Deficiencies Training Guide

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Contents

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 AEoR 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 AEoR 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).
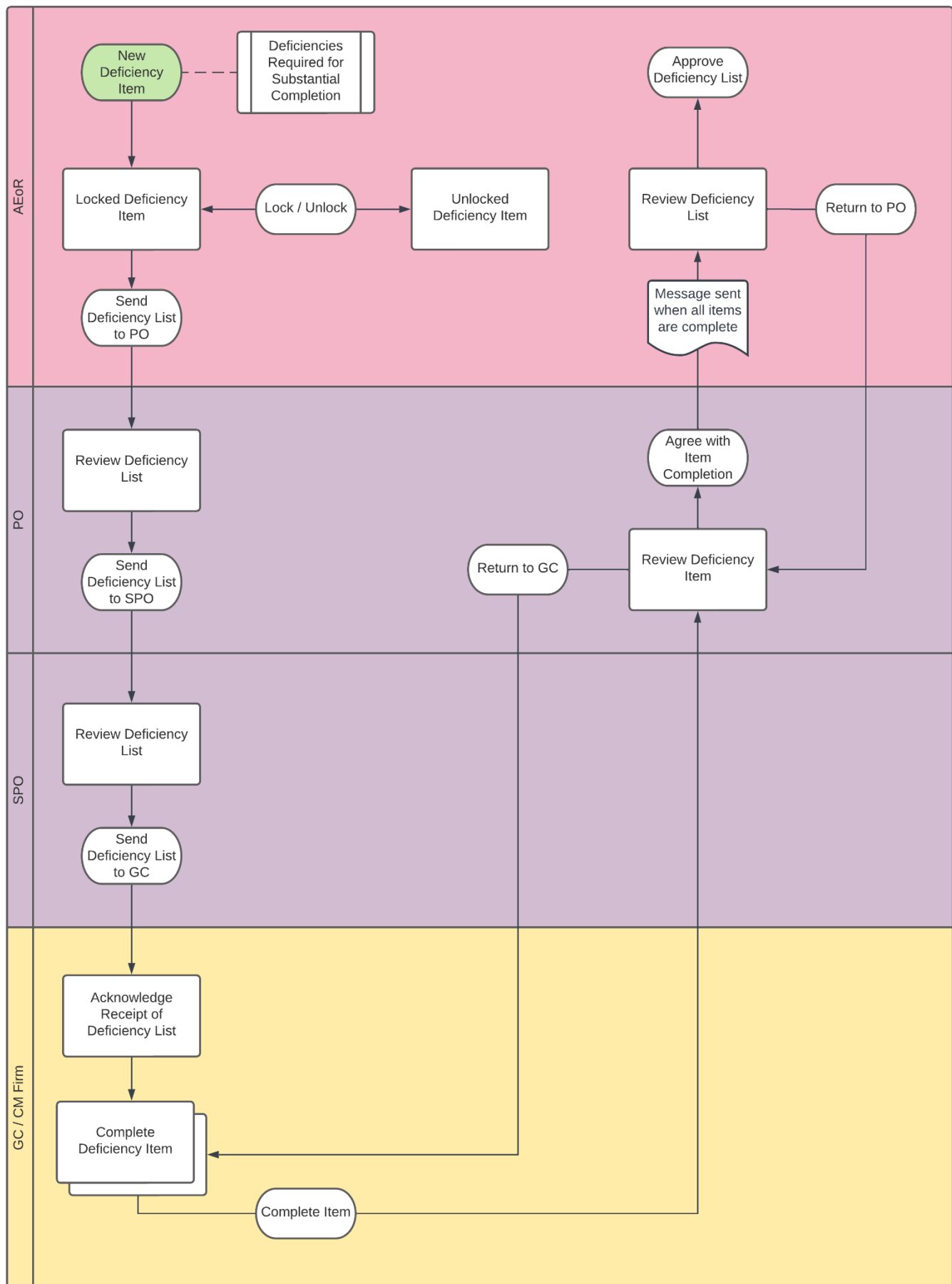
The GC will receive the Deficiency List and must acknowledge their receipt of the list. After acknowledgement, the GC will receive tasks to complete each deficiency item on the received list. The GC will resolve each deficiency item and send the item to the PO. Each individual item should have a response. 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 AEoR will receive a message notifying them that the entire list has been resolved.

Each item can be returned by the AEoR which will send a task to the PO to resolve. If the AEoR 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 AEoR can still create new deficiency items that will be routed to the appropriate workflow steps.

Workflow Diagram

AEoR

New Deficiency Item

Deficiencies Required for Substantial Completion

Locked Deficiency Item — Lock / Unlock — Unlocked Deficiency Item

Send Deficiency List to PO

Approve Deficiency List

Review Deficiency List — Return to PO

Message sent when all items are complete

PO

Review Deficiency List

Send Deficiency List to SPO

Agree with Item Completion

Return to GC — Review Deficiency Item

SPO

Review Deficiency List

Send Deficiency List to GC

GC / CM Firm

Acknowledge Receipt of Deficiency List

Complete Deficiency Item

Complete Item

Step-by-Step Instructions

Create Deficiency Item

Role		Preceding Steps		Outcome
AE	→	Deficiencies are required for the subproject.	→	A deficiency item is created and locked.

Steps

1. Go to 'Project Finder' > Select desired subproject
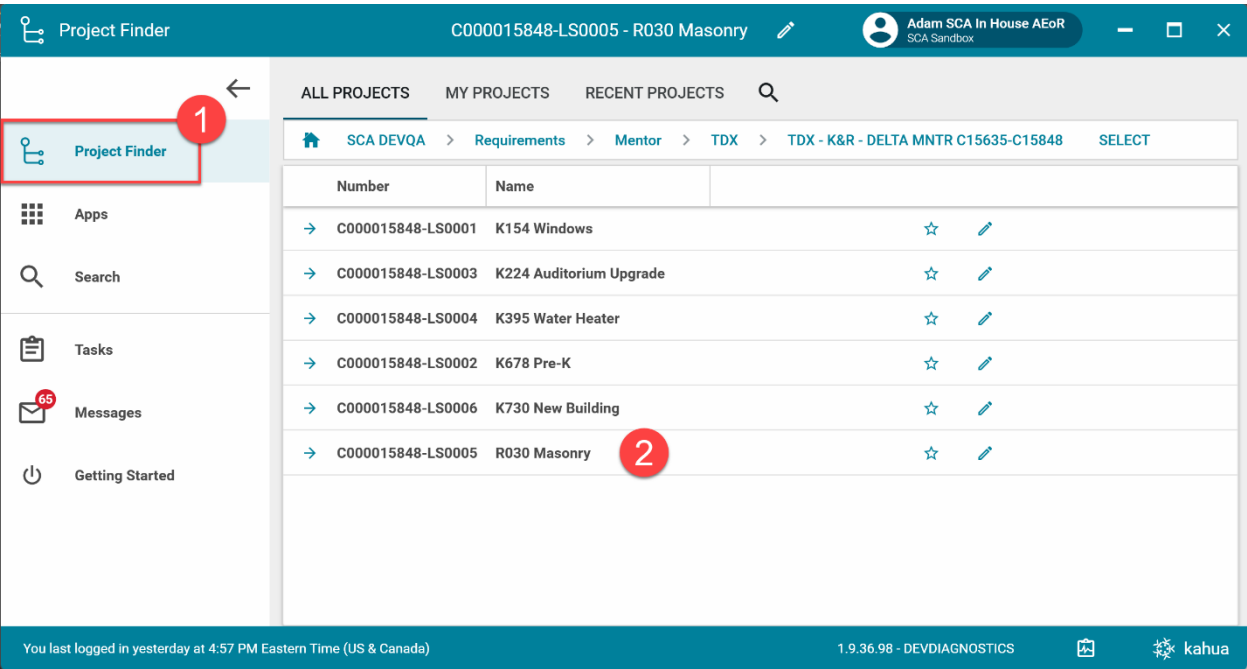
2. Go to 'Apps' > Select 'Closeout' App
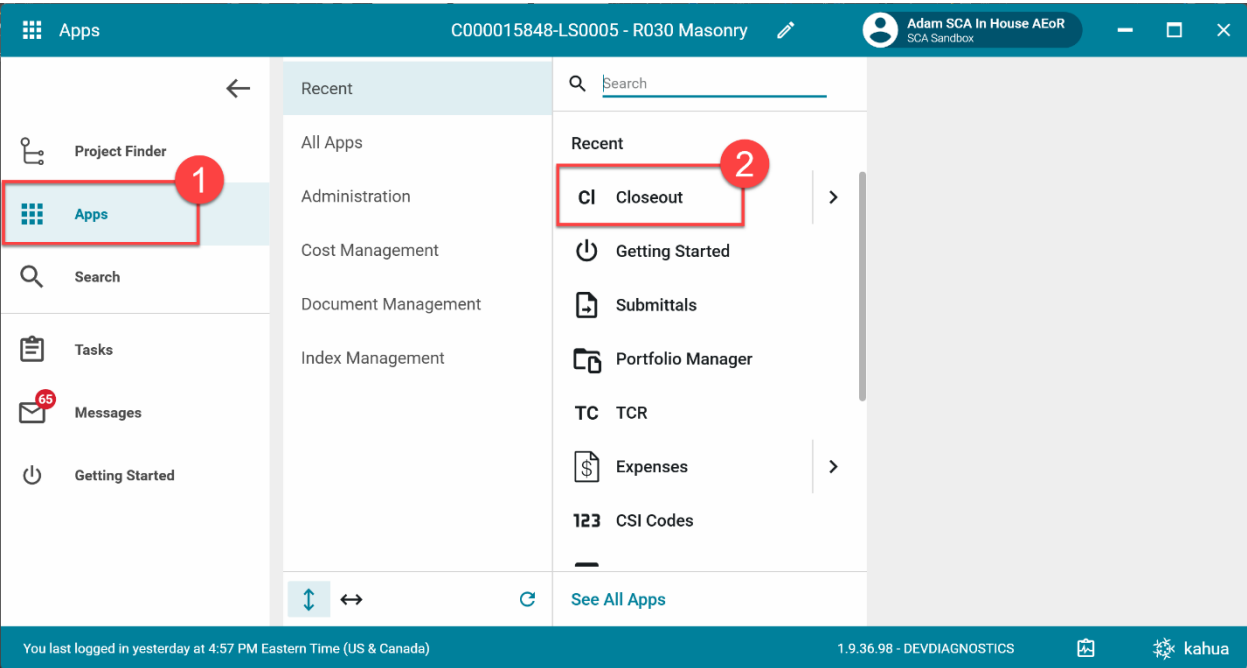
3. Select the 'Deficiencies' tab > Click 'NEW DEFICIENCY ITEM' > Select the 'Expense Contract' > Select the 'LLW'

   Note: If there is only one contract or LLW associated with the subproject, the data will be automatically entered.

4. Enter in required field 'Description' > Update 'Date', if necessary

5. *Optional:* Add extra information in 'Comments' > Select 'UPLOAD' in the References section to add an attachment.

6. Select 'Save and Lock' > Click 'OK'

Unlock and Update Deficiency Item

Role		Preceding Steps		Outcome
AE	→	Deficiency item exists with a status of 'Locked'.	→	The deficiency item is updated and locked.

Steps

1. Select the desired request to update > Click 'Unlock Deficiency Item' > Click 'OK' to unlock

2. Select 'EDIT'

3. Update fields as required > Select 'Save and Lock' > Click 'OK' to confirm

Submit Deficiency List
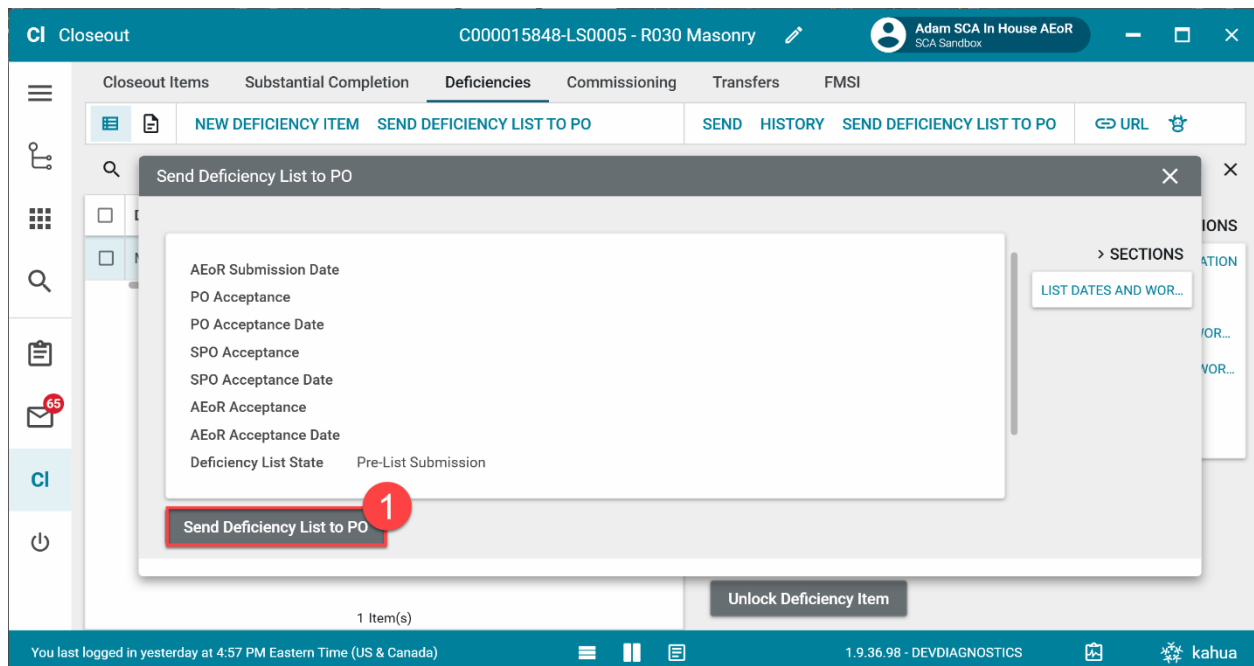
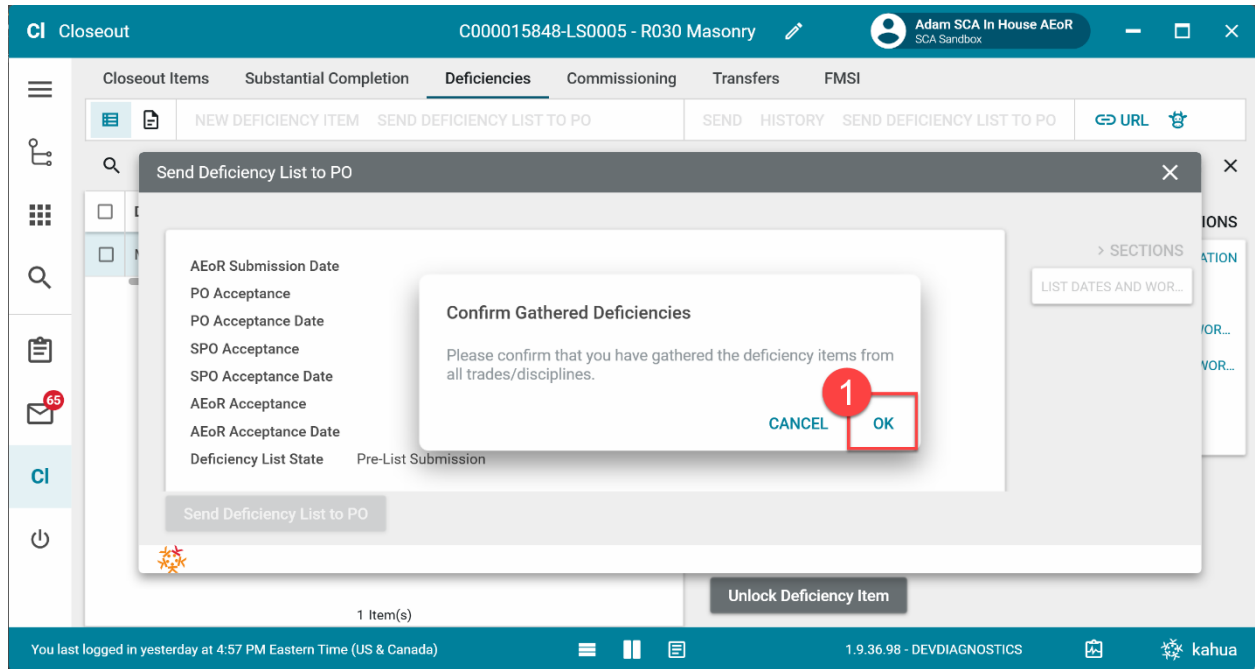| Role		Preceding Steps		Outcome
AEoR	→	All deficiency items have been created and locked. The list status is 'Pre-List Submission'.	→	A message is sent to the PO to review the deficiency list.

Steps

1. Select any deficiency item **(do not use checkbox)** > Click 'SEND DEFICIENCY LIST TO PO'
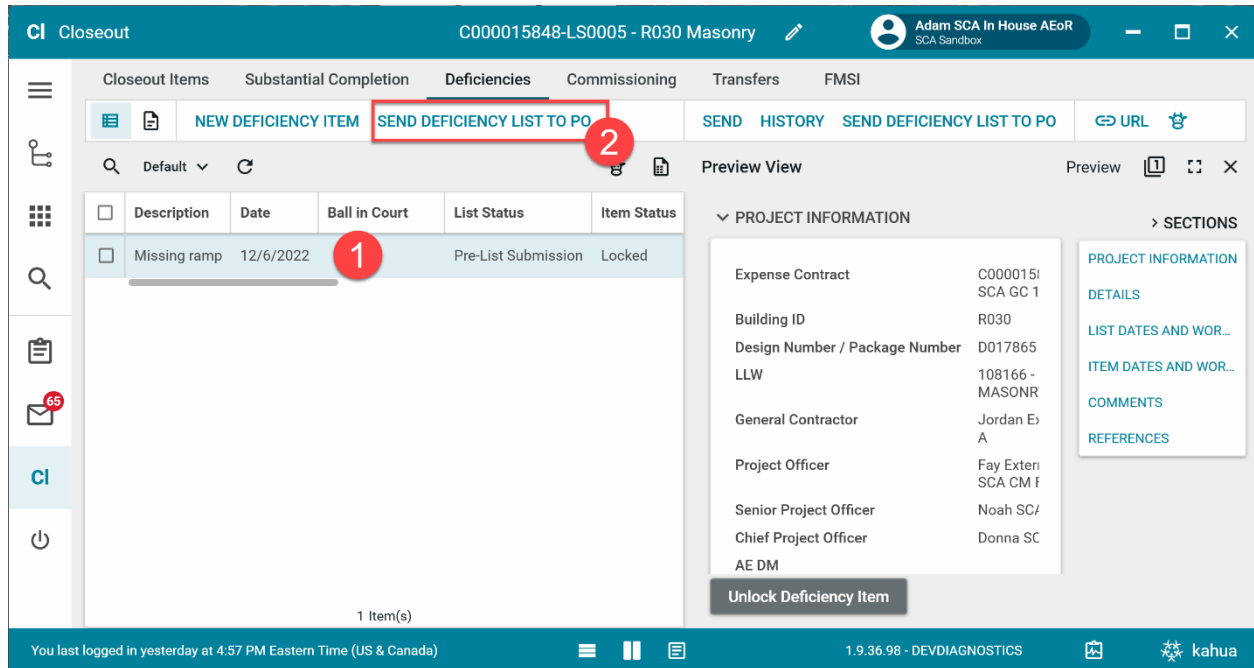
2. Click 'Send Deficiency List to PO'

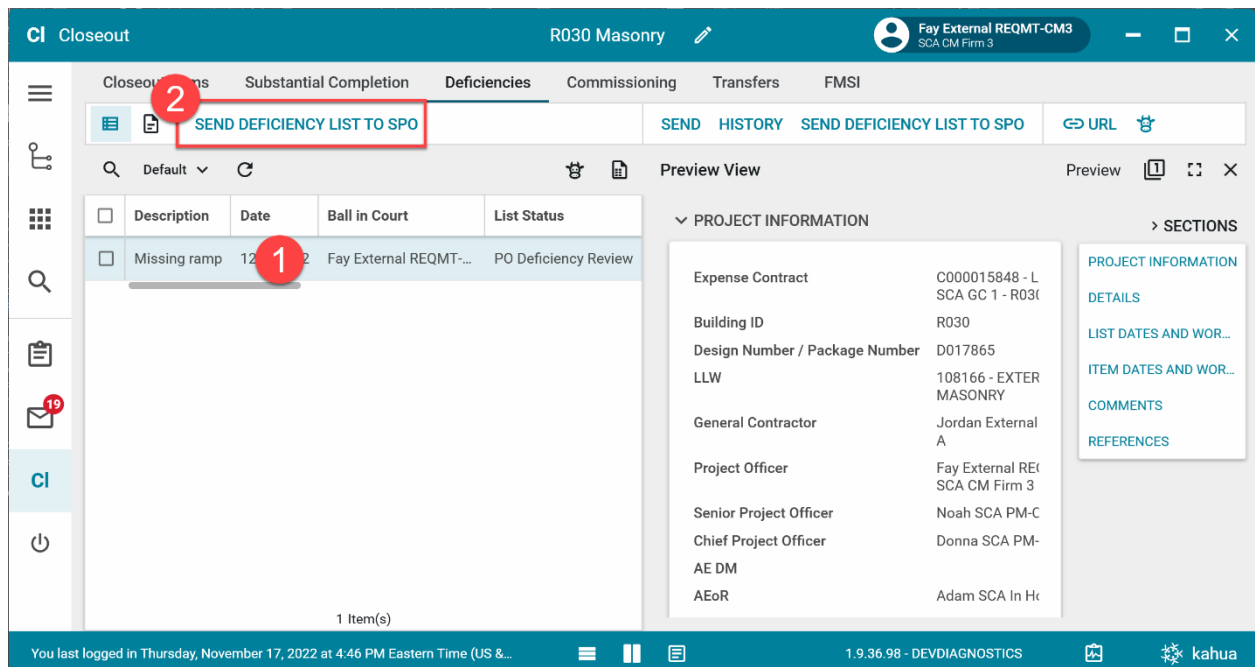3. Click 'OK' to confirm that all items have been gathered

PO/CM Project Manager Review List
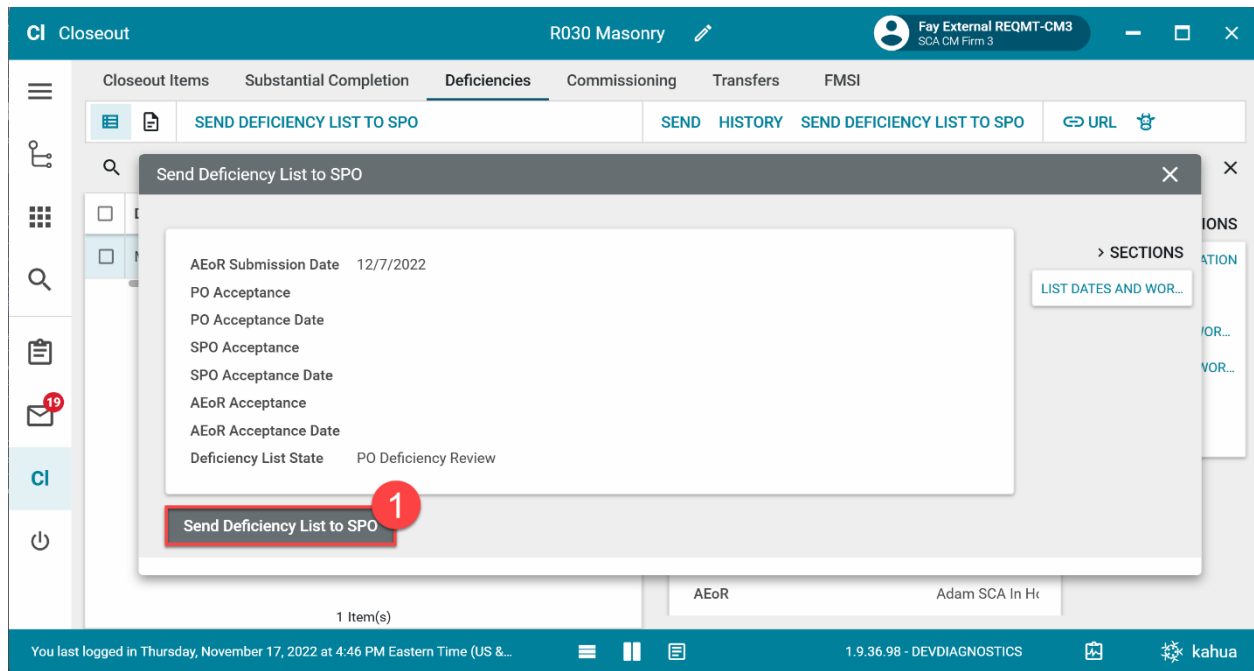
Role		Preceding Steps		Outcome
PO/CM Project Manager	→	AEoR has sent the list to the PO for review. List Status is 'PO Deficiency Review'.	→	A message is sent to the SPO to review the deficiency list.

Steps
1. Select any deficiency item **(do not use checkbox)** > Click 'SEND DEFICIENCY LIST TO SPO'

2. Click 'Send Deficiency List to SPO'

SPO Review List

Role		Preceding Steps		Outcome
SPO	→	PO has sent the list to the SPO for review. List Status is 'SPO Deficiency Review'.	→	A message is sent to the GC to acknowledge the deficiency list.

Steps

1. Select any deficiency item **(do not use checkbox)** > Click 'SEND DEFICIENCY LIST TO GC'
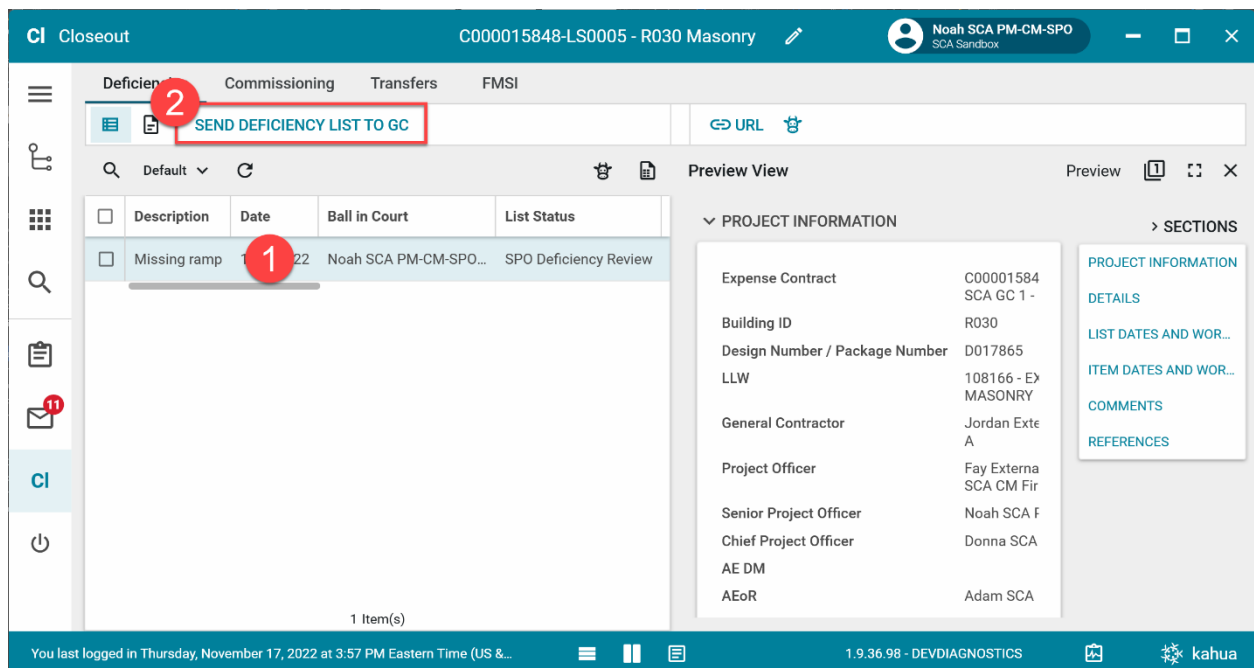
2. Click 'Send Deficiency List to GC'

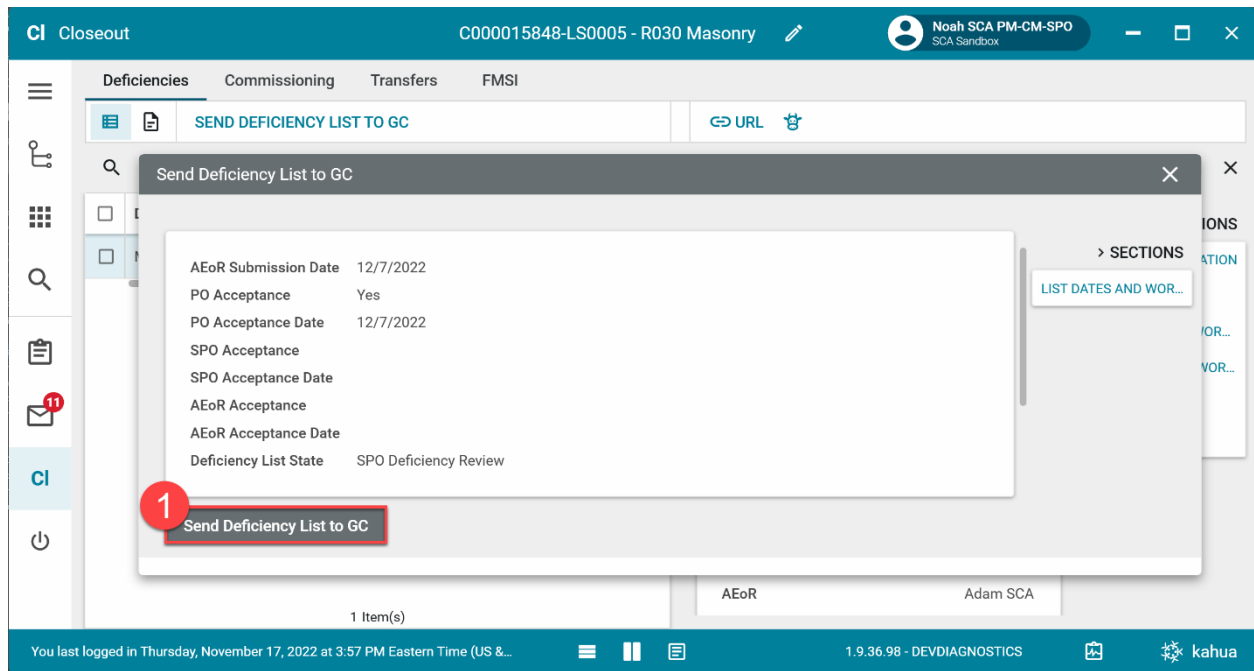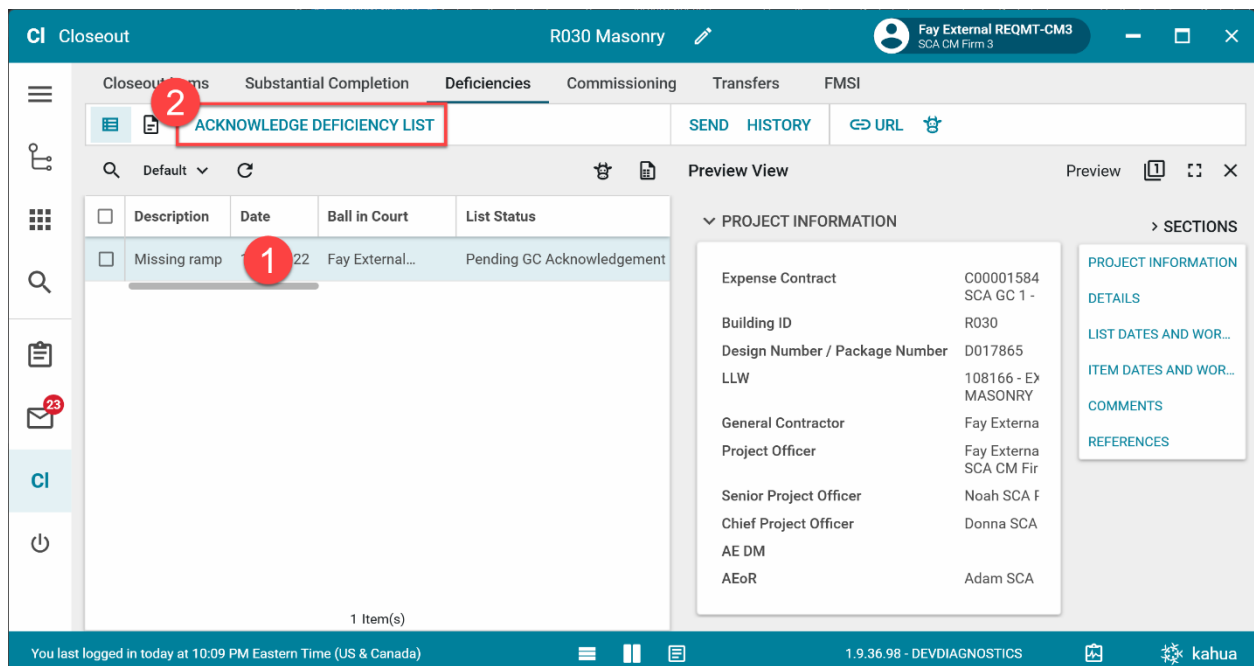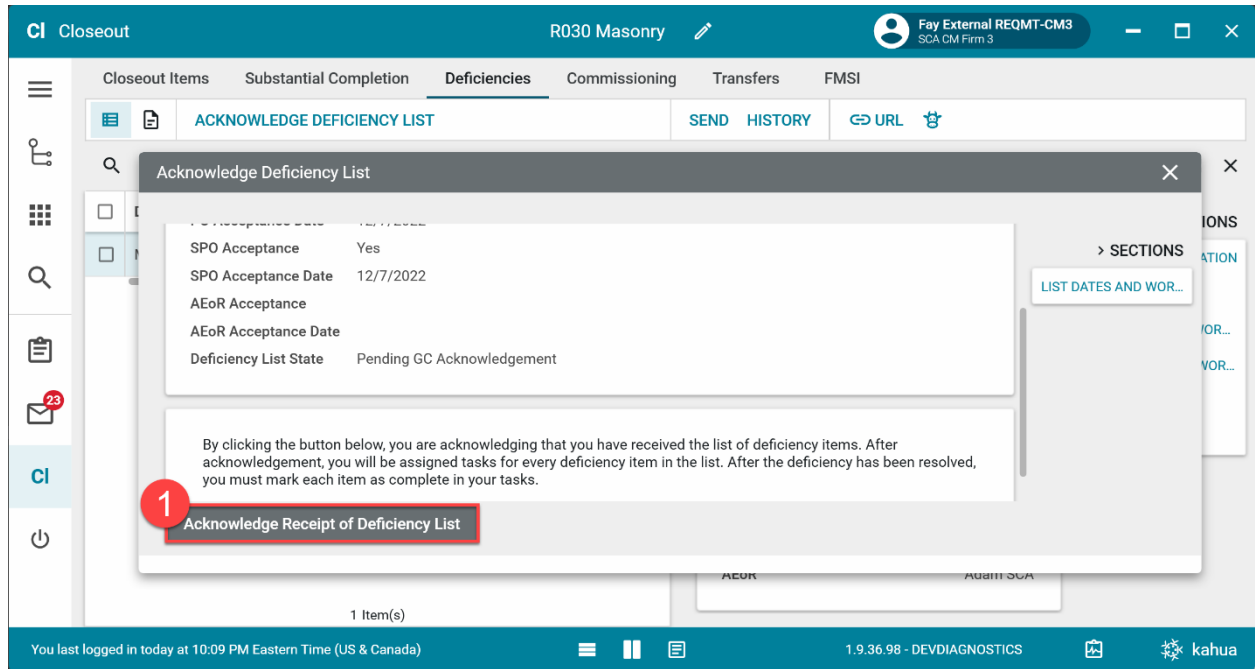## Acknowledge Deficiency List

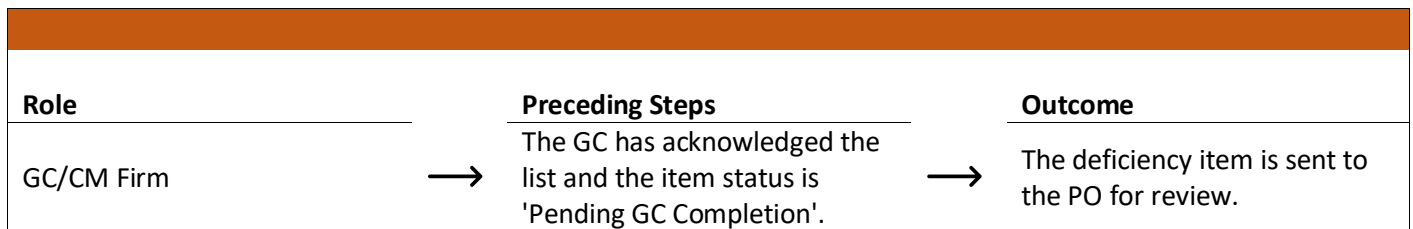| Role		Preceding Steps		Outcome
GC/CM Firm	→	The SPO has sent the list to the GC and the status is 'Pending GC Acknowledgement'.	→	The list is acknowledged and tasks are started to complete each item.

Steps
1. Select any deficiency item **(do not use checkbox)** > Click 'ACKNOWLEDGE DEFICIENCY LIST'
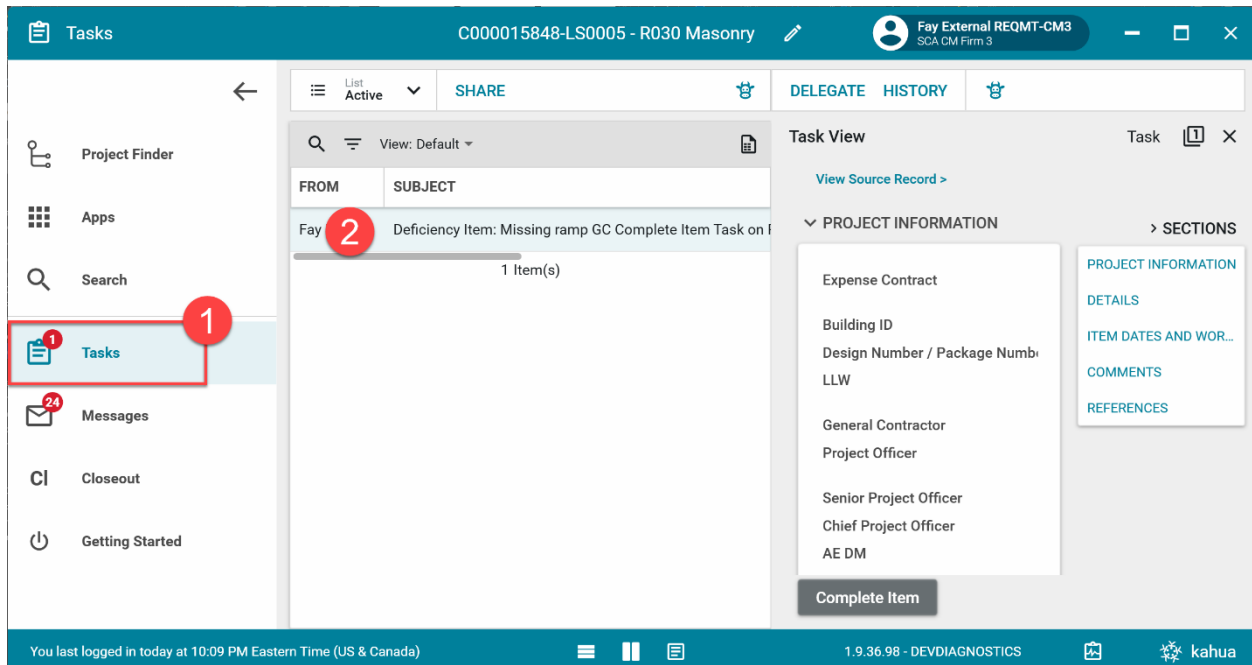
2. Click 'Acknowledge Receipt of Deficiency List'

Complete Deficiency Item

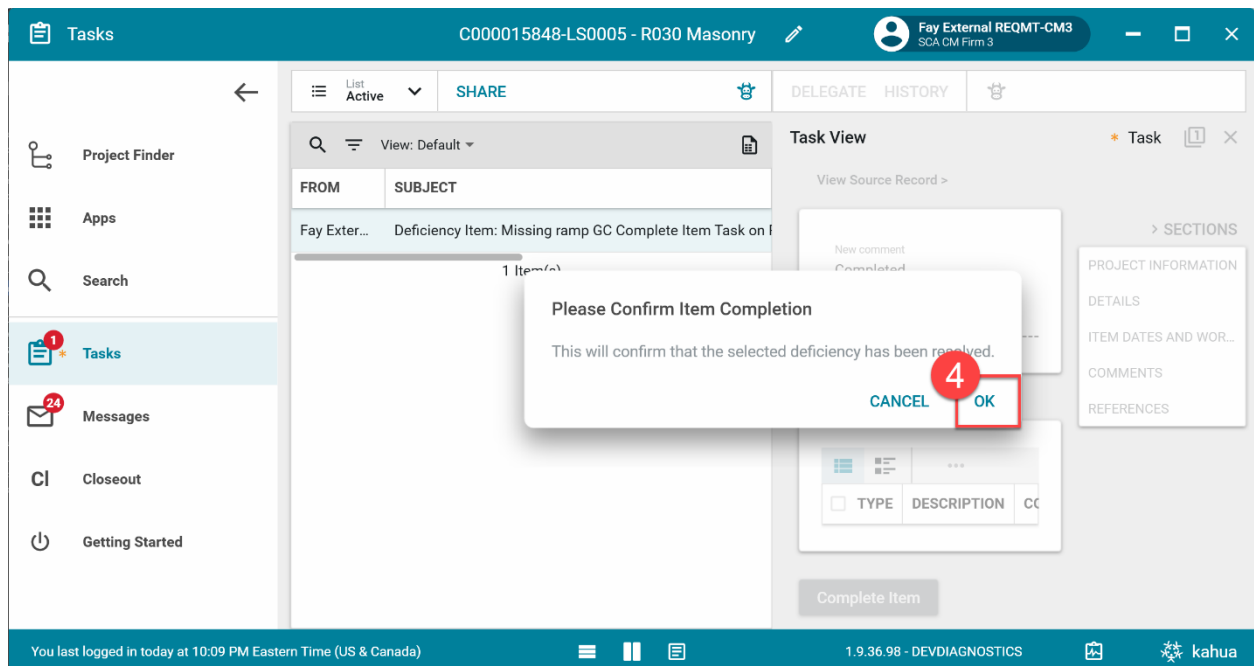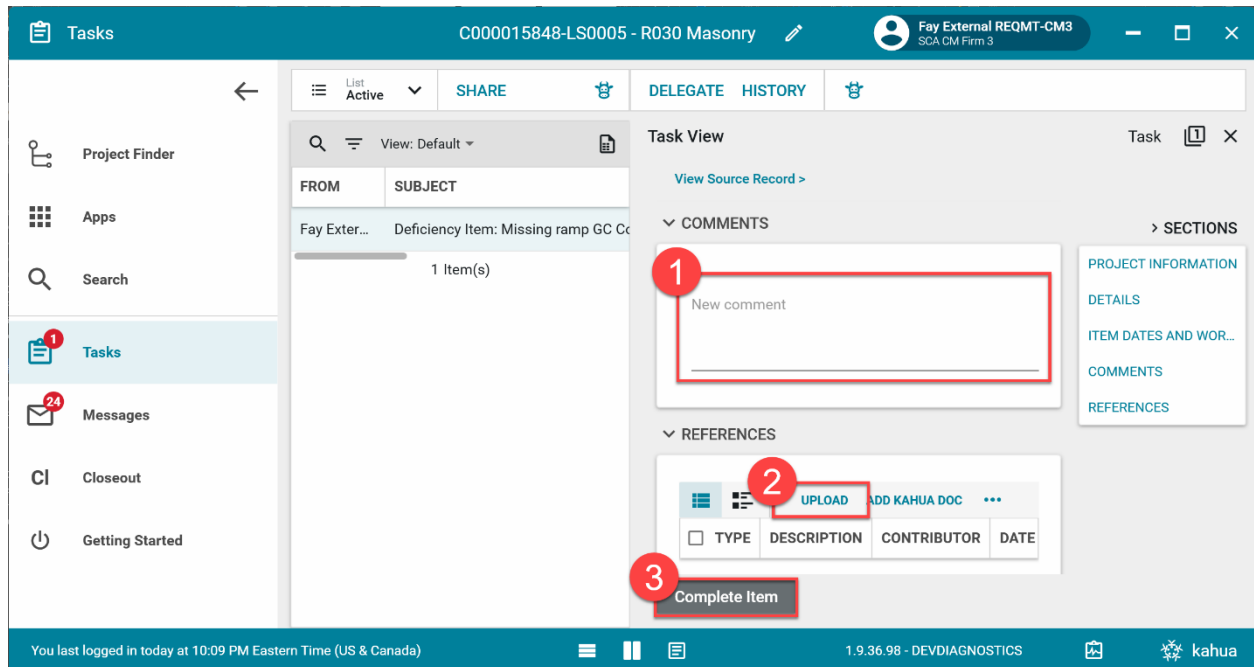| Role		Preceding Steps		Outcome
GC/CM Firm	⟶	The GC has acknowledged the list and the item status is 'Pending GC Completion'.	⟶	The deficiency item is sent to the PO for review.

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

2. Enter a comment (required) > Select 'UPLOAD' in the References section to add any necessary attachments > Click 'Complete Item' > Select 'OK'

   Note: Use the comments section for all remarks, such as if the item is not within the scope of work.
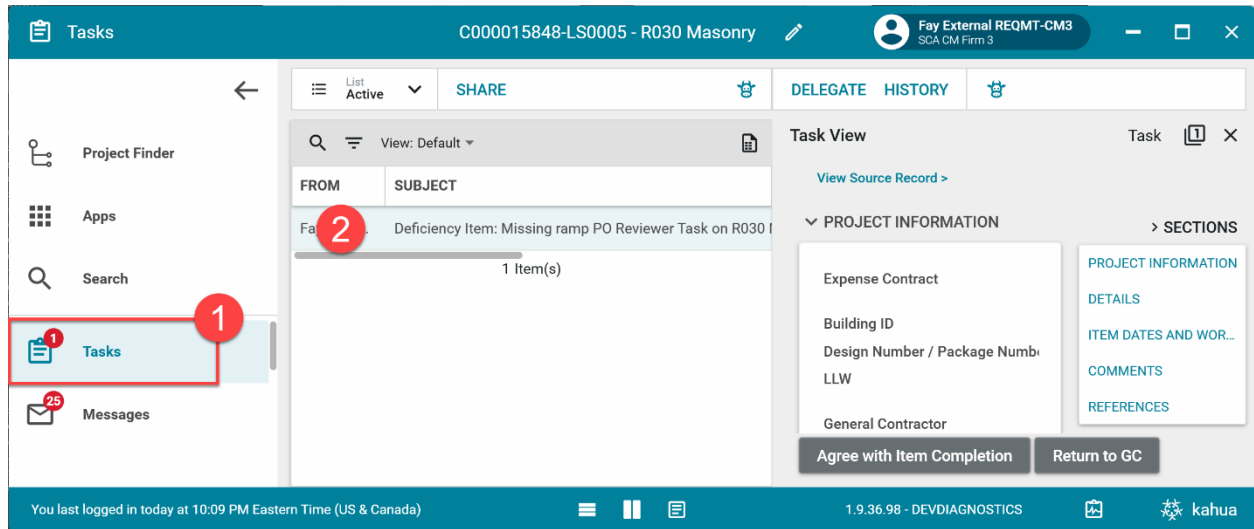
Agree with Item Completion

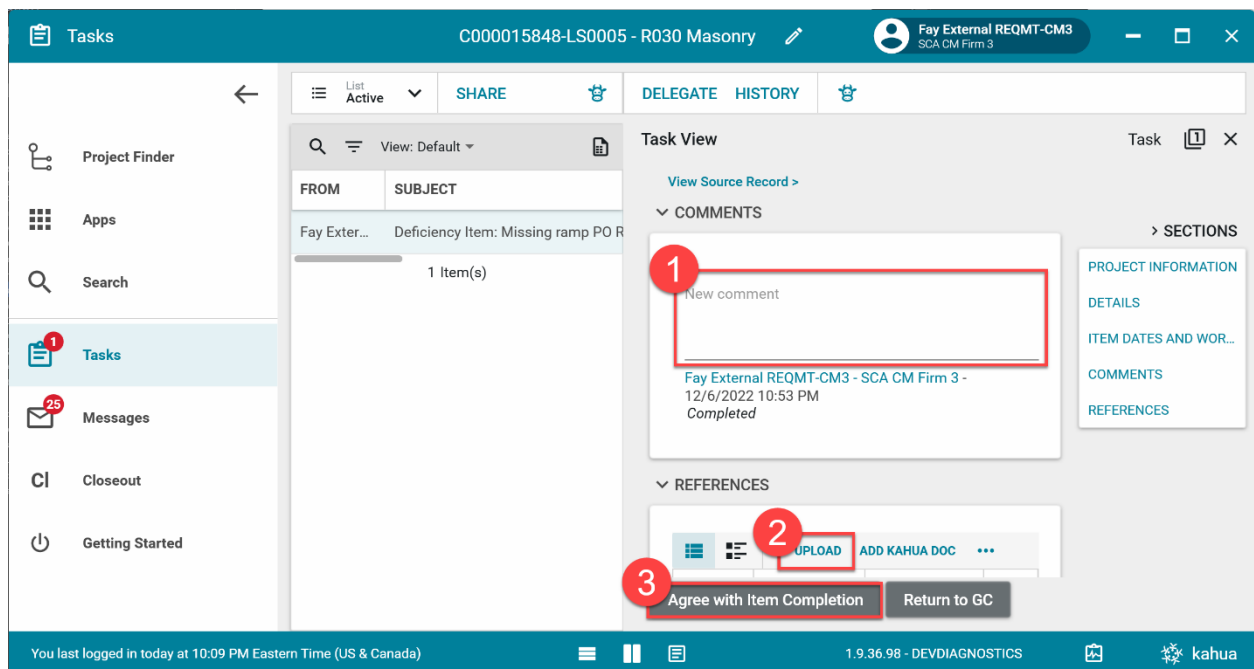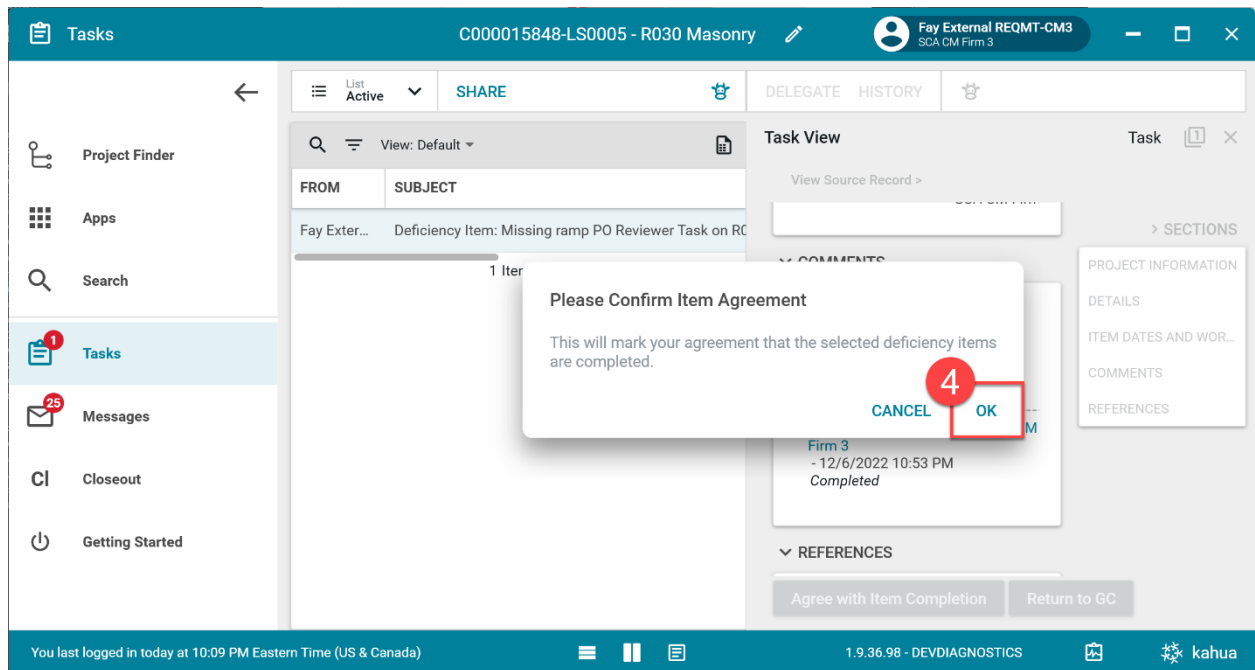| Role		Preceding Steps		Outcome
PO/CM Project Manager	→	GC has completed the deficiency item.	→	The PO marks the item as complete. If all items have been marked as complete, the AEoR receives a message to review the entire list.

Steps

1. Go to Tasks > Select the desired deficiency task

2. Enter a comment > Select 'UPLOAD' in the References section to add any necessary attachments > Click 'Agree with Item Completion' > Select 'OK'

   Note: A comment is only required if the deficiency was previously returned by the AEoR.
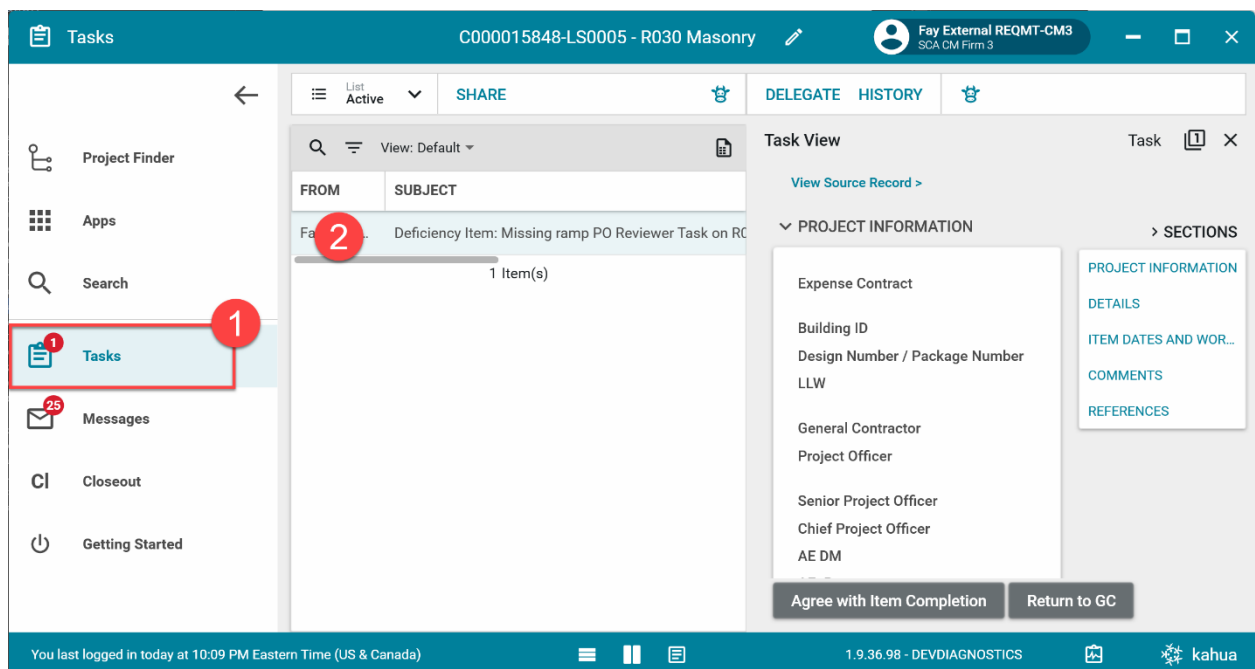
Return Item to GC

Role		**Preceding Steps**		**Outcome**
PO/CM Project Manager	→	GC has completed the deficiency item.	→	The PO enters a comment and returns the item to the GC. The GC will receive a task to complete the item.

Steps

1. Go to Tasks > Select the desired deficiency task

2. Enter a comment (required) > Select 'UPLOAD' in the References section to add any necessary attachments > Click 'Return to GC' > Select 'OK'
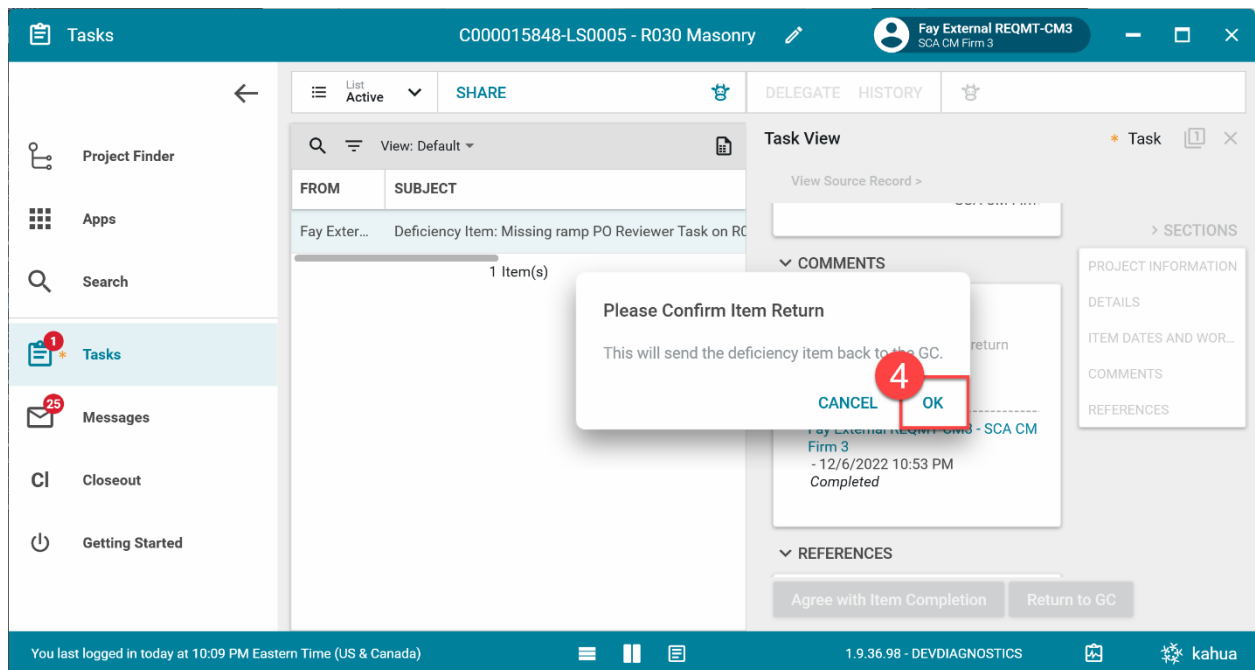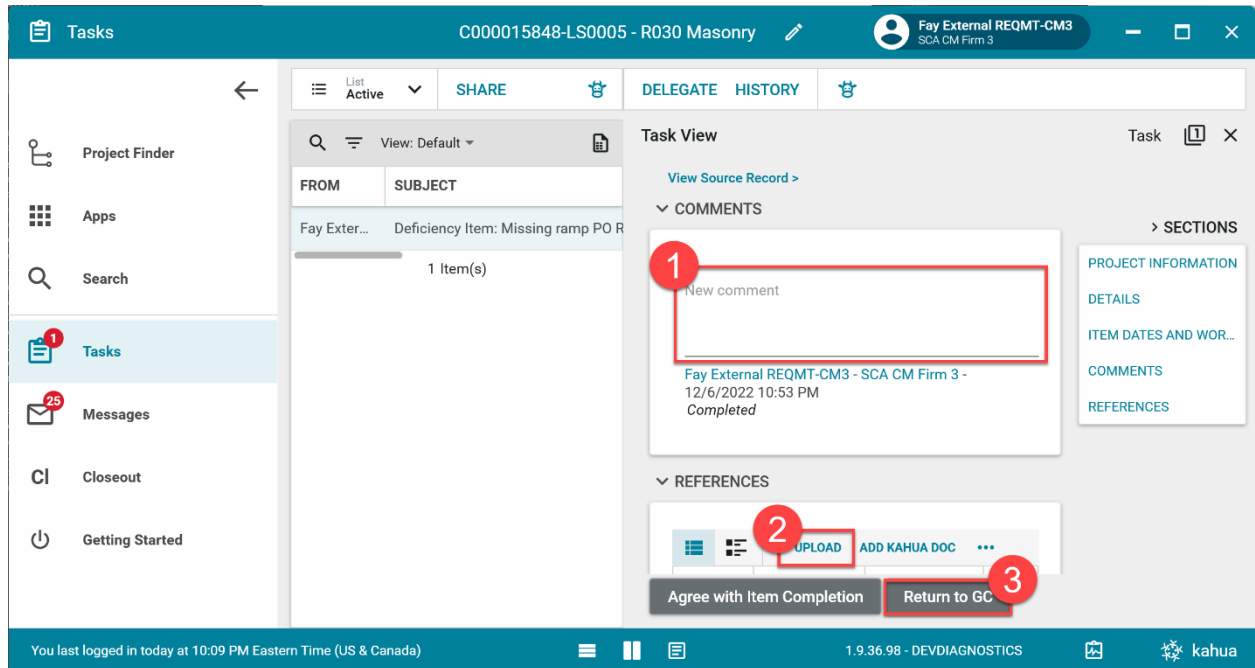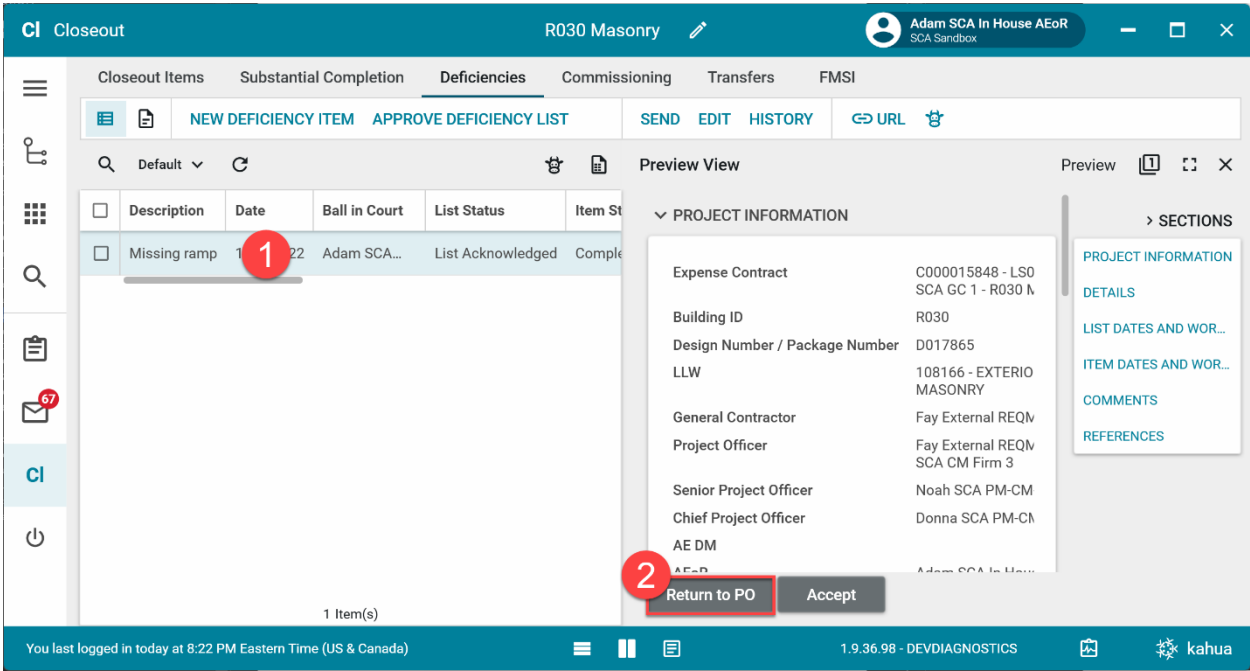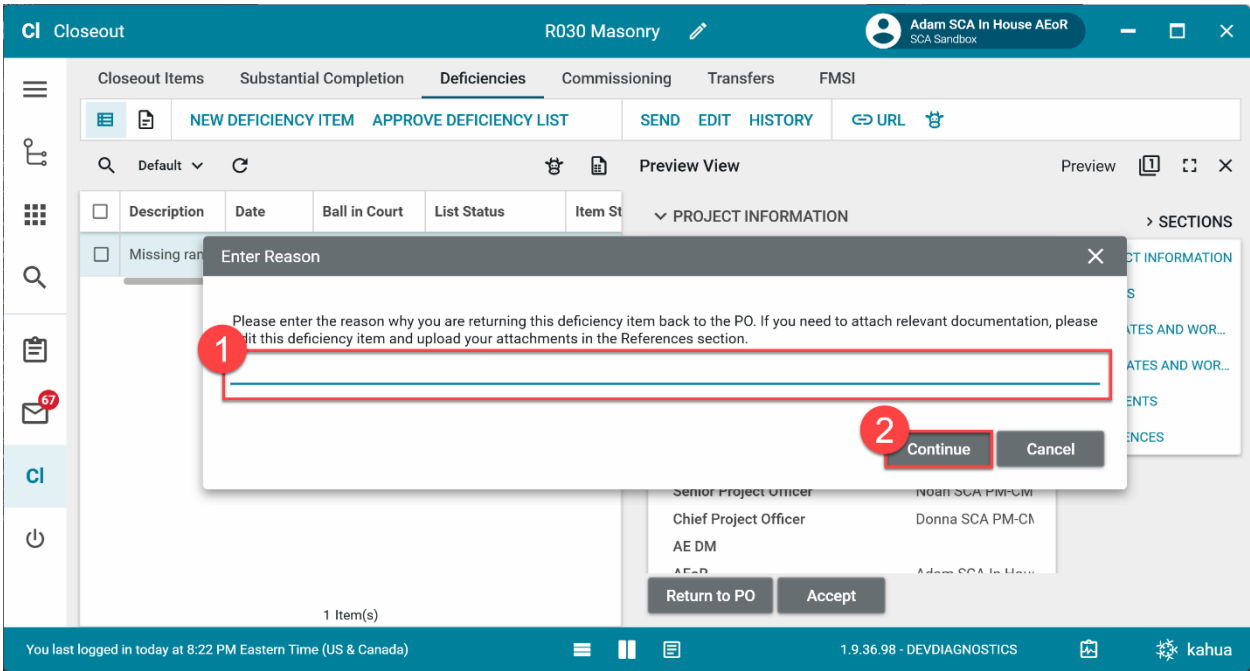
Return Completed Item to PO

Role		Preceding Steps		Outcome
AEoR	→	The PO has marked the deficiency item as complete.	→	The deficiency item is returned to the PO.

Steps

1. Select the completed deficiency item > Click 'Return to PO'

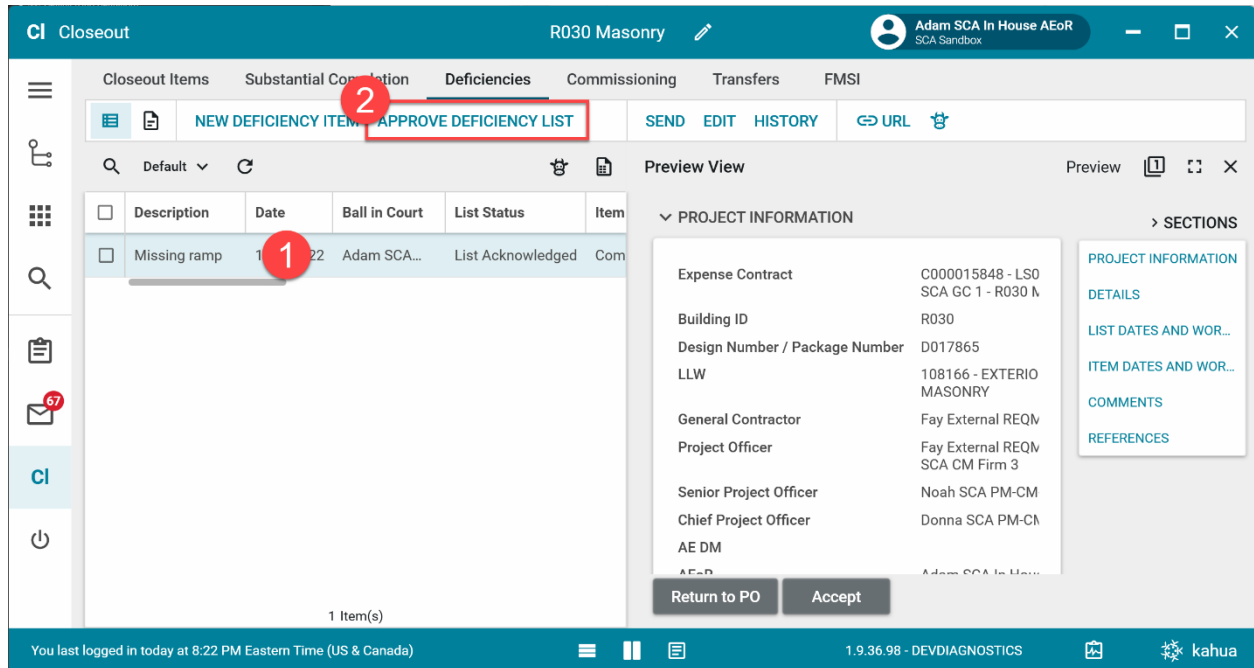2. Enter the reason for returning the deficiency item > Click 'Continue'

Approve Deficiency List

Role	Preceding Steps	Outcome
AEoR	All deficiency items have the item status of 'Complete'.	The deficiency list is approved, and the substantial completion workflow can continue.

Steps

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

2. Click 'Approve Completed Deficiency List'