



Deficiencies Training Guide

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Contents

About.....	3
Notes.....	3
Process Overview.....	3
Workflow Diagram.....	4
Step-by-Step Instructions.....	5
Create Deficiency Item.....	5
Unlock and Update Deficiency Item	8
Submit Deficiency List	10
PO/CM Project Manager Review List	11
SPO Review List.....	12
Acknowledge Deficiency List	13
Complete Deficiency Item	14
Agree with Item Completion	16
Return Item to GC.....	17
Return Completed Item to PO	19
Approve Deficiency List.....	20

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 AEO 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 AEO 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).

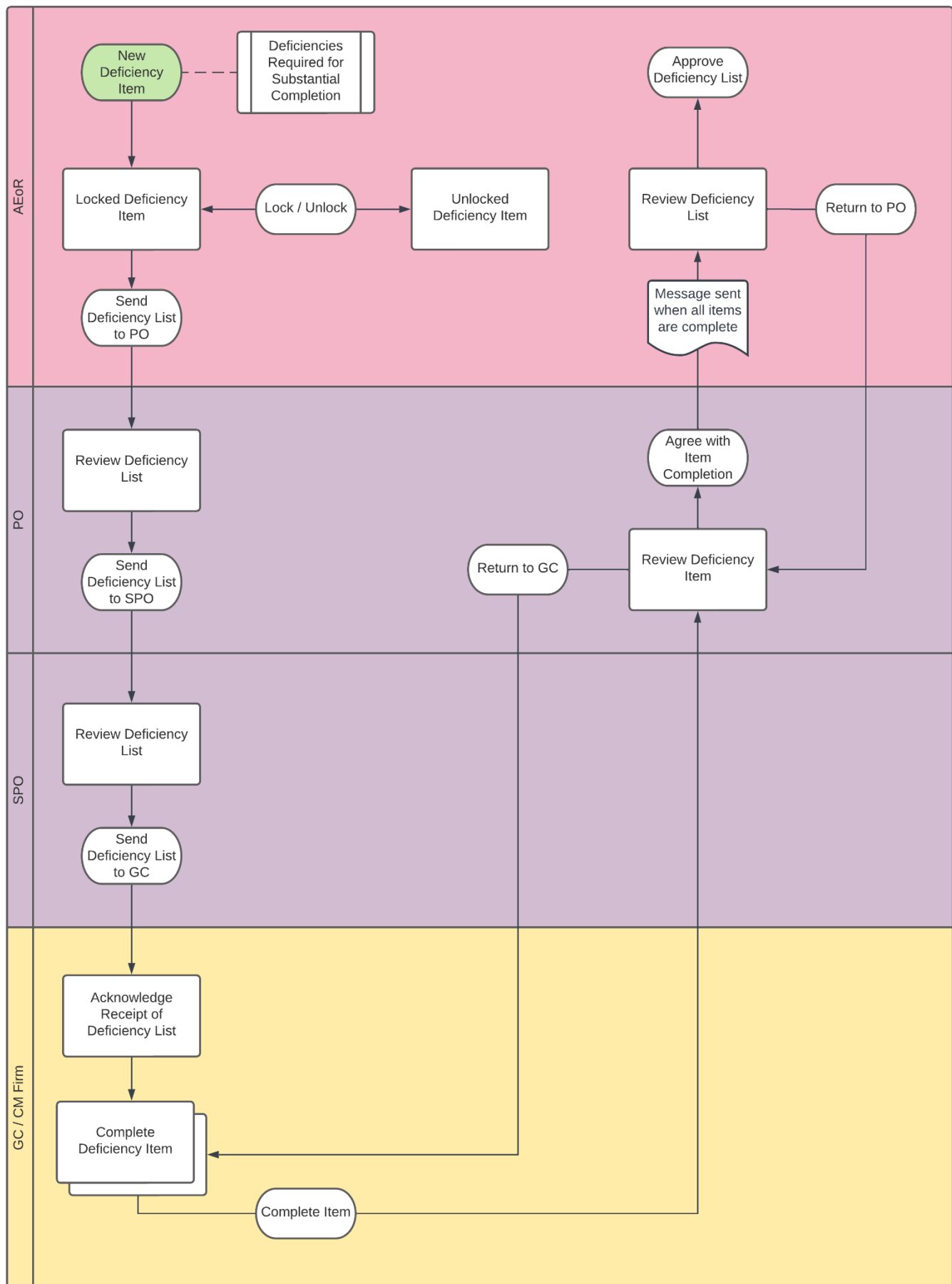
The GC will receive the Deficiency List and must acknowledge their receipt of the list. After acknowledgement, the GC will receive tasks to complete each deficiency item on the received list. The GC will resolve each deficiency item and send the item to the PO. Each individual item should have a response.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

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

Workflow Diagram



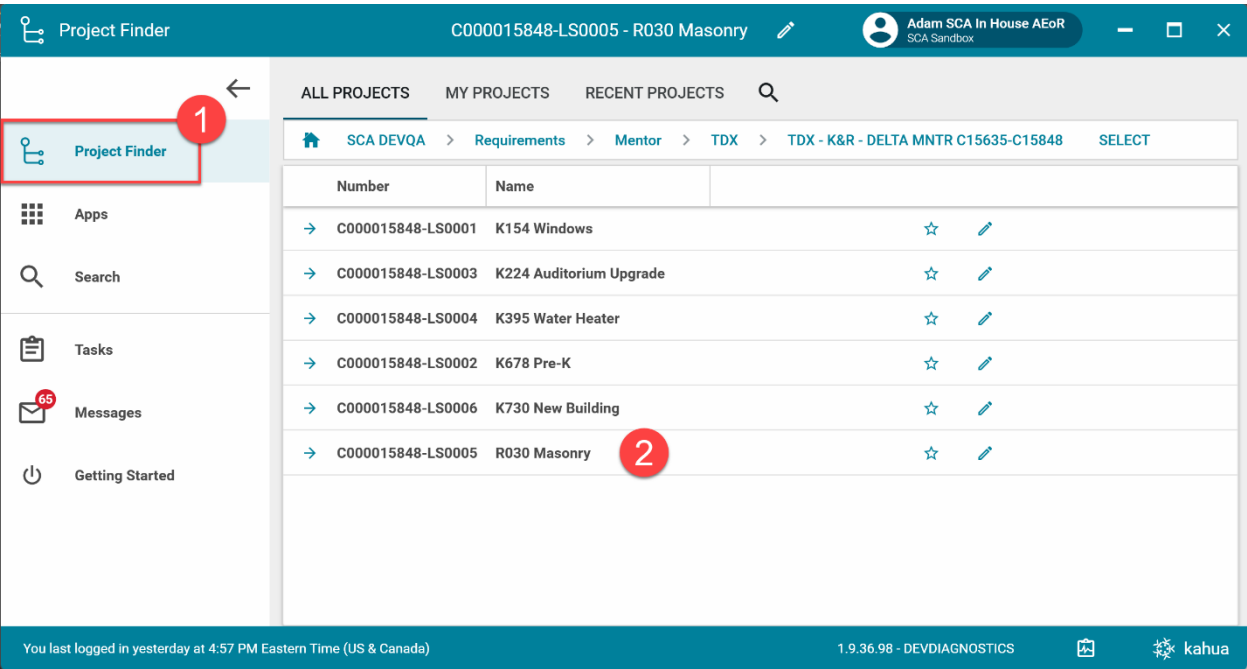
Step-by-Step Instructions

Create Deficiency Item

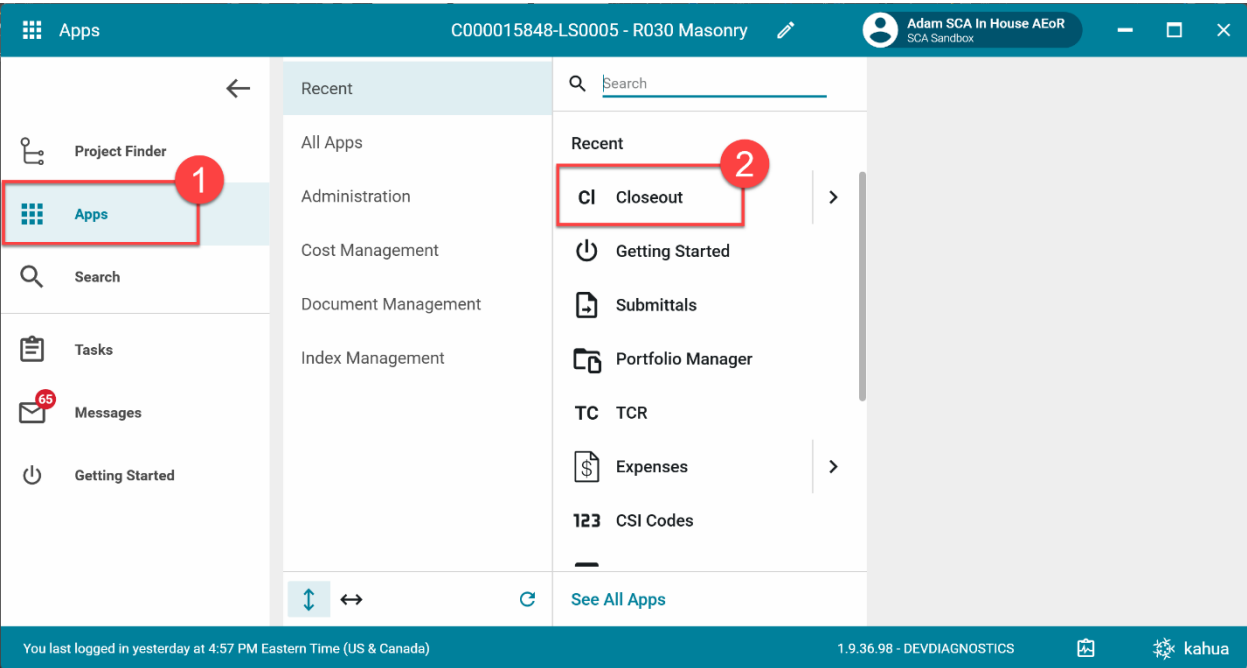
Role	Preceding Steps	Outcome
AE	→ Deficiencies are required for the subproject.	→ A deficiency item is created and locked.

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.

The screenshot shows the 'Closeout' system interface for project 'C000015848-LS0005 - R030 Masonry'. The 'Deficiencies' tab is selected. The 'NEW DEFICIENCY ITEM' button is highlighted with a red circle 2. The 'Expense Contract' dropdown is highlighted with a red circle 3, showing 'LS0005 - SCA GC 1'. The 'LLW' dropdown is highlighted with a red circle 4, showing 'R030 - 108166 - EXTERIOR MASONRY'. The form also displays project information such as Building ID, Design Number, and General Contractor. A 'Save and Lock' button is at the bottom.

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

The screenshot shows the 'Closeout' system interface for project 'C000015848-LS0005 - R030 Masonry'. The 'Deficiencies' tab is selected. The 'NEW DEFICIENCY ITEM' button is highlighted with a red circle 2. The 'Description' field is highlighted with a red circle 1, showing a red error message 'Field is required'. The 'Date' field is highlighted with a red circle 2, showing '12/6/2022'. The form also displays project information such as Building ID, Design Number, and General Contractor. A 'Save and Lock' button is at the bottom.

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

Closeout Items Substantial Completion Deficiencies * Commissioning Transfers FMSI

NEW DEFICIENCY ITEM

Default New View

0 Item(s)

Save and Lock

PROJECT INFORMATION
DETAILS
LIST DATES AND WOR...
ITEM DATES AND WOR...
COMMENTS
REFERENCES

1 New comment

2 UPLOAD ADD KAHUA DOC EDIT MARKUP UPDATE REMOVE ...

TYPE DESCRIPTION CONTRIBUTOR DATE SIZE MARKUP? INCLUDE O

You last logged in yesterday at 4:57 PM Eastern Time (US & Canada) 1.9.36.98 - DEVDIAGNOSTICS kahua

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

Closeout Items Substantial Completion Deficiencies * Commissioning Transfers FMSI

NEW DEFICIENCY ITEM

Default New View

0 Item(s)

1 Save and Lock

PROJECT INFORMATION

Expense Contract
LS0005 - SCA GC 1

LLW
R030 - 108166 - EXTERIOR MASONRY

Building ID R030
Design Number / Package Number D017865
LLW 108166 - EXTERIOR MASONRY
General Contractor Jordan External Contractor A
Project Officer Fay External REQMT-CM3 - SCA CM Firm 3
Senior Project Officer Noah SCA PM-CM-SPO
Chief Project Officer Donna SCA PM-CM-CPO

PROJECT INFORMATION
DETAILS
LIST DATES AND WOR...
ITEM DATES AND WOR...
COMMENTS
REFERENCES

You last logged in yesterday at 4:57 PM Eastern Time (US & Canada) 1.9.36.98 - DEVDIAGNOSTICS kahua

Please Confirm New Item

This will create a new deficiency item with the 'Locked' status. If you wish to edit or delete the item, you must click on the desired item and click the 'Unlock Deficiency Item' button.

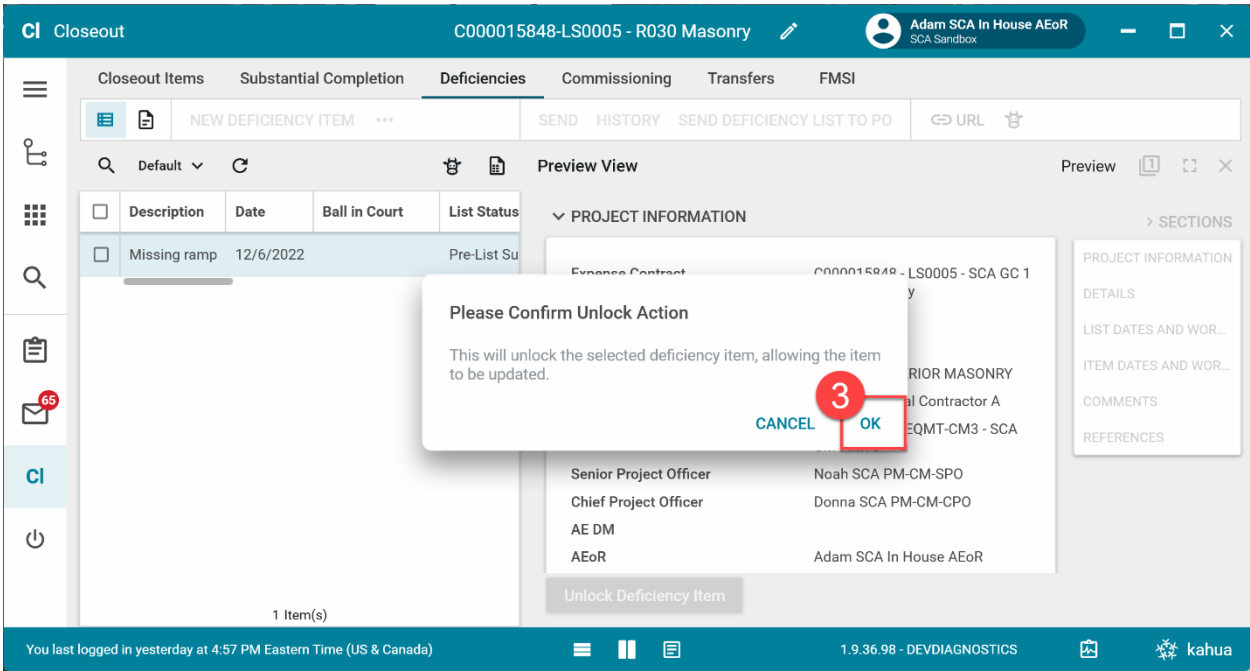
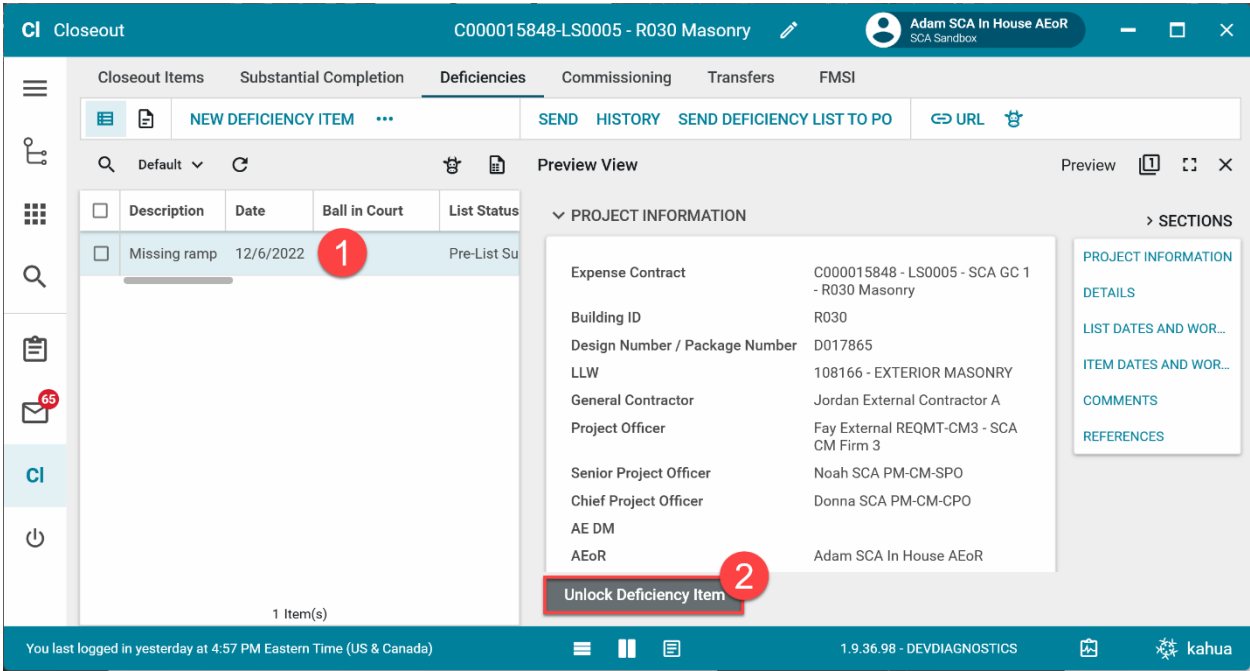
CANCEL OK

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'

The screenshot shows the 'Closeout' application interface. The top navigation bar includes tabs for 'Closeout Items', 'Substantial Completion', 'Deficiencies', 'Commissioning', 'Transfers', and 'FMSI'. The 'Deficiencies' tab is active. Below the navigation bar, there is a table with columns: 'Description', 'Date', 'Ball in Court', and 'List Status'. A single row is visible with the description 'Missing ramp', date '12/6/2022', and status 'Pre-List Su'. To the right of the table, there is a 'Preview View' section titled 'PROJECT INFORMATION' containing 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 red circle with the number 1 highlights the 'EDIT' button in the top navigation bar.

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

The screenshot shows the 'Closeout' application interface in 'Edit View'. The top navigation bar is the same as in the previous screenshot. The 'Deficiencies' tab is active. Below the navigation bar, there is a table with columns: 'Description', 'Date', 'Ball in Court', and 'List Status'. A single row is visible with the description 'Missing ramp', date '12/6/2022', and status 'Pre-List Su'. To the right of the table, there is an 'Edit View' section titled 'DETAILS' containing fields for 'Description' (Missing ramp) and 'Date' (12/6/2022). Below the 'DETAILS' section, there is a 'LIST DATES AND WORKFLOW' section containing a field for 'AEoR Submission Date'. A red circle with the number 1 highlights the 'DETAILS' section, and a red circle with the number 2 highlights the 'Save and Lock' button.

Please Confirm Lock Action

This will lock selected deficiency item and prevent editing.

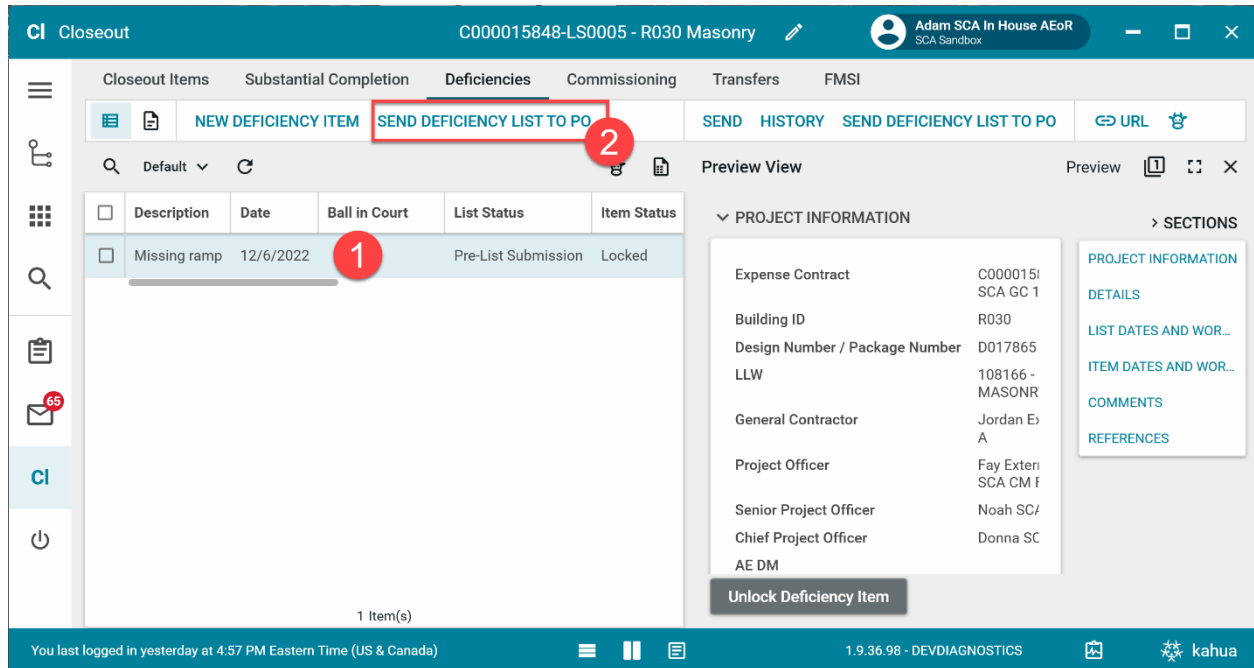
CANCEL OK

Submit Deficiency List

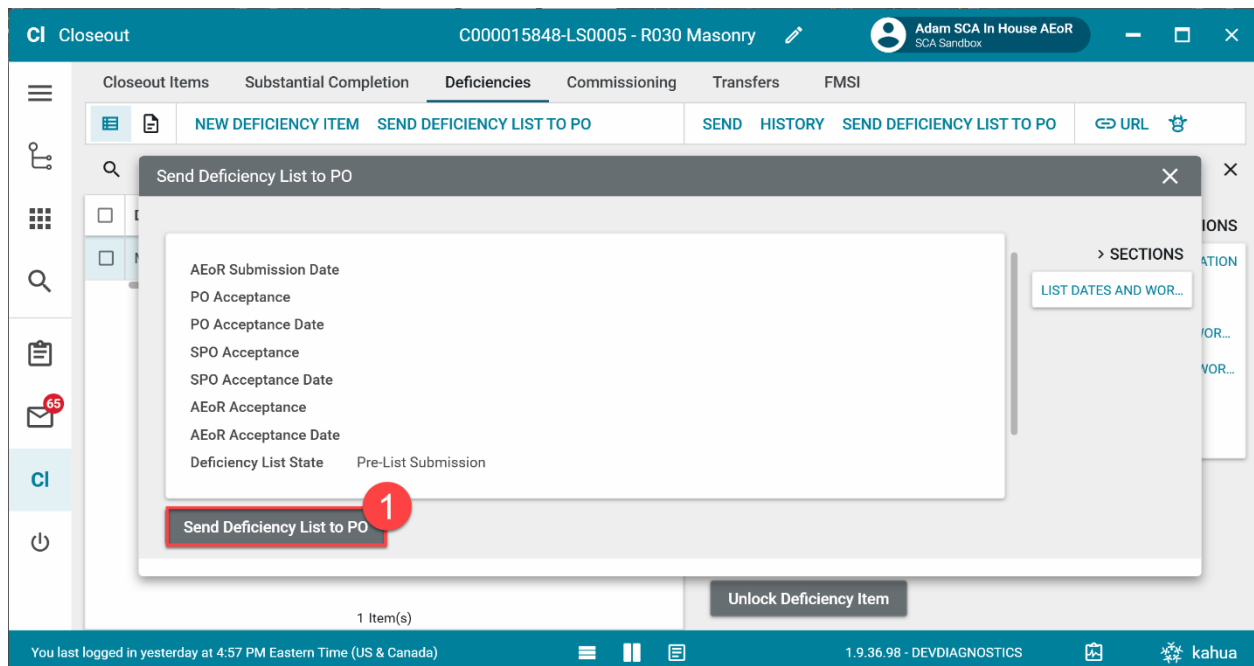
Role	Preceding Steps	Outcome
AEoR	→ All deficiency items have been created and locked. The list status is 'Pre-List Submission'. →	A message is sent to the PO to review the deficiency list.

Steps

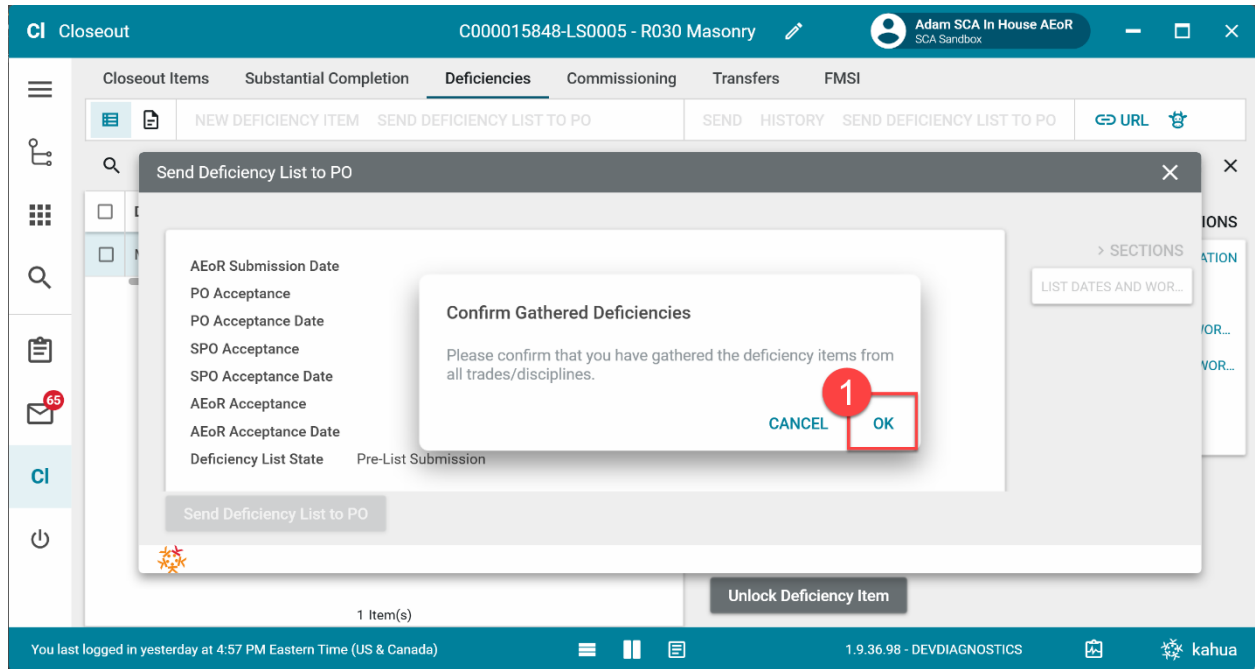
1. Select any deficiency item (**do not use checkbox**) > Click 'SEND DEFICIENCY LIST TO PO'



2. Click 'Send Deficiency List to PO'



- Click 'OK' to confirm that all items have been gathered

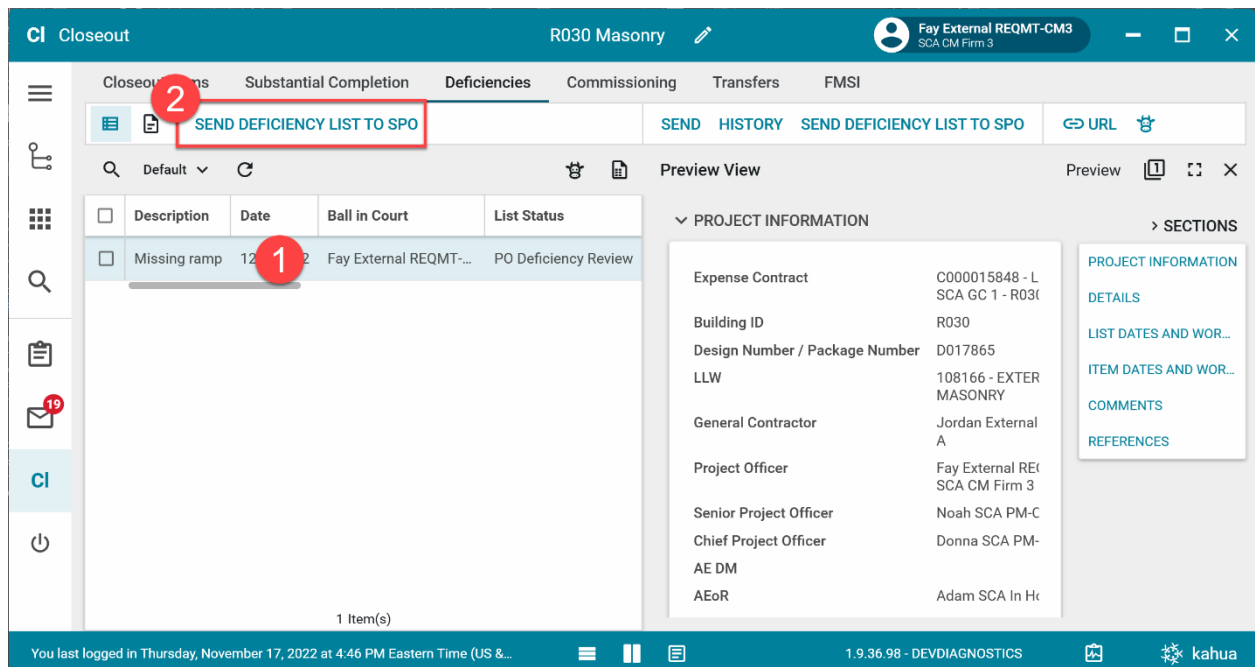


PO/CM Project Manager Review List

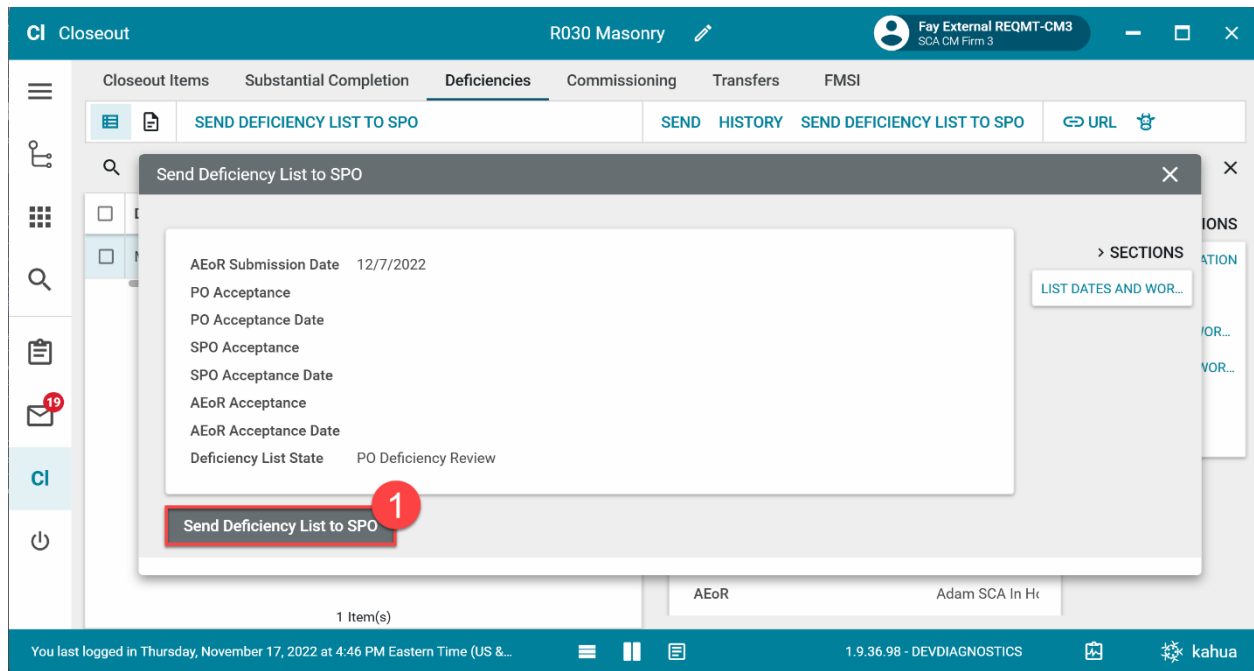
Role	Preceding Steps	Outcome
PO/CM Project Manager	<p>→ AEO has sent the list to the PO for review. List Status is 'PO Deficiency Review'.</p> <p>→</p>	A message is sent to the SPO to review the deficiency list.

Steps

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



2. Click 'Send Deficiency List to SPO'

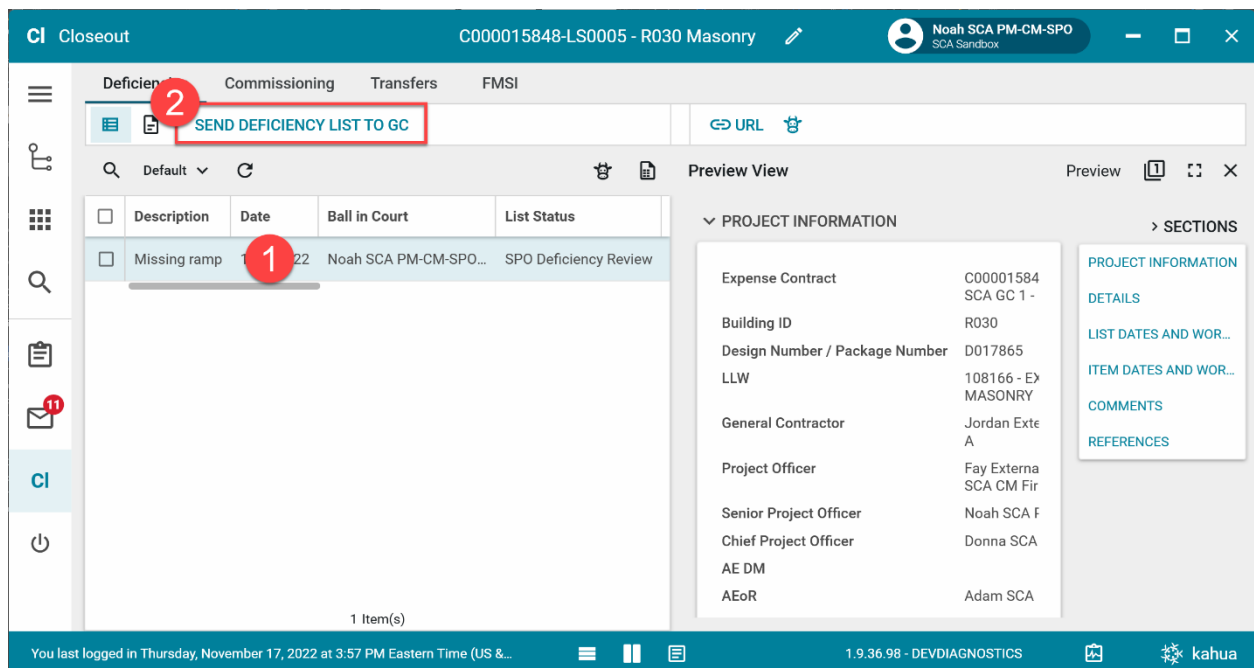


SPO Review List

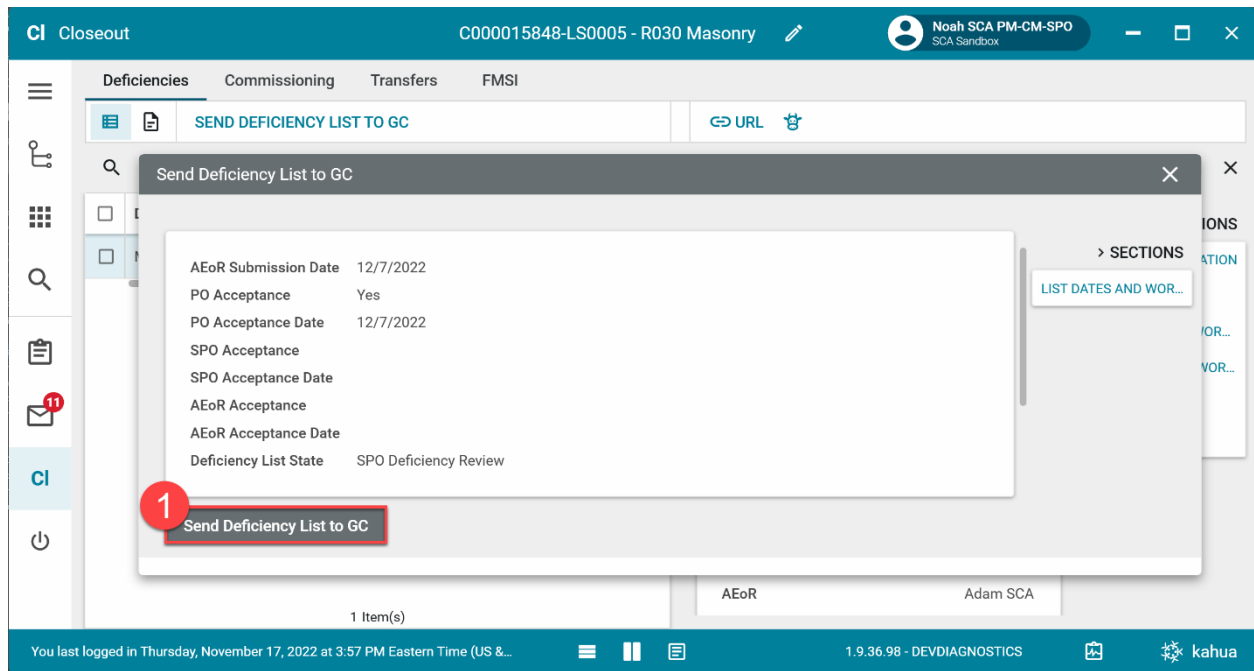
Role	Preceding Steps	Outcome
SPO	PO has sent the list to the SPO for review. List Status is 'SPO Deficiency Review'.	A message is sent to the GC to acknowledge the deficiency list.

Steps

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



2. Click 'Send Deficiency List to GC'

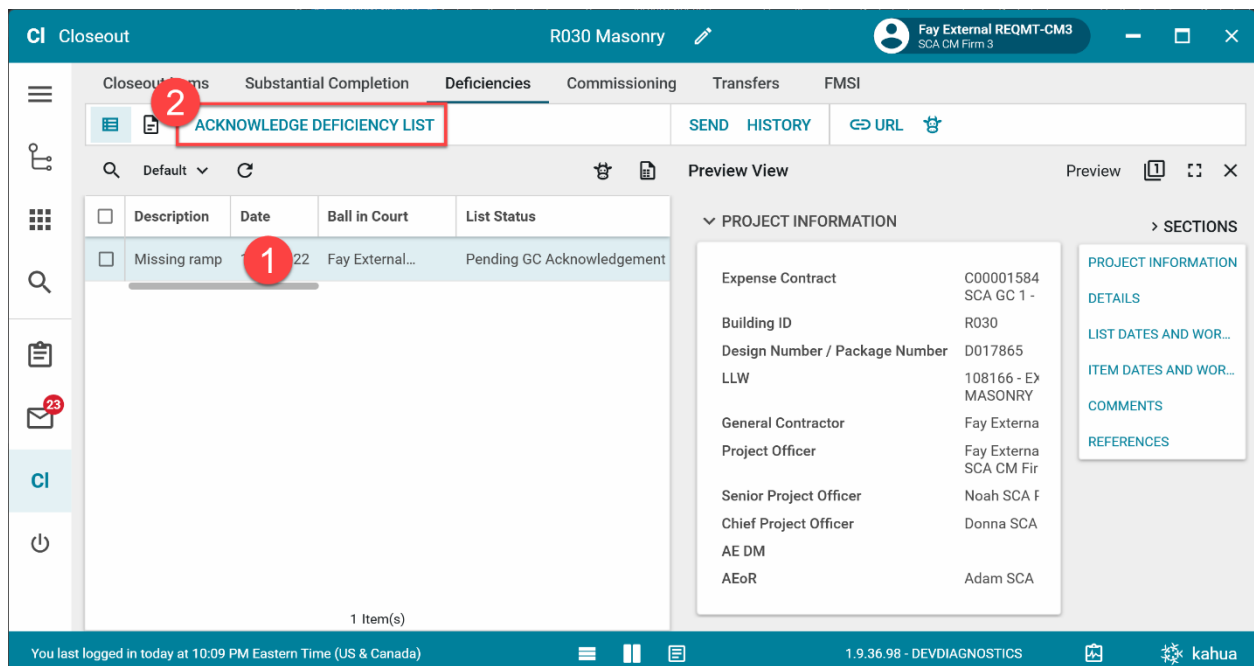


Acknowledge Deficiency List

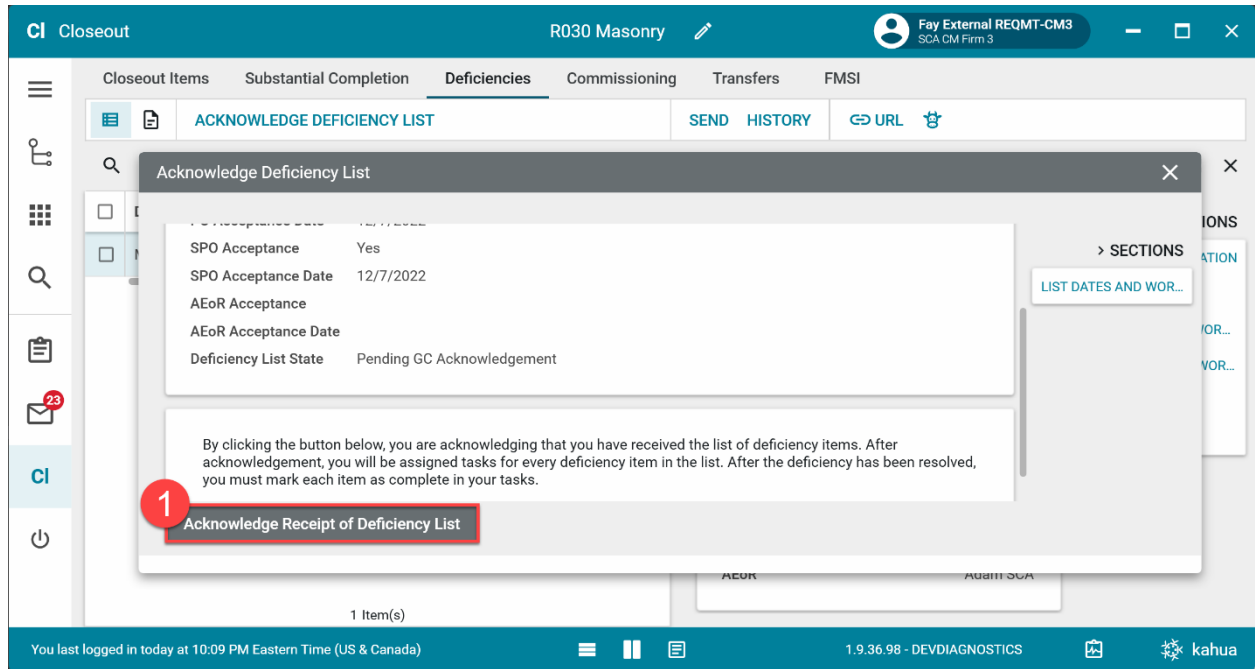
Role	Preceding Steps	Outcome
GC/CM Firm	→ The SPO has sent the list to the GC and the status is 'Pending GC Acknowledgement'.	→ The list is acknowledged and tasks are started to complete each item.

Steps

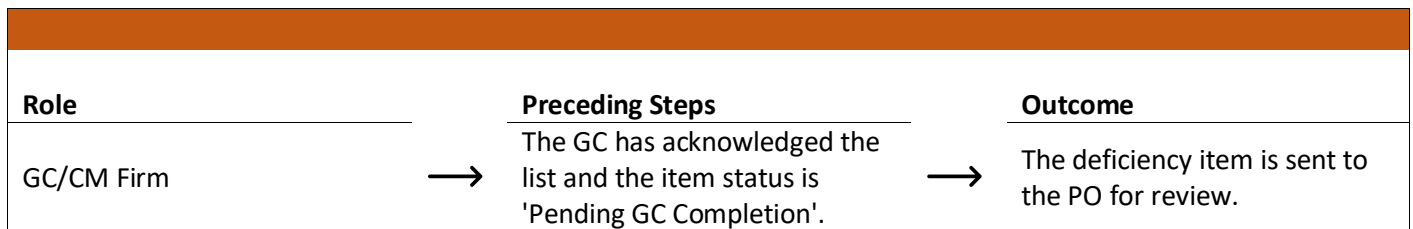
1. Select any deficiency item (**do not use checkbox**) > Click 'ACKNOWLEDGE DEFICIENCY LIST'



2. Click 'Acknowledge Receipt of Deficiency List'

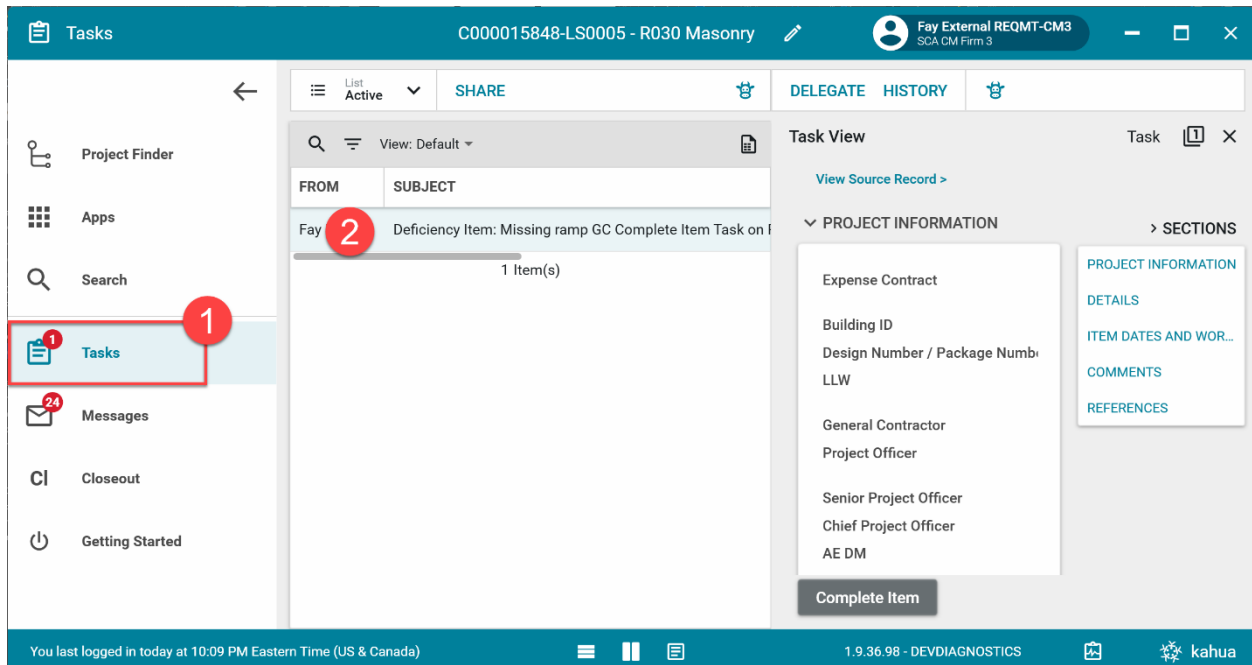


Complete Deficiency Item



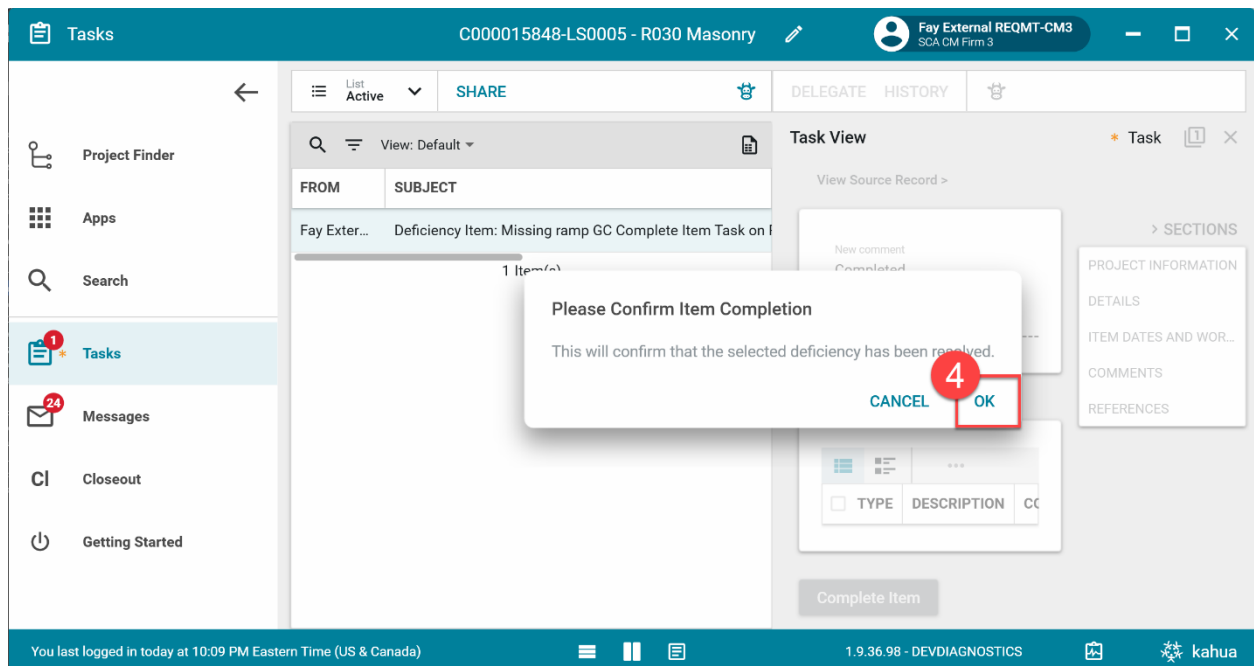
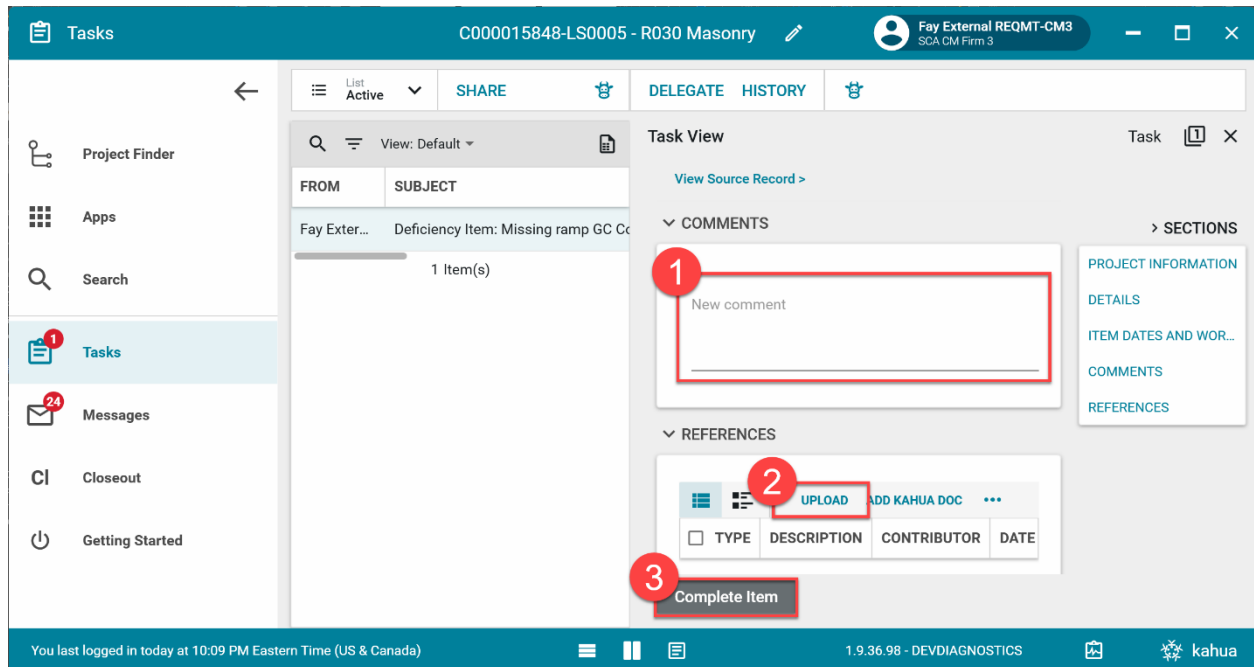
Steps

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.

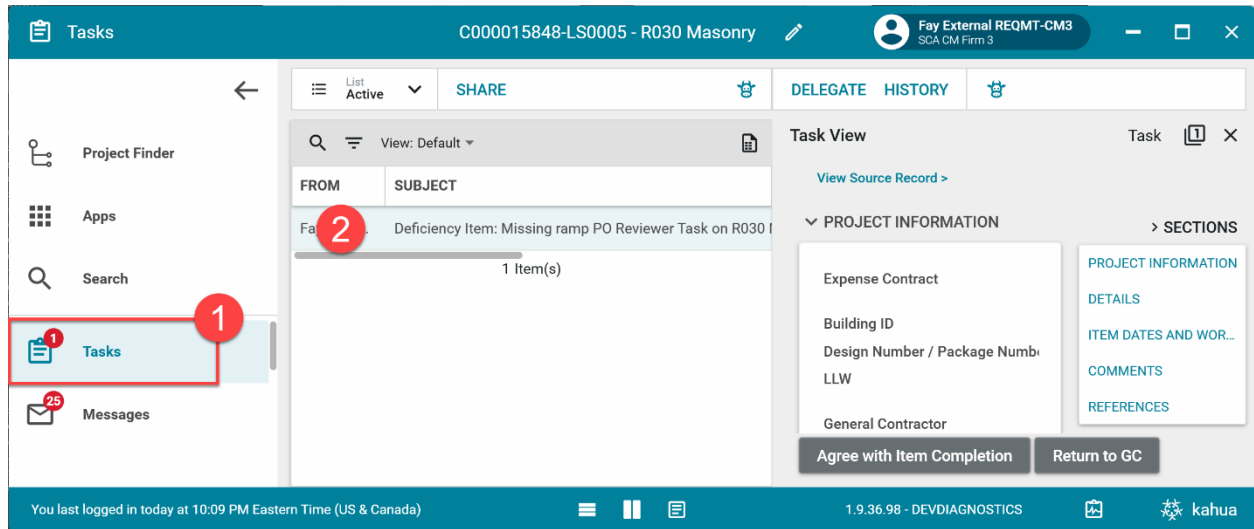


Agree with Item Completion

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 AEO receives a message to review the entire list.

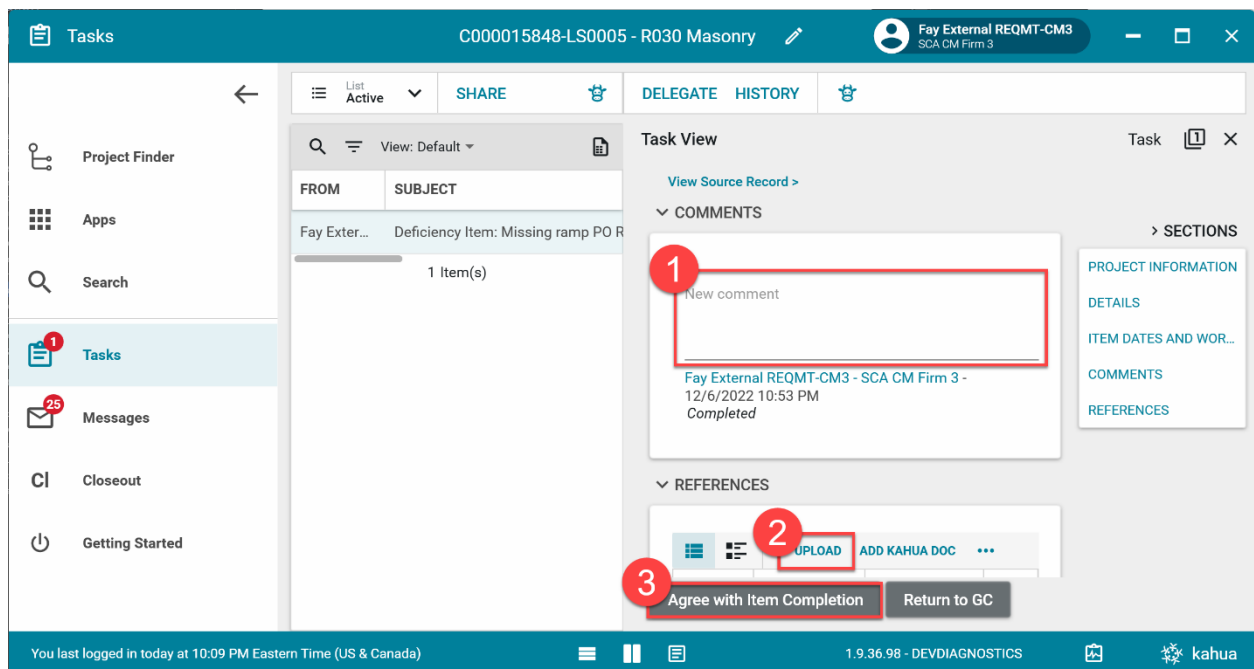
Steps

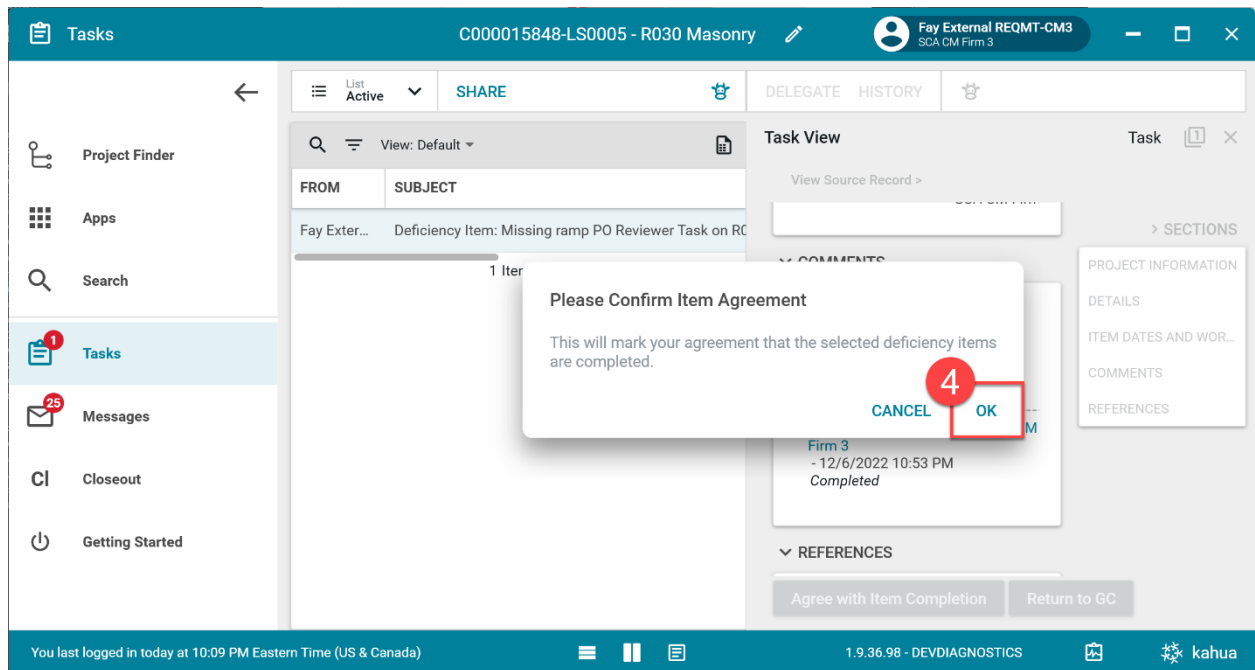
1. Go to Tasks > Select the desired deficiency task



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 AEO.



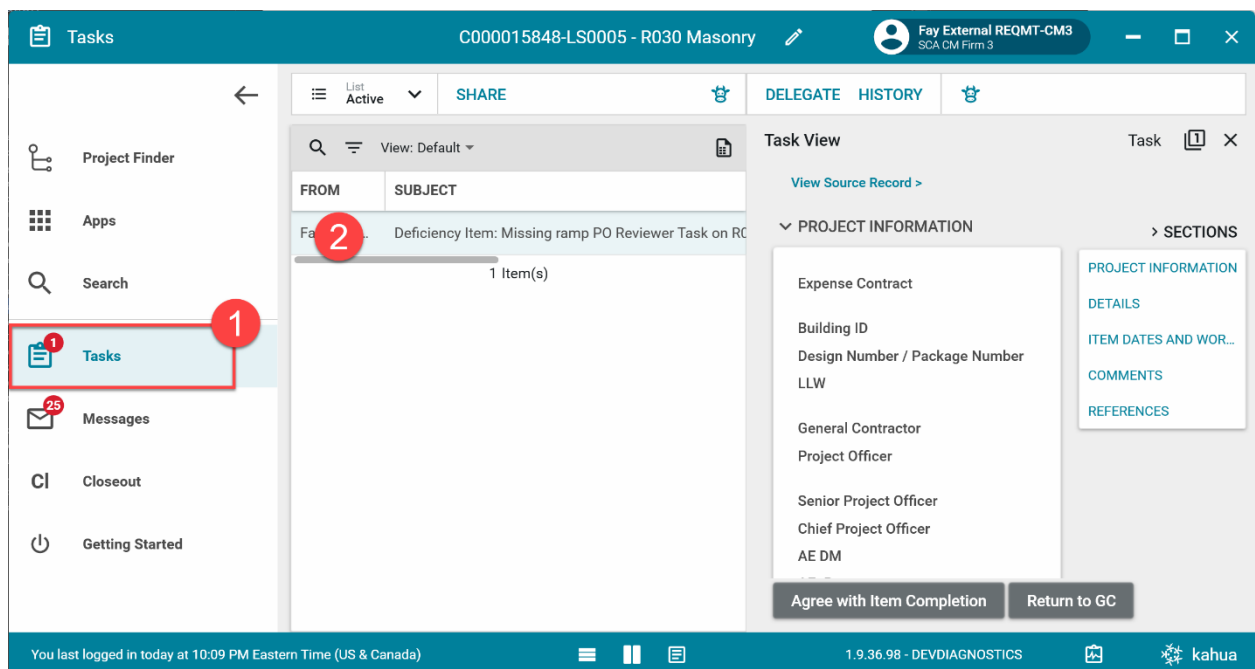


Return Item to GC

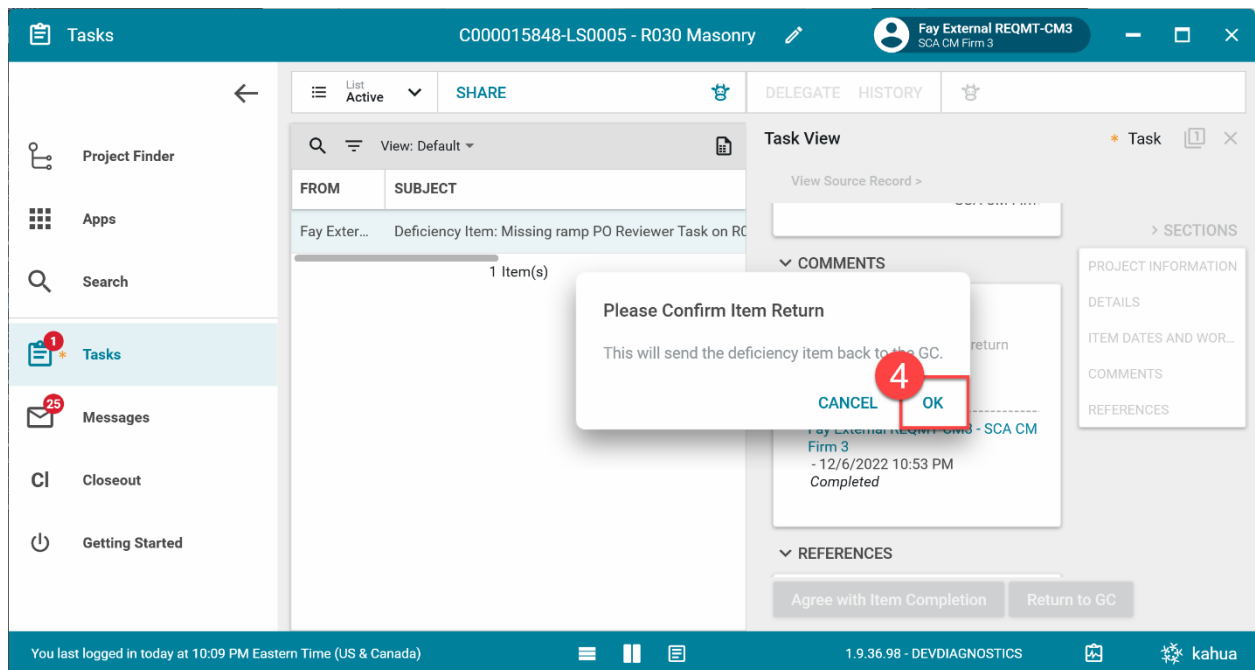
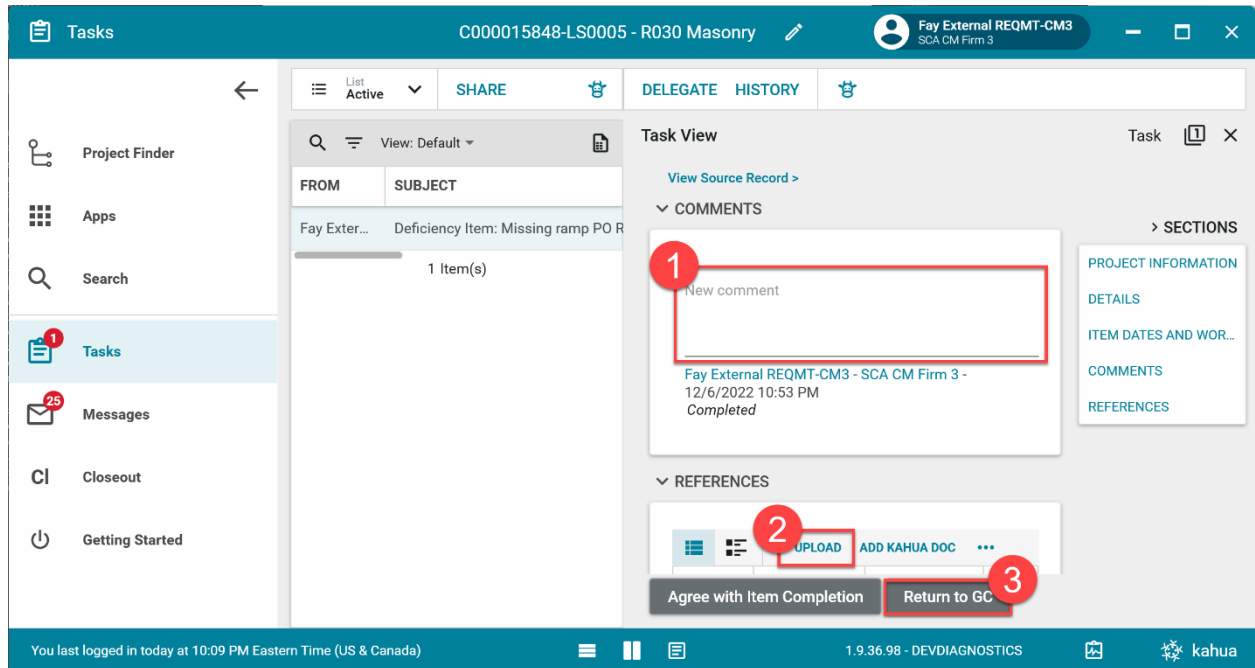
Role	Preceding Steps	Outcome
PO/CM Project Manager	→ GC has completed the deficiency item.	→ The PO enters a comment and returns the item to the GC. The GC will receive a task to complete the item.

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'

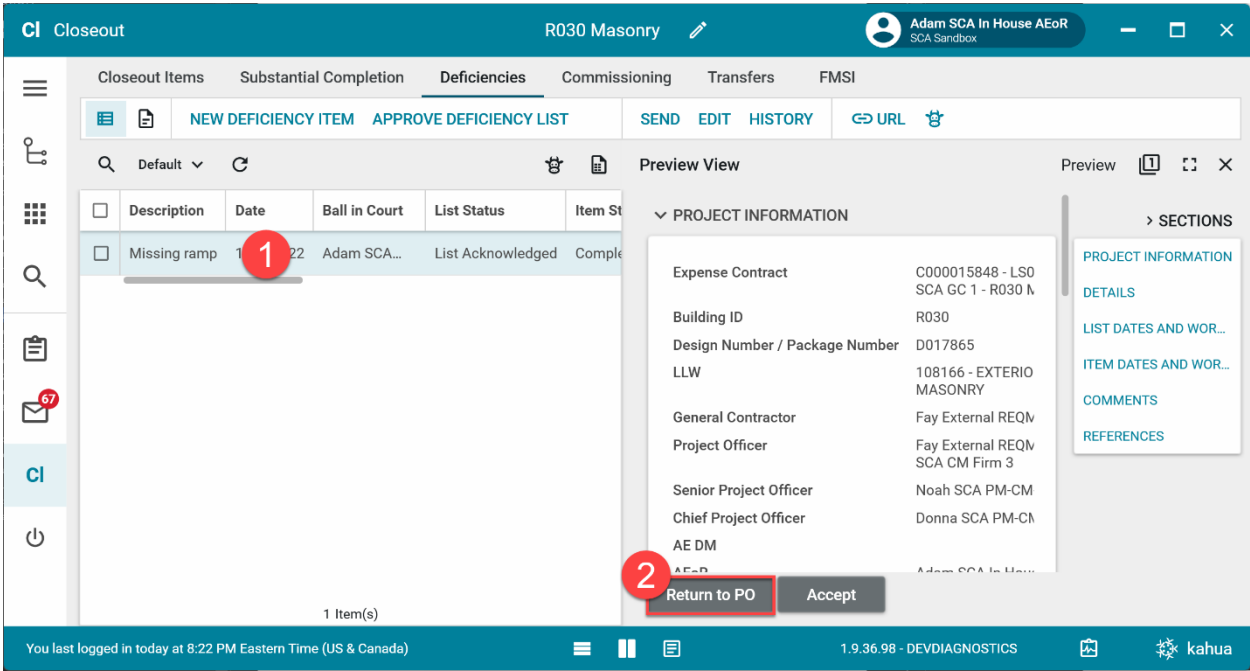


Return Completed Item to PO

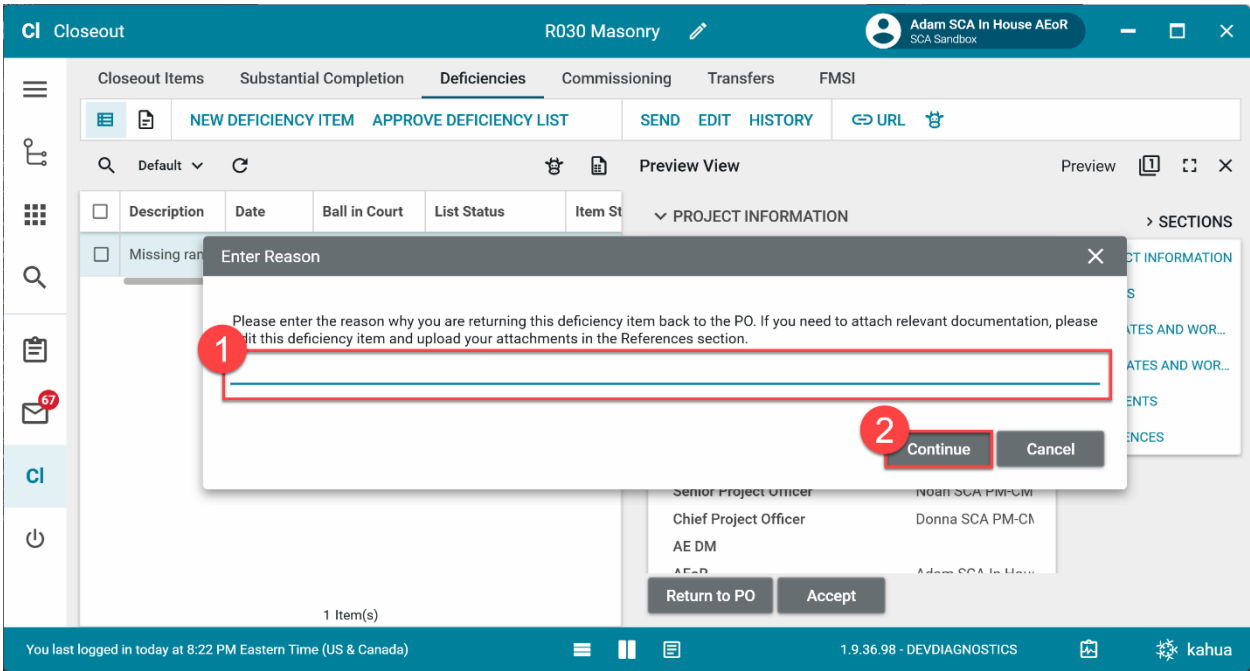
Role	Preceding Steps	Outcome
AEoR	The PO has marked the deficiency item as complete.	The deficiency item is returned to the PO.

Steps

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



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

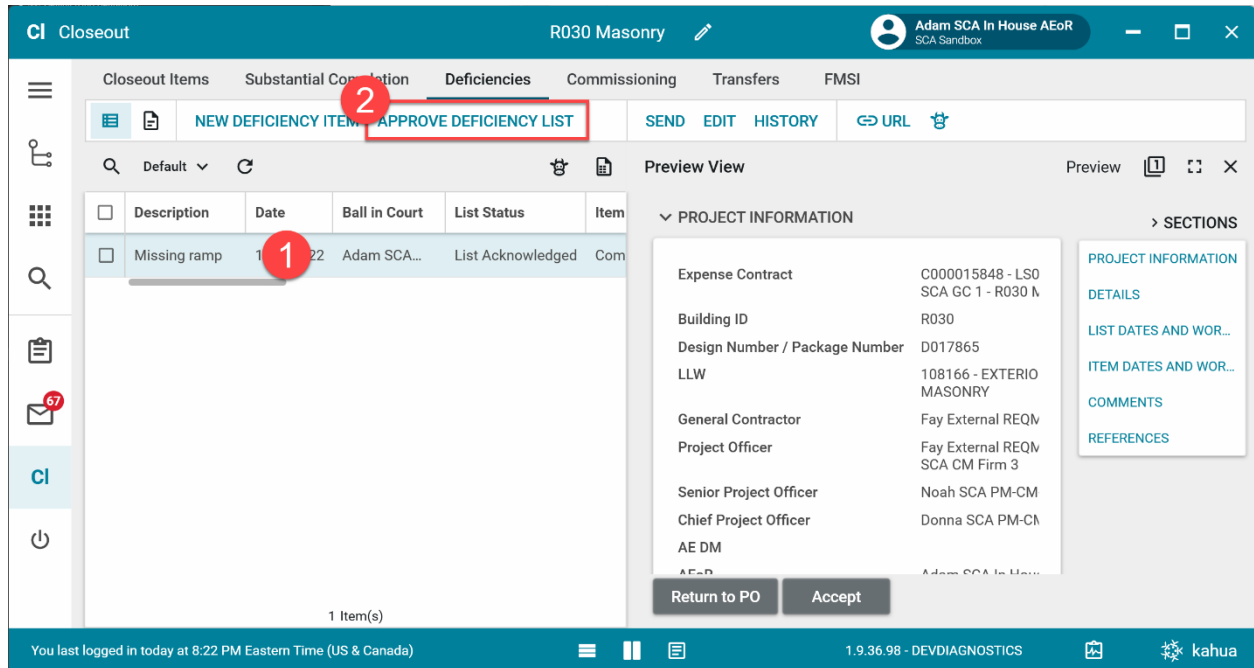


Approve Deficiency List

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'

