

## 2.4 Standard Forms for the Management of the Project

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**Note:** *italics indicate that the Forms are currently available from the Canadian Construction Documents Committee (CCDC); refer to Volume 3 of the Handbook.*

# Sample Forms for the Management of the Project

## Guide to the Use of the Forms

### Purpose of the Forms

The forms in this section of the Handbook are provided to assist the architect in managing a project. Standardized forms support effective record-keeping and other functions. As well, many of these forms are needed to fulfil contractual requirements.

**The Handbook does NOT duplicate forms which are available from the Canadian Construction Documents Committee (CCDC), such as those in CCDC 24, *A Guide to Model Forms and Support Documents (for use with CCDC 2)*.**

### Other Forms

This section of the Handbook provides only the basic forms used to manage most architectural projects. Other forms which may be required include:

- **Survey Requirements** (to be provided to land surveyors)
- **Index of Drawings/Sketches**
- **Index of Drawing Revisions**
- **Index of Sub-contractors**
- **Index of Minutes of Meetings**
- **Index of Field Review Reports**
- **Record of Committed Funds** (to track expenditures from a contingency fund)

## 1. Forms for General Communications

### 1.1 Memorandum

A memorandum, or memo, is used as a note when a letter or more formal correspondence is not appropriate. When distributed outside the architectural practice, the memo is usually initialed or signed at the bottom of the message or next to the name of the sender. The text should be clear, concise, and correct.

#### *Purpose*

A memorandum is used to:

- transfer, confirm, record, and file miscellaneous information both within and outside the office;
- act as a reminder of outstanding business or action required.

#### *Contents*

The memo contains the following information:

- recipient;
- sender;
- date;
- file or project name and number;
- title of the subject matter;
- body of text or information.

### 1.2 Minutes of Meeting

Minutes of Meetings are used to document meetings, including telephone calls or telephone conferences. This form is sometimes called a Meeting Report or Conference Report.

#### *Purpose*

The Minutes are a record of items discussed or agreed upon at meetings. This report should include the purpose of the meeting, a list of attendees, and an action column indicating the name of the individual or firm responsible for follow-up.

*Contents*

The Minutes may provide the following headings:

- project name and number;
- date;
- location;
- purpose of meeting;
- list of attendees;
- record of decisions;
- action(s) required.

**1.3 Transmittal**

A transmittal is a convenient form which records the routing of drawings, specifications, sketches, shop drawings, samples, product literature, and other documents which are transmitted electronically or by other means.

*Purpose*

The transmittal is used to:

- record and document the information transmitted;
- record the date of transmission;
- indicate the action expected upon receipt of the information;
- direct the routing and mode of delivery.

*Contents*

Transmittals contains the following:

- date;
- addressee or recipient;
- project name and number;
- method of transmittal;
- action required;
- itemized list of documents or information;
- remarks or additional notes pertaining to the information;
- names of recipients also receiving same items or information.

**1.4 Project Team Directory**

This is a complete list of the representatives of the various organizations involved in a project and their contact information.

*Purpose*

The directory provides a simple, accessible source of contact information for communication purposes.

*Contents*

The directory should include:

- name of firm or organization;
- name of individual;
- role and/or title of individual;
- address;
- telephone and fax number (usually business telephone, but sometimes emergency or home telephone numbers are important);
- cellular telephone number;
- E-mail address.

**2. Forms for the Bidding Phase of a Project**

For a general discussion of this phase of a project and for the application and use of these forms, refer also to Chapter 2.3.9, *Construction Procurement*.

**2.1 Bid Documents Distribution List**

It is important to track the distribution of documents when a project is “out for tender.”

*Purpose*

The list is used to:

- identify all bidders and other recipients;
- record deposits for documents;
- provide a distribution list for addenda;
- provide a checklist to secure the return of documents after bid closing.

*Contents*

The Bid Documents Distribution List should include the following information:

- project name and number;
- bid closing time and date;
- name, address, E-mail and telephone and fax numbers of all contractors (bidders and other recipients);
- number of sets of documents received;
- date of issue and date of return of sets of documents;
- deposits received and returned;
- number of addenda issued and date of issue.

## 2.2 Stipulated Price Contract Bid Form

Refer to Chapter 2.3.9, *Construction Procurement*, and to CCDC 23, *A Guide to Calling Bids and Awarding Construction Contracts*, for information on developing a bid form.

## 2.3 Addendum

All addenda must be carefully worded and distributed, as they will form part of the construction contract. Addenda may contain revised or additional drawings. They must be distributed to all bidders and others at the same time, in the same manner, and no later than four days prior to bid closing.

Refer to Chapter 2.3.9, *Construction Procurement*, and to CCDC 23, *A Guide to Calling Bids and Awarding Construction Contracts*, for more information on addenda.

### *Purpose*

Addenda are used to:

- provide additional information to be included in the bid documents;
- correct or clarify information in the bid documents;
- identify changes in the instructions to bidders (closing date, time, etc.).

### *Content*

The addendum should include the following information:

- project name and number;
- number and date of the addendum;
- a reference to the appropriate bid document (drawing, specification, instructions to bidders, etc.);
- a detailed description of the new information.

## 2.4 Contractor's Qualification Statement

Refer to *CCDC Document 11* for a sample form.

Refer to Chapter 2.3.9, *Construction Procurement*, and to CCDC 24, *A Guide to Model Forms and Support Documents*, for information on the use and application of this form.

## 2.5 Project Financial Information

Refer to CCDC 12, *Project Financial Information*, for a sample form.

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for information on the use and application of this form.

## 2.6 Summary of Bids

This form is both a record of bids and a tool for analyzing them.

### *Purpose*

The summary of bids:

- provides a list for easy comparison and analysis;
- identifies bids which are non-compliant ;
- is useful as a preliminary record during opening of bids.

### *Contents*

The form must contain the following:

- project name and number;
- bid closing time and date;
- list of contractors submitting bids;
- list of bid amounts;
- list of acceptable bid securities (bid bond, certified cheque, etc.);
- identification of non-compliant bids;
- list of alternatives or proposed substitutions;
- project completion time (if requested in bid documents).

## 2.7 Letter of Acceptance

Refer to Chapter 2.3.9, *Construction Procurement*, for information on the proper use of this letter. A Letter of Acceptance is normally issued by the client or owner; however, the architect may assist in its preparation.

### *Purpose*

The Letter of Acceptance:

- notifies a successful bidder of the award of contract;
- permits work to start immediately pending the preparation and execution of a formal contract.

*Contents*

The Letter of Acceptance may include:

- date;
- name and address of successful bidder (contractor);
- project name and number;
- date and amount of the bid;
- directions regarding commencement of the work;
- acceptance of alternatives;
- confirmation of the contract price;
- starting date of commencement of contract.

**2.8 Letter to Unsuccessful Bidders**

It is both professional and courteous to inform unsuccessful bidders in a timely manner of the award of a contract. The letter can be sent by the architect or the owner.

*Purpose*

The purpose of this Letter to Unsuccessful Bidders is to:

- notify all bidders of the status of the project;
- permit bidders to make necessary arrangements for bonding and bidding other projects;
- inform bidders of the actual amount of the successful contract.

*Contents*

The Letter to Unsuccessful Bidders may contain the following information:

- date;
- the name of the successful contractor;
- the contract amount with a brief explanation if this is different from the low bid (acceptance of alternatives, etc.);
- description of the method for returning bid documents and obtaining deposits on these documents;
- indication of the method for return of bid bonds or bid security, if necessary;
- a note of thanks for bidding on the project.

**3. Forms for Contract Administration****3.1 Field Review Report**

Field Review Reports form a log of observations and actions taken during the construction and post-construction stages of a project. These reports are often supplemented by audio recordings and photographic or video records.

Refer to Chapter 2.3.11, *Contract Administration — Field Functions*, for more information on the preparation of Field Review Reports.

*Purpose*

Field Review Reports are used to:

- record construction activities summarizing the status of the project at regular intervals
- communicate with and report to the client, authorities, and the contractor on the status of a project;
- manage information;
- assist in processing the contractor's applications for payment and the preparation of Certificates for Payment;
- create a project history to assist in providing documentation and findings regarding possible future claims.

*Content*

All Field Review Reports should contain the following information:

- project name and number;
- location of project;
- number of the Field Review Report;
- date of visit;
- name of general contractor;
- weather conditions;
- general observations, including stage of construction;
- description of work in progress;
- action required;
- name and title of person performing the review;
- names of organizations and representatives who will receive the report;
- list of attachments;
- comment on previous reports' "action required";
- method of transmission.

### 3.2 Supplemental Instructions

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

Refer to Chapter 2.3.10, *Contract Administration — Office Functions*, of this Handbook, for information on the use of the Supplemental Instruction Form.

### 3.3 Proposed Change

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

Refer to Chapter 2.3.10, *Contract Administration — Office Functions*, of this Handbook, for information on the use and application of this form.

### 3.4 Change Order

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

Refer to Chapter 2.3.10, *Contract Administration — Office Functions*, of this Handbook, for information on the use and application of this form.

### 3.5 Combined Proposed Change and Change Order

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

### 3.6 Change Directive

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

Refer to Chapter 2.3.10, *Contract Administration — Office Functions*, of this Handbook, for information on the use and application of this form.

### 3.7 Summary of Changes

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

### 3.8 Notice

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

### 3.9 Warranty Notice

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

### 3.10 Product Warranty Notice

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

## 4. Forms for Certification

### 4.1 Certificate for Payment

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

Refer to Chapter 2.3.10, *Contract Administration — Office Functions*, for information on the use and application of this form.

### 4.2 Certificate of Substantial Performance

The requirement for a Certificate of Substantial Performance and the type of form varies in each province and territory and is based on the relevant construction lien legislation. The architect should confirm which form is suitable in the province or territory in which the project is undertaken. The applicable lien legislation may prescribe the form to be used for the certification of substantial performance.

Refer to Chapter 2.3.12, *Take-over Procedures, Commissioning, and Post-occupancy Evaluations* for additional information on substantial performance.

### 4.3 Statutory Declaration Forms

Refer to CCDC 9A, 9B, and 9C for sample forms.

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for information on the use and application of these forms.

#### 4.4 Application for Payment

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

Refer to Chapter 2.3.10, *Contract Administration — Office Functions*, for information on the use and application of this form.

#### 4.5 Schedule of Values and Work Performed

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for the purpose of this form, a guide to its use, and a sample form.

Refer to Chapter 2.3.10, *Contract Administration — Office Functions*, for information on the use and application of this form.

#### 4.6 Letters of Assurance

A Letter of Assurance is a requirement in some jurisdictions including the provinces of British Columbia, Alberta and Nova Scotia. All architects practising in these jurisdictions should refer to the appropriate guides regarding Letters of Assurance in the local building codes and in bulletins from provincial association of architects.

Generally speaking, Letters of Assurance must be signed, sealed, and dated by registered architects who are practising (principals) in architectural firms or who hold Certificates of Practice in designated engineering firms.

##### *Purpose*

The Letters of Assurance are used to provide certification to Authorities Having Jurisdiction at two milestones:

- application for building permit;
- intention to occupy the building.

##### *Content*

Always use the standard form of the Letter of Assurance Assurance from the appropriate jurisdiction for the place of the work. For example, in British Columbia refer to the latest edition of the *British Columbia Building Code* or the Vancouver Building Bylaw equivalent for sample letters.



## 5. Other Forms for Project Management

The architect can use many forms to assist in the management of a project.

### 5.1 Index of Supplemental Instructions

Refer to CCDC 24, *A Guide to Model Forms and Support Documents*, for a typical Supplemental Instruction Form.

When numerous supplemental instructions are issued to clarify or interpret the contract documents, a reference list is needed to track all instructions issued.

### Content

On an Index of Supplemental Instructions, provide the following information:

- project name and number;
- numbers of the Supplemental Instructions (in chronological order);
- descriptive title for each instruction;
- representative who initiated the instruction;
- date of issue of the Supplemental Instruction;
- indication of whether or not a Change Order was required.

### 5.2 Drawing Notations

The following common notations applied to drawings indicate the stage of development of a design or construction document. In addition, the notation indicates a restriction or clarification for the document's use.

**PRELIMINARY**

**ISSUED FOR BID**

**SUPERSEDED**

**ADDENDUM NO.:** \_\_\_\_\_

**NOT FOR CONSTRUCTION**

**DRAFT**

**CONTRACT COPY**

**CHANGE ORDER NO.:** \_\_\_\_\_

**RECORDED DRAWINGS**

**SITE INSTRUCTION NO.:** \_\_\_\_\_

### 5.3 Shop Drawing Review Letters

The review of shop drawings and the use of the appropriate cover letter and the application of notations to the shop drawings have significant implications regarding professional liability and legal responsibility. Refer to Chapter 2.3.10, *Contract Administration — Office Functions*, for the use and application of the shop drawing cover letters and notations.

The following wording is suggested for a shop drawing stamp:

Logo or Name of Architectural Practice

  

<b>Reviewed</b>	( )
<b>Reviewed as noted</b>	( )
<b>Revise and resubmit</b>	( )
<b>Not reviewed</b>	( )

  

**Date:** \_\_\_\_\_

**Reviewed by:** \_\_\_\_\_

**This review is for the sole purpose of ascertaining conformance with the general design. This review does not relieve the Contractor of the responsibility for errors or omissions in the shop drawings or of the responsibility to meet all requirements of the contract documents. The Contractor shall confirm all dimensions and coordinate all construction and the work of all sub-trades.**

\_\_\_\_\_

The following are other possibilities for cover letters:

1. For shop drawings which are not required:

**This submission is not required under the contract documents and is being returned with no action taken by the Architect.**

\_\_\_\_\_

2. For shop drawings with engineering content only:

*[Note: clarify in the cover letter that shop drawings have **not** been reviewed by the architect.]*

**Date Received:** \_\_\_\_\_

**File or Project No.:** \_\_\_\_\_

**Routing:** \_\_\_\_\_

**Action:** \_\_\_\_\_

3. For shop drawings to be reviewed only by the architect:

<b>Reviewed</b>	( )
<b>Reviewed as noted</b>	( )
<b>Revise and resubmit</b>	( )
<b>Not reviewed</b>	( )

  

**Date:** \_\_\_\_\_

**Reviewed by:** \_\_\_\_\_

**This review by *[insert name of practice]* is for the sole purpose of ascertaining conformance with the general design concept. This review shall not mean that *[insert name of practice]* approves the detailed design inherent in the shop drawings, responsibility for which shall remain with the Contractor submitting same, and such review shall not relieve the Contractor of the responsibility for errors or omissions in the shop drawings or of the responsibility for meeting all requirements of the contract documents. The Contractor is responsible for dimensions to be confirmed and correlated at the job site, for information that pertains solely to fabrication processes or to techniques of construction and installation, and for coordination of the work of all trades.**

\_\_\_\_\_

4. For shop drawings with engineering elements which must also be reviewed by the architect:

Reviewed	( )
Reviewed as noted	( )
Revise and resubmit	( )
Not reviewed	( )
Date: _____	
Reviewed by: _____	
<p>This review by <i>[insert name of practice]</i> is for the sole purpose of ascertaining conformance with the general design concept for architectural features only, and does not in any way constitute review of the design of engineering elements which form part of the contract documents prepared by others. This review shall not mean that <i>[insert name of practice]</i> approves the detailed design inherent in the shop drawings, responsibility for which shall remain with the Contractor submitting same, and such review shall not relieve the Contractor of the responsibility for errors or omissions in the shop drawings or of the responsibility for meeting all requirements of the contract documents. The Contractor is responsible for dimensions to be confirmed and correlated at the job site, for information that pertains solely to fabrication processes or to techniques of construction and installation, and for coordination of the work of all trades. Refer also to Form ____, a sample cover letter regarding shop drawing review.</p>	

Refer also to Form 3.1c, a sample cover letter regarding shop drawing review.

#### 5.4 Log of Shop Drawings and Samples

It is important to ensure the timely review and tracking of all shop drawings and samples, both within the architect's office and by consultants. This log assists in the efficient management and distribution of shop drawings and samples.

Items within the log of shop drawings and samples may be listed or filed using the MasterFormat™ system. A copy of the log should be filed with the project's shop drawings.

##### *Purpose*

The shop drawings and samples log:

- provides a list of all required shop drawings and samples;
- identifies shop drawings and samples required but not yet received;
- determines the status of the review and distribution of shop drawings as well as approval of samples;
- provides a checklist for the preparation and review of a manual during "take-over."

##### *Content*

The shop drawings and samples log may contain the following:

- title of the drawing;
- drawing number;
- date of preparation;
- MasterFormat™ number for the product or system;
- company or trade responsible for preparing the drawing;
- date received;
- name of consultant to whom the drawing or sample was referred for review;
- date of referral;
- date that the shop drawing or sample is returned;
- date that the shop drawing is forwarded to the general contractor;
- status of the shop drawing or sample (e.g., reviewed, reviewed as noted, or resubmit).