



Deficiencies Training Guide

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About

The Deficiencies application contains records of deficiency items that are missing and must be resolved by the GC prior to sign off for the Substantial Completion Certificate. Each project will have a single Deficiency List that must be reviewed before the individual items can be completed. After the Deficiency List has been approved by the architect, the workflow for the Substantial Completion application can continue.

Notes

While the Deficiency process is consistent for all project types, the terms CM Firm and CM Project Manager are specific to Requirements projects. The CM Firm acts on behalf of the General Contractor and the CM Project Manager is in the role of the Project Officer.

The List Status column shows the status of the entire deficiency list (Pre-List Submission, PO Deficiency Review, SPO Deficiency Review, Pending GC Acknowledgement, List Acknowledged, and List Approved).

The Item Status column shows the status of the individual deficiency item (Locked, Active, Pending GC Completion, PO Review, Complete).

Process Overview

During the workflow for the Substantial Completion application, the AEOB may specify that Deficiencies are required. In this case, AE and team will create a list of deficiencies including items from all trades and disciplines. After all deficiency items have been gathered, the AEOB will send the Deficiency List to the PO (CM Project Manager) for review.

The PO or CM Project Manager will receive a message with a link to review the Deficiency List. After their review, they will send the list to the SPO for review. The SPO will receive a similar message with a link to review the deficiencies. The SPO will review and send the list to the GC (CM Firm on behalf of GC).

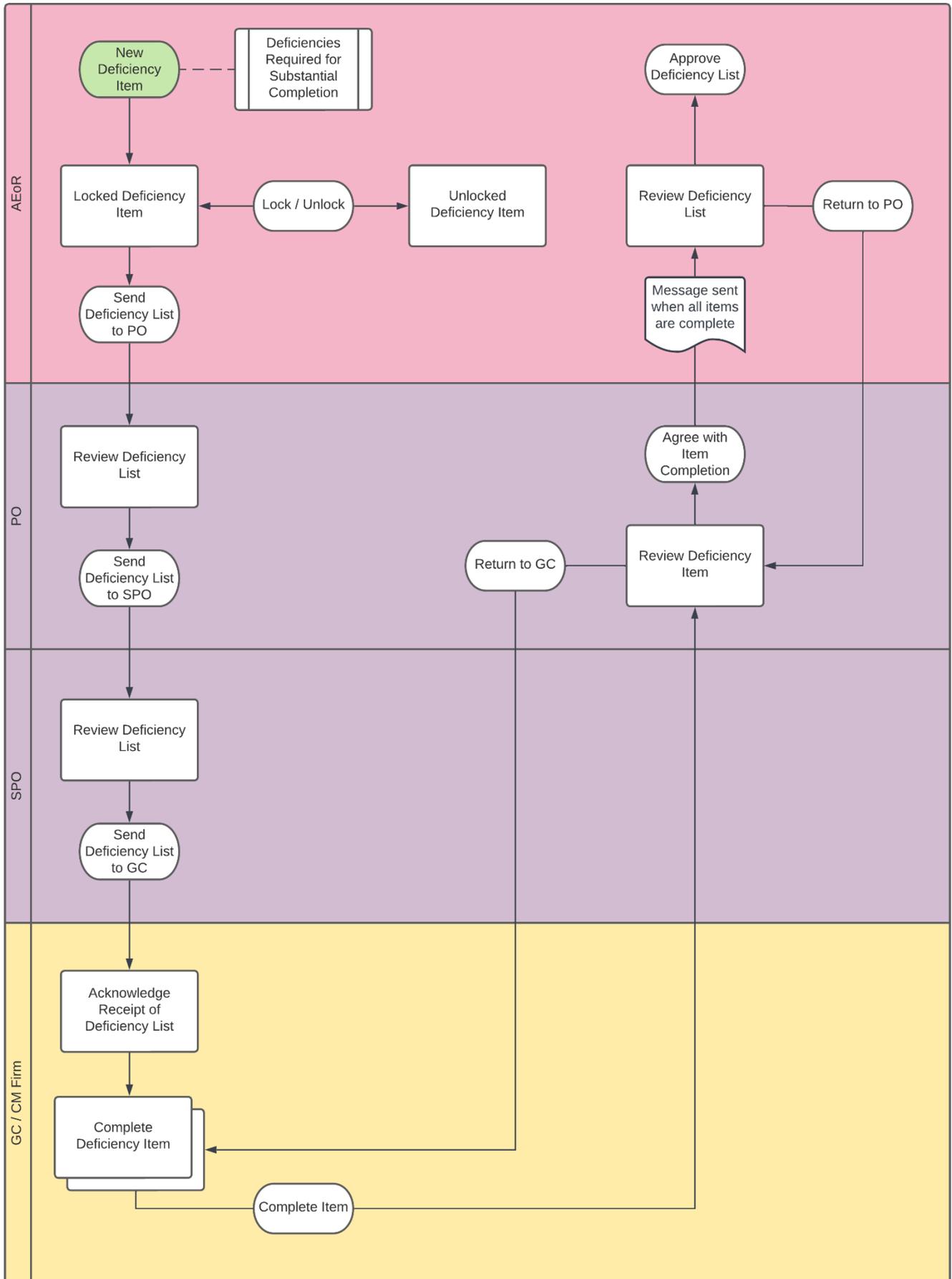
The GC will receive the Deficiency List and must acknowledge their receipt of the list. After acknowledgement, the GC will receive tasks to complete each deficiency item on the received list. The GC will resolve each deficiency item and send the item to the PO. Each individual item should have a response. If completed, a photo or details on the resolution should be provided. If the item is not within their scope of work, the contractor should specify that in their comments.

After the item has been sent to the PO, the project officer will receive a task to agree with the item completion or return to the GC. After the PO agrees that all items have been completed, the AEOB will receive a message notifying them that the entire list has been resolved.

Each item can be returned by the AEOB which will send a task to the PO to resolve. If the AEOB agrees that an item is complete, no action needs to be taken. Finally, after AE agrees with the completion of all the deficiency items, the entire list can be approved. Once the list has been approved, the workflow to generate the substantial completion certificate can proceed.

Up until the list has been approved, the AEOB can still create new deficiency items that will be routed to the appropriate workflow .

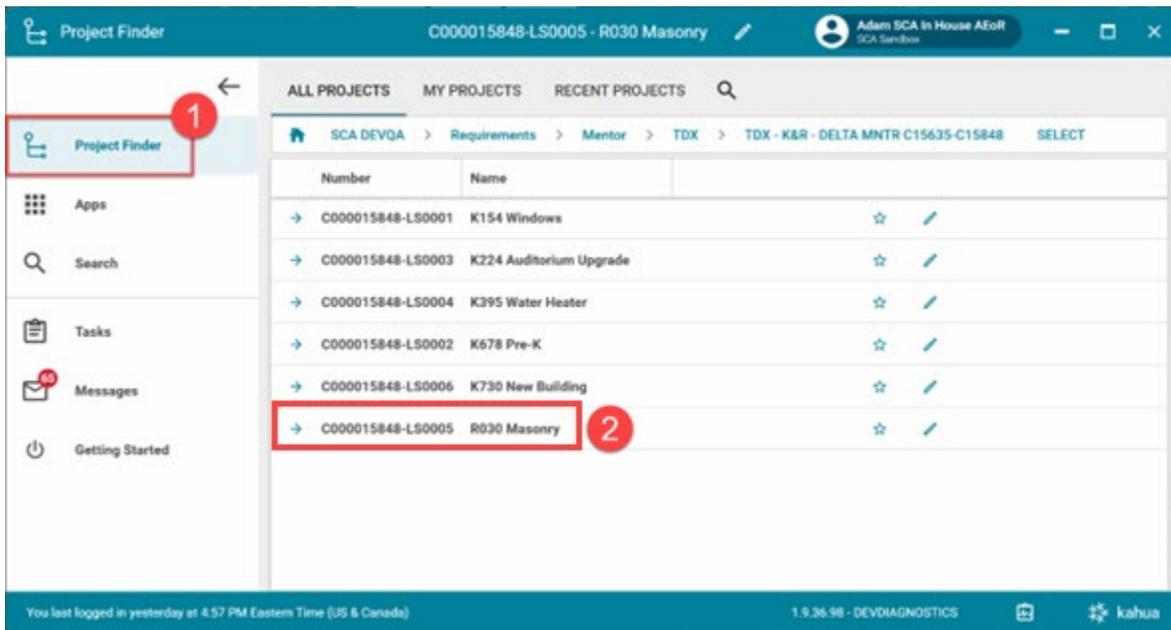
Workflow Diagram



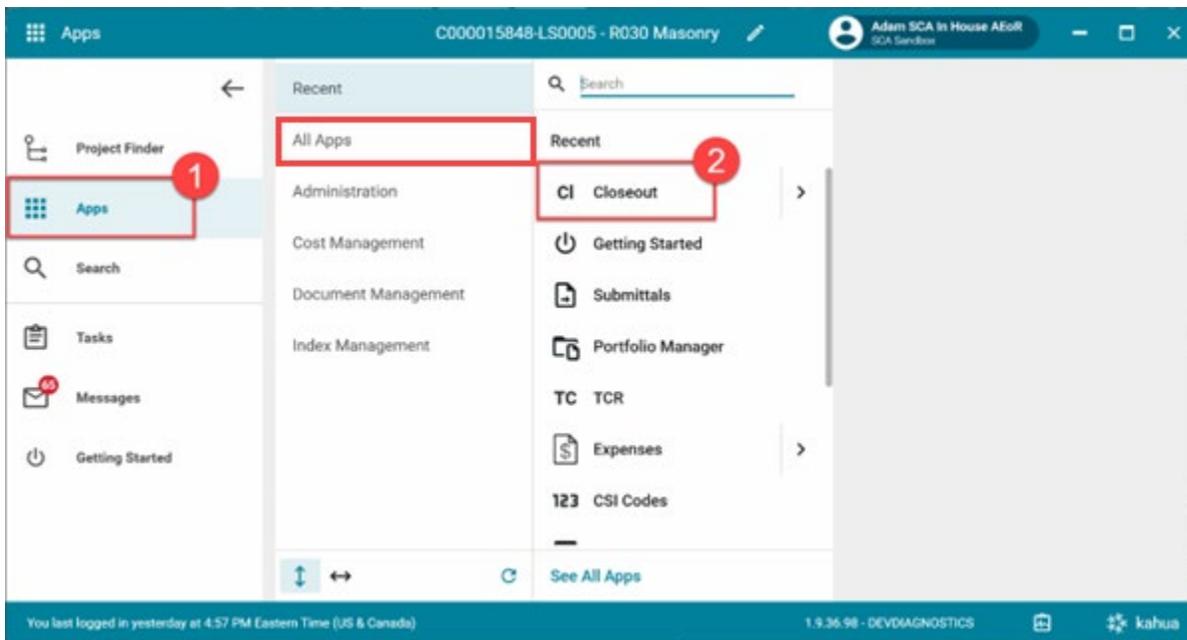
Step-by-Step Instructions

AE Creates Deficiency Item

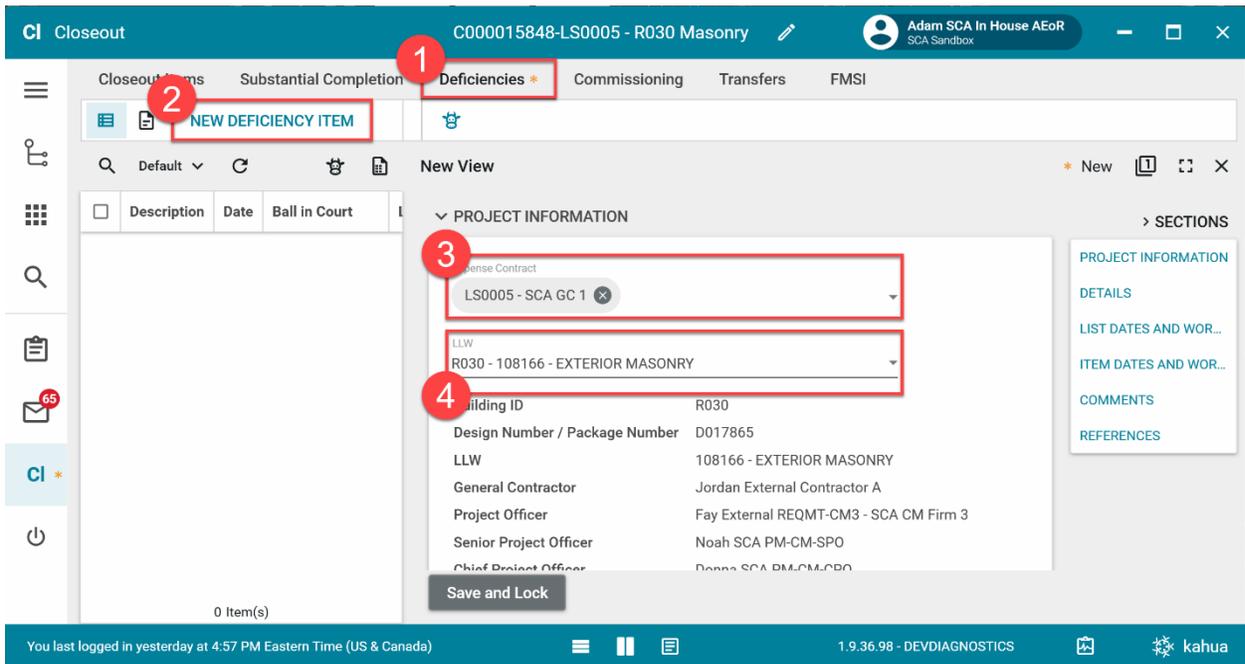
1. Go to Project Finder > Select the desired project



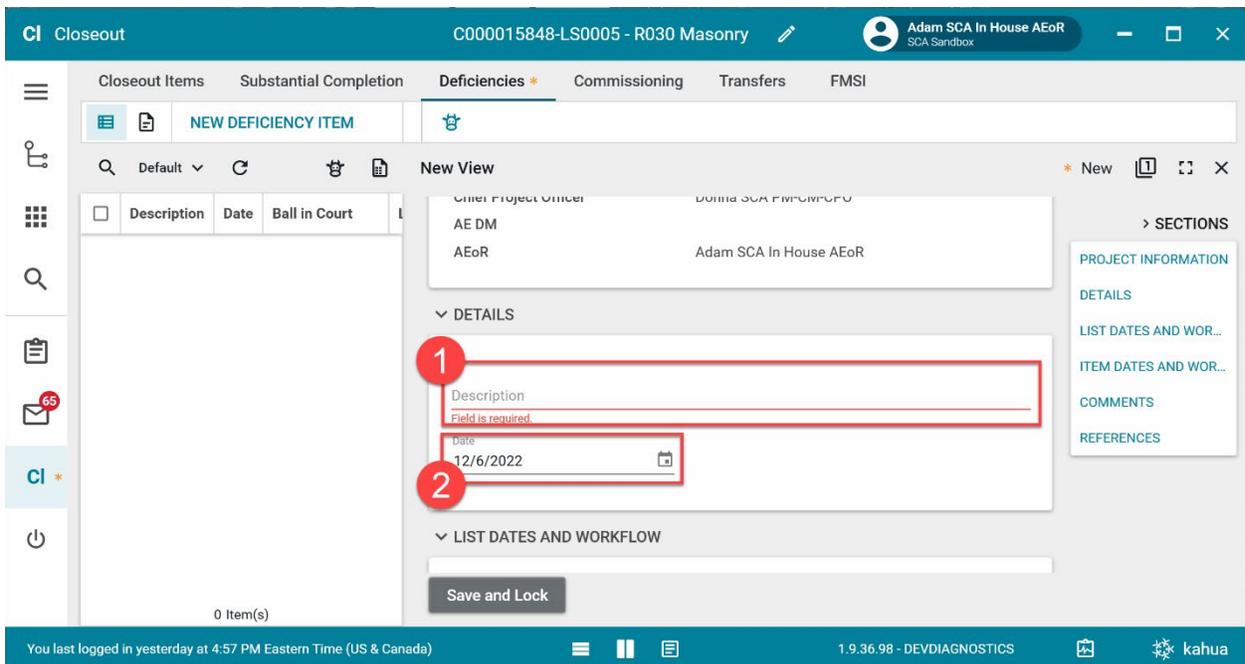
2. Go to Apps > All Apps> Select the Closeout App



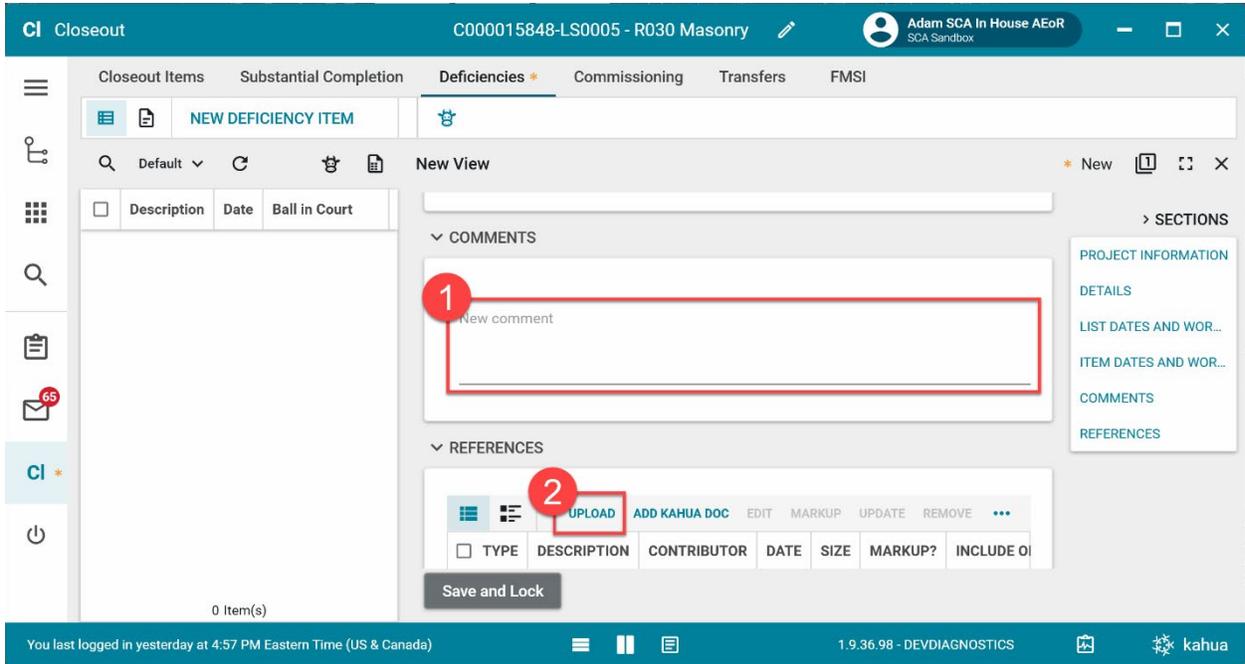
3. Select the **Deficiencies** tab
4. Click **NEW DEFICIENCY ITEM**.
5. Hardbid Projects have one Contract and one LLW, which will be automatically populated. Emergency might have more than one; select from the drop-down menus.



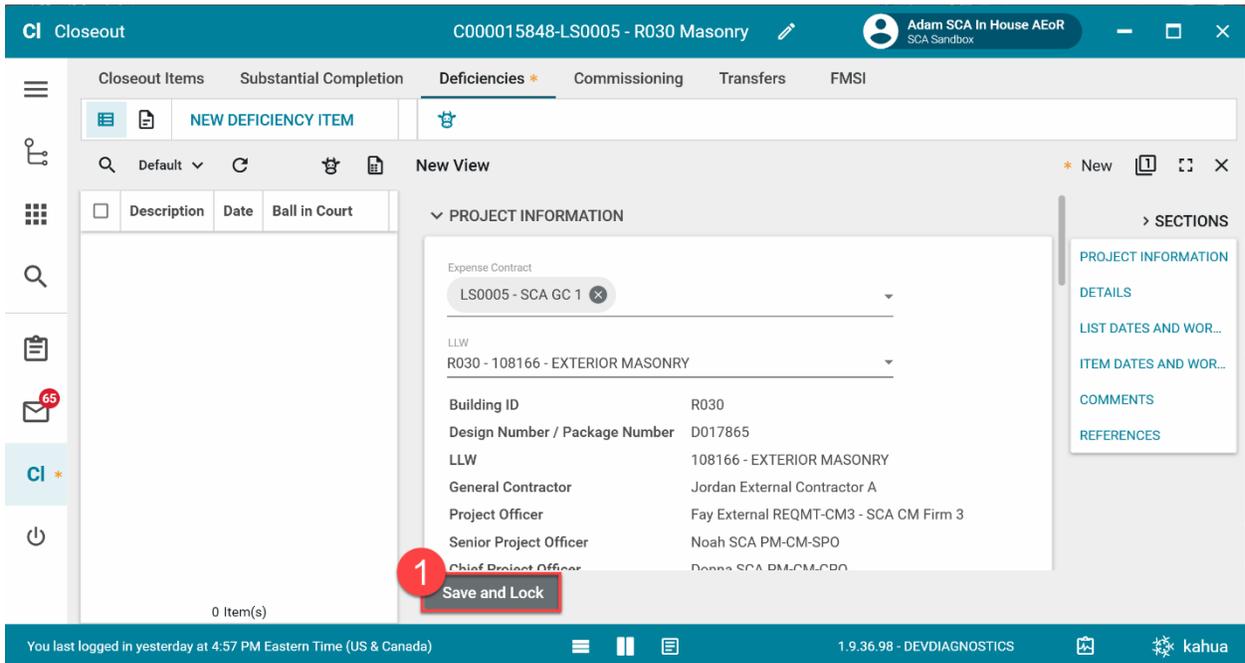
6. Enter **Description (required)**. The **Date** is populated – update if necessary.



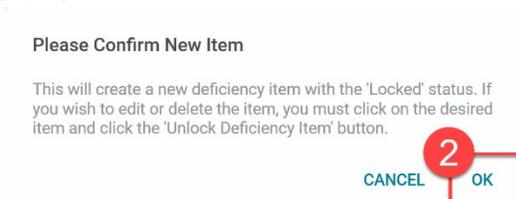
7. **Comments (Optional)**
8. Click **UPLOAD** in the References section to add an attachment.



9. Click **Save and Lock** to save a Draft. You have not submitted the transfer at this point.



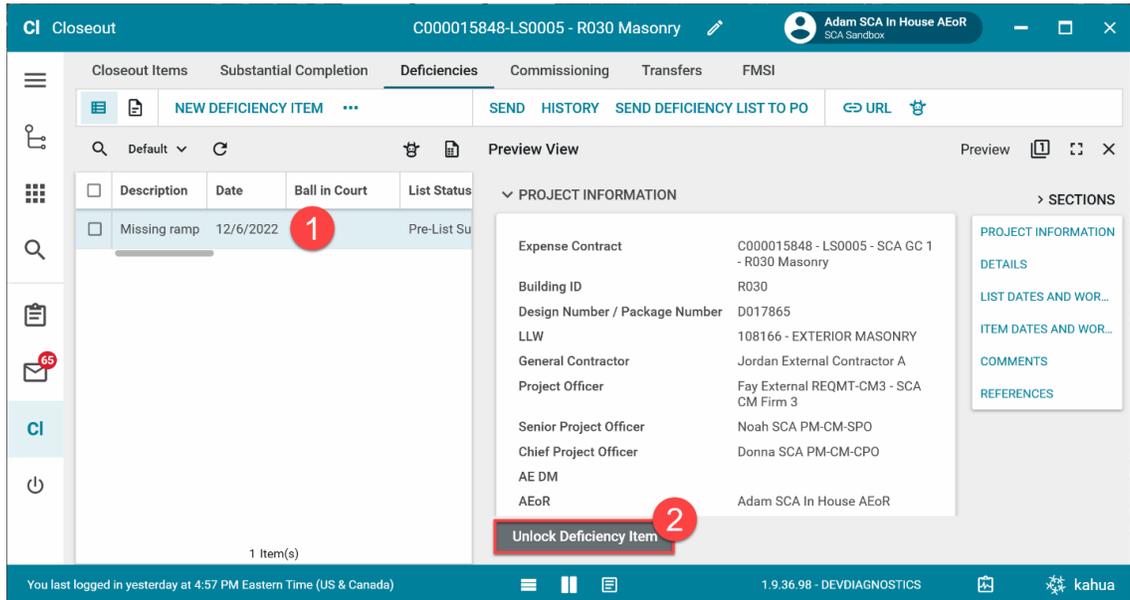
10. Click **OK**



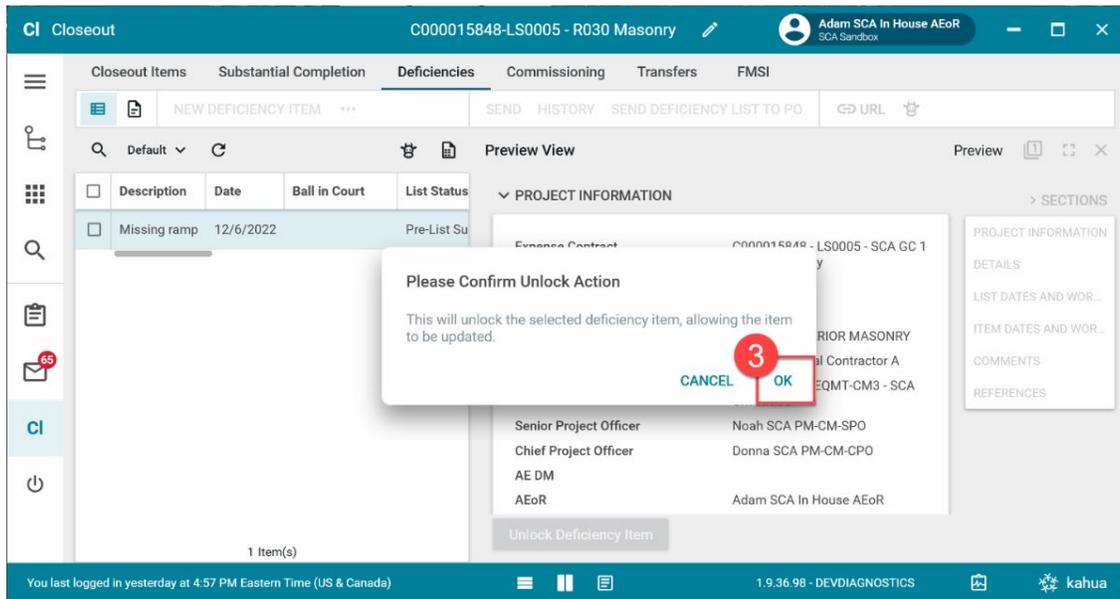
Edit Deficiency Item

You might need to make changes to the Deficiency Item before submitting.

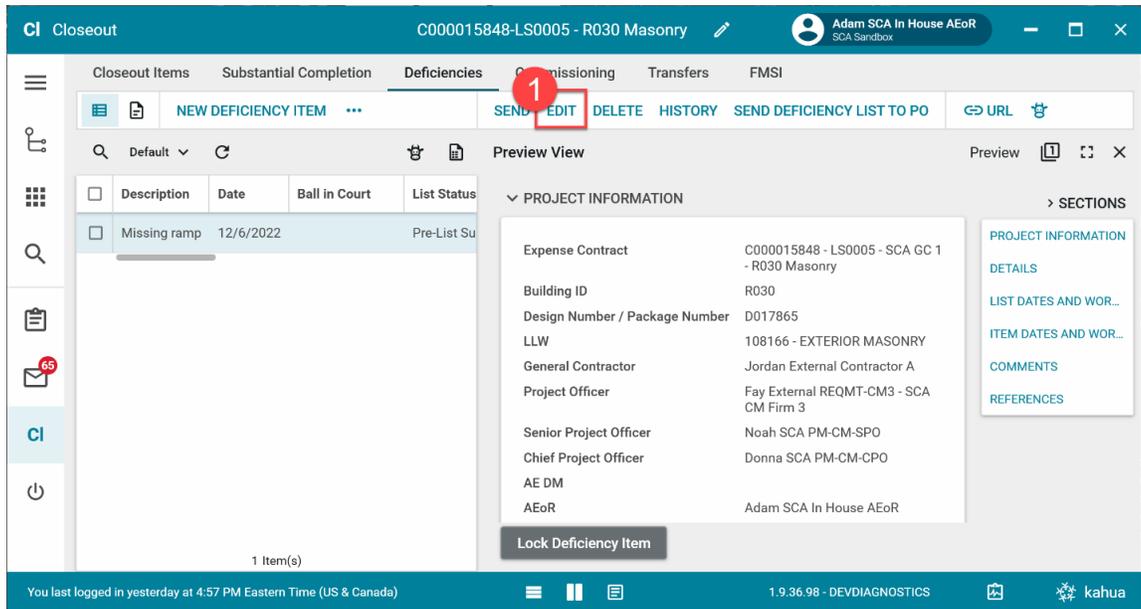
- a) Select the desired request to update > Click Unlock Deficiency Item



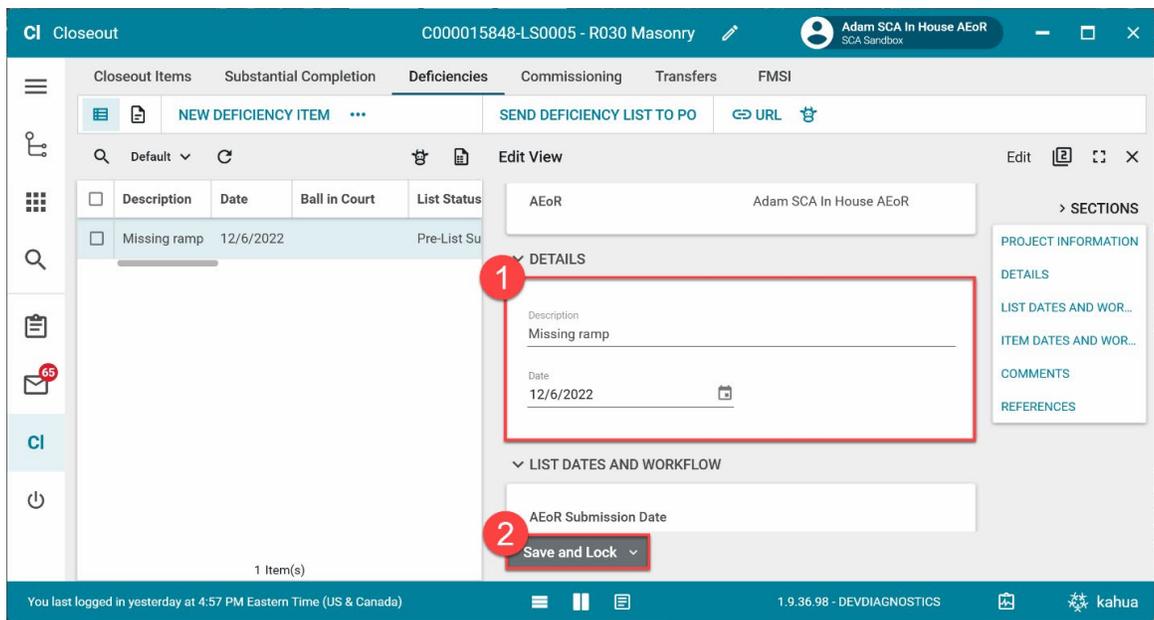
- b) Click OK to unlock



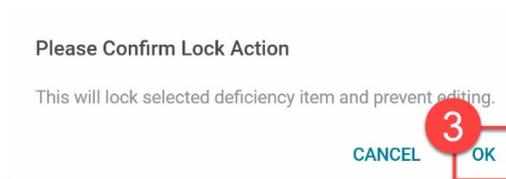
c) Click **EDIT**



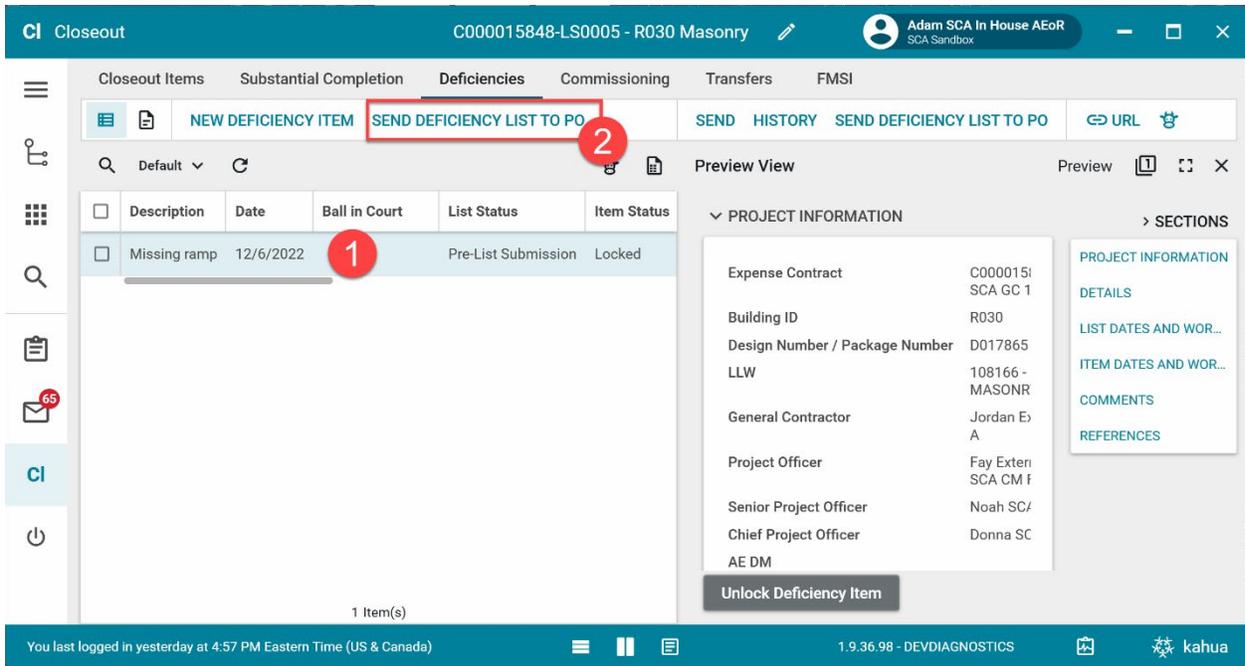
d) Update fields as required and click **Save and Lock**, then click OK to confirm.



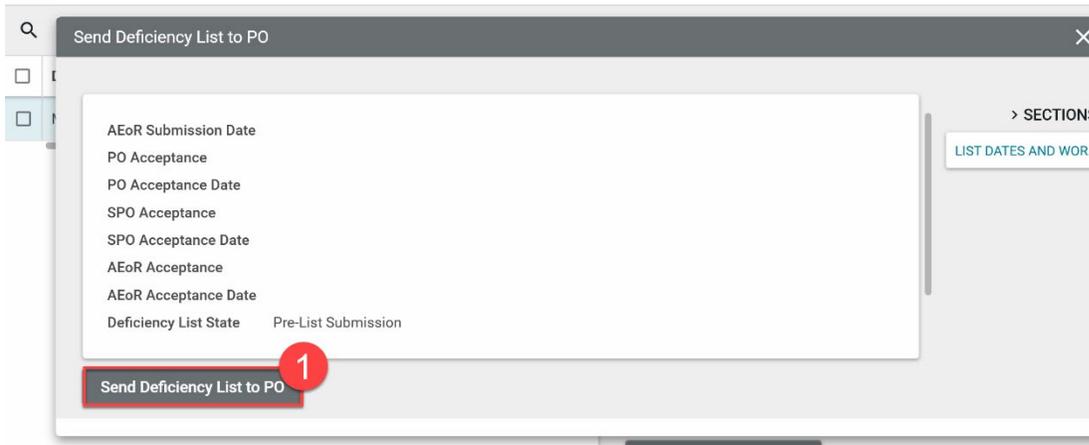
e) Click **OK**



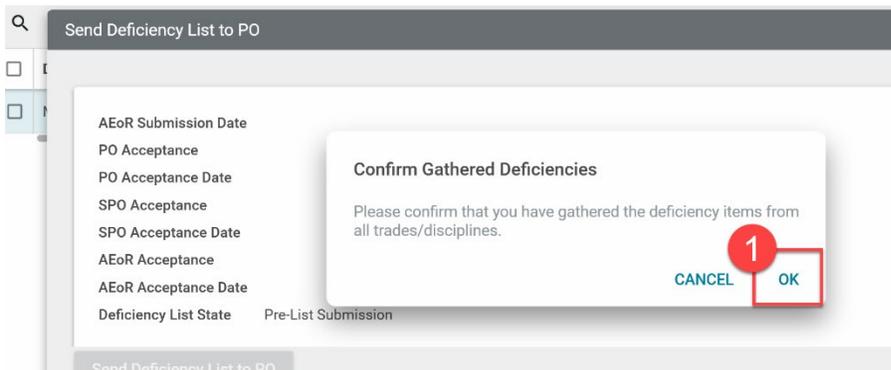
10. Click **SEND DEFICIENCY LIST TO PO**



11. Click **Send Deficiency List to PO** in the popup window



12. Click **OK** to confirm that all items have been gathered



PO/CM PM Reviews Deficiency List

PO Receives a message to review the deficiencies list. Once reviewed:

1. Select any deficiency item (**do not use checkbox**) and click **SEND DEFICIENCY LIST TO SPO**

The screenshot shows the 'Closeout' application interface for 'R030 Masonry'. The 'Deficiencies' tab is active. A table lists deficiency items, with the first item 'Missing ramp' highlighted. A red box highlights the 'SEND DEFICIENCY LIST TO SPO' button in the top right. A red circle with the number '1' is placed over the 'Missing ramp' item. The right sidebar shows project information for 'Fay External REQMT-CM3 SCA CM Firm 3'.

Description	Date	Ball in Court	List Status
Missing ramp	12/7/22	Fay External REQMT-...	PO Deficiency Review

2. Click **Send Deficiency List to SPO**

The screenshot shows the 'Send Deficiency List to SPO' dialog box. The dialog contains the following information:

- AEoR Submission Date: 12/7/2022
- PO Acceptance
- PO Acceptance Date
- SPO Acceptance
- SPO Acceptance Date
- AEoR Acceptance
- AEoR Acceptance Date
- Deficiency List State: PO Deficiency Review

A red box highlights the 'Send Deficiency List to SPO' button at the bottom of the dialog, with a red circle and the number '1' next to it.

SPO Reviews Deficiency List

SPO Receives a message to review the deficiencies list. Once reviewed:

1. Select any deficiency item (**do not use checkbox**) and click **SEND DEFICIENCY LIST TO GC**

The screenshot shows the software interface for project management. The top navigation bar includes 'Closeout', 'C000015848-LS0005 - R030 Masonry', and the user profile 'Noah SCA PM-CM-SPO SCA Sandbox'. The main content area is divided into tabs: 'Deficiencies', 'Commissioning', 'Transfers', and 'FMSI'. The 'Deficiencies' tab is active, displaying a table with columns: 'Description', 'Date', 'Ball in Court', and 'List Status'. A single row is visible: 'Missing ramp', '12/7/22', 'Noah SCA PM-CM-SPO...', and 'SPO Deficiency Review'. A red circle with the number '1' highlights the date '12/7/22'. Above the table, a button labeled 'SEND DEFICIENCY LIST TO GC' is highlighted with a red box and a red circle with the number '2'. To the right, the 'Preview View' section shows 'PROJECT INFORMATION' with fields for 'Expense Contract', 'Building ID', 'Design Number / Package Number', 'LLW', 'General Contractor', 'Project Officer', 'Senior Project Officer', 'Chief Project Officer', 'AE DM', and 'AEoR'. A 'SECTIONS' menu is also visible on the right.

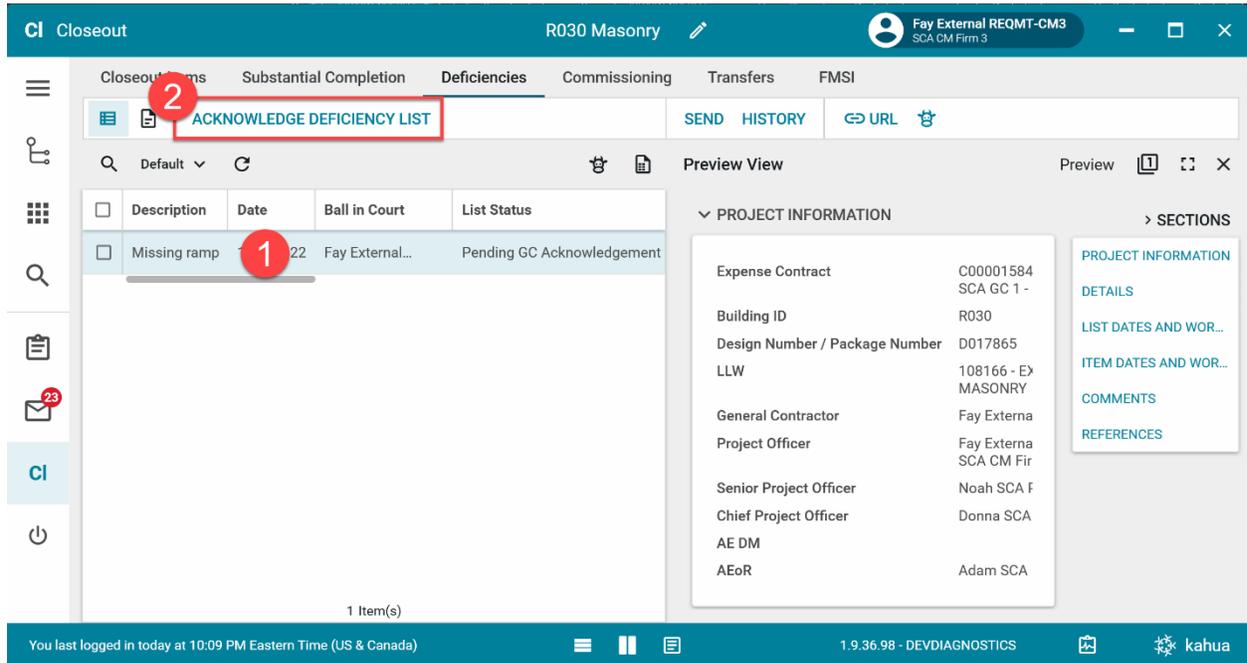
2. Click **Send Deficiency List to GC**

The screenshot shows the same software interface as the previous one, but with a modal dialog box open. The dialog box is titled 'Send Deficiency List to GC' and contains the following information: 'AEoR Submission Date: 12/7/2022', 'PO Acceptance: Yes', 'PO Acceptance Date: 12/7/2022', 'SPO Acceptance:', 'SPO Acceptance Date:', 'AEoR Acceptance:', 'AEoR Acceptance Date:', and 'Deficiency List State: SPO Deficiency Review'. At the bottom of the dialog box, a button labeled 'Send Deficiency List to GC' is highlighted with a red box and a red circle with the number '1'. The background interface is dimmed, but the 'SEND DEFICIENCY LIST TO GC' button from the previous screenshot is still visible.

GC Acknowledges Deficiency List

GC Receives a message to review the deficiencies list. Once reviewed:

1. Select any deficiency item (**do not use checkbox**) and click **ACKNOWLEDGE DEFICIENCY LIST**

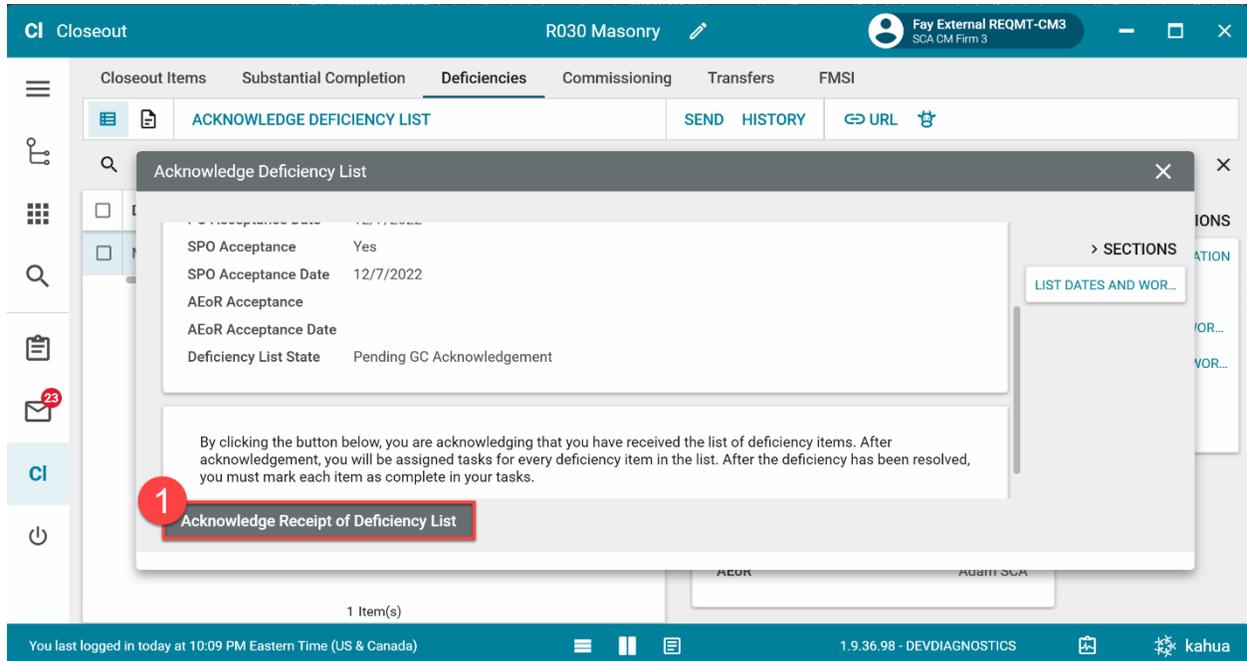


The screenshot shows the 'Deficiencies' tab in the software. The 'ACKNOWLEDGE DEFICIENCY LIST' button is highlighted with a red box and a red circle with the number '2'. The table below shows a single deficiency item: 'Missing ramp' with a date of '12/22' and a status of 'Pending GC Acknowledgement'. A red circle with the number '1' highlights this item. The 'Preview View' on the right shows project information for 'R030 Masonry'.

Description	Date	Ball in Court	List Status
Missing ramp	12/22	Fay External...	Pending GC Acknowledgement

1 Item(s)

2. Click **Acknowledge Receipt of Deficiency List**



The screenshot shows the 'Acknowledge Deficiency List' dialog box. The dialog contains the following information:

SPO Acceptance	Yes
SPO Acceptance Date	12/7/2022
AEoR Acceptance	
AEoR Acceptance Date	
Deficiency List State	Pending GC Acknowledgement

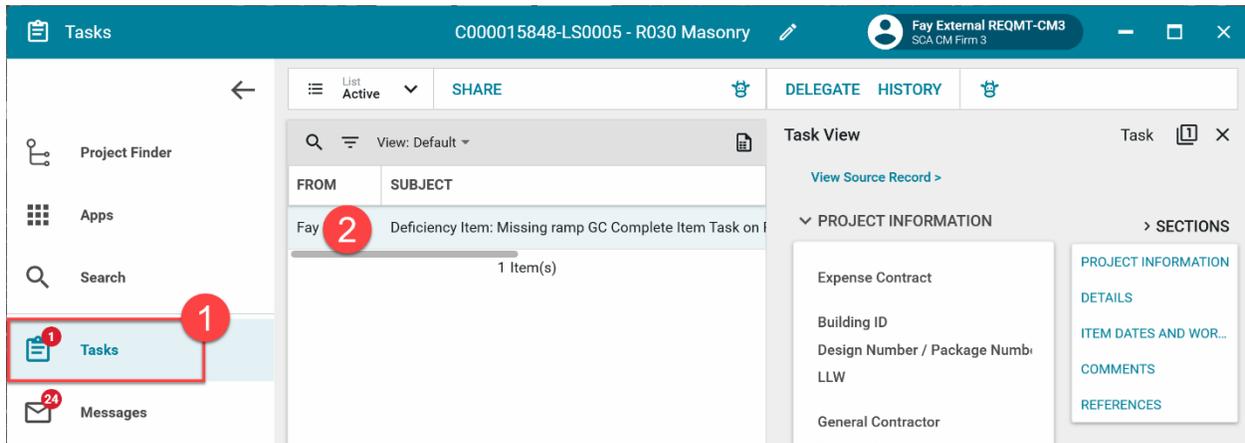
By clicking the button below, you are acknowledging that you have received the list of deficiency items. After acknowledgement, you will be assigned tasks for every deficiency item in the list. After the deficiency has been resolved, you must mark each item as complete in your tasks.

Acknowledge Receipt of Deficiency List

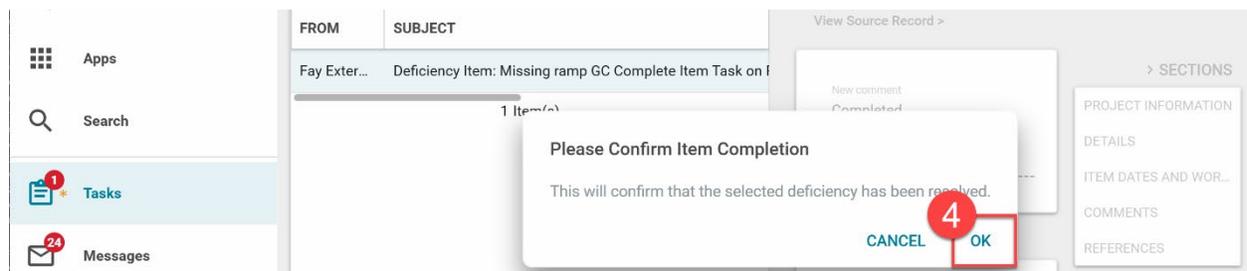
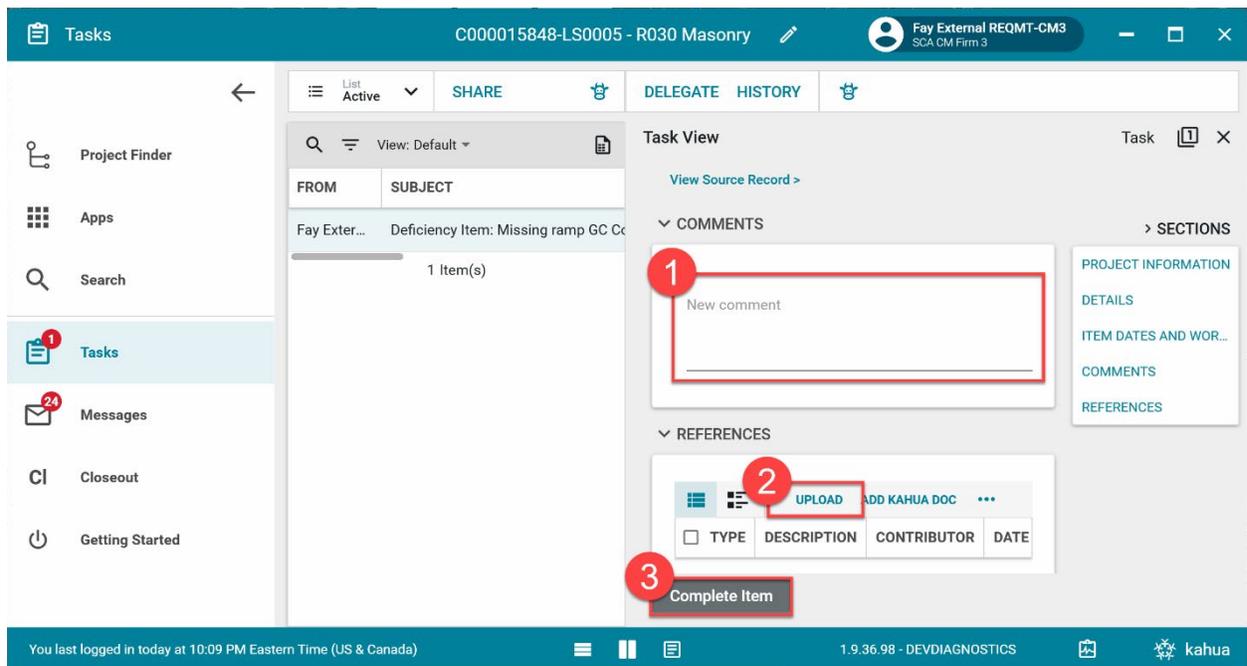
GC Completes Deficiency Items

Once the Deficiency List has been acknowledged, tasks are generated for each item on the list for the GC to complete.

1. Go to **Tasks** > Select the desired deficiency task

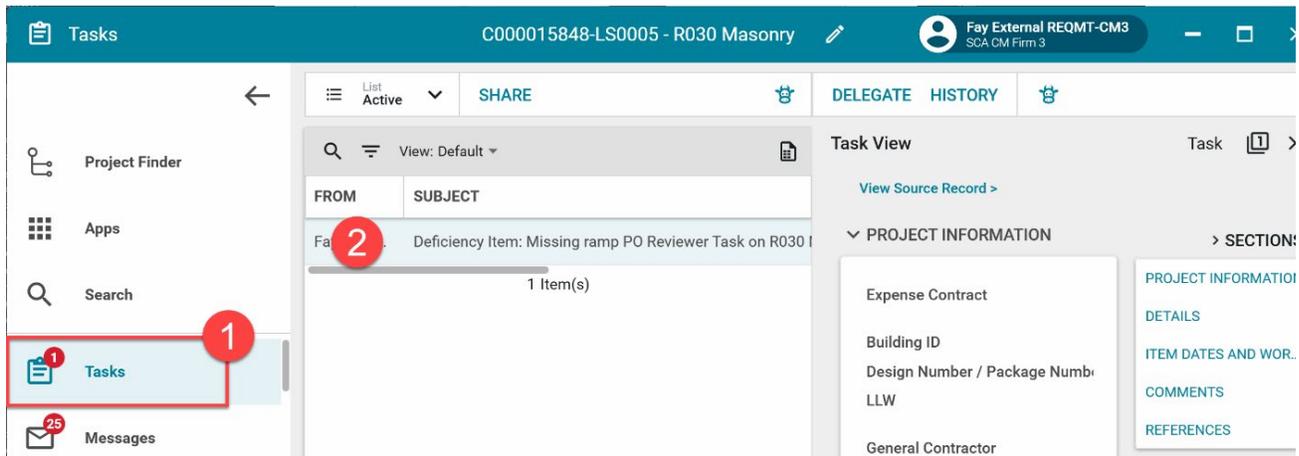


2. Scroll to the **Comments** section (**required**) and add remarks, such as if the item is *not within the scope of work*.
3. Click **UPLOAD** in the **References** section to add any necessary attachments
4. Click **Complete Item** and click **OK**



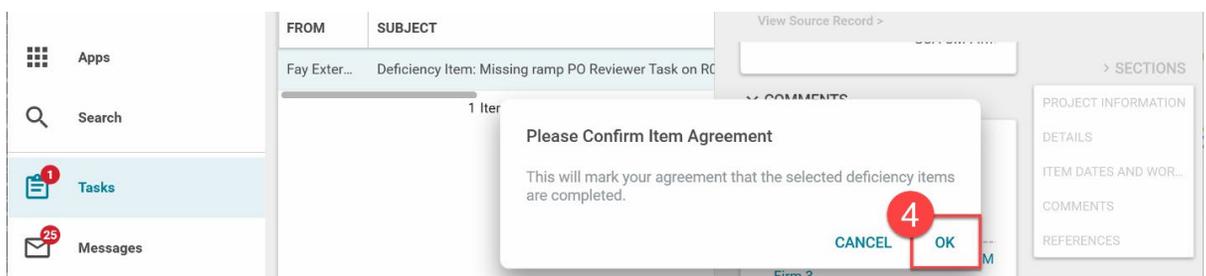
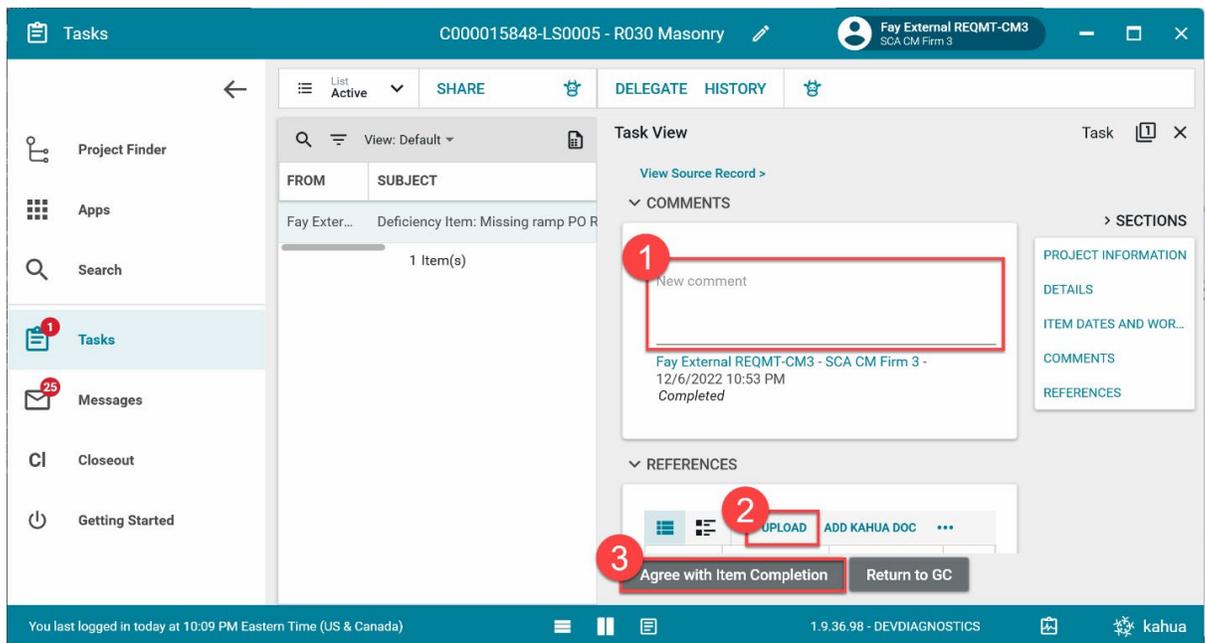
PO Accepts or Returns Deficiencies Items

1. Go to Tasks > Select the desired deficiency task



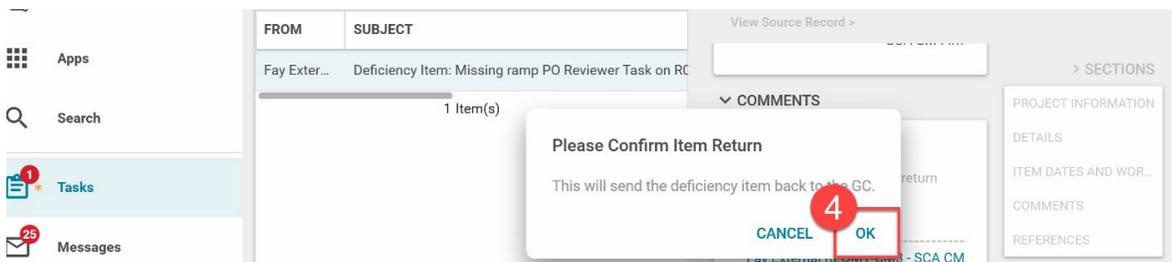
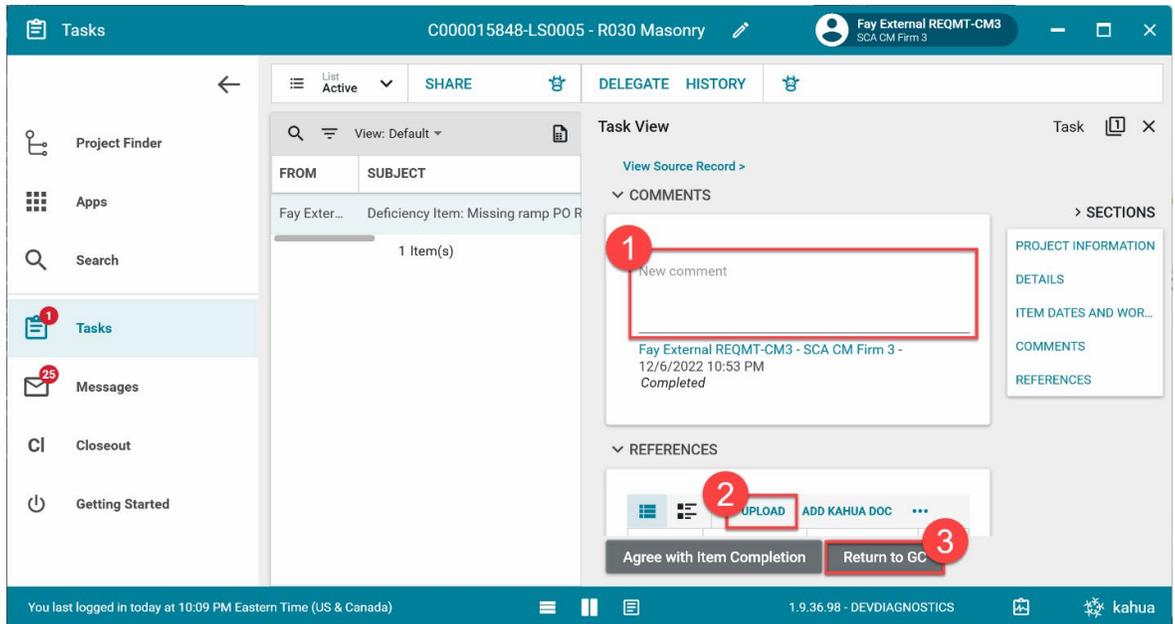
Option 1: PO agrees with the completion of the Deficiency List

1. **Comments** section: A comment is only required if the deficiency was previously returned by the AEOR.
2. Click **UPLOAD** in the **References** section to add any necessary attachments
3. Click **Agree with Item Completion** and click **OK**



Option 2: PO Returns Completed Item to GC. The GC will receive a task to complete the item.

1. **Comments** section (Required): Enter reason for return
2. Select **UPLOAD** in the **References** section to add any necessary attachments
3. Click **Return to GC**
4. Click **OK**

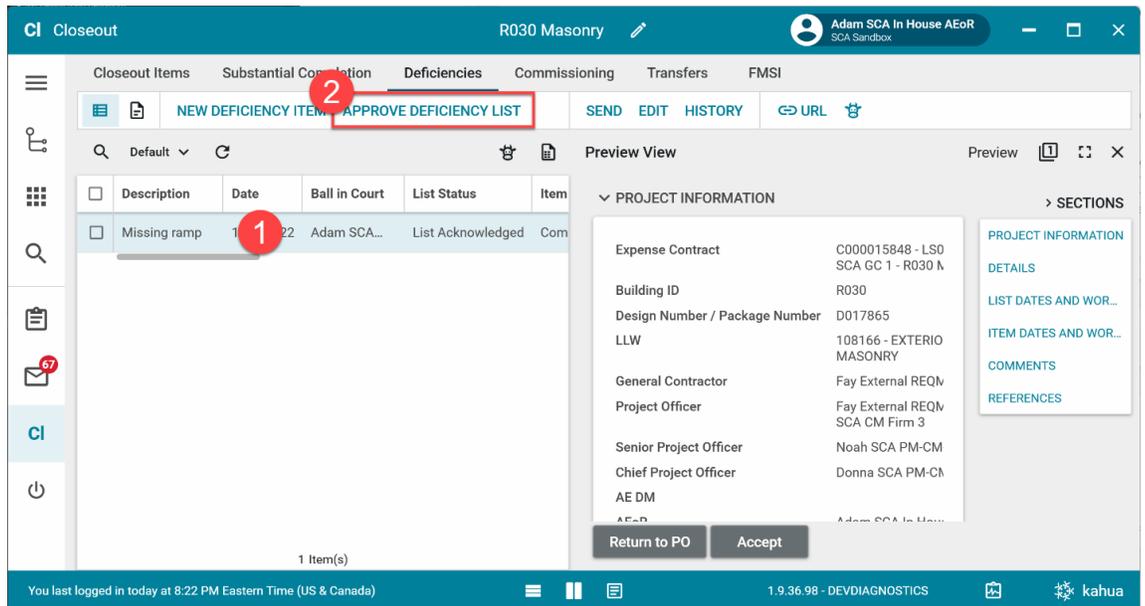


AEoR Accepts or Returns Deficiency List

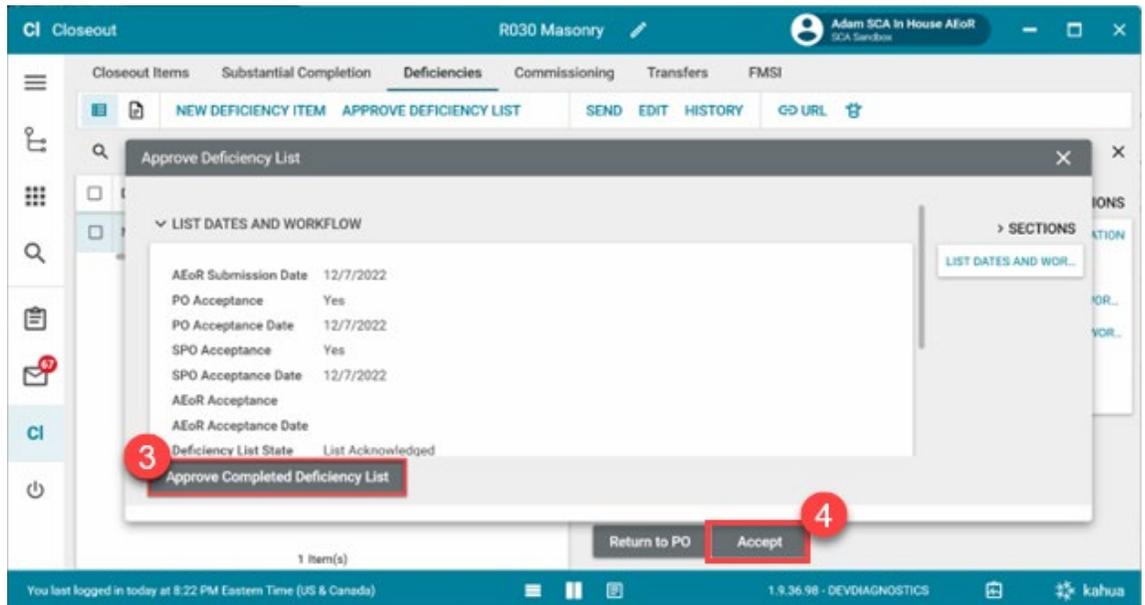
All deficiency items are marked Complete. The AEoR approves the deficiency list, and the substantial completion workflow can continue.

Option 1: AEoR Accepts the list

1. Select any deficiency item (**do not use checkbox**)
2. Click **APPROVE DEFICIENCY LIST**



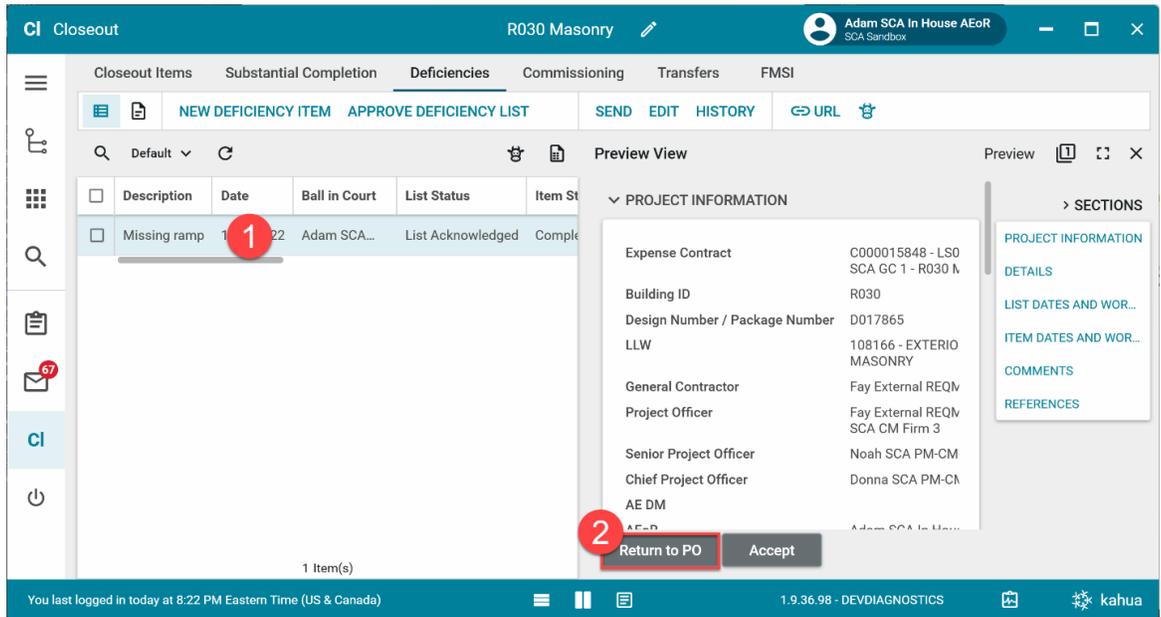
3. Click **Approve Completed Deficiency List**
4. Click **Accept**



Option 2: AEoR Returns Completed Item to PO

The PO has marked the deficiency item as complete, but the AEoR rejects the item.

1. Select the completed deficiency item
2. Click **Return to PO**



3. Enter the **reason** for returning the deficiency item
4. Click **Continue**

