

**UAB FACILITIES
STANDARD OFFICE INSTRUCTIONS**

**PROCEDURES FOR THE PREPARATION AND APPROVAL
CONSTRUCTION CHANGE AUTHORIZATION (CCA)**

PURPOSE:

The purpose of the Construction Change Authorization (CCA) is to give direction to the Contractors to perform Work not in the original scope as defined in contract documents. There are three (3) entities that can request a CCA; the Architect, Contractor and Owner. A fully executed CCA must be incorporated into a Change Order in order to change the contract sum, scope, or time.

PROCEDURES:

1.0 CCA Initiation:

The Architect, Owner, or Contractor initiates a CCA when there is a need for a change in the Work or when there is a need for the Owner or Architect to give additional direction to the Contractor to perform Work.

2.0 Architect Preparation:

2.1 The Architect initiates the preparation of the CCA utilizing the standard UAB **CCA form (+CCAform.pdf)**.

2.2 The Architect reviews and approves (by signature on CCA) all available supporting backup information. The CCA and supporting backup information are sent to UAB Financial Management – Facilities. CCA's can be faxed if necessary.

3.0 Financial Management Preparation:

Upon receipt of the CCA (with supporting backup) Financial Management will process as follows:

3.1 Date stamp at the bottom of CCA and transmittal form; verify against previous CCA's for duplicate submittal with similar description and cost; verify that all formatted information is correct and signed by the Architect. (If faxed, make sure the fax is clean and legible.) If CCA is a duplicate, print copy of duplicate CCA and forward directly to Project Manager. If duplicate, processing will stop at this point.

3.2 Log into database: Assign CCA number; fill in description, date received, date routed to Field Project Manager, number of days for time extension, dollar amount of CCA; indicate CCA type (Lump Sum, Time and Material, or Unit Cost).

- 3.3 Print route form. (***Inside the Facilities Database.***) (Over contingency message prints on form.)
 - 3.4 If rejected by Financial Management, notify Project Manager before returning CCA to Architect. Rejection process continues unless Project Manager intervenes.
 - 3.5 If approved, staple route form on top of transmittal form and CCA and route in pink folder to Project Coordinator. An additional route slip is placed on front of the bid document folder (pink folder).
- 4.0 Project Management Services Processing:
- 4.1 Upon receipt of the CCA from Financial Management, the Department of Project Management Services (DPMS) Project Coordinator will verify all backup for correctness and confirm that justifications are valid.
 - 4.1.1 If Coordinator approves CCA, he/she will initial coversheet and route to the DPMS Project Manager (PM).
 - 4.1.2 If Project Coordinator rejects, he/she shall confer with the PM before returning to Architect. All notations for rejection shall be described and transmitted with CCA.
 - 4.2 DPMS Project Manager Ensures:
 - 4.2.1 The Architect properly completed the CCA, and that CCA description and cost are acceptable.
 - 4.2.2 The PM verifies backup from contractor per contract requirements.
 - 4.2.3 The PM verifies that there is adequate contingency. If there is not adequate contingency, PM provides revised PFSR.
 - 4.2.4 If CCA is complete the PM will sign CCA, initial route slip, and route to the Office Assistant I (OAI). (PM has signature authority for all CCA's under Five Thousand Dollars [\$5000] and under five (5) day time extension. If greater than \$5000 or time extension is greater than five (5) days, the PM will initial and send to Director of Project Management Services for final signature approval.)
 - 4.2.5 If the PM rejects the CCA, PM will confer with Project Coordinator. All notations for rejection shall be described and transmitted with CCA.

5.0 Director of Project Management Services Review:

Upon receipt of the CCA from the DPMS Project Manager, the Director will:

- 5.1 Review the CCA for appropriate signatures.
- 5.2 Check for adequate contingency.
- 5.3 If approved by Director, he will sign CCA, **CCA Transmittal (+ccatrnsm.pdf)**, then initial route form and send to OAI.
- 5.4 If rejected by Director, the Director will review with Project Manager and redirect as required.

6.0 CCA Final Processing:

Upon receipt of the CCA from the Project Manager or Director the OAI will:

- 6.1 Logout the CCA in the database system. This is done by inputting the date the PM and/or Director signed, date it was approved, date returned to the Architect, and date it was sent to Central File.
- 6.2 The OAI will then fax to architect (CCA only); copy of CCA is attached to backup and sent to Central File; original is mailed to Architect (CCA only).

7.0 CCA Incorporation into Change Order:

Upon receipt of CCA, the Architect will then incorporate into Change Order.

(END OF PROCEDURE)