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Information Exchange

**THE ASSOCIATED GENERAL CONTRACTORS OF AMERICA
NATIONAL INSTITUTE OF BUILDING SCIENCES**

agcXML

**SUPPLEMENTAL INSTRUCTION
USE CASE**

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The agcXML Project

The Associated General Contractors of America

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agcXML Use Case: Distribute Supplemental Instructions

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1. Name

Distribute Supplemental Instructions

2. About This Use Case

This use case addresses the distribution of instructions that supplement an existing construction contract, where no changes to the overall contract sum or contract time is involved.

3. Desired Outcomes

The outcome of this use case is the formal notification and issuance of a Supplemental Instruction that formally modifies the terms of a contract for construction and becomes part of the construction contract documents without modifying the contract sum or contract time.

4. Summary Classifications

4.1. Type of transaction

Notify a general contractor of a Supplemental Instruction to a construction contract.

4.2. Stage of project

Any stage during the execution of a contract for construction.

4.3. Disciplines

Supplemental Instructions are typically issued by the architect or other prime design professional (the sender) to the general contractor or construction manager, (the receiver) and may be related to the work of any subcontract associated with the project. The Supplemental Instruction may also be distributed to parties other than the principal actors to the transaction for their information only, including but not necessarily limited to the owner, the contractor's subcontractors, and the architect's design consultants. The receiver typically controls distribution to subcontractors, while the sender typically controls distribution to design consultants. The sender optionally may distribute the notification directly to the receiver's field office.

4.4. Data content

The content set includes ID reference to the project, the contract for construction, the parties to the contract, and contract date; a unique Supplemental Instruction number and date; the brief narrative description of the Instruction; a list of attachments that support the description; and the authorized signature and printed name and title of the sender.

5. Purpose

5.1. Description of the business processes (context)

During the execution of a construction contract, situations may arise where additional instructions are needed in order to clarify or supplement the information contained in the original contract documents. Supplemental Instructions are typically issued in response to an informal question or formal request for information made by a general contractor, construction manager, or subcontractor. The prime design professional may also initiate a Supplemental Instruction without prior inquiry from any other party. Informal and undocumented communication processes are beyond the scope of this use case and the agcXML project.

A Supplemental Instruction is an amendment to, and becomes a part of, the original contract documents. Supplemental instructions formally modify the contract terms and provide notice to proceed with the work where no change in the contract sum or time is involved. It is part of the permanent project record and is typically logged by both the sender and receiver. The transaction may, but does not require, acknowledgment of receipt by the receiver.

If a change to the contract sum or contract time is anticipated, the change order process should be initiated instead.

5.2. Purpose of the transaction

This transaction provides for the formal issuance by the prime design professional (the sender) to the general contractor or construction manager (the receiver) of supplemental instructions that do not affect the contract sum or contract time, with additional optional distribution for information only to other project team members such as design consultants and the owner.

6. Actors and Roles

The transaction will have a sender and a receiver. Typically, the sender is an architect or other prime design professional, and the receiver is a general contractor or construction manager.

7. Preconditions and Start point

A contract for construction must previously exist between an owner and a general contractor or construction manager. That agreement must authorize an architect or

other prime design professional to act in an official capacity as the owner's representative with authority to amend or initiate the amendment of the Owner/Contractor Agreement in accordance with defined transactions such as Construction Change Directives, Change Orders, or Supplemental Instructions.

One of any number of formal or informal actions may have led to the identification of the need for supplemental instructions.

The architect or prime design professional has gathered the necessary information and has prepared a formal Supplemental Instruction for transmission to the receiver and (optionally) for distribution to other parties.

8. End point

The transaction is complete once the Supplemental Instruction has been received. Optionally, the transaction may terminate only upon transmission of acknowledgment of receipt by the receiver to the sender.

9. Measurable Result

Receipt of a Supplemental Instruction constitutes a formal notice of a change to the terms of the contract. The receiver typically signifies acceptance of the Supplemental Instruction by proceeding with the work.

The transaction should be able to be electronically entered into any project management system that logs contract documents and tracks contract sums and time.

10. Flow of Events/Activity Descriptions

The sender prepares the Supplemental Instruction and sends it to the receiver. The sender may optionally distribute the Supplemental Instruction to other parties for their information.

The receiver signifies acceptance of the Supplemental Instruction by proceeding with the work. Optionally, the receiver acknowledges receipt of the Supplemental Instruction by reply to the sender.

This use case follows the "Information Distribution" transaction pattern: An information provider sends data to a receiver, who then sends an acknowledgement to the sender.

11. Alternative Flow of Events

If a receiver does not accept the proposed change (e.g., if a contractor believes that the instruction impacts the contract sum or time), the receiver should notify the sender of its rejection of the instruction and initiate a change order request.

12. Use Case Relationships: Inclusion and Extension

This use case references an associated Owner/Contractor Agreement or similar contract for construction.

This use case extends the Generic Information/Document Distribution use case.

This use case could arise as a result of a Request for Information transaction, and may result in a Change Order transaction.

13. Controls

The Supplemental Instruction constitutes a formal change to the terms of the contract, and it should have all appropriate transaction controls (security, non-repudiation, etc.).

14. Data

The supplemental instruction transaction references the project, the associated agreement, and the parties to the contract.

It contains a unique document reference (Supplemental Instruction number) and date.

It contains a description of the Supplemental Instruction.

It may include attachments (e.g., drawings).

The transaction should provide for optional references to objects in a BIM model associated with this instruction.

It contains the authorization and identifying information of the sender.

15. Outstanding Issues

The informal communication/business process that precedes a Supplemental Instruction transaction is undocumented and beyond the scope of this use case and the agcXML Project. The Supplemental Instruction serves as a formal instrument for compiling and documenting the information resulting from that informal process. However, there is no assurance that all of the information created in the undocumented process is documented in the Supplemental Instruction.

The business process should be modified to require acknowledgment of receipt of a Supplemental Instruction by the receiver in order for the transaction to be considered complete.

There is no standard business process or practice for a sender to issue a Supplemental Instruction in response to a Request for Information, and to link the two transactions for issue tracking.

There is no standard business process or practice for a receiver to reject a Supplemental Instruction, initiate a change order transaction, and link the two transactions for issue tracking.