with the Project Start Up Expense Agreement.
4. All allowances pertain to both temporary (less than one year) and extended (more than one year) out of town expenses. Travel expenses for temporary travel are not reported as income according to Federal Guidelines. Travel expenses for indefinite travel are to be included as income according to Federal Guidelines and will be handled accordingly. Truck allowances will be included as income according to Federal Guidelines and all applicable taxes will be withheld.

Monthly Living Allowance/Travel:

1. Monthly living expenses will be reimbursed only when employees are working at a project jobsite more than 60 miles from the corporate office or primary residence.
2. Employees on over night travel or assigned to projects with a two month or shorter duration will be reimbursed for lodging at cost. Meals and incidental expenses will be reimbursed per day in accordance with local rates established for the area. Requests should be submitted on Expensify.
3. Travel incurred by salaried employees due to job completion, repair or warranty work on completed projects more than 60 miles from their project will receive short term benefits as described in Paragraph No.

2 above.

Monthly Trips Home:

1. Trips home will be reimbursed at the cost of the most economical airline fair or at the Federal Government's rate per mile (contact the Accounting Department for the current rate per mile). Method of transportation to be approved by the Senior Project Manager. For the purchase of airline tickets, refer to Human Resources.
2. There will be no reimbursement for monthly trips home not taken. Trips home cannot be accumulated and must be taken monthly for reimbursement.
3. Trips home will be limited to twice monthly and not every two weeks.
4. The time frame for monthly trips home will be Friday to Sunday.
5. Monthly trips home will be limited to the employee only. Trips for spouses or family members will not be reimbursed.
6. Monthly trip home expense reimbursements will be requested on Expensify.

Relocation Expense:

1. *Relocation expense costs are defined as those costs associated with trailer rental or moving vans required for the transportation of personal belongings (furniture, appliances, clothes, etc.) that cannot be transported in the employee's vehicle.
2. *Relocation expense costs will be reimbursed on a one-time basis to the project at the beginning and then at the completion of the project.
3. **Mileage for relocation to a jobsite will be reimbursed at the Federal Government's rate per mile (contact the Accounting Department for the current rate per mile) for mileage at the beginning of the project and at the completion of the project.
4. Relocation expense reimbursements will be requested on Expensify.

2.18 Internet Service Provider Setup

POLICY: Internet Service Provider Setup

PURPOSE: To provide a method to set up internet service accounts at the jobsite.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. The Project Manager will investigate the availability of internet service providers (ISP) at the project's location.
2. The Project Manager will obtain rates for service from the ISP. National internet service providers should be located first (Mindspring, MSN, etc.). Only after determining that the National ISP's do not have a local presence may a local ISP be used. The use of any local ISP must be approved by the Information Technology Manager.
3. The use of the internet account on the jobsite is for business use only and shall be used in accordance with the e-mail and internet access portion of the Carter & Carter Employee Handbook.

2.19 Project Bulletin Board

POLICY: Project Bulletin Board

PURPOSE: To satisfy posting regulations and to promote good communications.

RESPONSIBILITY: Superintendent

PROCEDURE:

1. Each Carter & Carter Construction project will be equipped with an exterior bulletin board.
2. The board will be a 4' × 6' weatherized display case. The case will be professionally mounted on the front of the field office porch railing.
3. All items noted in Field Operations shall be posted on the bulletin board as well as the previous weeks Safety Meeting Outline, any required permits, and any pertinent announcements.
4. Purchasing and securing the case is the Superintendent's responsibility and shall be charged to the project.

Section 3. Project Administration

3.1 Subcontract Agreement

POLICY: Subcontract Agreement

PURPOSE: To have a written agreement, understanding, and commitment with individuals or companies providing labor or labor and materials to our projects.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. The Project Manager will prepare the Subcontract Agreement using the Subcontract template that is available on Procore.
2. The Project Manager will track execution status of the Subcontract via the Commitment Log maintained in Procore. The Project Manager will maintain the log.
3. The Project Manager should be sure that any items specifically excluded from the Subcontract terms are covered in other areas of the estimate or with other subcontractors.
4. The Subcontract should be routed to the subcontractor for execution via DocuSign. Subcontractor shall return the executed Subcontract agreement and all associated contract documents within two weeks of receipt of the Subcontract.
5. Prior to final execution by the Vice President of Operations, the Subcontract should be checked by the Project Manager for revisions made to the agreement by the Subcontractor. Any revisions should be resolved as indicated by the Project Manager's initials on each revision prior to giving the document to the Vice President of Operations. Any revisions related to the standard terms of the Subcontract must be approved by the Vice President of Operations.
6. Once the document is completely executed, the Project Manager will distribute via DocuSign as indicated on the Subcontract.
7. The Subcontract will not be entered into accounting until the document is fully executed. No payments can be made to the Subcontractor until the agreement is fully executed and entered into accounting.
8. No work is to be performed by a subcontractor prior to execution of a subcontract and the furnishing of the proper insurance certificate and bond (if required).

3.2 Vendor Purchase Order Agreement

POLICY: Vendor Purchase Order Agreement

PURPOSE: To establish a uniform procedure for the preparation of the purchasing agreements with vendors that supply only material to our projects.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. The Project Manager will prepare the Purchase Order using the Purchase Order template that is available on Procore.
2. The Project Manager will track execution status of the Purchase Order via the Commitment Log maintained in Procore. The Project Manager will maintain the log.
3. The Project Manager should be sure that any items specifically excluded from the Purchase Order terms are covered in other areas of the estimate or with other Vendors.
4. The Purchase Order should be routed to the Vendor for execution via DocuSign. Vendor shall return the executed Purchase Order agreement and all associated contract documents within two weeks of receipt of the Purchase Order.
5. Prior to final execution by the Vice President of Operations, the Purchase Order should be checked by the Project Manager for revisions made to the agreement by the Vendor. Any revisions should be resolved as indicated by the Project Manager's initials on each revision prior to giving the document to the Vice President of Operations. Any revisions related to the standard terms of the Purchase Order must be approved by the Vice President of Operations.
6. Once the document is completely executed, the Project Manager will distribute via DocuSign as indicated on the Purchase Order. The
7. The Purchase Order will not be entered into accounting until the document is fully executed. No payments can be made to the Vendor until the agreement is fully executed and entered into accounting.

3.3 Change Order to Subcontractors and Purchase Orders

POLICY: Change Order to Subcontractors and Purchase Orders

PURPOSE: To have a formal agreement to address revisions to the original Subcontracts and Purchase Orders.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. Any potential change in price or a scope of work that affects a Subcontract or Purchase Order requires a Change Order. All potential change orders will be entered into Procore via the Change Event Tab. It is important to understand there does not have to be a change in price to require a Change Order. Significant changes to the scope or contract terms that do not involve money should be issued as “no cost” Change Orders.
2. To formalize a Subcontractor or Vendor potential change order, The Project Manager will generate a Potential Change Order (PCO) via the Commitment Tab in Procore. The request should include a copy of the quote and any other associated documents to substantiate the change.
3. Once The Project Manager has reviewed and approved the PCO, the PCO shall be integrated into a formal Commitment Change Order. The Commitment Change order may include multiple PCO's or a single PCO at the Project Manager's discretion. The Commitment Change Order shall be distributed to the Subcontractor/Vendor via Docusign for execution.
4. No Change Order will be entered into accounting until fully executed. If a deductive Change Order is being issued, the Project Manager is responsible for alerting accounting to ensure there is no over payment to the subcontractor or vendor.
5. If the Change Order involves work requested by the owner, no work is to be authorized or Change Order issued to a subcontractor or vendor until written authorization is received from the owner.

See Procore tutorial on creating Change Events and Commitment Change Orders below.

[Creating a Change Event](#)

[Creating a Commitment Change Order](#)

3.4 Contractors Application for Payment

POLICY: Contractors Application for Payment

PURPOSE: To provide the Owner with a concise and consistent billing.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. The contract is to be reviewed to determine when billings are to be submitted. Typical Owner billing is due by the 25th of each month.
2. The Schedule of Values (SOV) should be generated and approved prior to execution of the Owner contract.
3. If possible, the monthly Owner/Architect/Owner meeting should be scheduled for when the billing is due. Therefore, the billing and job progress can be reviewed at that time.
4. Billing shall be generated via Procore. See below for tutorial.

[Creating an Owner Invoice](#)

3.5 Subcontractor Application for Payment and Partial Release of Lien

POLICY: Subcontractor Application for Payment and Partial Release of Lien

PURPOSE: To ensure a uniform billing procedure to subcontractors.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. Subcontractor pay applications should be submitted on the day of the month stated in the subcontract. Typically the application is due to Carter & Carter by the 20th of each month.
2. The Project Manager will only accept subcontractor applications for payment that have been completely and properly submitted via Procore.
3. Both sides of the form should be completed and properly notarized.
4. The Project Manager should check the numbers on each line to ensure accuracy.
5. The application must be accompanied by a "Schedule of Values" (AIA – G703). The Schedule of Values should be in such detail as to allow the Project Manager to accurately determine the amount of work complete. In most cases, the subcontractor's work should be broken down by activities per building or by floor. The Project Manager should approve a Schedule of Values prior to submission of a subcontractor's first pay application.
6. The Project Manager should ensure line items on the Schedule of Values are included for "punch" and "clean-up." As with any of the other items on the schedule, if punch and clean up are not being adequately performed by the subcontractor, the Project Manager should not approve the pay request.
7. If any revisions or corrections are made to the application, the application must be resubmitted by the subcontractor prior to approval by the Project Manager.
8. The Project Manager should always ensure there is sufficient balance and retainage remaining to be paid the subcontractor to complete the contract if necessary.
9. It is extremely important to expedite the approval of the "Subcontractor Application for Payment and Partial Release of Lien" to ensure timely payments to the subcontractors.

[Creating a Subcontractor Invoice](#)

3.6 Joint Check

POLICY: Joint Check

PURPOSE: To ensure payment of all materials to lower tier suppliers.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. The decision to utilize the Joint Check Agreement will be based on:
 - Carter & Carter Construction Sub/Vendor qualification procedure as approved by the Vice President.
 - If joint checking is required, it will be stipulated on the Subcontract or Purchase Order under the “Specifically Includes” heading.
2. At the discretion of the Vice President of Operations, Carter & Carter Construction Joint Check Agreement form may be made an exhibit to the Subcontract/Purchase Order.
3. Prior to Subcontractor/Vendor's first application for payment, an itemized Schedule of Values shall be submitted to, reviewed by, and accepted by Carter & Carter Construction Project Superintendent and Project Manager. Each work item is to be broken down into two categories:
 - Labor, Overhead, and Profit
 - Materials, Equipment, and Subcontracts
 - Payment of items in material, equipment, and subcontract category will be by joint check. (See below.)
4. Prior to issuing Subcontractor/Vendor's payment, accounting is to verify the sworn statement of the application for payment. Each listed company must have an executed Joint Check Agreement in Carter & Carter Construction's file. Proper waivers or releases as required by Carter & Carter Construction's sworn statement must also be in Carter & Carter Construction's file.
5. The application for payment will be reviewed and approved by the Job Superintendent based on acknowledgement of proper material delivery and receipt, and completed work in place. The Superintendent is to be aware of material shipments or subcontracted work not listed on the sworn statement, and is to notify the Project Manager of these by attaching a statement to the application for payment.
6. The Project Manager is also to review and approve the application for payment. After it is approved by Job Superintendent, the Project Manager is to confirm the approved stored materials, work in place, cost coding, sworn statement and waivers or releases are in accordance with their requirements.
 - It is important for the Project Manager to determine if the complete and correct information is obtained. Verification can be obtained by:

1. Request a copy of the company's estimate.
2. Discuss with other companies who do similar work or bid this project.
3. Request copies of Purchase Orders or Subcontracts issued by company.
4. Review contract documents for scope.

Note: A Joint Check Agreement is attached for review and reference.

[Joint Check Agreement](#)

3.7 Extra Work Authorization

POLICY: Extra Work Authorization

PURPOSE: To establish a proper procedure for authorizing additional work.

RESPONSIBILITY: Superintendent

PROCEDURE: Additional work will only be authorized through the issuance of a formal Change Order. If an immediate change is required at the jobsite level, an Extra Work Authorization Form will be issued to the subcontractor or vendor outlining the scope (and the agreed-on price if able to be established prior to commencement of the work). The form shall be completed and executed by Carter & Carter and the Subcontractor for each day work is performed. The Executed Work Authorization Form will be forwarded to the Project Manager and used for back up when the actual Change Order is issued. A subcontract change order will be issued only for work validated via the Extra Work Authorization Form.

[EXTRA WORK AUTHORIZATION FORM](#)

3.8 Providing Proper Notice to a Subcontractor or Vendor

POLICY: Providing Proper Notice to a Subcontractor or Vendor

PURPOSE: To provide for methodical and orderly effort in which a subcontractor or vendor is legally notified to address contractual deficiencies and/or to be terminated.

RESPONSIBILITY: Project Manager and Superintendent

PROCEDURE: Subcontractors and vendors are legally bound by the agreements outlined in the executed Subcontracts and Purchase Orders with Carter & Carter. Carter & Carter is also bound to certain responsibilities by virtue of the same agreements. It is therefore critical that the Project Manager in conjunction with that Superintendent ensure that Carter & Carter upholds their end of the agreement. When the Subcontractor or Vendor materially defaults on their agreement or otherwise fails to uphold their part of the agreement, steps must be taken in order to bring the Subcontractor or Vendor into compliance and/or lay the groundwork for the ultimate termination of the agreement between the Subcontractor/Vendor and Carter & Carter.

Step # 1

Determine the exact part of the Subcontract or P.O. that involves the failure or default.

Step # 2

Consult with the Senior Project Manager or Executive in Charge to discuss and confirm the failure or default. This step should not be avoided as it is critical for the appropriate Carter & Carter personnel to understand the actions and risks.

Step # 3

Prepare a "Written Notice" to the Subcontractor or Vendor using Procore's Forms Tab. Certain situations may require some deviations from the sample; however, **it is critical that you note the Subcontractor's Representative the is listed in the Subcontract Agreement.**

It is important to monitor potential problems closely because the subcontract agreement requires seven (7) days written notice prior to termination. The P.O. can be cancelled at any time however, it is wise to provide seven (7) days notice.

NOTE: If the consequence is to terminate or replace the Subcontractor, the back up plan for having the work done should be outlined and agreed to by Senior Project Manager. Management of this act is critical to avoid potential unforeseen costs and loss of profits and time against the schedule.

Step # 4

Once the "Written Notice" is prepared and approved it should be delivered to the Subcontractor's or Vendor's Representative via Procore Form's Tab. If the Subcontractor or Vendor is bonded, a copy should

also be sent to the bonding company.

Step # 5

During the period of notification, the actions and progress of the Subcontractor / Vendor should be closely monitored and documented. At the end of the notification period a determination should be made in conjunction with the Senior Project Manager as to the response made by the Subcontractor / Vendor. The Subcontractor / Vendor can remain on notice and in default of the Subcontract / P.O. while being allowed to work on the project. This should be documented similar to the attached memo. Any correspondence from the subcontractor / vendor concerning the default must be answered in writing by Carter & Carter promptly.

Step # 6

If at the end of the period of notification it is determined that the Subcontractor / Vendor has not made sufficient efforts to overcome the deficiency and remains a larger risk to the project if allowed to keep working, the Subcontractor / Vendor should be terminated. This step could ultimately end in legal proceedings such as arbitration and extreme monetary claims for damages by the party being terminated and should not be taken lightly or without consultation with Carter & Carter Senior Management and legal counsel. If at the end of the seven days period a determination is made that the subcontractor / vendor has cured the default and later, because of new circumstances again becomes in default, the above noted steps must be followed again.

Step # 7

Once terminated, no additional payments should be made to the terminated party until the project is complete or until the reason for the notice of termination is resolved. A detailed record of all completion costs, including Carter & Carter Management time and expenses should be kept. Per the Carter & Carter Subcontract and Purchase Order the terminated party is responsible for the completion costs. If the ultimate completion costs are less than the amount remaining against the Subcontract or P.O., then the terminated party is due the remaining difference between the Subcontract and the amount paid to complete the work. If the ultimate completion costs are more than the Subcontract or P.O. had remaining, then the excess costs are due to Carter & Carter from this subcontractor / vendor.

GENERAL NOTES: As previously stated, the Senior Project Manager and Executive in Charge must be kept informed once it is thought a Subcontractor / Vendor must be put on “notice” or terminated. There are many combinations of logistical and legal issues that can occur once these steps are taken and each case must be evaluated independently to ensure the risk to Carter & Carter and the project is minimized and the situation is handled prudently.

3.9 Projected Cost Update

POLICY: Projected Cost Update

PURPOSE: To report the current cost status of the project and the anticipated final cost based on the best judgment of the management team.

RESPONSIBILITY: Project Manager

PROCEDURE:

The anticipated final cost is an estimated number based on knowledge of job conditions and the best judgment of the management team. The Procore budget is to be reviewed daily and updated monthly at a minimum.

The Project Manager, with input from the other members of the Project Team, will review each line item of the Procore Budget. If the final cost of the individual line item is expected to vary from the updated total budget, the "Projected Budget" column of the Budget Tab is to be updated via the Budget Modification tool. See tutorial below.

[Budget Projections](#)

Section 4. Project Controls

4.1 Subcontractor Pre-Construction Start Up Meeting

POLICY: Subcontractor Pre-Construction Start Up Meeting

PURPOSE: A meeting will be held with each individual Subcontractor to discuss key aspects of their scope of work including safety, day to day job site procedures, administrative and clerical procedures, etc.

RESPONSIBILITY: Project Manager and Superintendent

PROCEDURE:

1. The Project Manager will conduct a meeting with each subcontractor no later than two weeks prior to the subcontractors scheduled jobsite mobilization to begin its scope of work.
2. The meeting is to be held at the jobsite.
3. During the meeting, Carter & Carter's personnel will explain and discuss Carter & Carter's procedures for managing the construction project.
4. The subcontractor's Project Manager and on site Superintendent are required to attend.

NOTE: See Sample Subcontractor Start Up Meeting Agenda below.

[Subcontractor Start Up Meeting](#)

4.2 Near Term Schedule

POLICY: Near Term Schedule

PURPOSE: To actively monitor, evaluate and update the progress of the project and plan the upcoming work activities.

RESPONSIBILITY: The Superintendent

PROCEDURE:

1. A Near Term Schedule will be prepared prior to beginning work on each project.
2. Every two weeks on a day and time established by the Superintendent and Project Manager, the Near Term Schedule should be updated in conjunction with the 3rd party scheduling consultant. The update can occur via conference call or on site.
3. Each activity shown on the Near Term Schedule will be addressed and evaluated. A determination will be made as to the status of the activity with the following information requested:
 - Was activity completed as scheduled?
 - When will it be completed?
 - Why was it not completed?
4. All activities within six weeks of the meeting will be indicated on the schedule.
5. Critical delivery, mobilizations, inspections, delays, or other milestone events will be shown.
6. The updated Near Term Schedule will be distributed to all subcontractors via Procore email. Additionally, the updated Near Term Schedule will be reviewed during the Weekly Subcontractor's Schedule Meeting and included in the meeting agenda.

4.3 Weekly Subcontractor's Scheduling Meeting

POLICY: Weekly Subcontractor's Scheduling Meeting

PURPOSE: To address and resolve daily problems and coordinate the work activities for the coming week.

RESPONSIBILITY: The Superintendent

PROCEDURE:

1. A formal meeting will be held each Tuesday at 9:00 AM in the field office. (Changes in time, day, or location must be approved by the Vice President of Operations)
2. **All** Carter & Carter Construction supervisors and subcontractor supervisors shall attend. Active subcontractors and subcontractors who will commence work within the next two weeks should be represented. The representative in attendance shall be someone with authority to make important project decisions and/or provide accurate information as it relates to that particular scope of work.
3. The Superintendent or other person designated by the Superintendent will conduct the meeting.
4. The meeting agenda template attached for reference will be strictly followed. **The current project schedule MUST be attached to all meeting agendas/minutes.**
5. The meeting will close with a review of scheduled meetings, prospective visits and inspections for the next week. The dates for inspections and visits will be announced for the week. This includes Near Term Schedule meetings, owner visits, building inspections, etc.
6. Minutes will be taken and distributed to attendees, responsible office personnel for selected subcontractors, the Vice President of Operations, Senior Project Manager and General Superintendent. Minutes should be distributed no later than 48 hours after the meeting. Meeting minutes will include a list of subcontractors whose attendance were required but were not present.

NOTE: The meeting will be conducted in a professional manner. Subcontractors and Carter & Carter Construction participants will be required and encouraged to prepare for the meeting so that the information provided is "well thought out" and accurate. Regarding subcontractors who have been inconsistent in attending the meetings, the Project Manager and Superintendent should call all required attendees prior to the meeting and remind them that their participation is required. Follow up in writing is appropriate.

An example of the Weekly Subcontractor's Scheduling Meeting is included for reference.

[Subcontractor Scheduling Meeting](#)

4.4 Monthly Site Wide Safety Meetings

POLICY: Monthly Site Safety Meetings

PURPOSE: To educate and discuss jobsite safety concerns and issues.

RESPONSIBILITY: The Superintendent

PROCEDURE:

1. The meetings will be conducted monthly on a day and time selected by the Superintendent. The exact locations on the site will also be designated by the Superintendent.
2. All site personnel are required to attend. This includes subcontractor employees.
3. The Safety Topic document will be distributed in English and Spanish prior to the meeting for use during the meeting.
4. The Superintendent or Assistant Superintendent designated by the Superintendent will conduct the meeting. Horseplay or talking during the meeting will not be tolerated.
5. The following format will be strictly followed while conducting the meeting:
 - The Monthly Safety Meeting outline will be read.
 - Employee safety recommendations should be solicited and noted on the Safety Meeting outline form.

NOTE: Care should be taken to resolve employee problems with results discussed in the next meeting.

- Monthly Jobsite Safety Inspection Reports should be discussed as necessary to review unsafe conditions encountered during inspections and resolutions required.
6. A meeting attendee sign in list will be circulated and attached to the Safety Meeting outline.
 7. The outline with attachments will be saved in the Procore Documents Safety folder.
 8. The meeting should be well organized and structured exactly as outlined above. The duration should be no more than 15 minutes.
 9. Monthly safety topics (English and Spanish versions) can be found in the Procore Documents Safety Folder.

4.5 Mid-Month Project Status Meetings

POLICY: Mid Month Project Status Meetings

PURPOSE: The Project Manager, Superintendent and Senior Staff will meet as scheduled to review current project progress. PROCORE must be up to date for this meeting. This meeting should run no more than 1 hours.

RESPONSIBILITY: Project Manager and Superintendent

PROCEDURE: See sample agenda below.

[Mid Month Project Status Meeting](#)

4.6 Owner/Architect/Contractor Meeting (Monthly)

POLICY: Owner/Architect/Contractor Meeting (Monthly)

PURPOSE: Monthly meetings held by the Project Manager to review Project Status with the Owner and Architect.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. The Project manager shall schedule a meeting monthly with the Owner and the Architect. The Project Manager is to publish and distribute an agenda 24 hours in advance of the meeting via PROCORE.
2. This meeting will be used to review project status and resolve any unresolved issues that may have arisen the prior month.
3. The pay request will be reviewed at the meeting.
4. Meeting minutes shall be distributed via Procore no later than 48 hours after the meeting.
5. See OAC Meeting Agenda Template

[OAC Meeting](#)

4.7 Drawing/Document/As-Built Maintenance

POLICY: Drawing/Document/As-Built Maintenance

PURPOSE: To ensure a complete set of the Contract Documents – drawings, specifications, addenda, change orders or other pertinent contract document information is current, on-site and available at all times for review and reference.

RESPONSIBILITY: The Superintendent and Project Manager

PROCEDURE:

1. Any revisions to the Contract Documents, made via Change Order, ASI, RFI, etc shall be documented via the mark up tool in Procore Drawings.

The Contract Documents include, but not be limited to, the following:

- Drawings
- Specifications
- Addenda
- Bulletins
- Change Orders
- Request For Information

2. Complete and fully updated drawings and specifications will be included in project closeout documents provided to the project owner at the conclusion of the project.

Note: See Procore tutorial below for instructions on updating the Project Drawings.

[As Built Drawing Maintenance](#)

4.8 Tool Inventory Log

POLICY: Tool Inventory Log

PURPOSE: To ensure accountability of all job purchased tools.

RESPONSIBILITY: The Superintendent

PROCEDURE:

1. All non-expendable tools, when purchased, shall be listed on the General Tool Inventory Log.
2. The inventory log shall be updated regularly as condition of the tools warrant.
3. At the conclusion of the project, the tool inventory will be audited and tools inspected. All tools in good working condition will be transferred to another project.
4. The General Tool Inventory Log will be available for management review at all times.
5. An updated copy of the Tool Inventory Log will be submitted to the VP of Operations as requested.

4.9 Material Inventory

POLICY: Material Inventory

PURPOSE: To ensure all material procured directly by Carter & Carter via Purchase Order is quantified and complies with products specified in the Purchase Order upon delivery to the project site.

RESPONSIBILITY: Superintendent/Project Manager

PROCEDURE:

1. The following list includes, but is not limited to materials typically procured via Carter & Carter purchase order:

- Lumber/exterior waterproofing materials
- Structural Hardware
- Trusses
- Windows
- Hardie Siding
- Appliances

2. The Superintendent will designate on site C&C personnel to receive and inventory purchase order material immediately upon delivery.

3. Upon each material delivery, C&C personnel shall verify:

- receipt of exact quantities listed on the bill of laden
- material delivered complies with material specified within the Purchase Order agreement
- condition of delivered material to ensure no damages have occurred prior to Carter & Carter receiving

4. Any discrepancies between quantities indicated on the bill of laden and quantities actually delivered shall be marked up directly on the ticket.

5. Designated C&C personnel will document on the delivery ticket and refuse delivery of any incorrect and/or damaged material.

6. Designated personnel shall not sign the delivery ticket until discrepancies are noted and photo documentation has occurred.

7. Photo documentation of quantity deficiencies, material irregularities, and/or damaged materials should be sent to the Project Manager immediately.

4.10 Path to Water/Sanitary

POLICY: Path to Water/Sanitary

PURPOSE: Establish a written process of required steps to attain permanent water/sanitary for each building.

RESPONSIBILITY: Superintendent

PROCEDURE: The following activities should be thoroughly planned/coordinated to ensure that water and sanitary connection to the building is sequenced within the project schedule to avoid potential critical path delays:

1. Coordinate with owner and utility provider to ensure required water and sewer accounts are set up and fees are paid (tap, sewer impact, etc).
2. Superintendent shall coordinate with local jurisdiction having authority (AHJ) to clearly understand all jurisdictional requirements to release water/sewer. (Camera & testing, bacteria, etc)
3. Plumbing fixtures topped out and inspections passed.

4.11 Path to Power

POLICY: Path to Power

PURPOSE: Establish a written process of required steps to achieve permanent power to each building.

RESPONSIBILITY: Superintendent

PROCEDURE: The following activities should be thoroughly planned/coordinated to ensure that permanent power to the building is sequenced within the project schedule to avoid potential critical path delays:

1. During buyout of the electrical scope, coordinate meeting to review lead time for all gear and equipment to ensure delivery as required to achieve power in accordance with the Original Project Schedule.
2. Coordinate with owner and utility provider to ensure required power accounts accounts are set up and fees are paid.
3. Superintendent shall coordinate meeting with electrical subcontractor and local jurisdiction having authority (AHJ) to clearly understand all jurisdictional requirements necessary to achieve power. (plate and fixture requirements, inspections, etc)
4. Electrical rooms and unit doors must be lockable.
5. Unit signage (temporary or permanent) must be in place.

4.12 Path to Certificate of Occupancy

POLICY: Path to Certificate of Occupancy

PURPOSE: Establish a written process of required steps to attain Certificate of Occupancy for each building.

RESPONSIBILITY: Superintendent

PROCEDURE: The following items shall be completed in order to attain building Certificate of Occupancy:

- Landscaping, asphalt, and striping complete
- Building and unit signage installed
- Planning and zoning inspection
- Fire alarm and sprinkler certifications
- Elevator certification
- Elevator and fire alarm monitoring in place
- MEP Inspection Final
- Fire Marshall Final Inspection
- Building Inspector Final Inspection

Additionally, no later than achievement of permanent power, Superintendent shall coordinate meeting with local jurisdiction having authority (AHJ) to clearly understand any and all jurisdictional requirements necessary to attain building Certificate of Occupancy above and beyond the items listed above. Should any other inspections and/or actions be required by Carter and Carter or the Owner, the Superintendent shall notify the project team in writing.

4.13 Emergency Water Shutoff

POLICY: Emergency Water Shutoff

PURPOSE: Establish a standardized system for implementing proper steps to turn off water to the site/building in the event of a flooding emergency.

RESPONSIBILITY: Superintendent

PROCEDURE: Superintendent shall generate drawing detailing locations of shutoff valves and the necessary steps to turn off water to the project site/building in the event of a flooding event. Drawings should indicate locations of the following valves:

- Site Water – mains, valves in road, hydrants, irrigation
- Building Water – mains, units, fire sprinkler

Section 5. Quality Assurance & Quality Control

5.1 Day to Day QA/QC Procedures

5.1.1 Daily Clean Up

POLICY: Daily Clean Up

PURPOSE: To ensure a safe working environment for all persons employed and/or visiting a Carter & Carter Construction jobsite and to improve efficiency through discipline and organization.

RESPONSIBILITY: The Superintendent

PROCEDURE: Carter & Carter Construction will not tolerate a failure by its subcontractors or employees related to daily clean up. To ensure total compliance, the following shall be followed:

1. The clean up strategy devised while the estimate is being assembled will specifically address the following:

Removal of debris:

- Trash chutes (if necessary)
- Dumpsters (location and number)
- Temporary roads required
- Hoist requirements and uses
- Trash buggy needs/purchases
- Temporary labor

2. During the buyout phase, the following shall be specifically addressed regarding each subcontractor's responsibility:

- Sweeping floors – daily in work areas
- Daily removal of debris
- Coordinated use of elevators, cranes or hoists

3. During construction, the Superintendent shall monitor clean up daily to ensure total compliance.

4. In the event the Subcontractor or its employees fail to clean the site area, a 24-hour notice will be issued. If the site is still not in compliance after the issuance of the notice, the Subcontractor will be back charged for clean up performed by others.

5.1.2 Project Daily Log

POLICY: Project Daily Log

PURPOSE: To document a detailed record of each project's daily activities.

RESPONSIBILITY: The Superintendent

PROCEDURE:

1. On your computer or iOS device, use Procore to enter and generate the daily log.
2. In addition to the weather and technical data required, the following information shall be provided each day:
 - The work performed & individual subcontractor's manpower (subcontractor may enter their data directly into the Procore daily log at the discretion of the Superintendent)
 - Problems encountered
 - Meetings conducted
 - Direction/instructions received, etc.
 - Any 3rd party inspections conducted
 - Any project delays encountered
 - Pertinent job conversations documented
4. From within the Procore Daily Log Tab, the Superintendent will "Complete and Distribute" the completed Daily Log each day. Daily log shall be submitted by 9 AM the following day.

NOTE: From the Daily Report it should be possible, at a future date, to reconstruct the activities of the entire job. Each delay will be explained in detail so it can be understood and substantiated how the Critical Path was interrupted to create a lost day.

Training:

[Procore Daily Report](#)

5.1.3 Weather Delays

POLICY: Weather Delay Policy & Procedure

PURPOSE: To document a detailed record of weather delay's daily.

PROCEDURE:

RESPONSIBILITY: SUPERINTENDENT

1. Rain delays are documented daily through the Project Daily Reports under "Observed Weather Conditions" in Procore.

- Note: Make sure you are adding the specific weather details **BEFORE** you check "Weather Delay". See the screenshot below.
- Once you select "Yes" under "Weather Delay" an email is generated to the "Weather Delay (via email)" default email notifications group notifying them of the weather delay.

2. Attach the following backup to the "Observed Weather Conditions" when selecting a weather delay:

- Photos from the site visualizing the delay.
- Rain Gauge photo.
- NOAA weather report from that day from [NOAA Weather](#)

3. In the comments section, the critical path activity impacted by this delay **MUST** be specifically noted.

4. Owner's should be notified of weather delays within 24 hours or less.

▼ WEATHER LOG

Observed Weather Conditions

Weather Delay	Sky	Temperature	Average	Precipitation	Wind	Ground / Sea	Calamity	Comments	Attachments
No	Rain	Hot	(edit)	(edit)	Calm	Wet/Muddy	(edit)	Heavy rain delayed pouring of the slab.	(edit)

RESPONSIBILITY: PROJECT MANAGER

1. Make sure that all necessary recipients are selected under the "Default Email Notifications Weather Delay (via email)" per project. Ensure the **contractual point of contact** is included on this list.

2. OAC Meeting minutes should include the total rain delays.

3. Create a Potential Change Order (PCO) for each rain delay monthly in Procore. Required backup documentation attached to the PCO is as follows:

- Daily Reports with Weather Delays
- Photos from the site
- Rain Gauge Photo
- NOAA weather report

4. Include the PCO's in the OAC end of the month meeting.

- Note: If the project has multiple meetings a month, it only needs to be in the final meeting for the month.

5. Include the Weather Delay PCO's and all other PCO's into a Change Order for the end of the month OAC meeting.

Please Note:

- Pictures attached to the daily log are automatically added to the Photos tab for the project.

5.1.4 Daily Photos

POLICY: Daily Photos

PURPOSE: To ensure day to day site conditions, critical components of construction, aesthetic features, safety and workmanship issues, etc. are thoroughly and appropriately documented.

RESPONSIBILITY: Carter & Carter Project Teams

PROCEDURE: Each member of the Carter & Carter Construction project team is required to upload 3-5 project photos to Procore per day.

TRAINING: [PROCORE PHOTOS](#)

5.1.5 Project Observations

POLICY: Procore Observation Tab

PURPOSE: To ensure Carter & Carter safety and quality control standards are achieved and maintained to the highest level on each project site.

RESPONSIBILITY: Carter & Carter Project Team

PROCEDURE: Carter & Carter Construction project team members shall utilize the observation tab as a tool to ensure all project safety hazards and quality control/workmanship deficiencies observed in the field are documented and corrected in a timely manner.

TRAINING: [PROCORE OBSERVATIONS](#)

5.2 Sitework & Exterior QA/QC

**

5.2.1 Layout and Field Engineering

POLICY: Layout and Field Engineering

PURPOSE: To ensure the building and its components are positioned per the contract documents.

RESPONSIBILITY: The Superintendent

PROCEDURE:

1. The following are minimum items to be located and established by a licensed land surveyor:

- Site property boundaries (if applicable)
- Building corners
- Elevation bench marks
- Roadways and drive entrances

2. Layout required not listed above will be as provided in Carter & Carter Construction's subcontract agreements.

3. If Carter & Carter Construction is responsible for layout, the following standards should be strictly observed:

Batter boards will be constructed as follows:

- They will be constructed in straight lines.
- Stakes will be cut off flush with ledger boards and rigidly braced.
- Saw marks will denote only column center lines.
- Ledger boards will be level and at a given elevation.

Partition layout will be as follows:

- Partitions will be laid out on the slab the day after the slab is poured.
- Wall lines will be denoted with a single blue chalk line for one side of the metal track and an "X" on the side the wall is to be constructed on.
- Door and window openings with numbers should be marked with swings denoted as applicable. (All written notes will be performed with permanent markers, i.e. magnum marker, etc.)
- Built-in accessories, i.e. fire extinguisher cabinets, medicine cabinets and other recess items should be noted that require coordination.
- Wall ratings, as applicable, will be stenciled on both sides of partitions with 4" letters. Bright orange paint will be used.

NOTE: Care should be taken to use the exact terminology shown on drawings. If the terminology conflicts with code, an R.F.I. should be submitted.

- Floor finishes, i.e. carpet, VCT, etc. should be denoted in the center of each room.
- At certain intervals (daily at a minimum) lines/markings will be sealed with a high quality sealer to ensure they are permanent.

NOTE: Layout will be conducted in as professional and quality manner as any other permanent building component.

5.2.2 Construction Mock Up

POLICY: Construction Mock Up

PURPOSE:

1. To ensure all exterior finish materials have been furnished and installed in conformance with approved material selections and;
2. To ensure all exterior and waterproofing components are installed to acceptable workmanship standards in accordance with Project Documents, Design Team recommendations, and Water Intrusion Consultant recommendations (when applicable).

RESPONSIBILITY: The Superintendent

PROCEDURE: Prior to the start of vertical construction, Carter & Carter shall construct an exterior mock up in accordance with drawings provided by the Architect. Mock up shall include a scaled version of all building finish components applicable to the project for review and approval by the Owner and Design Team.

Components shall typically include but not be limited to the following:

- Concrete Slab
- Wood framing
- Waterproofing materials
- Applicable Roofing materials/Asphalt shingles
- Window
- Exterior cladding (Hardie siding, stone, brick, etc.)
- Paint
- Trim/coping/flashing

5.2.3 Building Envelope Checklist

POLICY: Building Envelope Checklist

PURPOSE: Ensure Carter & Carter exterior quality and water intrusion control standards are maintained by completing Carter & Carter's Building Envelope Checklist prior to commencement of building facades.

RESPONSIBILITY: Exteriors Assistant Superintendent

PROCEDURE: After substantial completion of the building substrate at each elevation (waterproofing materials, exterior penetrations, windows, joint sealants, etc), Carter and Carter Exteriors Superintendent shall confirm each elevation is ready for exterior facade to commence.

5.2.4 Exterior Finish Punch

POLICY: Exterior Finish Punch

PURPOSE: Ensure Carter & Carter quality standards are maintained by generating a concise and organized list of Exterior Punch items and track their satisfactory completion.

RESPONSIBILITY: Exteriors Assistant Superintendent

PROCEDURE: Exterior Finish inspections will be performed as described on all Carter & Carter Construction projects:

CARTER & CARTER INTERNAL EXTERIOR PUNCH WALK

1. Upon substantial completion of exterior building and site finishes (facades, hardscape, landscapes, paving, etc), the Exterior Superintendent will conduct an exterior punch walk and compile a comprehensive list of outstanding items.
2. The Exterior Punch template form generated in Procore by the Assistant Project Manager or Field Engineer will be used.
3. Once the exterior punch list at each building and/or phase is generated, the Assistant Project Manager shall distribute to all applicable Subcontractors via Procore. Each Subcontractor shall have five (5) days to complete its punch list at building/phase.
4. Punch documentation will be stored in the Procore "Punch" tab.

Exterior punch process shall run concurrent with, or prior to the unit finish punch process. Under no circumstances should exterior punch process be initiated after buildings have been turned over for occupancy.

OWNERS INITIAL EXTERIOR PUNCH WALK

1. Upon completion of the Carter & Carter exterior punch list and pending Lead Superintendent's verification that the applicable building/site phase is ready for Owner's Acceptance, the Exteriors Superintendent shall conduct the initial owner's exterior punch walk with the Owners Representative.
- 2. Initial walks for each building/site phase should take no longer than two (2) hours to complete.**
3. The Exterior Punch template form generated in Procore by the Assistant Project Manager or Field Engineer will be used.
4. Once the exterior punch list at each building and/or phase is generated, the Assistant Project Manager shall distribute to all applicable Subcontractors via Procore. Each Subcontractor shall have five (5) days to complete its punch list at building/phase.
5. Punch documentation will be stored in the Procore "Punch" tab.

OWNERS ACCEPTANCE EXTERIOR PUNCH WALK

1. Upon completion of the Owners initial exterior punch list, the Exteriors Superintendent shall conduct the owner's acceptance exterior walk with the Owners Representative.
2. The purpose of this walk is to ensure all items on the first walk punch list have been completed. This walk shall not serve as an opportunity for the Owner's Representative to add more items to the punch list.

- 3. Acceptance Walks should take no longer than one (1) hour per building/site phase to complete.**
4. After satisfactory completion of this inspection, all Carter & Carter Construction work will be complete and the building/site phase considered turned over to Ownership.

5.3 Vertical Construction & Pre-Finishes QA/QC

5.3.1 Owner Box Walk

POLICY: Owner Box Walk

PURPOSE:

1. To ensure all finish MEP components are installed in accordance with project documents and;
2. Identify conditions that may not be aesthetically acceptable to the owner and/or where installation of MEP components may be installed more effectively (i.e reduction of light switches, relocation of HVAC supply grill, relocation of data outlets, etc).

RESPONSIBILITY: The MEP Assistant Superintendent/Project Manager

PROCEDURE:

1. Upon building dry and prior to full scale commencement of in wall MEP activities, Carter & Carter Construction shall “mock up” each unit type to confirm locations of data outlets, electrical receptacles, switches, lights, HVAC grills, and other pertinent MEP finish components.
2. Carter & Carter shall document all change conditions identified during the walk via redline drawings and distribute to the Owner and design team for review and approval.
3. Upon approval, all changes shall be memorialized via ASI issued to Carter & Carter by the design team.
4. Carter & Carter will subsequently distribute the Box Walk Revision ASI to all applicable subcontractors to identify any cost adjustments associated with these changes and to formally incorporate the changes into the subcontractor’s scope of work.

Note: Box walk mock up MUST be provided for every unit type on the project.

5.3.2 Framing Punch

PURPOSE: To generate a concise and organized list of uncompleted framing items and track their satisfactory completion.

RESPONSIBILITY: Framing Assistant Superintendent

PROCEDURE: Inspections will be performed as described on all Carter & Carter Construction projects:

1. The Framing Punch template form generated in Procore by the Assistant Project Manager or Field Engineer will be used. One form will be completed for each unit.
2. Generation of this punch list by the Framing Superintendent shall commence on each floor after removal of bracing at each floor, prior to any MEP rough-ins beginning.
3. Once the framing punch list at each floor is generated, the Assistant Project Manager shall distribute to the Framing Subcontractor via Procore. Framing subcontractor shall have forty eight hours (48) to complete its punch list at each floor.
4. Punch documentation will be stored in the Procore "Punch" tab.

****See attached example framing punch list**

[Framing Punch Example](#)

****Framing Superintendent shall also use attached general framing checklist for general guidance as necessary.**

[Framing Checklist](#)

5.3.3 MEP In Wall Punch

PURPOSE: To generate a concise and organized list of incomplete MEP Rough In items and track their satisfactory completion.

RESPONSIBILITY: MEP Assistant Superintendent

PROCEDURE: Inspections will be performed as described on all Carter & Carter Construction projects:

1. The MEP Punch template form generated in Procore by the Assistant Project Manager or Field Engineer will be used. One form will be completed for each unit.
2. Generation of this punch list by the MEP Superintendent shall commence after MEP rough ins are complete on each floor but prior to installation of drywall. Care should be taken to ensure all framing repairs caused by MP&E rough-ins and furr down installation is complete.
3. Once the MEP punch list at each floor is generated, the Assistant Project Manager shall distribute to all applicable MEP Subcontractors via Procore. Each Subcontractor shall have forty eight hours (48) to complete its punch list at each floor.
4. Punch documentation will be stored in the Procore "Punch" tab.

****See attached example MEP Rough In punch list**

[MEP In Wall Rough In Punch List](#)

****MEP Superintendent shall also use attached general MEP Rough In checklist for general guidance as necessary.**

[MEP Checklist](#)

5.4 Finishes QA/QC

5.4.1 Carter & Carter Completion List

POLICY: Carter & Carter Completion List

PURPOSE: Ensure Carter & Carter quality standards are maintained by completing Carter & Carter's internal unit completion list prior to Owner's Punch.

RESPONSIBILITY: Finishes Assistant Superintendent

PROCEDURE: After substantial completion of each unit (all finishes are installed), Carter and Carter Finish Superintendent shall confirm each unit is ready for Carter & Carter internal punch by ensuring all items on the attached list are complete. It should take no more than five (5) days per floor or building section to complete this list.

[Unit Completion List](#)

5.4.2 Carter & Carter Punch

POLICY: Carter & Carter Punch

PURPOSE: Ensure Carter & Carter quality standards are maintained by generating a concise and organized list of Owner's Punch items and track their satisfactory completion.

RESPONSIBILITY: Finishes Assistant Superintendent

PROCEDURE: Carter & Carter's Punch inspections will be performed as described on all Carter & Carter Construction projects:

1. Upon completion of the Carter & Carter Completion List for every unit per floor/building section, the Finish Superintendent shall conduct the Carter & Carter internal punch walk.
2. The Carter & Carter Punch template form generated in Procore by the Assistant Project Manager or Field Engineer will be used. One form will be completed for each unit.
3. Typically, there should be no more than (10) items on the list for the unit to be deemed acceptable for first walk.
4. Once the finish punch list at each floor is generated, the Assistant Project Manager shall distribute to all applicable Subcontractors via Procore. Each Subcontractor shall have forty eight hours (48) to complete its punch list at each floor.
5. Punch documentation will be stored in the Procore "Punch" tab.

Finish superintendent shall conduct walks per floor or per section, per floor (1A, 1B, etc as agreed upon by the project team). No less than 8 units per walk.

5.4.3 Owner's Punch

POLICY: Owner's Punch

PURPOSE: Ensure Carter & Carter quality standards are maintained by generating a concise and organized list of Owner's Punch items and track their satisfactory completion.

RESPONSIBILITY: Finishes Assistant Superintendent

PROCEDURE: Owner's Punch inspections will be performed as described on all Carter & Carter Construction projects:

OWNERS FIRST WALK

1. Upon satisfactory completion of the Carter & Carter internal punch list and pending Lead Superintendent's verification that the units are ready for Owner punch, the Finish Superintendent shall conduct the Owner's first punch walk with the Owners Representative.
2. The Owner's Punch template form generated in Procore by the Assistant Project Manager or Field Engineer will be used. One form will be completed for each unit.
3. Typically, there should be no more than (10) items on the list for the unit to be deemed acceptable for first walk.
4. Once the finish punch list at each floor is generated, the Assistant Project Manager shall distribute to all applicable Subcontractors via Procore. Each Subcontractor shall have forty eight hours (48) to complete its punch list at each floor.
5. Punch documentation will be stored in the Procore "Punch" tab.

Finish superintendent shall conduct walks per floor or per section, per floor (1A, 1B, etc as agreed upon by the project team). No less than 8 units per walk.

Each owner's first walk should take no more than 30 minutes per unit.

NOTE: Carter & Carter Project Manager shall participate in initial walks to facilitate who from Onwnership will be present for each walk (1-2 people max, consistency in the specific representative) and assist in establishing the standard for what will be considered a "punch item" by the Owner's Representative.

OWNERS ACCEPTANCE WALK

1. Upon the finish trades completion of the Owner's punch list and pending Lead Superintendent's verification that the units are ready for Owner's Acceptance, the Finish Superintendent shall conduct the Owner's acceptance punch walk with the Owners Representative.
2. The purpose of this walk is to ensure all items on the first walk punch list have been completed. This walk shall not serve as an opportunity for the Owner's Representative to add more items to the punch list.
- 3. Acceptance Walks should take no longer than 15 minutes per unit to complete.**
4. After satisfactory completion of this inspection, all Carter & Carter Construction work will be complete and the units ready for the owner to occupy.
5. Finish superintendent will provide Unit Turnover form to the Owner's representative documenting the

successful completion of the punch list and turnover of the unit to ownership.

6. Signed unit turnover forms to be located in the Procore “Documents” tab.

See attached Unit Turnover Form.

[UNIT TURNOVER FORM](#)

NOTE: Finish superintendent is responsible for completion of any outstanding exceptions noted on the Turnover Form.

5.4.4 Unit Lock Up

POLICY: Unit Lock Up

PURPOSE: To ensure finished units are adequately protected from damage, vandalism, and material theft.

RESPONSIBILITY: The Superintendent

PROCEDURE: Upon installation of appliances in units, Carter & Carter Superintendent shall designate an employee(s) to lock up every unit at the completion of each day.

5.5 Misc. QA/QC Procedures

5.5.1 Project Inspections

POLICY: Project Inspections

PURPOSE: To ensure the project schedule is maintained and Carter & Carter, Local Jurisdiction, and 3rd party quality control standards are achieved, C&C will utilize the Procore inspection tab to document all required Local Jurisdiction and Third Party inspections.

RESPONSIBILITY: The Superintendent

PROCEDURE: Carter & Carter Construction will identify in advance, input, and document the successful completion of all project inspections utilizing Procore Inspections.

TRAINING: [PROCORE INSPECTIONS](#)

5.5.2 3rd Party Report Responses

POLICY: 3rd Party Report Responses

PURPOSE: Ensure Carter & Carter quality standards are maintained by utilizing a standardized process for tracking and documenting the completion of 3rd party project reports.

RESPONSIBILITY: Superintendent/Assistant Project Manager

PROCEDURE:

1. All 3rd reports are to be logged in the Procore Documents tab upon receipt by the Assistant Project Manager.
2. All items within the report indicated to be incomplete, in need of correction, deficient, etc shall be identified and applicable subs notified.
3. C&C field staff shall supervise the correction of all items identified with a formal response generated by Assistant Project Manager within 2 weeks of receipt of the report. All items unable to be corrected within the 2 week time frame shall be placed on the Open Items Tracking log included in each report response.
4. All report responses will be saved in the appropriate folder in the Procore Docs tab.

See attached sample report response and Open Items Tracking log for reference.

Section 6. Project Closeout

6.1 Project Close-Out Action List

POLICY: Project Close-Out Action List

PURPOSE: To ensure all costs are accounted for and that Carter & Carter will not encounter any liability after the job is closed out.

RESPONSIBILITY: Project Manager

PROCEDURE: The Project Manager is to ensure that all bills and claims have been completely resolved in conjunction with the completion of the Close-out Action List within 60 days of substantial completion. Close Out Action Item list shall be generated at least 90 days prior to anticipated turnover of the final building. (Note: in some cases, such as the creation of O&M manuals, owner training, etc., initiation of such tasks may need to be complete prior to turnover of the first building.)

See attached sample Close Out Action Item Log

["Close Out Action Item Log"](#)

6.2 Owner's Project Closeout Meeting

POLICY: Owner's Project Closeout Meeting

PURPOSE: To develop a plan and time line for completion of all open issues and contractual requirements necessary to receive final retainage payment.

RESPONSIBILITY: Project Manager

PROCEDURE: No later than (60) days prior to anticipated completion of the project, the Project Manager shall schedule with all pertinent Owners representation a meeting to discuss all open project items, including contractual requirements by both parties to achieve formal project closeout and final retainage payment.

Agenda categories shall include:

1. Open Field Items
2. Close Out Document & Warranty Status
3. Administrative Close Out Requirements
4. Misc. Closeout Items

See attached meeting agenda templates for reference.

[Tristan Owners Close Out Meeting](#)

[South City Owners Close Out Meeting](#)

6.3 Owner's Close Out Manual

POLICY: Owner's Closeout Manual

PURPOSE: To provide documentation relative to the project for proper operation, maintenance, and record keeping.

RESPONSIBILITY: Project Manager

NOTE: This file should be turned over to the Owner no later than thirty (30) days after Certificates of Occupancy are obtained.

PROCEDURE:

1. At the beginning of the project, the Project Manager will set up the close out files to meet the requirements of the Project Documents and this policy.
2. The files should be set up in triplicate (minimum).
3. The files will be in three ring "D" type binders of high quality with full view sleeves both on the end and the side covers of the notebook.
4. In addition to the hard copies, the files should be put on a disk for easy distribution.
5. The files are to be completed as the project progresses to avoid unnecessary work at project completion.
6. The files should be broken into four (4) distinct parts as follows:
 1. Project Occupancy Information and Certifications: Close Out-Part 1
 2. Project Submittal Files: Close Out-Part 2
 3. Operating, Maintenance, and Project Information: Close Out-Part 3
 4. Warranty and Lien Release Information: Close Out-Part 4
 5. As-Built Drawings: Close Out-Part 5

6. PART 1

Project occupancy information and certification will include all critical documentation required for the Owner to take possession of the building. **This file will be transmitted to the Owner once Carter & Carter obtains the final Certificate of Occupancy.**

The file should include the following:

Part 1 Index:

- A. Certificate(s) of Occupancy
- B. Certificate(s) of Substantial Completion

C. Elevator operational permit and certificates

D. Final inspections and sign offs:

1. Building Inspector 2. Fire Marshal 3. Mechanical Inspector 4. Plumbing Inspector 5. Electrical Inspector 6. Site/Environmental Inspector

E. Fire alarm certificates

F. Fire sprinkler certificate

G. Emergency instructions and phone numbers

H. Subcontractor/Vendor Directory

7.* PART 2*

**

A. Project submittal files will include all clearly labeled and organized approved submittals.

B. The file should be tabbed according to division and spec section.

C. The file will include an index to match the tabs.

8. PART 3

A. Project close out files will include manufacturer's instructions, manuals for operation, and maintenance of equipment such as elevators, air handling units, chillers, generators, etc.

B. The manuals must be originals (no copies).

C. This file should be appropriately tabbed in order of division and specification section with a detailed index at the front of the book.

D. Documentation of our training with the owner should be included in each section with the appropriate equipment manual.

9. PART 4

A. Warranty and Lien Release information will include the General Contractor's One Year Warranty statement, the Subcontractor's Warranty statement, the General Contractor's Lien Release, and the Subcontractor's Lien Release.

(NOTE: Project Manager, as part of the Owner's Closeout Meeting, should thoroughly review with the Owner all warranties they will be responsible for completing.)

10. PART 5

A. As-built drawings should be prepared in accordance with the Contract Documents for the project.

B. As-built drawings should always be prepared in a neat and legible manner.

11. GENERAL

A. It is the Project Manager's responsibility to convey Carter & Carter's expectations relative to close out early in the project to ensure that it happens in an orderly fashion.

B. Materials submitted for use in close outs should be original and top quality. It is the responsibility of the Project Manager to ensure the subcontractor submits materials meeting our requirements. No payments are to be made until this condition is met.

C. The close out documents should be essentially complete by the time the owner occupies the building with only minor work required to complete the turnover within the requirement of this policy.

6.3 Sub/Vendor Warranties

POLICY: Sub/Vendor Warranties

PURPOSE: To ensure the subcontractors and vendors understand and commit to warrant their work as specified.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. Before retainage is released to a subcontractor, a written warranty matching the requirements of the specifications is to be obtained.
2. Vendors should supply warranty with their final application for payment.
3. The warranty should contain the period of the warranty, the commencement date of the warranty (date of substantial completion of the project), description of the work, specification sections covered by the warranty, and name of company providing the warranty.
4. These warranties are to be filed in the "Owner's Closeout Manual" as they are received.

6.4 Subcontractor and Vendor Waiver & Release of Lien

POLICY: Subcontractor and Vendor Waiver & Release of Lien

PURPOSE: To require proper release of lien from all subcontractors and vendors.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. Before final retainage is released on a subcontractor, a final Release of Lien Waiver shall be obtained from the subcontractor and each of his suppliers.

If the primary subcontractor has contracted part or all of his work to another subcontractor, a final Release of Lien Waiver shall be obtained from the subcontractor's second tier sub and each of his suppliers.

2. As circumstances dictate, Release of Lien Waivers may be required before completion of the contract.

6.5 Operation/Maintenance Documentation

POLICY: Operation/Maintenance Documentation

PURPOSE: To provide the Owner with all the information needed to properly operate and maintain the new facilities.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. In accordance with the Contract Documents, provide all operational maintenance and close out information required.
2. A copy of this information is to be filed in the Procore "Documents" tab.
3. This documentation is to be assembled within the Owner's Closeout Manual prior to their taking occupancy of the building.

6.6 Warranty Procedure

POLICY: Warranty Procedure

PURPOSE: To ensure all warranty issues are addressed and resolved in a timely manner.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. Workmanship and defective material issues that occur after Carter & Carter demobilizes from the project site will be considered warranty items.
2. The Project Manager will remain responsible for facilitating the satisfactory completion of all items during both the construction and warranty periods.
3. All warranty issues will be generated in the Procore "Warranty" tab by designated onsite maintenance personnel.
4. Prior to demobilization from the project site, Carter & Carter shall initiate a meeting with all pertinent owner's representatives, including on site maintenance, to walk through proper Warranty procedure and protocol.
5. The designated maintenance person will be provided a Project Directory and educated on each subcontractor's scope of work. Maintenance personnel will directly contact each subcontractor as warranty issues occur. If the applicable subcontractor fails to respond to this request within forty eight (48) hours, C&C will step in to help facilitate completion of the warranty items.
6. The Warranty tab will be updated by the designated maintenance person as items are completed.

6.7 Subcontractor/Vendor Performance Evaluation

POLICY: Subcontractor/Vendor Performance Evaluation

PURPOSE: To evaluate a subcontractor/vendor's performance as a reference for future projects.

RESPONSIBILITY: Project Manager/Superintendent

PROCEDURE:

1. Prior to demobilization of each project, the Project Manager and the Superintendent will complete the Subcontractor/Vendor Evaluation Form for all subcontractors and vendors associated with the project.

See attached Subcontractor Evaluation Form Template

[Subcontractor Evaluation Form](#)

6.8 Client Satisfaction Survey

POLICY: Client Satisfaction Survey

PURPOSE: To gather information from clients regarding Carter & Carter's project performance so that Carter & Carter can improve future performance.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. Upon project completion, the Project Manager shall email the Client Satisfaction Survey to appropriate Owner's Representative for completion and return in (5) business days.
2. Upon completion and return, the Project Manager shall discuss the survey results with the Owner's Representative to gain further context regarding the survey.
3. The contractor's representative will request a reference letter from the client upon review of the survey as appropriate.

See attached Client Satisfaction Survey Template
Client Satisfaction Survey

6.9 Post Project Summation Meeting

POLICY: Post Project Summation Meeting

PURPOSE: To review, discuss, and critique the project after completion and demobilization.

RESPONSIBILITY: Project Manager

PROCEDURE:

1. The Project Manager will establish the meeting date with the “Team” and give the “Team” a two (2) week notice of the meeting date.
2. The “TEAM” will include as a minimum the Project Managers, Superintendents, and all available senior management staff.
3. The Project Manager will conduct the meeting. The Post Project Summation Meeting Agenda will be followed. The meeting is to be held at the corporate office.

NOTE: A Post Project Summation Meeting Agenda is attached for review and reference.