SECTION 697 - FIELD CHANGE ORDER

General Requirements
The Field Change Order (FCO) provides a contract contingency allowance for the timely payment of authorized work that is necessary to fulfill the intent of the plans and specifications. The payments for eligible work will be paid with progress payments from the Dollars-Cents quantity of Field Change Order Item. Prior to processing the final agreement, the FCO payments will be reconciled through a final order-on-contract, such that the quantity of FCO payments are converted to the corresponding quantities of the pertinent contract pay items. When payments are transferred to the appropriate items, all quantities of FCO payments will be deleted.

Eligible Work
Field Change Order Item payments shall be limited to work that is:

! Within the scope of the contract.
  * i.e. Bridge repair items of work would be outside the scope of a landscaping contract.

! A quantity variation of existing contract pay items.
  * i.e. more accurate field measurements indicate that additional quantities of T&L was required to achieve planned grades.

! A new contract pay item introduced as a result of omissions from the contract.
  * i.e. the plans require a specific item, however, the proposal did not contain a bid quantity for this item.

! A new contract pay item introduced as a result of minor field adjustments in the details of the project. * i.e. unforeseen utility conflicts require minor rerouting of the planned drainage, which would require introducing a new catch basin item, as well as increased pipe quantities.

All eligible items of work must also:

! have a known unit price either through bid price or agreed price, determined in accordance with §109-05 A, Contract Item Charges or § 109-05 B.1., New Item Charges, Agreed Prices.
  Note that significant increases in major items of work or doubling of quantities for any other item of work will require that unit prices be reviewed and either affirmed or revised.

! be authorized in conformance with written procedures of § 104-03 of MURK Part 1A.

Disputed work, force account work, or work associated with Value Engineering Change Proposals are not eligible for FCO payment, and must be processed through an order-on-contract.

FCO Payment Documentation
The EIC shall develop and maintain a system to document and track actions taken regarding FCO payments. Such actions would include, but not be limited to:

! Authorization to perform the work (if required - see Murk 1A § 104-03.)
! Identification and review of work item quantities and unit prices that will be used to compute the FCO payment.
! Summary of FCO payments made.

Preparation of the Field Change Order
Once the need for extra work is identified and the authorization to perform the work is obtained, the Field Change Order can be prepared. The Field Change Order contains the Field Change Order
Sheet, explanations for the added work (prepared in accordance with MURK 1A, § 109-05 B), and supporting bid/agreed price information.

- Review quantities and unit bid prices of the required additional work. Note that significant increases in major items of work or doubling of quantities for any other item of work will require that unit bid prices be reviewed and either accepted or renegotiated with the Contractor (see MURK 1A, § 109-05 III. D.). Agreed prices for new items of work or renegotiated contract bid items will be established in accordance with MURK 1A, § 109-05 III. E.

- FCO payments will be computed as the quantities of added or altered work multiplied by the unit bid price or agreed price for that work. The total sum of these values equals the dollars-cents quantity of FCO payment for Item 697.02. The work item quantities and prices, and the FCO payments will be summarized on the CEES Field Change Order Sheet. The following CEES Field Change Order Sheet information will be completed similarly to the CONR -7 for orders-on-contracts unless noted otherwise (see MURK 1A, § 109-05 III. A.):

  REGION NUMBER
  COUNTY
  NYS PROJECT IDENTIFICATION NO.
  CONTRACTOR’S NAME
  COMPTROLLER CONTRACT NO.
  FEDERAL AID PROJECT NO.
  FIELD CHANGE ORDER NO.; Enter the Field Change Order Number. Field Change Orders will have their own sequence and will not be sequential with Order-on-Contract numbers.

  DESCRIPTION OF WORK
  RELATED NYSDOT SPEC. ITEM. NO.
  PRIOR APPROVED QUANTITY
  UNIT OF MEASURE
  UNIT PRICE
  CHANGE IN QUANTITY
  INCREASE IN FUNDS; The increase in funds resulting from the product of UNIT PRICE multiplied by the CHANGE IN QUANTITY.
  TOTAL INCREASE IN FUNDS; The summation of all INCREASE IN FUNDS of all items in the FCO. This total will also represent the change in quantity for the FCO item.

Additional guidance on completing the Field Change Order Sheet can be found in the CEES User’s Manual.

Processing the Field Change Order
- The EIC will assemble the FCO to include the original Field Change Order Sheet and the required supporting documentation. The EIC signs the Field Change Order Sheet, makes a copy of the FCO for the field office, and sends the original FCO to the Regional Construction Office.

- The Regional Construction Office reviews the FCO for completeness and accuracy and approves the FCO by signature of the Regional Construction Engineer. The original plus one copy of the Field Change Order will then be sent to the Construction Division.

- The Construction Division will spot check the FCO and review the supporting data. Approval of the FCO is indicated by signature of the Director, Construction Division. The approved original Field Change Order will then be returned to the Regional Construction Office.

- Once the field office receives notification of the approved FCO, progress payments from the FCO item may be initiated. A copy of the approved Field Change Order Sheet must accompany
payment estimates that contain a FCO item quantity.

**Payment Reconciliation**
At the completion of the project, but prior to submitting the final estimate, all FCO payments will be transferred to the appropriate contract work items and their appropriate fiscal share by a final reconciliation order-on-contract. The reconciliation, or final “clean-up” order-on-contract, will include all quantity over-runs of existing contract items and new items of work that were previously paid under Item 697.02. It will also include the deletion of Item 697.02.

FCO payments shall not exceed the Dollars-Cents bid quantity. If sufficient quantity of Item 697.02 is not available to pay the total quantity of an added item of work, then pay the work item up to the available FCO quantity and submit the remaining quantity of work item in an order-on-contract (note: good tracking and documentation of FCO actions is especially important in these situations).