

KENTUCKY TRANSPORTATION CABINET

Kentucky TRNS*PORT Information Series

SiteManager Construction Module

Change Order Process Plan

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There are five phases in the change order (CO) life cycle. They are as follows:

1. Creation of Change Orders
2. Maintaining Change Orders
3. Review and Approval of Change Orders
4. Tracking Change Orders
5. Change Order Reports

CREATION OF CHANGE ORDERS

There are two steps in the creation of a CO. The first step is the initial preparation made by the Resident Engineer (Project Manager). The second step is to build the CO in SiteManager. The following procedure traces the path of a CO from the initial preparation through the creation of the CO in SiteManager.

Initial Preparation

The Resident Engineer creates the CO when the necessity for contract modifications arises. However, the Resident Engineer must first ensure that funding is available before considering modifying any contract by CO. Once the Resident Engineer verifies that funding is available for a CO through the Fund Manager, a CO may be created.

When a funding modification is needed the Resident Engineer should prepare a cost estimate, or have the contractor submit a cost estimate. This cost estimate will be utilized to present the cost to the Fund Manager as an inquiry to see if the funds are available for the proposed contract funding modification. Program Management, Maintenance or Rural and Municipal Aid must give verbal approval depending on the contract type. Each Resident Engineer will be notified as to whom the Fund Manager is. In addition to the Fund Manager's approval, if the project is funded through Program Management a spreadsheet or document showing how the funds will be paid out should be forwarded to the KYTC's Cash Flow Manager for approving cash flow management of these funds. The Cash Flow Manager will then verify that the funding is adequate for the expected pay out time period. The Fund Manager should not give verbal approval until both cash flow management and available funds are verified. In the event that a new project or category has to be created for an item, it must be done before the CO is created.

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Change Orders in SiteManager

Once funding has been verified, the Resident Engineer (creator) may begin creating the CO in SiteManager. After logging into SiteManager the creator must navigate to the Header Window to create a new CO. The CO Header Window allows an authorized user to create a new CO by entering new descriptive information for a CO. Specific information about the CO must be recorded using the CO Header Window, the CO Items Window, the Time Extension Window and the CO Explanations Window. Details for individual fields required in these windows can be found in the Policies & Procedures document for the window.

MAINTAINING CHANGE ORDERS

The creator of the CO will be the person maintaining the CO throughout its life. In most cases this will be the Resident Engineer or their office manager, but may also be Central Office Construction Personnel or other users designated by the Director of Construction.

When a CO is created, it is in draft status. The creator is responsible for forwarding the CO to the appropriate users for review and tracking its progress.

Once a CO has been created updates to the CO information may be required. CO Header information, Items, Timeframes and Explanations may be modified in update mode on the appropriate windows. This updated information might come from comments made during the review or approval process, or the creator may have revisions or additional information that was left off the previous draft.

The creator will also be responsible for running the external/internal CO reports, as well as attaching comments received from non-SiteManager users

When the review process is completed the creator will change the status to pending and forward the CO for approval. The CO can no longer be modified when the status is Pending. Once the approval/denial process is complete the CO status is changed manually by the creator.

CHANGE ORDER REVIEW AND APPROVAL PROCESS

After it is created, a Draft CO can be forwarded via in-box notification for parallel review. Parallel review is concurrent review by more than one reviewer at a time. The creator of the CO can also place the change order into Pending status and submit it for hierarchical approval. The KYTC policy will be to always have a CO reviewed before submitting it for approval unless authorized by the director of construction or higher.

Users involved in reviewing a draft CO or approving a pending CO can record their decisions about proposed changes to the contract on-line using the Review/Approve Window. Reviewer/Approvers receive an in-box message from the creator requesting an

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action, to review or approve the CO. The in-box message specifies the contract and CO number. Additional information about the review and approve process can be found in the Policy and Procedures for the Review/Approve Window.

During the Review process, the DME will need to be added to the Change Order Review group to be aware of the item quantity changes and new items of work.

All Change Orders on a contract must be either Approved or Disapproved in order for the Physical Work Completion Date to be entered in Contract Administration, as part of the contract completion process.

After the Change Order has been approved, the Change Order Final Approver will notify the DME and RE that the change order has been approved at the final level.

TRACKING THE CHANGE ORDER

The creator of the CO and those who are involved in the CO review/approve process or any other SiteManager user affiliated with the contract or CO will have access to the tracking information.

Anyone with access rights to the Header Window may open the Tracking Window to view information about the status of a CO. This window allows the user to view the contract information documented in CO Header Window along with the CO Tracking List which displays details about the actions taken by those reviewing or approving the CO.

CHANGE ORDER REPORTS

KYTC has identified the need for three custom change order reports to be generated. Two reports are for internal purposes and the other for external purposes.

KYTC Change Order Report - This report shows important data related to a specific change order that can be viewed by the Resident Engineer (RE), RE Office Personnel, District Office Personnel, and Central Office Personnel. A person in the Resident Engineers Office will be required to send this document to parties who do not have access to SiteManager for review.

Change Order Reason Report - This report shows information that summarizes the Reason Codes and Explanations for change orders as it relates to the amount of funds encumbered and number of change orders written. The purpose is to allow District Office and Central Office Personnel to view trends as to recurring problems for which change orders are written.

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Contractor Change Order Report - This report shall be generated to serve the purpose of a legal modification of the contract. This document will be sent to the contractor for review and signatures. The report will contain contract and project data detailing the directed changes.