

Construction & Facilities
Department
Policies & Procedures
Manual

Adopted by Board of Education
October 9, 2018

CONSTRUCTION & FACILITIES DEPARTMENT
POLICIES AND PROCEDURES MANUAL
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Beverly Hills
Unified School District

Construction and Facilities Policies & Procedures
Developed by TCDS, Inc

Section 1

Adopted by the BHUSD Board of Education oOctober 9, 2018

Section 1

Introduction

INTRODUCTION

The voters of the Beverly Hills Unified School District (the “District”) authorized Measure E General Obligation Bonds in the amount of \$334 Million on November 4, 2008. Funds received from the sale of bonds are to be used to provide safe and modernized school facilities; make structural seismic safety repairs; upgrade, repair and reconstruct aging classrooms, infrastructure, multi-use gyms, libraries, science and technology labs, roofing, plumbing, heating, ventilation and electrical systems; and protect students and staff from unauthorized entry, security risks and natural disasters.

As of the writing of this manual, June, 2018, Combined Revenue from Measure E, which includes interest, was \$341,931,931. Most of the major projects the Board of Education (BOE) has approved to be funded by Measure E have been designed and the plans have been approved by the Division of the State Architect (DSA) or are under review by DSA.

The Master Plan presented to the BOE on February 27, 2018, is included in Section IV, Program Definition/Project List. That master plan identifies projects funded by Measure E and projects that will require funds in addition to Measure E to complete. The voters approved Measure BH on June 5, 2018, for \$385 Million, to continue to implement the Master Plan.

Because of the maturity of the bond program, this manual will emphasize the construction phase of the bond program to provide a guide that will ensure all projects comply with applicable laws, regulations and codes. This manual is a living document and will be reviewed annually and updated periodically, no less than once every three years, to reflect implementation of the current Master Plan and changes over time.¹

The BOE has contracted with Team Concept Development Services, Inc., (TCDS) to act as owner’s representative (Bond Manager) for all aspects of the bond program, including, but not limited to, planning, design, engineering, and construction and program management. Implementation of the Master Plan requires assistance from District departments, particularly, Accounting, Purchasing, Maintenance and Operations, and Instructional Technology.

BOE policies that are the foundation for the capital facilities program are accessible through the District’s website, www.bhusd.org, Board Policies, Gamut online.

¹ Performance Audit 2016-17, Observation 6, Improvement Recommendation

Section 2

Statement of Ethical Values

STATEMENT OF ETHICAL VALUES¹

We are committed to:

Integrity. We will conduct ourselves with integrity in our dealings with and on behalf of the BHUSD.

Excellence. We will conscientiously strive for excellence in our work.

Accountability. We will be accountable as individuals and as members of this community for our ethical conduct and for compliance with applicable laws and BHUSD policies and directives.

This policy is to be distributed to District Facilities and Planning, M&O and IT staff, as well as Bond Management staff.

¹ Performance Audit Observation 10 Improvement Recommendation

Section 3

Facilities Master Plan¹ Program Definition & Project List

¹ Performance Audit 2016-17, Observation 8 Improvement Recommendation

Beverly Hills Unified School District Facilities Master Plan February 27, 2018



Horace Mann



El Rodeo



Beverly Hills
High School



Hawthorne



Beverly Vista



February 27, 2018

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- Beverly Hills High School
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- Projected Revenue
- Measure E and New Funding Summary

Beverly Hills High School

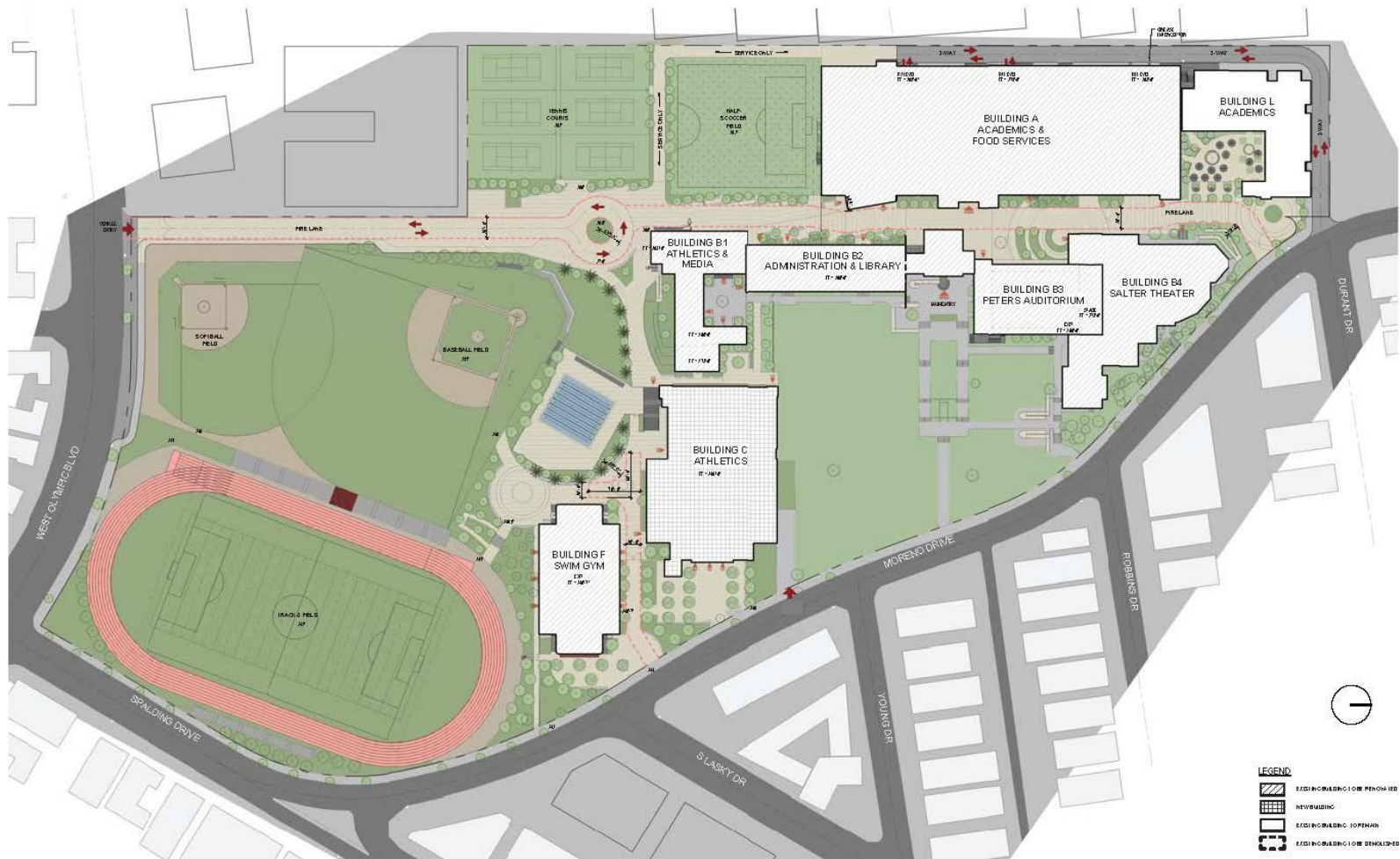
Funded by Measure E

■ B1/B2 Modernization

- Approved by DSA
- Addendum 1 Floor Plan Revision
- Construction start April 2018
- Duration 30 months



Beverly Hills High School



Beverly Hills High School

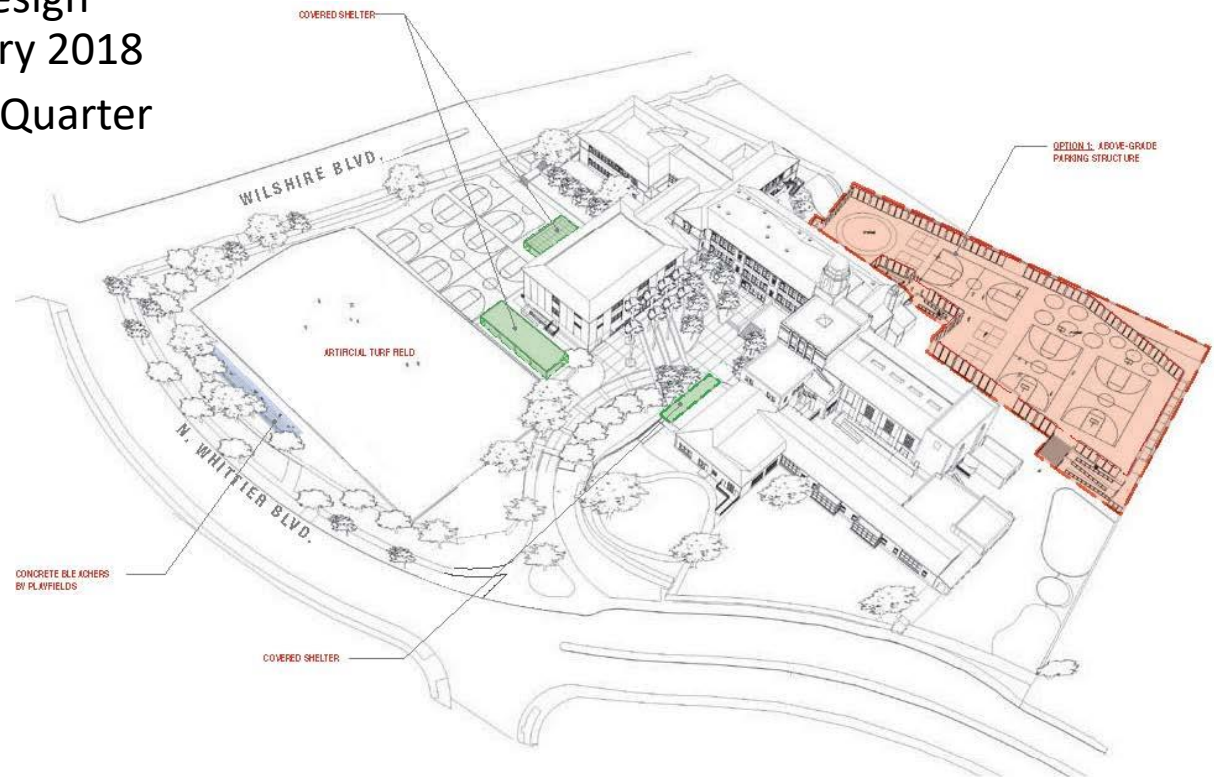
Future Funding

- Buildings B3/B4
 - Submitted to DSA November 2017
 - Project Approval 4th Quarter 2018
- Building C/Aquatic Center
 - Submitted to DSA June 2015
 - Review on hold per DSA
- Site Improvements
 - North ½ of Campus
 - Approved by DSA December 2015
- Sports Fields
 - Conceptual Design in Development
- Parking Project Design
 - Conceptual Design in Development
- Building A
 - Design Revision on Hold

El Rodeo School

Funded by Measure E

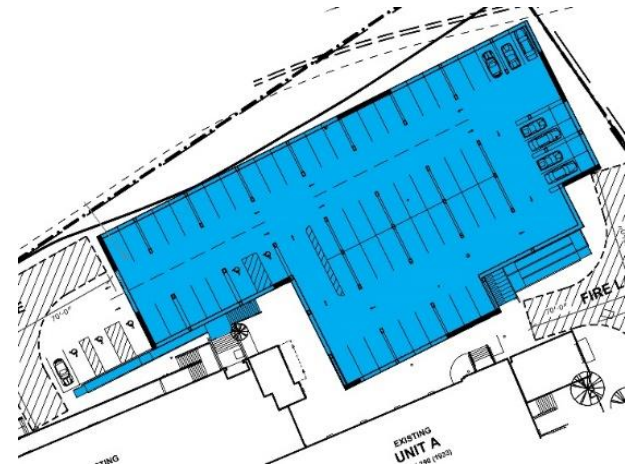
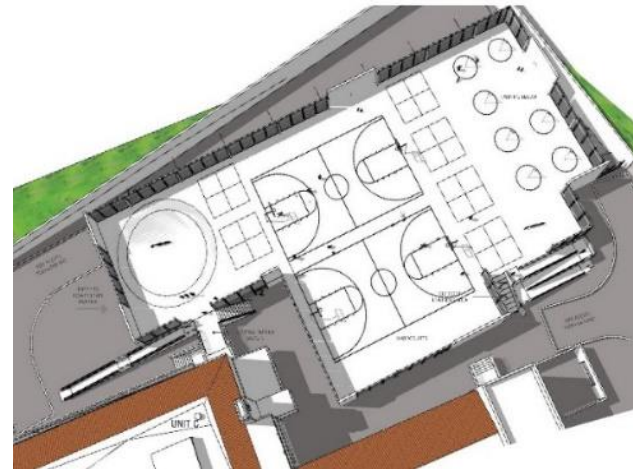
- Buildings A,B,C & D
 - Submitted to DSA March 2016
 - Voluntary Seismic Design Resubmitted February 2018
 - Project Approval 4th Quarter 2018



El Rodeo School

Future Funding

- Building E
 - Submitted to DSA March 2016
 - Project Approval 4th Quarter 2018
- Site Improvements
 - Submitted to DSA March 2016
 - Project Approval 4th Quarter 2018
- Elevated Playfield with Parking Below
 - Design Development Complete
 - Construction Documents Pending Authorization to Proceed

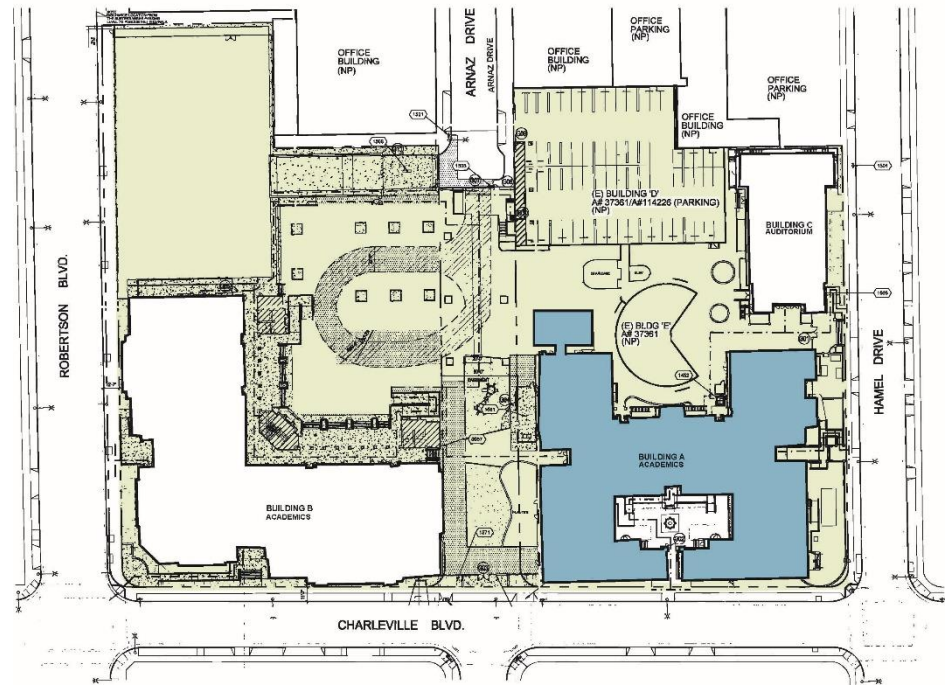


Horace Mann School

Funded by Measure E

- Building B – Construction Complete
 - Occupied
- Building A – Construction Complete
 - Partially Occupied
 - Scheduled for Full Occupancy August 2018
- Site Improvements
 - Drawings Approved by DSA
 - Final Construction Scope Under Review
 - Construction Start June 2018

- Building B Sports Floor
 - Summer 2018



Horace Mann School

Future Funding

- Additional Scopes Under Review
 - Chiller Replacement
 - Building A Roof



Hawthorne School

Future Funding

- Auditorium
 - DSA Back Check Comments Received
 - Back Check Resubmission on Hold
- Campus Modernization
 - Design on Hold



Beverly Vista School

Future Funding

- Beverly Vista School
 - ADA Drop-off
 - ✓ Approved by DSA June 2017
 - ✓ Project Schedule for Summer 2018
 - Miscellaneous Site Improvements
 - ✓ Approved by DSA June 2017
 - ✓ Construction Pending Budget Analysis



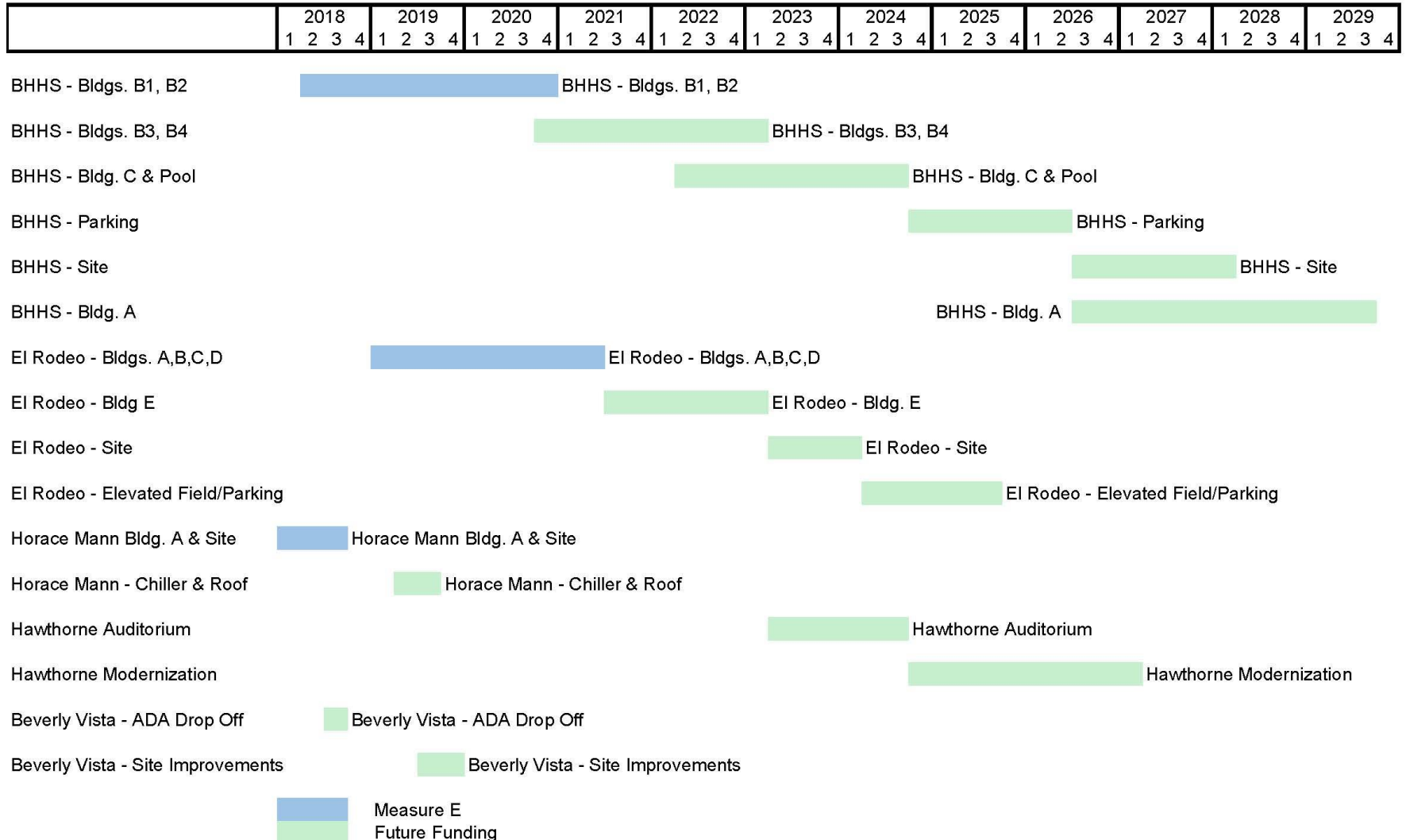
Other Projects

Future Funding

- Beverly Hills High School Oil Well
 - Compliance with City Ordinance
 - Decommission 19 Wells
 - Construction Commencement March 2018
 - Duration 270 Days
- M&O Facility Relocation
 - Site Location To Be Determined
- Beverly Hills High School Interim Housing
 - Projected Removal 2022 3rd Quarter
- El Rodeo Interim Housing
 - Projected Removal 2021 3rd Quarter



Facilities Master Plan Schedule



Beverly Hills High School – Cost Analysis

Measure E

BHHS - Bldgs. B1, B2

| | | |
|-------------|----|---------------|
| Hard Cost* | \$ | 50,000,000 |
| Soft Costs | \$ | 7,500,000 |
| FF&E / I.T. | \$ | 4,350,000 |
| | | <hr/> |
| | | \$ 61,850,000 |



** Hard Costs include inflation thru midpoint of proposed date of construction*

Beverly Hills High School – Cost Analysis

Future Funding

| | | | | |
|---------------------|-------------|----|------------|---------------|
| BHHS -Bldgs. B3, B4 | Hard Cost* | \$ | 46,000,000 | |
| | Soft Costs | \$ | 9,200,000 | |
| | FF&E / I.T. | \$ | 4,002,000 | |
| | | | | \$ 59,202,000 |

| | | | | |
|---------------------------------|-------------|----|---------|------------|
| BHHS - Interim Housing Lease | Hard Cost* | \$ | 749,394 | |
| | Soft Costs | \$ | 44,964 | |
| | FF&E / I.T. | \$ | 22,482 | |
| | | | | \$ 816,839 |

| | | | | |
|----------------------|-------------|----|------------|---------------|
| BHHS- Bldg. C & Pool | Hard Cost* | \$ | 60,480,000 | |
| | Soft Costs | \$ | 9,100,000 | |
| | FF&E / I.T. | \$ | 5,261,760 | |
| | | | | \$ 74,841,760 |

| | | | | |
|-------------|-------------|----|------------|---------------|
| BHHS - Site | Hard Cost* | \$ | 52,000,000 | |
| | Soft Costs | \$ | 6,240,000 | |
| | FF&E / I.T. | \$ | 5,000,000 | |
| | | | | \$ 63,240,000 |

| | | | | |
|----------------|-------------|----|------------|---------------|
| BHHS - Parking | Hard Cost* | \$ | 77,760,000 | |
| | Soft Costs | \$ | 7,776,000 | |
| | FF&E / I.T. | | | |
| | | | | \$ 85,536,000 |

| | | | | |
|---------------|-------------|----|------------|----------------|
| BHHS - Bldg A | Hard Cost* | \$ | 98,200,000 | |
| | Soft Costs | \$ | 14,730,000 | |
| | FF&E / I.T. | \$ | 8,543,400 | |
| | | | | \$ 121,473,400 |

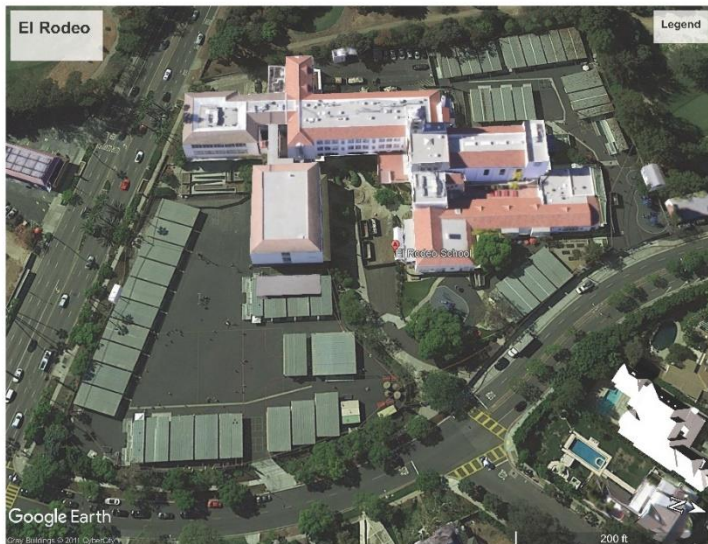
| | | | | |
|---------------------------|-------------|----|-----------|--------------|
| M & O Facility Relocation | Hard Cost* | \$ | 3,500,000 | |
| | Soft Costs | \$ | 525,000 | |
| | FF&E / I.T. | \$ | 262,500 | |
| | | | | \$ 4,287,500 |

* Hard Costs include inflation thru midpoint of proposed date of construction

El Rodeo School – Cost Analysis

Measure E

| | | | |
|---------------------------|-------------|---------------|---------------|
| El Rodeo - Bldgs. A,B,C,D | Hard Cost* | \$ 65,000,000 | |
| | Soft Costs | \$ 10,000,000 | |
| | FF&E / I.T. | \$ 5,655,000 | |
| | | | \$ 80,655,000 |



Future Funding

| | | | |
|-------------------------------------|-------------|---------------|---------------|
| El Rodeo- Bldg E | Hard Cost* | \$ 15,552,000 | |
| | Soft Costs | \$ 2,333,000 | |
| | FF&E / I.T. | \$ 1,353,024 | |
| | | | \$ 19,238,024 |
| El Rodeo- Site | Hard Cost* | \$ 10,368,000 | |
| | Soft Costs | \$ 1,555,000 | |
| | FF&E / I.T. | \$ 25,000 | |
| | | | \$ 11,948,000 |
| El Rodeo - Elevated Field & Parking | Hard Cost* | \$ 12,100,000 | |
| | Soft Costs | \$ 1,800,000 | |
| | FF&E / I.T. | N/A | |
| | | | \$ 13,900,000 |
| El Rodeo - Interim Housing Lease | Hard Cost* | \$ 667,872 | |
| | Soft Costs | \$ 33,394 | |
| | FF&E / I.T. | \$ 16,697 | |
| | | | \$ 717,962 |

** Hard Costs include inflation thru midpoint of proposed date of construction*

Horace Mann School – Cost Analysis

Measure E

| | | | |
|-----------------------------|-------------|--------------|--------------|
| Building A | I.T. / A.V. | \$ 1,500,000 | |
| | Close Out | \$ 200,000 | |
| | | | \$ 1,700,000 |
| Phase 4 - Site Improvements | Hard Cost* | \$ 4,600,000 | |
| | Soft Costs | \$ 690,000 | |
| | FF&E / I.T. | \$ 25,000 | |
| | | | \$ 5,315,000 |

Future Funding

| | | | |
|----------------------|-------------|--------------|--------------|
| Building A - Roofing | Hard Cost* | \$ 1,000,000 | |
| | Soft Costs | \$ 150,000 | |
| | FF&E / I.T. | N/A | |
| | | | \$ 1,150,000 |
| Chiller Replacement | Hard Cost* | \$ 450,000 | |
| | Soft Costs | \$ 67,500 | |
| | FF&E / I.T. | \$ 6,500 | |
| | | | \$ 524,000 |



* Hard Costs include inflation thru midpoint of proposed date of construction

Hawthorne School – Cost Analysis

Future Funding

| | | | | |
|-------------------------|-------------|----|------------|----------------|
| Hawthorne Auditorium | Hard Cost* | \$ | 10,000,000 | |
| | Soft Costs | \$ | 1,500,000 | |
| | FF&E / I.T. | \$ | 870,000 | |
| | | | | \$ 12,370,000 |
| Hawthorne Modernization | Hard Cost* | \$ | 95,000,000 | |
| | Soft Costs | \$ | 14,250,000 | |
| | FF&E / I.T. | \$ | 8,265,000 | |
| | | | | \$ 117,515,000 |



** Hard Costs include inflation thru midpoint of proposed date of construction*

Beverly Vista – Cost Analysis

Future Funding

Beverly Vista - ADA Drop Off

Hard Cost*

\$ 85,000

Soft Costs

\$ 12,750

FF&E / I.T.

N/A

\$ 97,750

Beverly Vista Site Improvements

Hard Cost*

\$ 1,500,000

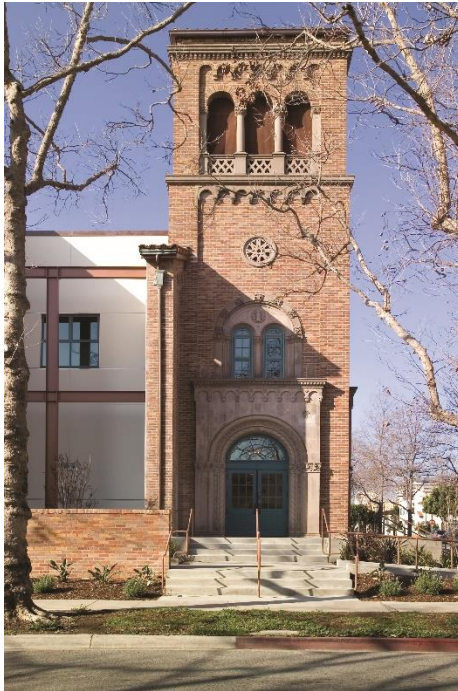
Soft Costs

\$ 225,000

FF&E / I.T.

N/A

\$ 1,725,000



** Hard Costs include inflation thru midpoint of proposed date of construction*

Other Costs

Measure E

| | |
|--------------------------------|--------------|
| District Project Support Costs | \$ 1,717,964 |
| Classroom Technology | \$ 1,500,000 |

Future Funding

| | | |
|--|-------------|---------------|
| District Project Support Costs | | \$ 10,000,000 |
| Classroom Technology | | \$ 13,590,000 |
| Oil Well Remediation and Site Repurposing | Hard Cost* | \$ 16,000,000 |
| | Soft Costs | \$ 2,400,000 |
| | FF&E / I.T. | N/A |
| | | <hr/> |
| | | \$ 18,400,000 |

** Hard Costs include inflation thru midpoint of proposed date of construction*

Master Plan Revenue

| | <u>Current</u> | <u>Projected</u> |
|------------------------------------|----------------|------------------|
| Balance of Measure E as of 1/31/18 | \$ 145,066,401 | |
| SSMP Funding | \$ 6,547,668 | \$ 18,825,000 |
| Interest | \$ 6,172,863 | TBD |
| Developer Fees | \$ - | \$ 6,800,000 |
| | <hr/> | |
| Subtotal | \$ 157,786,932 | \$ 25,625,000 |

Future Project Summary

| | | |
|--|----|-------------|
| Beverly Hills High School | | |
| Buildings B3 and B4 Modernization | \$ | 59,202,000 |
| Interim Housing | \$ | 816,839 |
| Building C and Aquatic Center | \$ | 74,841,760 |
| Site Improvements | \$ | 63,240,000 |
| Parking Project | \$ | 85,536,000 |
| Maintenance and Operations Building | \$ | 4,287,500 |
| Building A Modernization | | N/A |
| El Rodeo School | | |
| Buildings A,B,C and D | | |
| Building E Modernization | \$ | 19,238,024 |
| Site Improvements | \$ | 11,948,000 |
| Elevated Play Courts and Parking | \$ | 13,900,000 |
| Interim Housing | \$ | 717,962 |
| Horace Mann School | | |
| Building A Roofing | \$ | 1,150,000 |
| Central Chiller Replacement | \$ | 524,000 |
| Hawthorne School | | |
| Hawthorne Auditorium Modernization | \$ | 12,370,000 |
| Hawthorne Modernization | | N/A |
| Beverly Vista School | | |
| ADA Drop Off | \$ | 97,750 |
| Site Improvements | \$ | 1,725,000 |
| District Project Support Costs | \$ | 10,000,000 |
| Classroom Technology | \$ | 13,590,000 |
| BHHS Oil Well Remediation / Site Repurposing | \$ | 18,400,000 |
| Future Project Total | | |
| | \$ | 391,584,835 |

Future Funding Summary

| | |
|-------------------------|-----------------------------|
| Future Funding Projects | \$ 391,584,835 |
| Contingency 5% | <u>\$ 19,579,242</u> |
| Subtotal | \$ 411,164,077 |
| Less Projected Revenue | <u><u>\$ 25,625,000</u></u> |
| Future Funding Total | \$ 385,539,077 |

Section 4

Bond Program Roles & Responsibilities

Covered in this Section

- A. Board of Education
- B. Superintendent
- C. Assistant Superintendent Business Services
- D. Citizens' Oversight Committee
- E. Construction and Facilities Department
- F. Bond Manager
- G. Design Professional
- H. Department of State Architect (DSA) and
DSA Inspector of Record
- I. Testing Lab
- J. Contractor

A. BOARD OF EDUCATION

The Board of Education (BOE) recognizes that one of its major responsibilities is to provide healthful, safe and adequate facilities that enhance the instructional program. The BOE shall endeavor to make the provision of adequate school facilities a priority in the District. Because schools serve as a focal point for the community, the BOE shall also strive to ensure that District facilities fit harmoniously and attractively into their neighborhoods and have flexibility of design to meet future educational and community needs.

The following are the policies of the BOE regarding its role and the Superintendent's role in school facilities adopted March 10, 2009.

The Board shall strive to have a school facilities master plan in place and regularly reviewed in light of the District's educational goals. In accordance with this plan, the Board shall:

- Approve additions or major alterations to existing buildings;
- Determine what new buildings shall be built, when and where, and what equipment shall be purchased for them;
- Determine the method of financing that will be used;
- Select and purchase school sites for future expansion. Approve the selection of architects and structural engineers;
- Award contracts for design and construction; and
- Name schools and individual buildings

B. SUPERINTENDENT

The role of the Superintendent is to implement the vision of the BOE by making the daily decisions about educational programs, spending, and staff, and to provide for healthful, safe and adequate facilities that enhance the District's instructional program. The Superintendent also responds to the demands of all the other constituencies and interest groups in the District: teachers, students, parents, staff, advocates, and the community at large, while utilizing the financial and human resources of the District to achieve the best results.

The Superintendent or designee shall:

- Assess the District's short- and long-term facility needs
- Direct the preparation and updating of the facilities master plan
- Oversee the preparation of bids and award of contracts
- Supervise the implementation of the District's building program in accordance with the master plan, Board policy, and state and local requirements, including collaboration with the architect and contractor on the construction of new facilities and modernization of existing facilities
- Represent the District in official governmental interactions related to the building program

- Ensure adherence to all applicable laws, codes, and regulations.

To pursue the goals of the District Master Facilities Plan, the BOE delegates authority to the Superintendent as follows:¹

- **Procurement of District Contracts and Agreements**

The BOE delegates authority to the Superintendent or his or her designee to procure all District contracts and agreements through appropriate bid and other selection processes, which include, but are not limited to, the preparation of competitive bids, requests for qualifications (RFQs) and/or requests for proposals (RFPs), the issuance of advertisements for such competitive bids, RFQs and/or RFPs, to review bids submitted by contractors and/or vendors, to act as or designate a hearing officer for responsibility hearings and bid protest hearings, to select review and interview panels for RFQ and/or RFP selection processes, to paper screen all responses to the District's RFQs and RFPs, to conduct interviews by the selection panels, to conduct post interview discussions and negotiations with top candidates, to recommend awards to the BOE and to otherwise perform all actions necessary to procure the contracts and agreements needed for the completion of District projects for ultimate consideration and approval by the BOE.

- **Construction Contracts**

The BOE delegates authority to the Superintendent or his or her designee to prepare, negotiate and execute contracts with parties engaged in and prospective parties to be engaged in school facility projects, to execute and deliver resulting construction contracts up to the applicable bid limit, and to do any and all things necessary, in consultation with staff, that he/she may deem necessary or advisable for the continued administration and operation of school facility projects, all subject to ratification by the BOE.

- **Professional Services Agreements**

The BOE delegates authority to the Superintendent or his or her designee to negotiate and contract with parties engaged in and prospective parties to be engaged in school facility projects, to execute and deliver resulting consultant agreements up to \$175,000, and to do any and all things necessary, in consultation with staff, that he/she may deem necessary or advisable for the continued administration and operation of school facility projects, all subject to ratification by the BOE. Consultant agreements above \$175,000 shall be approved by the BOE prior to execution.

- **Construction Change Orders**

During construction of school facility projects, changes will likely occur resulting in change orders and the payment of additional compensation to contractors performing the work in connection with school facility projects. During the course of construction, documents will need to be executed, changes will need to be approved and other decisions will need to be made on behalf of the District in a timely manner so as not to delay progress of the school facility projects.

¹ Performance Audit 2016-17 Observation 9I Improvement Recommendation

The BOE delegates authority to the Superintendent or his or her designee to negotiate, execute and deliver construction change orders, which do not exceed ten percent of the original contract. Change orders, which exceed ten percent of the original contract, shall be approved by the BOE before execution.

- **Amendment to Professional Services Agreements**

During construction of school facility projects, changes will likely occur resulting in amendments to consultant agreements and the payment of additional compensation to consultants performing services in connection with school facility projects.

The BOE delegates authority to the Superintendent or his or her designee to negotiate, execute and deliver amendments to consultant agreements, which do not exceed \$175,000, all subject to ratification by the BOE. Amendments, which exceed \$175,000, shall be approved by the BOE before execution.

- **Accept Completion of Certain Construction Projects and Record the Notice of Completion**

Under the California Uniform Public Construction Cost Accounting Act (CUPCCAA) the District may perform public projects of \$60,000² or less by force account, by negotiated contract, or by purchase order. The negotiated contracts are smaller in scope and usually completed in a short time period. The District enters into a large number of negotiated contracts throughout the year for small projects, maintenance, repairs and related work. The BOE desires to pay contractors performing work under negotiated contracts and to close out those contracts as soon as possible.

The BOE delegates authority to the Superintendent to determine and accept completion of projects performed under negotiated contracts and to approve the recordation of notices of completion for those projects.

C. ASSISTANT SUPERINTENDENT BUSINESS SERVICES

The Assistant Superintendent of Business carries out the responsibilities delegated by the Superintendent.

D. CITIZENS' OVERSIGHT COMMITTEE³

The Citizens' Oversight Committee (COC) reviews expenditures and is responsible for oversight of Measure E funds and receives an updated status report at regularly scheduled meetings. Reports provided to the COC are limited to the projects funded with Measure E funds (including any other supplemental funding for those projects). The COC also receives copies of the annual financial and performance audits of the bond program and other documents as requested.

On July 24, 2018, the BOE expanded the responsibilities of the COC to include oversight of Measure BH funds.⁴

² Effective 8-20-18 this amount was increased from \$45,000 to \$60,000.

³ Resolution No. 2008-2009-014 Establishing the COC is included in Appendix A.

The COC pages of the District's website are updated for each COC meeting with agendas and related attachments. This website is also where the annual report of the COC is published for public view.

The COC pursues five primary goals in order to achieve its charter:

- Receives annual auditors' reports;
- Ensures that funds are used only on school building improvements, not on District salaries or administration.
- Provides regular quarterly reports to the BOE that the expenditures match those promised during the bond campaign. In addition, releases these findings to the general public;
- Reviews the District's maintenance effort ensuring proper maintenance of school buildings after repair and renovation; and
- Reviews the District's school building repair funding plan comprised of local and state bond funds and other funding sources.

E. CONSTRUCTION & FACILITIES DEPARTMENT

The Construction and Facilities Department (C&FD) is responsible for capital projects that involve oversight and approval from the California Department of General Services, including the Division of State Architect (DSA), and the California Department of Education.

The C&FD provides facilities needs assessments and the develops and updates a Facilities Master Plan.

The C&FD currently provides capital funding oversight through Measure E and Measure BH bond management and pursues local and state funds, incentives and grants for all applicable capital projects. The department completes, files, and tracks applicable state forms, submittals and requirements to obtain continued compliance.

Facilities tracks square footage, room utilization and capacity to be used in the pursuit of state funding, and assists and partners with the instructional technology and maintenance departments for capital projects, and provides access to construction drawings and product specifications and warranty information for repair and minor construction purposes.

F. BOND MANAGER

The District has hired Team Concept Development Services (TCDS) to operate the F&CD during the course of the Measure E and Measure BH bond program utilizing Owner Managed Services⁵. These services provide for budget and schedule development, maintenance, and oversight to mitigate District risk during the course of achieving the goals of the Facilities Master Plan.

The Bond Manager is responsible for managing the bond program and communicating program and project specific information to the BOE, the COC, and the general public. A subcommittee of

⁴ Resolution 2018-2019-001 Expanding Powers of the COC and Approving Amended and Related Bylaws and the Amended and Related Bylaws are included in Appendix A.

⁵ TCDS, Inc. Owner Managed Construction Program (see Appendix B)

the BOE (the Facilities Committee) participates in weekly meetings with the Bond Manager to receive current information on the current bond program.

The general public accesses information through the BHUSD website.

Bond management includes two primary areas of work: program management and project management.

1. Program Management

Bond program management includes the assessment of District facilities' needs, coordination of input from stakeholders, funding and project development and implementation strategies for capital projects.

Throughout the bond program, status reports are developed by the bond manager and used to provide the BOE with information on current budgets, expenses, commitments, program contingency, revenue sources and narratives on the status of projects, schedules, and contractor and change order information.

The bond manager is responsible for bond management program development and administration related to the following program phases:

Programming and Planning Phase

- . Develop and implement the program master plan;
- . Develop and implement the master plan scope by identifying the projects to be include in the program master plan;
- . Develop a prioritization plan;
- . Develop a master schedule for each component of the program;
- . Prepare a program budget based on information provided by the District on the work required for all the projects identified as part of the program; and
- . Develop a management information system to assist in establishing and maintaining communications among the District, the bond manager, design professionals, contractors and other parties within the program.

Pre-Design Phase

- . Develop a project management plan for each project;
- . Advise on the division of the program into separate contracts for various categories of work;
- . Assist in the District in selection of design professionals;
- . Assist the District in preparation and review of the agreements between the owner and design professionals;
- . Assist the District and design professionals in the preparation and review of architectural programs for the project;
- . Prepare a master schedule for each component of the project;
- . Prepare a milestone schedule for the design phase; and
- . Prepare a program and construction budget based on the plans, specifications and information provided by the District on the work required for the program.

2. Project Management

The bond manager is responsible for bond management and administration of the following project phases:

Design Phase Procedures

- Prepare procedures for reporting, communication, and administration during the design phase;
- Review the design documents for clarity, consistency, constructability and coordination;
- Assist the design professionals in coordinating transmittal of documents to regulatory agencies for review and advise the District of potential problems related to completion;
- Assist the District in the preparation of the general conditions and other front end documents for construction contracts;
- Recommend revisions to the master schedule as needed;
- Monitor compliance with the milestone schedule;
- Make recommendations to the District on the impact of design changes that may result in revision to the project construction budget, project schedule and established strategy;
- Make recommendations and coordinate and assist the District and design professional when changes to the design are required, to stay within the project and construction budget;
- Prepare procedures for reporting, communications and administration during the construction phase for approval by the District.

Bid and Award Phase

- Assist the District in developing a list of possible bidders and in pre-qualifying bidders if pre-qualification is required;
- Plan, manage and complete the bidding processes that are utilized in the delivery method selected by the District;
- Assist the District in the assembly, delivery and execution of the contract documents;
- Assist the District in verifying that the contractor has secured the building permits, bonds, insurance, labor affidavits and waivers as required by the contract documents;
- Assist the District in procuring services and contracts for technical inspection and testing required for the Projects.

Construction Phase

- Provide and maintain a management team on site to provide program management as a representative of the District and to establish and implement coordination and communication procedures;
- Establish and implement procedures for expediting and processing requests for information, shop drawings, material and equipment sample submittals, contract schedule adjustments, change orders, substitutes and payment requests and the maintenance of logs for tracking all relevant project information;

- Assist the District in completing and submitting PWC-100 forms for all projects as required, confirming all contractors and subcontractors are properly registered at all times with the Department of Industrial Relations (DIR);
- Coordinate technical inspection and testing provided by the design professionals or others. The bond manager shall be provided a copy of all inspection and testing reports on the day of the inspection or, if the result is not available on the same day, as soon as the report is available;
- Receive from the Contractor as-built record drawings and documents, operation and maintenance manuals, warranties and guarantees for materials and equipment installed on the project; and review such documents for completeness and submit documents to the District.

Post Occupancy Phase

- Respond to warranty issues;
- Assist maintenance in determining whether issues are under warranty;
- Perform warranty and commissioning requirements;
- Conduct a post-occupancy evaluation.

G. DESIGN PROFESSIONAL

Design professionals are contracted by the District to provide design, design administration, and construction design administration. As licensed professionals they are responsible for public safety and the oversight of project design implementation during all phases of the design contract documents.

- *Schematic design*--owner, bond manager and designer meet to discuss the owner's needs and the designer prepares one or more preliminary design concepts;
- *Design development*--after the owner's approval of a design scheme, the designer prepares formal design drawings, a construction budget, and a schedule;
- *Construction documents*--designer prepares detailed drawings and specifications that will be used by contractors for construction;
- *Bidding or negotiation*--designer assists the district in publicly bidding the project, including responding to bidder's questions about the design; and
- *Construction*--designer inspects the on-going construction to ensure that the project is built according to design, answers requests for information after review by the bond manager about the design, and, ideally, works with the bond manager and contractor to solve design and construction issues.

H. DIVISION OF STATE ARCHITECT (DSA) AND DSA INSPECTOR OF RECORD (IOR)

DSA, within the State of California Department of General Services, ensures that public building projects meet the minimum required standard provided in Title 24, California Code of Regulations for structural, and fire and life safety ... and ... certifies that the drawings and

specifications are in compliance with state regulations for reasonable accommodation of the disabled. Plan review and construction oversight is provided for all construction with the exceptions specified in the California Education Code.

To meet this end, the District contracts with DSA-approved inspectors of record (IORs) to provide inspection services in accordance with DSA procedures and requirements throughout all phases of the project⁶.

I. TESTING LABORATORY

As specified by project, a testing lab is hired by the District to provide testing and inspection services. The bond manager works with the IOR to coordinate and monitor testing activities.

J. CONTRACTOR

Each construction contractor contracts with the District to perform the scope of work detailed in the project contract documents. The contractor is responsible to provide for subcontractors and suppliers providing services under its contract. Each contractor is also responsible for coordinating work with the bond manager to identify potential interface at the site and with other trades impacted by the project contract scope. The contractor is to fully cooperate with the bond manager in coordination of the construction activities and scheduling requirements. The contractor shall have at least one responsible person on site at all times during its construction work hours.

⁶ DSA form IR A-8 Project Inspector and Assistant Inspector Duties and Performance (see Appendix C)

Section 5

Bond Administration

Covered in this Section

A. Administrative Systems

1. Filing Systems
2. Document control
3. Conventional Files
4. Electronic Files
5. Department and District Servers
6. Communications
7. Software programs
8. Tracking
9. Document Archives

B. Definition of Program versus Project

C. Program Administration

1. Software
2. Files and Archives
3. Communications
4. Tracking Systems
5. Fraud Management
6. Board of Education Approvals

D. Project Administration

1. Software
2. Collaboration
3. Scheduling
4. Files and Archives
5. Communication
6. Tracking Systems
7. Fraud Management
8. Document Control

A. ADMINISTRATIVE SYSTEMS

The bond management administrative systems are used to initiate actions, perform tasks, collect data, track, and store information for planning, current use, and historical reference. The methods used include document development, processing, distribution, and filing for individual and group communications, and future resourcing, using software programs, and electronic and hard copy storage and tracking processes.

1. Filing Systems

Documents are stored in hard copy files, electronically within software systems, and on the District server. As documents are compiled or created they are scanned for electronic storage on the District server. Hard copies are then stored in conventional file cabinets, and eventually relocated to an archive when regular resourcing is no longer necessary.

Bond Management staff are expected to have a comprehensive understanding of the filing system and are responsible for correctly labeling documents and files according to the filing system specifications.

2. Document Control

Document control is accomplished with conventional files and electronic files. Physical documents are date stamped upon receipt, then scanned before being securely placed in hard copy file folders and uploaded to the server.

3. Conventional Files

Hardcopy files remain available for easy day-to-day team access to active projects. This conventional filing system maintains bond administration files by:

- Year
- Project
- Vendor

4. Electronic Files

Electronic files are used instead of conventional files whenever possible. All District e-files are stored on department servers. When computers and laptops are used to generate documents or photographs, these items are then uploaded to the District server. Electronic files are uploaded to project files (or all-district files), are then sorted by a primary category, and then filed in ascending date order (oldest first) to aid in tracking the sequence of events for a project within a given area/category. Categories within a project typically include:

- Administration
- Agreements/Contracts
- State Documents
- Other Government Documents
- Plan & Design Development and Use (for plans and specifications)
- Bidding

- Construction
- Testing & Reports
- Commissioning
- Furniture
- Procore (end of project electronic archives)

5. Department and District Servers

The C&FD server is used to store documents and data related to District sites, facilities, and projects. The department “F: drive” is part of the District’s central filing system and is used to resource data to develop status reports, and maintain information for future resourcing needs, such as new projects under development and financial audits, for example.

6. Communications

Communications are made via phone and emails and collected in meeting minutes and within collaborative forums within software systems. Commitments are put in writing with notes including time, date, and parties included, then filed for future reference in the hard copy project file.

7. Software Programs

Software programs are necessary to collect the large amount of data compiled and exchanged for review, processing, and reporting, and to share information and project status in real-time.

8. Tracking

Tracking is achieved using hardcopy lists, within software programs, and via transmittals which are used to document the formal transfer of information.

9. Document Archives

Document hardcopies are archived in a secure room and location. Also, when required, a backup of project files is placed on electronic drives and stored along with the hard copies. Project hardcopy documents may include, but are not limited to:

- Project bid sets;
- Record drawings;
- Specifications;
- Addenda;
- Change orders;
- RFIs;
- Submittals;
- IOR daily reports;
- Project management documentation;
- Schedules
- Project closeout documents including testing and inspection reports, warranties, and O & M manuals ;
- Hazardous materials reports (including asbestos removal);
- Real estate documents;
- Signed contracts and agreements;

- Applications for payment and schedule of values;
- Government agency communications;
- Environmental Reports;
- Photographs;
- Project correspondence; and
- Other permanent records.

B. Definition of Program versus Project

In Bond Administration there are two primary areas of focus and development: Program and Project.

Program includes areas related to district administrative policies, procedures, and development. It is also the management framework for projects that encompass district issues (legal issues) or district wide events (bond measures).

When ideas move from the vision development and planning stage, the process of implementation and realization typically forms what is called a project.

Projects are independent, specific planned events that take place within the framework of the program. A construction event is a project. The District is also in development of a new security program. As this project moves from the planning stage into implementation, the District will undertake security projects.

C. PROGRAM ADMINISTRATION

1. Software

For program administration, the C&FD utilizes District accounting software complemented by a financial accounting and cost management program to create reports and view the status of funds. Programs and websites used are:

- *PeopleSoft software* for purchase requisitions and purchase order (PO) management
- RAD (Reporting and Data) Software to view Requisitions and PO status and download expenditure and other accounting reports
- *Key Analytics provided by California Financial Services (CFS) utilizing CFS Internet access* for tracking and reporting financial transactions and budget and preparing reports for the BOE and COC
- *Microsoft Office* for general administrative use

2. Files and Archives

For program administration, the F&CD utilizes traditional hard copy purchase order files organized by site and then vendor name.

3. Communication

For program administration, the F&CD utilizes phone, conferencing, email, and form tracking to communicate, collect data, research information, and compile notes and summaries of transaction/procedure status.

4. Tracking Systems

A separate hardcopy tracking system is used for the procurement of upcoming projects to ensure use of proper procedures. Checklists are used to track the completion of steps.

5. Fraud Management¹

A combination of lists, documented communications, and tracking forms provide a reference for protocol adherence and assignment of responsibility on procedures.

6. Board of Education Approvals

The history of Board actions includes the Brown Act, which is essentially an “Open Meetings Act” that is specific to local governments and bodies in California. The Brown Act supports one of the main principles of group meetings, which is that group decisions are generally better than individual decisions. Lively debates that incorporate a variety of perspectives should generate the best ideas.

It is expected that governments will hold meetings that are public and transparent in order to ensure accountability. What sounds simple in concept is often more complex in practice. The Brown Act, and other open meeting laws like it, codifies the limited exceptions and circumstances where it is in the best interest of the public to allow for special handling.

a. Agenda Items

Approximately one week before the next regularly scheduled BOE meeting, items for presentation to the BOE must be agendized using the District’s “Agenda Online” program at: www.bhusd.org/AboutUs/BoardofEducation/MeetingAgendas/BoardAgendasOnline (Read Only.) Authorization to initiate and edit items is through secure access, which is provided by the Superintendent’s office (password required.) Items will be presented in Closed Session or Open Session, depending on the subject matter.

(1) Closed Session

Closed Session items include: Conferences with Legal Counsel and Public Employee Discipline, Dismissal or Release. Closed Session items are placed on the agenda by the Superintendent.

(2) Open Session

Open Session items are presented in the following sections of the agenda:
Hearing

- Discussion
- Reports
- Consent
- Action

¹ Project and Fraud Avoidance Checklist included in Appendix E

i. **Consent Items**

A consent agenda is a board meeting practice that groups routine business and reports into one agenda item. The consent agenda can be approved in one action, rather than filing motions on each item separately. The types of items that appear on a consent agenda are non-controversial items or routine items that are discussed at every meeting. Consent items can also be items that have been previously discussed at length where there is group consensus. The following items are typically found on a school district's consent agenda:

- Meeting minutes
- Acceptance of Donations
- Cash Collection Report
- Warrant Report
- Purchase Order List
- Staff appointments

ii. **Action Items**

Action items are requests to the BOE that require BOE authorization. The items can request any of the following actions by the BOE

- Approval
- Adoption
- Award
- Acceptance
- Ratification (After the Fact)
- Resolution²
- Emergency Resolution
- Selection
- Determination
- Amendment
- Rejection
- Denial

An action agenda item should provide the BOE with a clear understanding of what is being requested. The narrative should be respectful and concise, while communicating the recommended option. Except in the case of ratification, a decision has not been made, until the BOE acts on the item. The Action item should include:

² There is no formal rule to govern when a resolution should be prepared in place of a request for approval. However, a resolution is the appropriate course of action in some circumstances, including: if the matter is one that by statute or bylaws is required to be covered by a resolution; if the matter regulates the management of the District and is meant to be permanent until changed; or if the matter is one that is likely to be referred to from time to time.

- Meeting Date
- School Site
- Agenda Item Name (Vendor, School Site, Bid No., etc.)
- Rationale for requested action
- Recommended motion
- Financial impact (dollar amount, how will it be funded?)

D. PROJECT ADMINISTRATION

For project administration, the C&FD utilizes project management and scheduling software to communicate and collaborate on a project in real time.

1. Software

For project administration, the C&FD utilizes project management and scheduling software to communicate and collaborate, including:

- Procore project management software for team collaboration on projects;
- Primavera scheduling software for construction projects;
- Microsoft Project for general project development, outline, scheduling and management;
- Microsoft Project can be used effectively on smaller projects;
- Microsoft Office for general administrative use.

Procore files are accessed only through Procore. The function of Procore as a project management system is discussed below.

2. Collaboration

Collaboration relies on real-time communication to stakeholders during the course of the project. The project management system is used by the Bond Manager, District staff, consultants and contractors to record essential project information.

The project management system provides:

- Controlled data entry to ensure consistent information across shared documents, i.e., single entry of information by the consultants, contractors and Bond Manager; and
- Secure internet access to reports, forms, drawings, specifications, policies/procedures and other project information based on the user's access privileges.

Through Procore, the Bond Manager establishes workflows which allow the involvement of multiple entities for a specific review and response to RFIs, submittals, applications for payment, etc. These workflows can be tracked and reporting can be built off of them to use in process improvement. This process allows a thorough review by all parties prior to approval/non-approval. Through Procore, change event placeholders are initiated via RFI responses, submittal responses and/or unforeseen conditions in the field, in real-time which allow tracking of potential impacts to the project.

3. Scheduling

Scheduling deals with the timelines for the various phases of a project. The project baseline schedule provides a time-phased, logical sequence of interdependent activities, milestones, and events defined by the scope of the project. Schedule performance is tracked by project and master project schedule so that adjustments can be made to reflect the actual schedules as required. The key requirements for the system include:

- The ability to show both detailed and roll-up schedules.
- The ability to add costs for a cost-loaded schedule (not usually done for small projects).
-

4. Files and Archives

For project administration, the C&FD utilizes traditional hard copy project files, resourced and stored by site, and by project name. Projects have primary files and independent sub-folders developed as needed by project.

5. Communication

For project administration Procore uses phone, email, and software collaboration to collect data, and various process components. Regular project meetings take place to update players and components.

6. Tracking Systems

Procore tracks entry and status, including aging, of each project element that can impact time. This tracking is a comprehensive feature of the software. Procore date stamps entries in real-time as they are entered into the system. Procore has workflows built into the collaborative items that include reporting on aging of action items.

7. Fraud Management

Software sign-in and tracking as well as a combination of lists, documented communications, and hardcopy tracking forms provide documentation for protocol adherence.³

8. Document Control

Using Procore, the Bond Manager is involved in the day-to-day correspondence with the general contractor, architect and consultants to facilitate a flow of documentation. The Bond Manager is able to vet RFIs and submittals prior to their being released to the A/E team, which allows the owner to be written into the script and have an opportunity to be involved in the outcome, which could impact schedule and cost to the project. Documentation related to the project is captured in one place:

- RFIs
- Submittals
- Schedules
- Change Events

³ Project and Fraud Avoidance Checklist is included in Appendix E



Beverly Hills
Unified School District

- Potential Change Orders
- Change Orders
- Delays
- Corrective Notices
- Punch lists
- Closeout
- Warranties
- Inspections

Section 6

Funds Administration

Covered in this Section

- A. Program Funding**
- B. Bond Fund Management**
 - 1. Drawdown Schedules**
 - 2. Establishing Project Budgets**
 - 3. Program Funding Control System**
 - 4. Program/Project Management Control**
 - 5. Cost Management**

A. PROGRAM FUNDING

The District has three major funding sources for capital improvement projects:

- Local Bond-Measure E
- Local Bond Measure BH
- State school bonds through the School Facility Program (SFP) and other programs administered by the Office of Public School Construction (OPSC), State Allocation Board (SAB) and California Department of Education (CDE).
- Seismic Retrofit
- Modernization
- Career Technical Education (CTE)

Other funding sources have included:

- Developer Fees
- Proposition 39 Energy Efficiency Funds
- District general fund

The major funding source for District facilities projects is local bonds. Other funding sources are used to fund auxiliary projects or as a method of increasing the scope of a bond project that is eligible for alternate funding. As funding is added to or removed from the project, it is tracked and appropriated to the project for which it is allocated.

B. BOND FUND MANAGEMENT

1. Drawdown Schedules

For Measure BH, an accurate and updated drawdown schedule will allow the District to estimate bond fund drawdowns, providing maximum return on the funds. The drawdown schedule will reflect actual cash flow against incurred costs on work in progress. Fiscal year closeout expenditures will be reconciled to mirror the District's fiscal year accounting closeout period, integrating project accounting with the District's financial management system.

2. Establishing Bond Project Budgets

The original and current program budgets are contained within the financial control system. Project budgets are determined on the basis of the initial scope of work, a comparison to historical data on prior projects, if applicable, and trends. On projects with sub-projects or increments, an accounting goal may be used to identify budgets and expenses for that sub-project, otherwise all project expenses are allocated to the main project.

3. Program Funding Control Systems

The funding control system addresses: financial accounting and cost management. The system consists of the following:

- Peoplesoft, the District's Los Angeles County Office of Education financial system;
- KeyAnalytics provided by California Financial Services (CFS) utilizing CFS Internet Access software (CFSInternetAccess);
- RAD software;
- Procore; and
- Microsoft Project.

Financial accounting is accomplished using PeopleSoft and CFS Internet Access to maintain auditable financial records that track funding sources, budgets, encumbrances (committed costs), and expenditures. Components of the system are used daily to record financial data. Reports are prepared to reflect the updated budgets, committed (encumbered) costs, and expenditures as needed by District administration, the BOE, and the COC. *Samples of the reports available on the system are included in Appendix D.*

A time tracking system has been implemented for those employees not fully dedicated to the bond program to ensure all costs incurred are identifiable and have a beneficial relationship to the bond program.¹

CFS Internet Access is a powerful web-based project tracking and reporting tool that electronically uploads and reconciles financial transactions from the District's Los Angeles County Office of Education financial system, PeopleSoft, into CFS InternetAccess.

The ability of CFS Internet Access to electronically upload and reconcile financial data eliminates the need for District staff or consultants to manually enter these transactions twice: once into PeopleSoft and then again into another software platform. Through a thorough analysis and upload process all PeopleSoft transactions are reflected in CFS InternetAccess on a cumulative basis. In addition to uploading all warrants and purchase orders, CFS InternetAccess reconciles fund deposits, transfers, and journal entries.

CFS InternetAccess does not change any of the District's internal controls and accounting procedures that are set up by the District and its BOE with regard to approving contracts, issuing purchase orders, and paying warrants. CFS InternetAccess simply uploads and reconciles the most accurate data that has already been vetted and entered by District staff into PeopleSoft into a variety of useful reports and tools.

The CFS InternetAccess platform provides District staff with ten dynamic reports including: 1) Revenue Report; 2) Budget Report (tracks multi-year budgets by fund & object code); 3) Expenditure Report (State 50/06 Report); 4) Encumbrance Report (tracks POs and contracts); 5) Vendor Report; 6) Transaction Report (tracks resources within funds); 7) Funding Activity (a checkbook reconciliation of each fund); 8) Overview Report (a project summary report); 9) COC Report (a program summary report); and 10) Budget View Report (a robust report that tracks each project by site, scope and status).

¹ Performance Audit 2016-17 Improvement Recommendation 3b



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In addition, CFS InternetAccess provides District staff with ongoing support services including: preparing Citizens' Oversight Committee reports, state expenditure reports for state eligible projects, periodic cash flow reports, budget and funding tracking services as well as staff training and fund reconciliation services.

The Bond Manager and fiscal services staff are responsible for inputting and assuring the accuracy of data in PeopleSoft and CFSInternetAccess. The Bond Manager is responsible for monitoring expenses to ensure that the project expenses do not exceed the project budget.

Project budgets are developed by the Bond Manager, and the Bond Manager coordinates with CFS to ensure entry to CFS InternetAccess at the beginning of each month, or more often if deemed necessary by the Bond Manager.

Budget line items are coded using the California Standardized Account Code Structure (SACS). The Bond Manager uses detailed reports from PeopleSoft, RAD and CFS InternetAccess to manage project budgets by line item. Most reports to the BOE, COC and public are summaries of individual codes.

Every effort is made so that financial data in PeopleSoft and CFS InternetAccess matches, however timing of data entry into PeopleSoft and uploading into CFS InternetAccess may mean that there are differences in the systems. Discrepancies between the two systems are reconciled and corrected.

4. Program/Project Management Controls

The Bond Manager should integrate budgets, expenditures, commitments, trends, forecasts and schedules in the management of each project as well as the program as a whole. The key requirements for the system include:

- Real-time and manual data entry of project cost and schedule data.
- Various levels of reporting and flexible reporting tools.
- Internet-based integrated platform for managing and reporting required by key stakeholders, Public Agencies and District staff.

5. Cost Management

Cost management is accomplished by using CFS InternetAccess to manage project budgets, day-to-day project financial transactions and provide cost forecasting. CFS InternetAccess includes control procedures and systems to track the decisions regarding budgets and budget changes so that staff can proactively prevent or fund any budget shortfalls caused by cost overruns.

CFS InternetAccess is also used to develop cost forecasts and track them against budgets, encumbrances and expenditures over a timeline. Cost management uses cash flows, cost forecasts, commitments and historical trending to forecast future expenditures and funding requirements, which allows management to monitor and control budgets and expenditures proactively.

Cost forecasts are prepared on a continual basis as project information becomes more defined and progress is achieved. Three critical phases in the project lifecycle will trigger new forecasts. In the Schematic Phase, a forecast is based upon the schematic scope. At the design development phase and construction document phase, a forecast is based on the completed engineering and design. The



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construction phase will mark a period of continuous review and monitoring where forecasts are prepared routinely and as necessary from trending information.

In addition to the forecasts generated from the three critical phases, new forecasts can also result from other events such as: a change in scope, trending project expenditures, trending commitments, schedule impact, and unanticipated changes in market conditions. Changes in scope include but are not limited to, environmental factors and unplanned events. These changes are tracked for continuous learning.

Preparation of project forecasts is the responsibility of the Bond Manager. Close examination of project expenditures and commitments is conducted on a continual basis to ensure compliance with the master plan. This trending information is used to prepare an updated project forecast. Individual trends, either up or down, may not immediately result in a project cost variance from budget because there are many factors that can affect the project forecast including the degree of certainty associated with the trend and the availability of contingency funds.

Section 7

Procurement

Covered in this Section

A. General Principles

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- a. Piggybacking
- b. CMAS
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- d. Purchases less than \$50,000 (as adjusted)
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C. Project Delivery Methods Most Often Used By the District

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A. GENERAL PRINCIPLES

1. Definition of Procurement

Procurement is the process of researching/finding, agreeing/contract terms and receiving/acquiring goods, services and/or work from an external source, often via a tendering or competitive bidding process. The process of procurement is used to ensure that the buyer receives goods, services or work at the best possible price, when aspects such as quality, quantity, time and location are compared. School districts construct processes intended to promote fair and open competition for its business while minimizing risk, such as exposure to fraud and collusion.

2. Description of Procurement Fraud¹

Procurement fraud can be defined as dishonestly obtaining an advantage, avoiding an obligation or causing a loss to public property or various means during the procurement process by public servants, contractors or any other person involved in the procurement. An example is a kickback, whereby a dishonest agent of the supplier pays a dishonest agent of the purchaser to select the supplier's proposal, often at an inflated price. Other frauds in procurement include:

- Collusion among bidders to reduce competition;
- Providing bidders with advance "inside" information;
- Submission of false or inflated invoices for services and products that are not delivered or work that is never done. "Shadow vendors," shell companies that are set up and used for billing, may be used in such schemes;
- Intentional substitution of substandard materials without the customer's agreement;
- Use of "sole source" contracts without proper justification;
- Use of prequalification standards in specifications to unnecessarily exclude otherwise qualified contractors;
- Dividing requirements to qualify for small-purchase procedures to avoid scrutiny for contract review procedures of larger purchases (bid splitting).

3. The Paper Trail

Buyers should create and maintain their procurement records keeping in mind that all procurement records are public records subject to request and release to the requestor.

Planning the purchasing activity begins as soon as the need has been identified. Buyers should develop a strategy of how the procurement activity will be accomplished and document the rationale of what led to the decision. Following is an outline of steps from need recognition to contract:

¹ Performance Audit Observation 10 Improvement Recommendation; Project and Fraud Avoidance Checklist included in Appendix E

a. Provide the basis of the decisions

Describe how competition will be sought, promoted and sustained throughout the course of the purchasing activity. If open competition is not the method of choice, document the basis of that decision. The District will pursue multiple prices and track efforts for every procurement.

b. Degree of detail

The degree of documentation detail is determined by the cost, risk, complexity and criticality of the purchasing activity. Example: If the selection of the purchase approach was dictated by time constraints, then appropriate notations in the procurement file should be made which identify concerns related to time. In simple terms, buyers should maintain a diary of the events and decisions that lead up to and complete the purchase transaction, providing a timeline and history of the actions and decisions made throughout the procurement process.

c. Take Notes

Buyers should make notations of meetings held and decisions made, and create a phone log to record phone conversations impacting the procurement effort. Maintaining consistent, high quality file documentation helps the transaction to be easily understood by a reader who is unfamiliar with the event and makes documents easy to locate.

4. Public Project Definition

For a school district, a public project is defined in the Public Contract Code, Section 22002 as: Construction, reconstruction, erection, alteration, renovation, improvement, demolition, and repair work involving any publicly owned, leased, or operated facility. Painting or repainting of any publicly owned, leased, or operated facility. A public project does not include maintenance, defined as: routine, recurring, and usual work for the preservation or protection of any publicly owned or publicly operated facility for its intended purpose, minor repainting, resurfacing of streets and highways at less than one inch, and landscape maintenance, including mowing, watering, trimming, pruning, planting, replacement of plants, and servicing of irrigation and sprinkler systems.

5. Types of Procurement

- Procurement for public projects, which must be competitively bid if they involve expenditures of \$15,000 or more;
- Procurement for public projects under \$200,000², which can be procured through a competitive process under the California Uniform Public Construction Cost Accounting Act (CUPCAA);

² PCC Code revised as of 8/20/18 to increase CUPCAA threshold from \$175,000 to \$200,000.

- Procurement for lease or purchase of capital equipment, materials, supplies or services, except construction services, and repairs that are not a public project which, if they involve expenditures of \$50,000 or more as adjusted annually (as of 2018 \$90,200) must be competitively bid;
- Procurement for the lease or purchase of capital equipment, materials, supplies or services, except construction services, and repairs that are not public projects, which involve expenditures less than \$50,000 as adjusted annually(as of 2018 \$90,200), which can be procured using a request for quotation and purchase order process;
- Procurement which is not required to be competitively bid, e.g., emergencies, certain technology services and equipment, change orders less than ten percent of the original contract, piggyback agreements, purchases on the California Multiple Award Schedules (CMAS), cooperative purchase agreements, energy conservation and energy management work, and professional services.

B. PROCUREMENT METHODS

1. Public Projects

a. Competitive Bid

The first legal requirement to consider when contracting for goods or services is whether the work must be put out to bid. Contracts for public projects must be competitively bid if they are over \$15,000, unless a District adopts the California Uniform Public Cost Accounting Act (CUPCAA), which increases the formal bid limit for public works to \$200,000 effective August 20, 2018, with an informal bidding process for projects between \$60,000 and \$200,000.

The competitive bid process is one in which a district publishes bid specifications and contractual provisions which all of the bidders must meet. The notice inviting the bids must be sufficiently detailed, definite and precise so as to provide a basis for full and fair competitive bidding upon a common standard and must be free from any restrictions tending to stifle competition.

If any bidder does not meet all of the material bid specifications or agree to all of the material contractual provisions that bidder must be deemed a non-responsive bidder and its bid must be rejected. Unless otherwise authorized by statute, in the competitive bid process, a contract must be awarded to the lowest responsive, responsible bidder.

(1) Prequalification

The intent of a prequalification process is to ensure that capable contractors are allowed to bid on a specific project. Prequalification is most important for special work whereby a firm without the required experience may struggle to perform the project successfully and may pose a risk of failure. Under certain circumstances, prequalification applies to a general

contractor and a subcontractor. Prequalification of bidders is authorized by Public Contract Code (PCC), Section 20111.5. A prequalification process is required if the contract value is over \$1,000,000 and is funded in whole or part with State bond funds.

The prequalification process involves:

Step 1: Determine if the project requires a prequalification process.

Step 2: Is this a stand-alone solicitation for a future project or one that is ready to bid now? If it is for future work, the advertisement should state that the District is soliciting for one or more firms to be prequalified. If the prequalification is for a project ready to bid, the information should be included in the bid advertisement.

Step 3: Define the general prequalification criteria that is suitable for this project and expected from potential bidders. Keep the requirement succinct and to the point and within grasp for potential bidders. The criteria cannot be biased towards a single firm.

Step 4: Edit the prequalification questionnaire package to be project specific. Ensure the questions are reasonable and relevant.

Step 5: Consider if this will be a "pass/fail" review process or "scoring and ranking" with a passing rate. Edit the prequalification package to conform.

Step 6: If it is to be a scoring package, develop the score sheet and make sure the points and criteria are in the package.

Step 7: Ensure the document is proofed by at least one other individual. Stage a mock up completion to reveal any flaws in the process. Fix flaws.

Step 8: Board authorization of this process is optional. The superintendent has been delegated authority to authorize the process.

Step 9: Advertise as a Request for Qualifications (RFQ) if it is stand-alone or, if part of a bid package, advertise that bid accordingly and include the RFQ process verbiage. Ensure dates for the package to be completed are included, contact name for questions are included. If the prequalification process is part of the bid package, allow ten days for bidders to respond prior to the bid opening date.

Step 10: Upon receipt of the prequalification packages (all to be opened together, with at least one District person present), make a list of packages received. Make a copy of the package for mark up and keep originals as untouched with the District.

Step 11: Complete the prequalification review sheet for each package/contractor. This sheet is a document that lists the criteria with a box to indicate how the questions have been answered. If scoring, list the scores. If yes/no, indicate compliance.



Step 12: If there are discrepancies, or missing information, email formally to each firm. Do this at one time for all firms and allow them no more than 48 hours to respond. Advise them that failure to respond or comply will render their packages incomplete and thus rejected. Do not allow any firm more time than others: ensure equal treatment of all firms.

Step 13: When calling references, keep note of time, date and response. It is permissible to mark up the package. Keep all documents. Print emails for the file. Note: The information in the prequalification packages is NOT a public record and should be treated as confidential.

Step 14: Double check the review sheet and have it checked by a colleague. Create a list of pass/fails.

Step 15: Notify all firms formally with a template letter of pass or fail. If prequalification is required to be allowed to bid for a current project at bid stage, time is of the essence.

Step 16: If any Contractor challenges its failure to be prequalified, an appeal process is in place. There is no appeal from a refusal for an incomplete or late application. Where a timely and completed application results in a rating below that necessary to pre-qualify, an appeal can be made by delivering a notice of appeal of the decision no later than ten business days prior to the closing time for the receipt of bids for the public works project to the District. If the contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than five business days after the District's receipt of the notice of appeal, and no later than five business days prior to the last date for the receipt of bids on the project. The hearing shall be an informal process conducted by a panel selected by the Bond Manager.

(2) Procedures for Advertising Bids

The superintendent or designee for the purpose of securing bids shall publish at least once a week for two weeks in a newspaper of general circulation published in the District, or if there is no such paper, then in a newspaper of general circulation, published in the county, and may post on the District's website or through an electronic portal, a notice calling for bids, stating the work to be done or materials or supplies to be furnished and the time when and the place where bids will be opened. Bids shall not be accepted after the advertised bid opening time, regardless of whether the bids are opened at that time.

Notice inviting formal bids for projects by a public agency, which include a requirement for prequalification or for any type of mandatory pre-bid conference, site visit, or meeting shall include the time, date, and location of the mandatory pre-bid site visit, conference or meeting, and when and where project documents, including final plans and specifications

are available. Any mandatory pre-bid site visit, conference or meeting shall occur not less than five calendar days after publication of the initial notice.

Bid instructions and specifications shall include the following requirements and information. All bidders shall certify the minimum, if not exact, percentage of post-consumer materials in products, materials, goods, or supplies offered or sold.

All bids for construction work shall be presented under sealed cover and shall be accompanied by one of the following forms of bidder's security:

- Cash
- A cashier's check made payable to the District.
- A certified check made payable to the District.
- A bidder's bond executed by an admitted surety insurer and made payable to the District.

The security of unsuccessful bidders shall be returned in a reasonable period of time, but in no event no later than 60 days after the bid is awarded by the BOE.

Bids shall not be accepted after the advertised bid opening time, regardless of whether the bids are actually opened at that time.

When two or more identical lowest or highest bids are received, the Board may determine by lot which bid shall be accepted.

If the District requires that the bid include prices for items that may be added to or deducted from the scope of work in the contract, the bid solicitation shall specify which method, as outlined in PCC Section 10126, will be used to determine the lowest bid.

(3) Pre-Bid RFIs

During the bid process contractors seeking to submit a price may have questions related to the information provided regarding the project (drawings, specifications, dates, scope definition, etc). These questions are reviewed by the management team to determine whether there is a need to make a clarification.

If it is determined that clarification is warranted, all contractors, and all locations of postings regarding the bid, need to be provided with an addendum which address the RFI clarification. All contractors are to be notified of the clarifying information at the same time using an Addendum.

(4) Construction Contract Award

Step 1: The bids will be reviewed by the Bond Manager and a list of bidders and their bids will be prepared. The bid list will be reviewed and compared to the bid documents by the Bond Manager. The apparent lowest responsible bidder will be determined by the Bond

Manager, and the determination will be entered into the Consolidated Procurement Activity Report,³ (See Appendix E)

Step 2: Bids will be made available for review upon a contractor's written request to the District (per Public Records Act).

Step 3: A five-day bid withdrawal period will be observed.

Step 4: The bid protest process and period will be managed.⁴

Step 5: Bond Manager processes an agenda item for recommendation of the "Lowest Responsive, Responsible Bidder" for approval by the BOE. Prior to posting the board item, the list of bidders and their bids and the Consolidated Procurement Activity Report will again be reviewed to ensure the apparent low bid is being presented to the BOE for award.⁵

Step 6: The morning after the BOE meeting, the "approval of bid #" will be posted on the District website.

Step 7: The day following BOE approval, the "notice of intent to award" will be drafted. The following items will be required: Three copies of the agreement to be signed with the total amount entered on each copy, certifications for general liability insurance with the District as the additional insured, auto liability insurance, and workers compensation insurance, with the proper endorsements, a performance bond in the amount of 100 percent of the total bid and a payment bond in the amount of 100 percent of the bid.

Step 8: The notice of intent to award to contractor, is then sent to the contractor, and a copy is placed in the hardcopy project file, and also scanned into the electronic project file.

Step 9: Agreement(s), performance bond, and payment bond must be submitted within five days of receipt of notice of intent to award.

Step 11: Once all items are reviewed, checked off by initialing and dating, a "notice to proceed" letter is generated for signature by the Superintendent.

Step 12: Two copies are made of the entire package, one for the purchasing department and one for the project file and scan a copy into the electronic project file. The notice to proceed letter is then sent via email and USPS to the contractor.

Step 13: A requisition is then drafted which initiates the process for a purchase order.

b. Emergency Exception

³ Performance Audit Observations 9D and 9G and Observation 10 Improvement Recommendations

⁴ Bid Protest Process is outlined in the District's Bidding Documents "Instructions to Bidders" section.

⁵ Performance Audit Observation 9D Improvement Recommendation.

Public Contract Code (PCC) Section 1102 describes an emergency as a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services.

An emergency resolution is used when there is an emergency situation that permits a public agency to enter into contracts for public work projects without competitive bidding when the total cost exceeds \$15,000. PCC Section 20113 defines an emergency as when any repairs, alterations, work, or improvement are necessary to any facility of public schools to permit the continuance of existing school classes, or to avoid danger to life or property. In this case, the BOE may, by unanimous vote, with the approval of the county superintendent of schools, do either of the following: make a contract in writing or otherwise on behalf of the district for the performance of labor and furnishing of materials or supplies for the purpose without advertising for or inviting bids or authorize the use of day labor or force account⁶ for the purpose.

c. Public Policy Exception

The purposes of competitive bidding statutes are to secure economy in the construction of public works and the expenditure of public funds for materials and supplies needed by public bodies; to protect the public from collusive contracts; to exclude favoritism and corruption and to promote competition among bidders to ensure that all public contracts are secured at the lowest cost to taxpayers.

However, where competitive bidding proposals do not produce an advantage, a statute requiring competitive bidding does not apply. The law in California on this point holds that where competitive bidding works an incongruity and is unavailing as affecting the final result, or where it does not produce an advantage or it is practically impossible to obtain what is required and observe such forms, then competitive bidding may be dispensed with.

When change orders exceed ten percent of the original contract price, the BOE, by resolution, may find that this exception applies and approve the change orders.⁷

d. Alternative Competitive Bid Process—CUPCCA

The Uniform Public Construction Cost Accounting Act ("Act") was created to promote the uniformity of cost accounting standards and bidding procedures on construction work performed or contracted by public entities in California. The Act raises the formal bid thresholds for public entities to \$200,000 and sets forth specific informal and formal bidding procedures for projects below that threshold.

On January 26, 2016, by Resolution No. 2015-2016-013 the BOE adopted CUPCCAA procedures,⁸ and by Resolution No. 2015-2016-14 adopted informal bidding procedures also on January 26, 2016.⁹ The

⁶ See Section B.1.f below.

⁷ Performance Audit Observation 9H improvement Recommendation

⁸ Resolution No. 2015-16-13 is included in Appendix F

⁹ Resolution No. 2015-16-14 is included in Appendix F

State Controller was notified on and accepted the District's election to become a participating member of CUPCCAA on February 24, 2016.¹⁰

CUPCCAA allows for the following:

- (1) Public projects of \$60,000 or less¹¹ may be performed by the employees of a public agency by force account, by negotiated contract, or by purchase order.
- (2) Public projects of \$200,000 or less may be let to contract by informal procedures as set forth below.
- (3) Public projects of more than \$200,000 shall be let by formal bidding procedure with the exception that if all bids received are in excess of \$200,000, the BOE may, by passage of a Resolution by a four-fifths vote, award the contract at \$212,500, or less, to the lowest responsible bidder, if it determines the cost estimate of the District was reasonable.

CUPCCAA's informal bidding procedures require the District to notify specific trade journals each year in November and generate a list of interested contractors from contractor responses received by the District from the trade journal notifications to establish a list of qualified contractors according to category of work for the next calendar year.

Contractors are asked to submit a request including specific information to the District for inclusion in the District CUPCCAA master list. The required information includes:

- The name and address to which a notice or request for quotation should be mailed;
- A telephone number at which the contractor can be reached;
- The type of work in which the contractor is interested and for which they are currently licensed; and
- The class of license(s) he/she currently possess.

In addition, the District includes any contractor it desires and includes any contractor who requests to be added to the list during the year, so long as the contractor provides the District with the required information.

After this Master List is created, the District must provide all contractors on the Master List with notice for each contract exceeding \$60,000 to be bid in their categories of work at least ten calendar days before bids are due. Additionally, the District is required to notify the construction trade journals when formally bidding contracts over \$200,000, as a part of the Act's formal bid procedures.

¹⁰ Notification letter from state controller is included in Appendix F

¹¹ Increased from \$45,000 to \$60,000 effective 8/20/18

When procuring through CUPCCA, the Bond Manager will ensure that processes are followed by adhering to the CUPCAA checklists (Appendix C) and adding each project to the consolidated bid and procurement activity report.¹²

e. Emergency CUPCCAA

In an emergency, when any repairs, alterations, work or improvement are necessary to any facility of public schools to permit the continuance of existing school classes or to avoid danger to life or property, the governing board of a school district by unanimous vote and with the approval of the county superintendent of schools may make a contract in writing or otherwise on behalf of the district for the performance of labor and furnishing of materials or supplies for the purpose without advertising for or inviting bids.

For this policy, an emergency is a "sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to prevent or mitigate the loss or impairment of life, health, property, or essential public services." Instead of making a contract as stated above, the District may authorize the use of day labor or force account¹³ for such work.

Because the District has elected to become subject to CUPCCAA, different rules apply for emergency contracts issued under CUPCCAA. Under CUPCCAA, emergency situations are governed by PCC sections 22035 and 22050, et seq. In the case of an emergency, a CUPCCAA district may, by four-fifths vote of its governing body, repair or replace a public facility, take any directly related and immediate action required by that emergency, and procure the necessary equipment, services, and supplies for those purposes, without giving notice for bids to let contracts. The BOE must make a finding, based on substantial evidence set forth in the minutes of the meeting, that the emergency will not permit a delay to allow for a competitive solicitation for bids, and that the action is necessary to respond to the emergency. The Board may also delegate the authority to order any action authorized in the case of an emergency by resolution and a four-fifths vote.

f. Force Account Labor in lieu of Competitive Bidding

In a school district with average daily attendance (ADA) under 35,000, the governing board may make repairs, alterations, additions or do painting, repainting or decorating on school buildings, repair or build apparatus or equipment, make improvements on the school grounds, erect new buildings, and perform maintenance by day labor, or by force account whenever the total number of hours on the job does not exceed 350 hours. In a CUPCCAA district the force account limit is \$45,000. Force account is the dollar value of labor, materials and equipment at the rate the public agencies charge themselves. An entity's labor cost of a project is not calculated using prevailing wages. Labor

¹² Performance Audit 2016-17 Observation 9E Improvement Recommendation

cost calculations are based on the entity's actual cost of labor. Force account limits do not apply to maintenance work.

2. Materials and Supplies and Some Services

a. "Piggybacking" on other Public Agencies¹⁴

The governing board of a school district may, without advertising for bids, if the board has determined it to be in the best interests of the school district, authorize by contract, lease, requisition or purchase order, any public corporation or agency to lease data-processing equipment, purchase materials, supplies, equipment, automotive vehicles, tractors and other personal property for the district. Public Contract Code (PCC) does not authorize districts to "piggyback" on another agency's service contracts.

Effective January 1, 2007, PCC section 20118 was amended to clarify that a district is not required to make payment to the other public agency but may make payment directly to the vendor.

The governing board of a school district is also authorized to purchase materials, equipment or supplies through the State Department of General Services without advertising for bids.

To take advantage of piggybacking, the BOE is required to make a determination that a purchase through a public corporation or agency is in the best interest of the district. The BOE may then authorize the public corporation or agency, by contract, lease, requisition, or purchase order, to make a purchase on its behalf. Such authorization enables the public corporation or agency to include in its advertisement for bids, the quantity or nature of the personal property desired by the District.

Piggybacking is also a mechanism by which cooperative purchasing may be achieved. School districts should ensure that any out-of-state piggyback contracts, associated with a cooperative purchasing agreement or otherwise, complied with all California public contracting laws in procuring the subject of the underlying contract and that the contract terms are consistent with California law.

It is generally accepted that a contract for personal property may be piggybacked if it includes an incidental amount for labor or installation. The general rule is that these labor/installation services should not exceed more than ten percent of the contract work or else the contract should be competitively bid or a determination is made that the work is otherwise exempt from traditional public bidding requirements.

Where installation is less than ten percent of the contract, it is considered "incidental" and is not subject to the bidding procedures outlined in the PCC. If the labor/installation component is 50 percent or more of the total contract value, then it is not incidental and must be treated as a public works project.

¹⁴ Performance Audit Observation 9C Improvement Recommendation



However, where the labor/installation is beyond the ten percent threshold but less than 50 percent of the contract, the labor/installation is presumptively not incidental, and the burden is placed on a school district to determine otherwise. Where the labor/installation component is between ten percent and 49 percent, the District is advised to record and formalize any findings and the rationale in the approving resolution and any Board minutes, in order to protect itself in the event of a legal challenge.

The District may accept these contracts when the original contract has not passed the expiration date or exceeded its dollar amount (if limited); and it has provisions that allow for piggybacking, meets the DVBE requirements, and has been self-certified by the district originally conducting the bid; and the District has procured a copy of the original contract.

b. Acquisitions from California Multiple Award Schedules (CMAS) Including Acquisitions of Information Technology Goods and Services.¹⁵

The Procurement Division of the California Department of General Services can provide purchasing assistance to school districts without the necessity for the districts to go to bid. School districts need not competitively bid to utilize the "contracts, master agreements, multiple award schedules, cooperative agreements, or other types of agreements established by the department (CMAS) for use by school districts for the acquisition of information technology, goods, and services." It is certainly clear that school districts can use the CMAS acquisition process for technology goods and services and for goods when the Director of General Services makes these contracts, agreements and schedules available to them as it now does.

The Government Code defines Information technology as including but not limited to, all electronic technology systems and services, automated information handling, system design and analysis, conversion of data, computer programming, information storage and retrieval, telecommunications which include voice, video, and data communications, requisite system controls, simulation, electronic commerce, and all related interactions between people and machines."¹⁶

It is generally accepted that a CMAS contract may include labor/installation services if those services are "incidental" to the project. According to official CMAS program information, an agency purchase order may allow for a public works component only when it is incidental to the overall project requirements, describing "incidental" as meaning that the total dollar value of all services included in a purchase order must not exceed the dollar value of the products. This definition appears to mean that as long as the construction/labor/installation portion of the contract is less than fifty percent of the total project cost, CMAS can be used. This limit is in contrast to a much lower ten percent rule of thumb that applies to piggyback contracts.

¹⁵ Performance Audit Observation 9C Improvement Recommendation

¹⁶ Performance Audit Observation 9C improvement Recommendation

c. Contracts for Purchases Under \$50,000 (as adjusted--\$90,200 for 2018) for materials and supplies).

BHUSD Purchasing Department General Procedures (Excerpts)

All requests for goods and/or services shall be submitted by way of PeopleSoft requisition. (Contact the Purchasing Department for PeopleSoft Requisition Desk Manual and Approver Manual).

The requisition shall be electronically approved by the site administrator and the business fiscal services.

The requisition must be completely filled in with the following information: vendor name, address, phone number, fax number and contact (if any).

If the vendor is not in PeopleSoft, a request must be submitted. (See process below).

Vendors are required to send the District a W-9 and sign a Conflict of Interest form.

The requisition should specify:

- (1) Quantity needed.
- (2) Unit (each, dozen, set, etc).
- (3) Complete description of item being ordered, including stock number and ISBN numbers, if available.
- (4) Category (use the drop down tab to determine the category of the item ordered.)
- (5) Unit price.

Indicate shipping, freight or handling charges, if known, as a separate line item on the requisition. If unknown, purchasing will obtain the amount of freight and add it to the purchase order.

The District must pay sales or use tax for purchases of all goods. Sales tax in Los Angeles County is 9.25 percent (starting July 2018). This tax is paid on merchandise and sometimes shipping, even if the order is an out of state order. Purchasing will add sales tax when required.

Items being ordered should be entered directly into the PeopleSoft requisition system including the name of the person for whom the order is intended in the comment area. In cases where the list of items is extensive an excel attachment is permissible.

All backup to the requisitions (conference registration forms, list of supplies, quotes, proposals, reimbursement receipts, etc.) must be downloaded into the LACOE folder on the

OS (C:) drive and then attached to the requisition in PeopleSoft and sent into workflow for administrators to approve electronically. Directions are in the PeopleSoft Requisition Manual.

A copy of the completed purchase order will be returned to the school site/department to verify that the order has been placed.

How to Request a New Vendor in PeopleSoft

If there is a new vendor the following procedure should be followed:

- (1) Ask the vendor if its company accepts purchase orders.
- (2) Request a W-9 from the vendor. The vendor will also need to sign a conflict of interest form. (Purchasing Department will request the conflict of interest form from the vendor)
- (3) Send the W-9 to the Purchasing Department. (Purchasing cannot enter a vendor in the system without a W-9.)
- (4) Supply Purchasing Department with phone number, fax number, contact name and email if known.
- (5) Email or send information to purchasing. The FP&D will be notified when the vendor is entered and may then proceed with entering the requisition.

Note: The same procedures (#2-4) apply if you know the vendor has requested an address change.

Verification Procedures

All orders will be shipped to the site at which time they will be forwarded to the originator or assigned receiver.

Approvals

Invoices and requests for payment are reviewed and countersign two by members of the Bond Management Team. Signed invoices are sent to the Asst. Supt. of Business Services for approval and forwarding to Accounts Payable; applications for payment are routed to the Superintendent and the Asst. Supt. of Business Services for approval and forwarding to the Accounts Payable Department.

What is a Purchase Order?

A Purchase Order is a contract that obligates the District to pay the vendor for the listed goods or services. It states the BHUSD terms, and instructions to the vendor. The purchase order is mailed, faxed or e-mailed to the vendor from the Purchasing Department after the

internal requisition is processed along with any other paperwork necessary for services or delivery of product.

A purchase order can only be authorized by a BOE designated District representative.

There are several kinds of purchase orders. They include itemized, Open, Contracted Services, Maintenance Agreements, Leases, Travel and Conference, Improvement: Construction, Repairs etc.

Creating Requisitions/Purchase Orders

The C&FD creates a requisition in the PeopleSoft system. The requisition is forwarded through the electronic approval process. The budget account number, type of goods, services desired and dollar amount determine the approval path of a requisition. When the requisition completes the approval path, the Purchasing Department converts the requisition to a purchase order, obtains the necessary signature, and sends the purchase order to the vendor.

Urgent/Rush Purchase Orders

An urgent/rush purchase order will be issued when a situation arises that was unforeseen. It will be the responsibility of the site/department to enter the requisition and make sure everyone responsible has signed off on the requisition electronically. At that point the Purchasing Department can turn the requisition into a purchase order, obtain the administrative signature and send to the vendor.

3. Certain Technology Equipment and Supplies¹⁷

School districts may procure by a detailed request for proposal (RFP) and competitive negotiation computers, software, telecommunications equipment, microwave equipment, and other related electronic equipment and apparatus provided that the contracts are not for construction or for the procurement of any product that is available in substantial quantities to the general public.

Published notice is required. In the context of technology bids, there may a tendency to overlook the newspaper publication requirement, especially given that FCC Forms are posted on the USAC website and school districts often publish RFPs on their own websites. However, failure to follow California public bidding requirements, including newspaper publication, can serve as grounds for a bid protest and/or forfeiture of any eRate funding received for the contract.

The RFP must identify all significant evaluation factors and their relative importance. In addition to price, evaluation factors may include vendor financing, performance reliability, standardization, life-cycle costs, delivery timetables, support logistics, the broadest possible range of competing products and materials available, fitness of purchase, manufacturer's warranties, and similar factors. Procedures for technical evaluation of proposals must be in place. If award is not to the lowest priced bidder, the District "shall

¹⁷ Performance Audit Observation 9B Improvement Recommendation

make a finding setting forth the basis for the award." PCC section 20118.1 provides for an award to any of three lowest responsible bidders for data processing systems and supporting software.

The only manner in which it may be determined which of the bidders are the three lowest is if the bidders have responded to and agreed to meet the same bid specifications. When the District desires the flexibility to award to one of the three lowest responsible bidders, it must advise bidders of that flexibility in the bid documents and should refer to PCC section 20118.1.

4. Professional Services¹⁸

The District may contract with and employ any persons for special services and advice in financial, economic, accounting, engineering, legal or administrative matters if such persons are specially trained, experienced and competent to perform the special services required without competitive solicitation. These types of consultants may be selected through a competitive solicitation process as laid out below. For consultants on projects that will be wholly or partially funded by the State, a competitive solicitation process is required.

a. Professional Services over \$175,000

For the District, best practices dictate that professional services, not wholly or partially funded by the state, which will result in an agreement for more than \$175,000, shall be procured through a competitive process unless the BOE authorizes procurement of the services without a competitive process. The competitive process will be structured to choose competent professional firms or any other consultants to provide services for the District.

The committee, which is chaired by the Bond Manager, may include board members, a representative of the COC, Director of Maintenance and Operations, and the Purchasing Agent. The committee will evaluate the information, interview the short-listed candidates, select the best qualified professional services firms/consultants for projects and recommend those most qualified professional services firms/consultants to the BOE to receive the contract award. In certain cases where the scope of services is limited, an interview process may not be considered necessary. The BOE may accept or reject the committee's recommendation.

Step 1: Preparation of A Request for Qualifications (RFQ)

An RFQ invites professional firms, vendors, or consultants interested in competing for the services to respond to the RFQ.

The RFQ follows a set format to request a statement of qualifications (SOQ) for professional firms/consultants to provide services for K-12 projects. The particular RFQ will be edited for the specific work scope solicited.

¹⁸ Performance Audit Observation 9A Improvement Recommendation.

The RFQ includes dates and a schedule that will be met throughout this phase of the selection process. It will also include a reference number obtained from the Purchasing Department.

Step 2: Posting of the RFQ

The RFQ will be posted on the District website. In addition, the Bond Manager will notify potential consultants that the RFQ is available. The RFQ may be advertised in a newspaper of general circulation at the option of the Bond Manager. Any questions received and the answers will be posted on the District website. Any addendum needed to the RFQ will be posted on the website.

Step 3: Submission of Statements of Qualifications (SOQ)

The professional services firms/consultants must submit their qualifications by the deadline contained in the RFQ. The District reserves the right to refuse any SOQs that are submitted after the deadline. The Bond Manager will receive and log in all documents.

Step 4: Formation of a Selection Committee

A selection committee chaired by the Bond Manager, which may include board members, representatives from the COC, Director of Maintenance and Operations, and the Purchasing Agent, will be created.

The chair will notify the committee members of their selection and the schedule for the interviews.

The chair or designee will prepare a rating spreadsheet in order to evaluate the qualifications submissions.

Step 5: Short listing of the Most Qualified Firms

Upon receipt of the SOQs, the selection committee will screen the SOQs to determine which firms are the most qualified and to determine a short list of which will be interviewed for the project. The short list should be a minimum of three, if possible, of the most qualified firms/vendors/consultants based on the requirements outlined in the RFQ.

The Committee will review the SOQs and rate the respondents based on selection criteria of:

- Experience with the specific service being requested in modernization/renovation and structural upgrade projects

- Experience with the DSA, if relevant;

Understanding of the scope of work, possible problems and solutions; management methodology to accomplish project;

Financial data and ability to meet insurance requirements;

After the short list of the professional services firms/consultants is developed, the Bond Manager will notify the shortlisted firms by phone and mail or e-mail that they have been invited to interview. The professional services firms/consultants not receiving an invitation will be sent a letter or an e-mail notification of their status. If an interview process is deemed unnecessary, the most qualified firm will be determined and process jumps to step 7.

Step 6: Interviews (If Required)

In this step, the Selection Committee interviews the shortlisted professional services firms, vendors, or consultants and creates a ranked list of the most qualified firms to do the work. The Bond Manager will arrange the interviews.

The Selection Committee will interview each of the firms for 30 to 60 minutes. At the end of the interview process of all of the firms, a formal scoring and discussion will take place to determine the ranked list.

Step 7: Board of Education Approval

The Bond Manager will prepare an agenda item requesting the BOE to approve the firm(s) determined by the Selection Committee to be the most qualified.

Step 8: Contract Negotiations

The Bond Manager will negotiate with the selected professional services firms/consultants to create a fair and equitable contract to perform the work utilizing the District's standard form of agreement.

The negotiations will be based on a clear scope of work and fee for the project.

The professional services firms/consultants will submit a fee proposal based on their understanding of the scope of work. The Bond Manager will review the draft proposal and fee and make suggestions that will be given back to the professional firm. There may be several iterations of this step. The end result will be a proposal that is balanced and appropriate for the proposed scope.

In the event a fee cannot be negotiated, the District has the option of terminating negotiations and starting negotiations with the second most qualified firm. The District can move to the third most qualified firm if negotiations fail with the second.

Step 9: Contract and Execution

Once a proposal has been accepted by the District, an agenda item is submitted for by the BOE. After BOE approval, an agreement is prepared and routed for signatures. Then the Consultant, the Superintendent and/or his designee will execute the contract.

Step 10: Issue and Commencement

Copies of the agreement shall be distributed. Prior to commencement of any services, the consultant shall provide all insurance documents and a copy of its City of Beverly Hills business license. Once received, a notice to proceed shall be issued by the Superintendent or his designee, and the services scheduled with the Bond Manager.

b. Professional Services Under \$175,000¹⁹

For services under \$175,000, utilizing a competitive solicitation process (RFQ) is optional at the discretion of the Bond Manager. If an RFQ is not utilized, efforts made to ensure the best value for the District should be documented in the project file and the activity logged into the consolidated bid and procurement checklist and activity report. By approving this Manual, the BOE delegates authority to the Superintendent or designee to negotiate and execute consultant agreements for ongoing and anticipated school construction, modernization and maintenance projects up to \$175,000. Such agreements will then be ratified by the BOE. For professional services above \$175,000, the BOE shall approve the agreements prior to services being rendered.

The Superintendent is authorized to approve amendments up to ten percent of the original agreement amount for each amendment. Such amendments would then be ratified by the BOE. An amendment exceeding ten percent of the original contract price must be approved by the BOE prior to services being rendered.

C. PROJECT DELIVERY METHODS MOST OFTEN USED IN THE DISTRICT²⁰

Construction projects in the public works sector are procured and constructed using various delivery methods. The decision to use a specific method depends on numerous project factors: complexity of the work, dollar value, fund sources, project phasing, completeness of the design, willingness of the District to take on risk, and time constraints. The decision to proceed with a specific method must be determined in the early phases of a project. Delayed decisions on the delivery method, can hamper the design process, ultimately leading to cost overruns and schedule delays. The most common delivery methods used by the District are traditional design-bid-build and lease-leaseback.

1. Design-Bid-Build

¹⁹ Performance Audit Observation 9A Improvement Recommendation

²⁰ ACCM Project Delivery Handbook, A Guide to California School and Community College Facility Delivery

Design-Bid-Build (DBB) is the traditional construction delivery method used to complete construction projects in the public sector. The DBB model separates design and construction responsibilities by awarding them to an architect and/or engineer (A/E) and a general contractor (GC). By doing so, DBB separates the delivery process into three phases: design phase, bid and award phase, and construction phase.

During the design phase, the District awards a design contract to an architect. The architect is responsible for completing a final project design and providing detailed construction drawings, specifications and supporting documents.

In the bid and award phase, the District. General contractors (GC) are invited to submit competitive, lump-sum bids, and the District awards the construction contract to the GC submitting the lowest responsive responsible bid for a lump sum price. The project then moves into the construction phase.

The District retains responsibility for monitoring the GC's performance by hiring inspectors of record and usually retains the architect to provide administration of the construction phase.

2. Lease-Leaseback

The lease-leaseback approach is to select an organization, commonly referred to as the developer-contractor, to develop a new building or improve buildings on property the District owns. A construction management firm may serve as a developer/contractor. A common mechanism is to simultaneously execute two lease documents, a site lease and a facilities lease. A site lease of the property gives the developer-contractor the right to develop the project. A facilities lease gives the developer-contractor the obligation to develop the project and to lease the improvements and the site back to the District, with the District's owning the improvements when the leases expire.

The statutes authorizing this approach are very broad and, therefore, many variations and different approaches to lease-leaseback have been refined. Different districts and their attorneys have used or allowed different approaches to financing, if any; and selection of the developer-contractor, design responsibility, lease terms, and method of selecting trade contractors. This flexibility is the main attraction for lease-leaseback.

Under lease-lease back the contracted entity may provide design assistance or hold the complete design responsibility. The contract is responsible for construction with some or all design accountability.

Preconstruction work by the developer-contractor up to the time of signing of leases is sometimes conducted under a preliminary services agreement, although some attorneys draft leases that are signed immediately and then amended as design and pricing are developed. Some attorneys draft leases providing for pre-construction services, even design

responsibility, with language that calls for an amendment to give approval for construction to proceed including setting the date of completion and the guaranteed maximum price.

The District retains responsibility for monitoring the contractor's performance by hiring an inspector of record (IOR) and usually retains the architect to provide administration of the construction phase.

Section 8

Construction Administration

Covered in this Section

A. Introduction

B. Construction Admin. Team

1. Bond Manager
2. Design Professional
3. Division of State Architect (DSA)

C. Mobilization

1. Procore Set Up
2. Project File Hardcopy
3. Initial Project Overview Form
4. Test Inspections List

D. Schedules

1. Contract Time
2. Commencement Date
3. Substantial Completion
4. Completion Date
5. Schedule Definition
6. Master Project Schedule
7. Schedule Updates
8. Working Schedule (6-week look ahead)
9. Additional Components
10. Submittals and Shop Drawings Schedules

E. Temporary Facilities

F. Construction Site Best Management Practices (BMPs)

G. Contacts with Public and Media

H. Concerns and Complaints

I. Photographs and Videos

J. Communications

K. Project Meetings

L. Contract Documents

M. Labor Compliance

N. Record Requests

O. IOR's Duties and Responsibilities

1. Daily Inspection Reports

2. Test Reports

3. Semi-monthly Reports

P. Inspection and Testing

1. Inspection
2. Testing
3. Disputed Testing Items

Q. As-Built

R. Delays

S. Payment Applications

1. Retention
2. Progress Payments to Contractor
3. Stored Materials

T. Submittals and Shop Drawings

U. Quality in Construction

1. Control of Work
2. Quality of Construction Plan
3. Work Stoppages
4. Power Outages

V. Change Management

1. Requests for Information (RFIs)
2. Potential Change Order
3. Owner Requested Changes
4. Unforeseen Circumstances
5. Time Extensions
6. Change Order (CO)

W. Schedule of Values

1. Breakdown of Schedule of Values
2. Based on Contractor Cost
3. Largest Dollar Value for Each Line Item
4. Allowances
5. Labor and Materials Separation

X. Labor Relations

1. DIR Registration
2. Apprenticeship

A. INTRODUCTION

Projects must start and be maintained in a professional and orderly fashion. Construction administration ensures that projects are run in compliance with District, code, and agency requirements. Once the construction contract is awarded, the Bond Management Project team provides guidance regarding continued compliance throughout the project duration. Construction administration includes maintaining the integrity of the schedule, cost, and updates to the contract documents while tracking and reporting on the status on each element with the potential for impact to mitigate claims.

B. CONSTRUCTION ADMINISTRATION TEAM

1. Bond Manager

In the Construction Administration process, the Bond Manager is the designated representative of the District and has primary responsibility for communicating with the Contractor(s). The Bond Manager will handle all matters relating to the contract within the limitations set forth in this manual and the contract documents. The Bond Manager works with the Contractor in a professional, cooperative, and business-like manner. Absolute integrity is maintained. Fraternization with the Contractor's staff is discouraged. The acceptance of gifts or favors from Contractors is forbidden. All contact will be made with the authorized representatives of the Contractor, and not with subcontractors or vendors. The Bond Manager will not give direction to subcontractors. The Bond Manager:

- Assures that the contract is administered in a fair and equitable manner and all contractual actions are accurately and completely documented.
- Acts as liaison with the Board of Education, site staff and other district departments.
- Acts as liaison with the DSA Field Engineer, utility companies, public agencies, and other governmental authorities whose facilities are affected by the project.
- Assures that the Design Professional and IOR document the Contractor's work for compliance with the plans, specifications, and contractual provisions for the project.
- Updates project progress reports at BOE, COC, Facilities Subcommittee and other stakeholders, as needed.
- Monitors, reviews, approves, and tests as required by the specifications and contract documents.
- Provides guidance to the Design Professional in the interpretation of the contract drawings and specifications, when clarification of the Owner's intent is needed.
- Assures that the IOR and Design Professional reject work which is not within contractual quality or which otherwise fails to meet other contract requirements.
- Stops work when imminent danger to personal safety or property is identified.
- Reviews and approves contractor Applications for Payment and forwards to Superintendent for signature.
- Reviews Change Order Requests, negotiates change, and recommends approval when appropriate to the BoE.

- Administers the District's interest and requirements with DSA using DSABox.

2. Design Professional

The design professional of record or designee is the primary contact for the design firm and will be responsible for the duties outlined in the design consultant contract. Typically, this role is fulfilled by the architect or an engineer.

3. Division of the State Architect (DSA)

DSA provides construction oversight for all public K-12 school facilities in the state. The DSA ensures all public school construction complies with the state building codes and provisions of the Field Act. The Field Act contains additional building requirements specifically for public school construction, including:

- Superior structural provisions for seismic safety.
- Drawings and specifications must be prepared by licensed design professionals.
- Continuous construction project oversight by inspectors certified and approved by the DSA.
- Required verified reports from the project inspector, the design professional, and contractors.

School facility project plans must be approved by the DSA before a school district can enter into a construction contract and before a school district can submit an application for funding from the State Allocation Board (SAB). DSA's approval process consists of three phases: 1. Plan Review 2. Construction Oversight 3. Closeout and Certification

a. Plan Review

Once plans are submitted, DSA conducts a code compliance review for:

- Structural Safety
- Fire and Life Safety
- Accessibility
- Energy Efficiency (if high performance funding is requested).

b. Construction Oversight

After plans are approved, the design professional or proposed inspector notifies DSA of the start of construction. DSA reviews the qualifications and approves the proposed project inspector. Visits to the construction site are scheduled by DSA field staff, who report on the construction and performance of the project inspector to verify compliance with the approved project plans and specifications. During site visits, DSA staff work closely with the project inspector to assure that the intent of the plans and specifications are achieved and that all required approvals are properly administered by the design professional. DSA field staff review and approve all construction change documents, review all inspector and laboratory reports and make recommendations regarding the closeout and certification of construction. DSA also

has authority to stop any construction in violation of building code. DSA staff work closely with the design professional to achieve code compliance and to administer construction certification.

During the construction phase, many administrative and technical documents are generated and submitted to the DSA, including:

- DSA-5: Inspector Qualification form
- DSA-102: Contract Information form
- Addenda, deferred approvals, and revisions
- Inspector's semi-monthly reports
- Construction deviation notices
- Lab test reports
- Special inspection reports
- CCDs (Construction Change Documents)
- Correspondence

c. The Project Inspector

As referenced in Section IV, the Project Inspector is responsible for the DSA compliance of the project through daily inspections, oversight of materials testing, and coordination with special inspectors. The procedure for the Inspector of Record (IOR) is outlined in DSA for PR 13-01¹: Construction Oversight Process. This form outlines the responsibilities and procedures of DSA during the construction process.

d. DSA Accepted Project Labs:

The testing lab for the project must have DSA acceptance through DSA's Laboratory Evaluation and Acceptance Program² prior to providing material testing or special inspection services on public school or essential services building construction projects under DSA jurisdiction. A laboratory is typically accepted into the Laboratory Evaluation and Acceptance Program for a four-year period, unless the acceptance is withdrawn for failure to continue to meet the requirements of the currently effective California Building Code, Title 24, Part 1, Sections 4-335, 4-335.1 and 4-336.

e. DSAbbox

DSAbbox is a secure cloud based collaborative solution initiated by the Division of the State Architect (DSA) to allow greater transparency and communication between DSA field engineers and designated stakeholders. DSAbbox allows DSA to set folder permissions to document folders, versioning control, 24/7 mobile and desktop access, and internal enterprise reporting for all documents submitted.

¹ DSA PR 13-01 Procedure: Construction Oversight Process (see Appendix c)

² DSA 100-PRE: General Instructions for Applying to the DSA Lab Evaluation and Acceptance Program (see Appendix c)

DSAbbox allows internal and external stakeholders to share, view and collaborate in real time in one location on the web³. Forms which historically were mailed, processed and filed in a cabinet can now be posted online in a matter of seconds, providing significant savings in both time and money. In addition, the ability to access the document is immediate and online, as compared to being stored in a location which was historically inaccessible to external stakeholders.

All members of the construction team will use the DSAbox for DSA required documents and job cards.

f. Closeout and Certification

Project closeout is the process that DSA uses to determine that the constructed project complies with the codes and regulations governing school construction. Project closeout consists of examination of specific project files for documents required to be submitted before, during and after construction, and to determine if outstanding issues have been resolved. After the file is examined, the project file is closed either with certification or without certification.

Project certification is a letter issued by the DSA certifying that the building project has been completed in accordance with the requirements⁴ as to the safety of design and construction pursuant to Education Code Sections 17280-17316 and 81130-81147.

C. MOBILIZING THE PROJECT

Mobilization means “to make ready” by reviewing and bringing together the factors of the construction project, i.e., contract documents, bid package and anticipated construction methodology as well as field staffing in order to put into motion a well-organized plan of action.

1. Procore Project Set Up

Use the Project Creation Assistant to add a new project. Following are the steps:

- a. Launch the Project Creation Assistant
- b. Add Project Details
- c. Add and Remove Tools in the Project Toolbox
- d. Add Project Cost Codes
- e. Update Directory
- f. Upload Drawings
- g. Upload Specifications
- h. Upload Schedule

³ Access to DSAbox Information & Instructions can be found at
<https://dsabox.app.box.com/s/cddhjymdms4v9vtc6ft5/folder/1111639287>



Launch the Project Creation Assistant

1. Navigate to the company's **Portfolio** tool.
This reveals the Portfolio page.
2. Click **Create Project**.

+ Create Project

This launches the Project Creation Assistant.

Add Project Details

1. Make sure **Project Details** is highlighted in the right sidebar.
2. Under **General Information**, do the following:

- a. **Project Template.** Choose a project template from the list or choose 'Do Not Apply a Template'.

Notes:

- This field is only visible and available when the project templates feature is enabled on your company's Procore account.
 - To select a template from the list, the desired project template must be active. See [Configure a Project Template](#).
- b. **Project Name.** Enter the project name. This is the street address or construction project name. It displays in a variety of places in the Procore web application, including the Select a Project menu, CSV and PDF exports, and custom reports.
- c. **Project Photo.** Click the photo area and then upload the photo that you want appear as the project photo on the project's Home page. The image must not exceed the 3MB maximum. It must also be saved in the GIF, JPG, or PNG file format. To change this photo at a later time, see [Add or Edit General Project Information](#) or [Add a Project Photo](#).
- d. **Project Type.** Select a project type from the drop-down list. These selections are created with the company's Admin tool. See [Add a Custom Project Type](#).
- e. **Project Stage.** Select a project stage from the list. Depending on your selection, additional Procore features may be enabled (e.g., if you select the *Bidding* stage, the project's Bidding tool will be enabled in Procore). These selections are created with the company's Admin tool. See [Add Custom Project Stages to Your Company](#).
- f. **Job Number.** Enter a unique project ID or number to differentiate it from other company projects.
- g. **Estimated Start Date.** Select the project's anticipated start date. Later, you can compare this date with the 'Actual Start Date.' Note: The 'Actual Start Date' field will inherit the 'Estimated Start Date' value that you enter here, unless you upload a project schedule. See [Upload a Project Schedule File to Procore's Web Application](#) or [Integrate a Microsoft Project Schedule using Procore Drive](#).
- h. **Estimated End Date.** Select the anticipated project completion date. Once the project has begun, you can compare this field against the actual finish date.
- i. **Project Description.** Enter a brief project summary.
- j. **Estimated Project Value.** Enter the anticipated project value upon completion. Enter a value to the nearest whole number. For example, if your project's estimated value is \$18 million dollars, enter \$18,000,000.00 in the box.

3. Under **Account and Contact**, do the following:

ACCOUNT AND CONTACT

| | | |
|---|---|--|
| <p>Office</p> <div>Headquarters ▼</div> | <p>Project Address</p> <div>955 S Seaward Ave</div> | |
| <p>Country</p> <div>United States</div> | <p>State</p> <div>California</div> | |
| <p>City</p> <div>Ventura</div> | <p>ZIP</p> <div>93001</div> | |
| <p>Timezone</p> <div>(GMT-08:00) Pacific Time (US & Canada) ▼</div> | <p>Job Phone</p> <div>(805) 555-0000</div> | <p>Job Fax</p> <div>(805) 555-0001</div> |

a. **Office.** Choose the office that is managing this project. These selections are created in the company's Admin tool. See [Add an Office Location](#).

b. **Project Address.** Enter the job site's physical address.

Notes:

- If your company's is using the Procore+ Sage 300 CRE integration, do NOT enter commas (,) in the Project Address field.
- Procore's 'Project Address' and 'ZIP' fields are integrated with third-party services:
 - Dark Sky ([Dark Sky](#)). This service permits the display of 'Project Weather' information on the Procore project's Home page, as well as under the 'Observed Weather Conditions' information in the project's Daily Log Tool.
 - Procore also uses a third-party service to automatically determine the County name. Since this is auto-determined, there is no data-entry for County in the Create New Project page. To change the County value, see [Add or Edit General Project Information](#).
 - If you experience any issues with a third-party weather service, see [Why isn't my project weather working?](#) and [Why are the weather conditions not showing on my Daily Log weather log?](#)

c. **Country.** Select the country from the drop-down list.

State. Select the state from the drop-down list.

d. **City.** Enter the full city name. *Note:* Do NOT abbreviate the city name.

e. **ZIP.** Enter the ZIP/postal code.

f. **Timezone.** Choose the correct time zone for the project. This time zone will determine time stamps on items in the project.

g. **Job Phone.** Enter in the main contact phone number of the job site. Team members will be able to see this phone number and use it if desired.

h. **Job Fax.** Enter the onsite fax number here (if available). This gives team members the ability to see and use the project's fax number when needed.



Beverly Hills Unified School District

Adopted by the BHUSD Board of Education October 9, 2018

4. Under **Advanced**, do the following:

ADVANCED

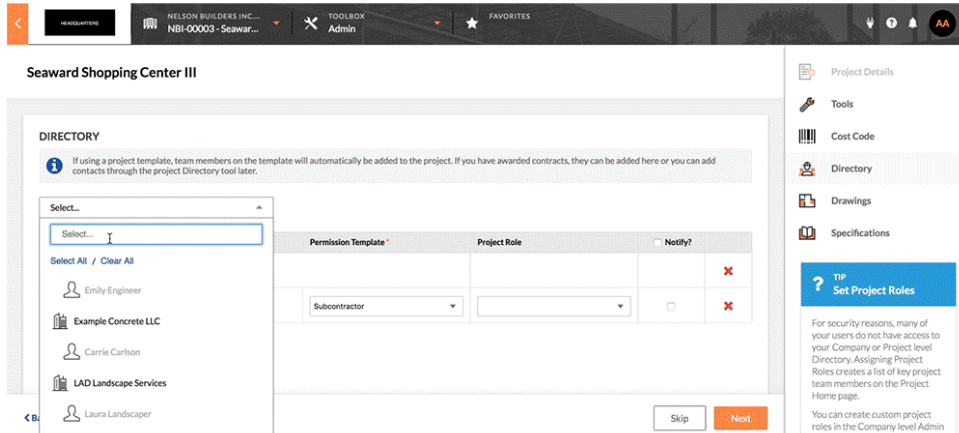
Project Flag: Green
Departments: Shopping Centers
Bid Type: Competitive Bid
Owner Type: Owner Builder/Developer
Square Feet: 260000
Program: Private
Region: West
Parent Job: Seaward Shopping Center I
Warranty Start Date: 04/14/2018
Warranty End Date: 04/16/2019
Active Project? ☒
* required field

[Go to Portfolio](#) [Create Project](#)

- Project Flag.** Select a color for the project flag from the drop-down list. The system's default color selections are: RED, YELLOW, and GREEN. This lets you visually organize your projects (e.g., you might want to flag internal projects as RED and commercial projects as GREEN).
 - Departments.** Select one or more departments who have responsibility for the project. These departments appear in the Timecard and Directory tool, and may also appear in other Procore tools depending on your company's specific configuration. These selections are created with the company's Admin tool. See [Custom Company Projects](#).
 - Bid Type.** Select the bid type from the list. These selections are created with the company's Admin tool. See [Add a Custom Bid Type](#).
 - Owner.** Select the owner type from the list. These selections are created with the company's Admin tool. See [Add a Custom Owner Type](#).
 - Square Feet.** Enter the project's square footage.
 - Program.** Select the program under which to classify your project. You can view your projects by program with the Programs tool. These selections are created with the company's Admin tool. See [Create Company Programs](#).
 - Region.** Select the region into which you want to classify your project. You can view projects by program with the Portfolio tool. These selections are created with the company's Admin tool. See [Add Project Regions](#).
 - Parent Job.** Select the name of the parent project in Procore from the list. In Procore, a *parent job* is a Procore project that has been designated as the 'parent' project for one or more related project(s) in Procore's Portfolio tool. To learn more, see [What's the difference between a job, a parent job, and a sub job?](#)
 - Warranty Start Date.** Select the start date for the construction [contract warranty](#).
 - Warranty End Date.** Select the end date for the construction contract warranty.
 - Active Project?** Place a checkmark in this box to classify the project as *Active* (recommended) or clear the checkmark from the box to classify it as *Inactive*.
- Click **Create Project**.
This button turns GREY and becomes unavailable for further use.
 - Choose from these next steps:
 - If you applied a project template and the template defines the desired project tools, you will skip to [Add Project Cost Codes](#).
 - If you did not apply a project template or your template does not define the desired project tools, you will continue with [Add and Remove Tools in the Project Toolbox](#).

Update Directory

1. Make sure **Directory** is highlighted in the right sidebar.
This reveals the Directory page.



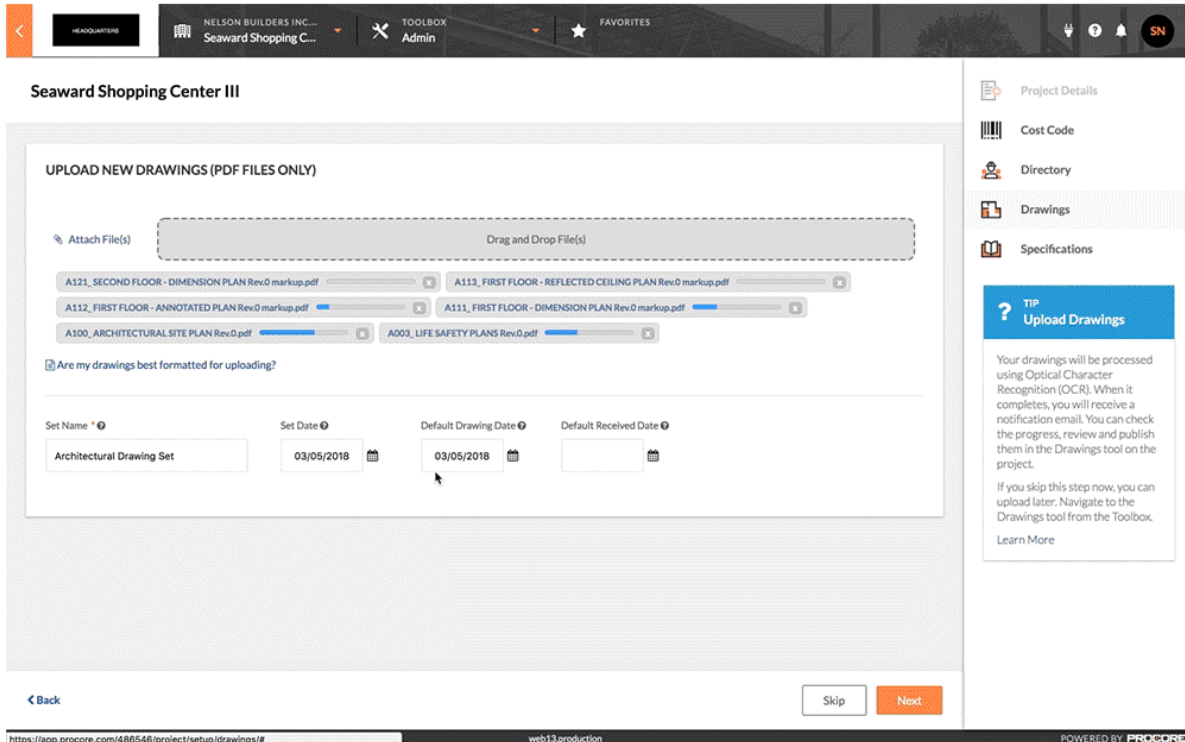
2. Add contacts and companies from the Company Directory to your Project Directory as follows:
 - a. If your project is based on an existing project template, you can add all of the companies and employees for those companies by clicking **Select All**.
 - b. To add a company from Procore's Company Directory and all of that company's employees, begin typing the company name. When the system finds the appropriate match, select the company from the list. This adds both the company and people to the Project Directory.
 - c. To add a person, begin typing the person's name. When the system finds the appropriate match, select that person from the list:

Notes:

 - If you want to remove a company or a person, click the RED 'x'.
 - If you want to remove all company or people, click **Clear All**.
3. For each person that you've selected to add, do the following:
 - a. **Permission Template.** Select the desired permission template from the list or choose 'Apply a Template Later.' *Important!* This is a required setting for all of the users that you intend to add. To learn how the selections in this list are created, see [Manage Permission Templates](#).
 - b. **Project Role.** Select the project role for the user. The selection you make here will list the person for each selected role on the project's Home page. To learn how the selections in this list are created, see [Add a Custom Project Role](#).
4. Click **Next**.
A GREEN banner appears at the top of the page to confirm the number of companies and people added.

Upload Drawings

1. Make sure **Drawings** is highlighted in the right sidebar.
This reveals the Upload New Drawings (PDF Files Only) page.
2. Do the following:



- To learn how to format drawings before uploading them to a project, see [How can I improve the accuracy of OCR on my drawings?](#)
- To skip this step and upload your project's drawing(s) at a later time, click **Skip**. When you are ready to upload your drawings, see [Upload Drawings](#).
 - a. **Attach File(s)**. Click this button to choose from these options: *Upload a file from your computer*, *Select a file from Procore*, or if you have enabled the Box integration, *Select a file from Box*.
OR
 - b. **Drag and Drop File(s)**. Use a drag-and-drop operation to move files from your computer or network to this area on the page.
 - c. **Set Name**. Enter a name for the drawing set.
 - d. **Set Date**. Select a date for the drawing set using the calendar control.
 - e. **Default Drawing Date**. Select a date for the drawing(s) using the calendar control.
 - f. **Default Received Date**. Select the received date for the drawing(s) using the calendar control.
- 3. Click **Next**.
The system processes the drawings in the background.
Note: You do NOT need to wait for the upload to complete. When finished, the system sends you an automated email notification with the subject line, "Drawing Upload Complete."
To learn how to review and publish your drawings, see [Review Drawings](#) and then [Publish Drawings](#).



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Adopted by the BHUSD Board of Education October 9, 2018

Upload Specifications

1. Make sure **Specifications** is highlighted in the right sidebar.
The **Upload Specifications (PDF Files Only)** page appears.

Note: If you want to skip this step and upload a specification at a later time, click **Skip**. This closes the Project Creation Assistant. When you are ready to upload your specifications at a later time, see [Upload Specifications](#).

2. Do the following:

The screenshot displays the 'Upload Specifications (PDF Files Only)' page. At the top, there's a navigation bar with 'Nelson Builders Inc.' and '2565 - Seward Sho...'. Below this, the main heading is 'Seward Shopping Center III Expansion'. The central area is titled 'UPLOAD SPECIFICATIONS (PDF FILES ONLY)' and features a large dashed box for 'Drag and Drop File(s)'. To the left of this box is an 'Attach File(s)' button. Below the drop zone, there's a note: 'All files must be PDFs. Are my specifications best formatted for uploading?'. Further down, there are four input fields: 'Set Name*' (containing 'Spec Book: Seward III Expansion'), 'Set Date' (01/15/2018), 'Default Issued Date' (01/15/2018), and 'Default Received Date' (02/01/2018). At the bottom left is a '< Back' link, and at the bottom right are 'Skip' and 'Next' buttons. The right sidebar contains links for 'Project Details', 'Cost Code', 'Directory', 'Drawings', and 'Specifications' (which is highlighted). A blue box titled 'TIP Upload Specifications' provides information about Optical Character Recognition (OCR) technology and offers a 'Learn More' link.

Notes:

- To learn how to format specifications before uploading them to a project, see [How can I improve the accuracy of Specification Section Identification?](#)
 - a. **Attach File(s)**. Click this button to choose from these options: *Upload a file from your computer*, *Select a file from Procore*, or if you have enabled the Box integration, *Select a file from Box*.
OR
 - b. **Drag and Drop File(s)**. Use a drag-and-drop operation to move files from your computer or network to this area on the page.
 - c. **Set Name**. Enter a name for the set.
 - d. **Set Date**. Select a date for the set using the calendar control.
 - e. **Default Issued Date**. Select a date for the file(s) using the calendar control.
 - f. **Default Received Date**. Select the received date for the file(s) using the calendar control.

3. Click **Next**.

The system processes the specification upload.

Note: You do NOT need to wait for the upload to complete. When finished, the system sends you an automated email notification with the subject line, "Specification Upload Complete." To learn how to review and publish your specifications, see [Review and Publish Specifications](#).

2. Project File Hardcopy

Sequence of File Name: **Project Site – Project Name – Project Number**

Correspondence

Architect

Engineers/Designers

Reports

Contract

Financial:

Change Order Log

Applications for Payment w SOV

Change Order 1, etc.

Estimate

PCOs
Negotiation Correspondence
DIR
DSA
Insurance
Issue 1 – Name, etc.
Logs/Registers
RFI
Submittals
Closeout
Meetings
Owner
Contractor
Special
Records Requests
Schedules

3. Initial Project Overview – FORM

After creating the Project file, an initial review of a new project is the first step in initiating Construction Project Administration. The review includes a status check of the following:

Project Name

Project Number

Date of BoE Award

Date of Notice to Proceed

GC Project Manager & Assistant Project Manager and contact information

Superintendent(s) and contact information

Architect & Representative and contact information

Engineers (Civil, Structural, Mechanical, Electrical, Plumbing) and contact information

CONTRACT DOCUMENTS:

Plans with date and DSA Approval set date (if different)

Specifications date and DSA Approval set date (if different)

List of Bid Addendums documents with index list including dates

Prime Contract documents with index list including dates



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CONTRACT FINANCIAL SUMMARY Outline

Base Bid: \$ _____

Alternate: () \$ _____ (Add – Deduct) Total Alternates \$ _____

Alternate: () \$ _____ (Add – Deduct) Total Contract \$ _____

Alternate: () \$ _____ (Add – Deduct) Value \$ _____

Alternate: () \$ _____ (Add – Deduct)

Liquidated damages

List of additional Contract Documents for this project:

Unit Prices (YES) _____ (NO) _____

Subcontractor List (YES) _____ (NO) _____ with percentages of work (YES) _____ (NO) _____

Prevailing Wage Notice (YES) _____ (NO) _____

Date of DIR PWC-100 and Assigned Number

Payment Bond (YES) _____ (NO) _____

Performance Bond (YES) _____ (NO) _____

Due Date for CPM Schedule:

Contract Completion Time: _____ (W.D. or C.D.)

What is Completion date specified within contract documents? _____

How much time is allowed for contractor to commence work after notice to proceed is received?
_____ (W.D. or C.D.).

Name of Testing Lab: _____

Is Laboratory selected by the Owner or Contractor? _____

If by Contractor, does it require approval by the Owner/Architect? (YES) _____ (NO) _____

Are permits required (YES) _____ (NO) _____, who is responsible to obtain and pay for the permit? _____

Number of samples required for submittal: _____

Where are As-built drawings being developed and maintained during the course of this project: _____

Owner: _____ Architect _____ Subcontractor _____



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CHANGE ORDERS - What is the format for pricing change submissions?

Itemized breakdown: _____ Lump Sum _____ Unit Pricing _____

Is there an allowed mark-up for the subcontractors? (YES) _____ (NO) _____ %

DELAYS - Any delays to the project must be documented within _____ days of the occurrence by means of a time extension request.

PAYMENTS - Progressive payments are based on the period of the _____th of each month to the _____th of the following month.

List allowances provided by the contract documents:

Item: _____ Amount: \$ _____

Item: _____ Amount: \$ _____

Item: _____ Amount: \$ _____

List contractor allowances required by the contract documents:

Item: _____ Amount: \$ _____

Item: _____ Amount: \$ _____

Item: _____ Amount: \$ _____

List district-furnished items or any separate prime contractors and their scope of work:

List all Contractor test and inspection requirements:

4. Test Inspections List

Attach a list of test inspections for this project contained in the Specifications.

D. SCHEDULES

1. Contract Time. Contractor shall perform and reach Substantial Completion within the time specified in the construction Agreement. Moreover, the Contractor shall proceed using a properly developed Master Baseline.

2. Commencement Date shall mean the Project commencement date found in the Notice to Proceed for the Project in accordance with the agreement.

3. Substantial Completion: The stage in the progress of the work when all of the requirements of the contract are completed, except punch list items, final warranties and guaranties, and record document submittals.

4. Completion Date is the date when all Work for the project must cease, all project related activities including the correction or completion of any remaining punchlist items. Monies shall be assessed against the contractor for any incomplete punch list items or undelivered record documents, and a Notice of Completion can be issued.

5. Schedule Definition. A schedule is the Contractor's view of the practical way in which the Work will be accomplished. Contracts include a requirement for a Baseline Schedule and regular Schedule Updates that show all Work to be completed during the Contract Time.

The contractor is responsible for preparing an ongoing, and periodically updated, Master Project Schedule for the Bond Manager's review and acceptance showing major construction milestones, including but not limited to: start of construction, mobilization, demolition, abatement, site work, foundations, structure, mechanical/electrical/plumbing/fire sprinkler (MEPF) systems, building envelope, exterior finishes, interior finishes, landscaping/hardscaping, and Project completion.

Contractor shall check requirements for the local city and county and confirm working hours and days, testing schedules at the District for days when work shall not occur, other critical days when work cannot occur, mitigation measures in the EIR that may affect the ability to Work on the Project. This review shall help the Contractor to build a working schedule for the Project.

Bond Manager ensures the contractor also understands the length of the Project schedule and has incorporated an appropriate budget to include labor, material, and equipment escalation costs into the GMP. The District will not accept any costs associated with these increases unless the nature of such increases could not have been adequately budgeted for as required above. The District shall not be responsible for reasonably expected market fluctuations in costs or labor rate increases during the Project. Contractor further has incorporated all cost increases in areas of Work where there may be schedule variations so that cost increases are

not passed through to the District.

6. Master Project Schedule (CPM Critical Path Method) must include the following information:

Detailed work activities properly sequenced for trade coordination planning as needed to ensure that the Project can be completed within the allotted construction schedule. The Bond Manager will review and ensure that the MPS includes:

- Detailed work activities properly sequenced for trade coordination
- Planned to ensure the Project can be completed within the allotted construction schedule
- Identification of long lead items
- Consideration for curing times (noted and identified)
- Defined procurement schedule requirements
- Defined submittal schedule requirement
- Timeline and schedule planning as necessary to ensure that the Project can be constructed within the allotted timeframe.

In the Master Project Schedule, Contractor shall coordinate and integrate Contractor's Services, the Architect's services, the construction of the Project, the District's responsibilities, inspection requirements, document review periods, and all other activities required for Project completion, highlighting critical and long-lead-time items;

Should the schedule for the construction of the Project be extended due to an added scope of work as directed by the District and approved by the Board or an extension of the schedule related to governmental agency approvals necessary for completion of the Project, the time for performance under this Agreement shall be extended and Contractor shall be compensated for this extension as mutually agreed by the parties.

7. Schedule Updates. Contractor shall update the schedule each month to address actual start dates and durations, the percent complete on activities, actual completion dates, estimated remaining duration for the Work in progress, estimated start dates for Work scheduled to start at future times and changes in duration of Work items

8. Working Schedule – 6-Week Look Ahead.

The six-week look ahead schedule is the working schedule used daily to track the On Time status of a project. The schedule reviews one week back, and five weeks forward, broken down into trade scope/stage, by man load and performance time, in days. The Bond Project Manager reviews and continues to approve the ongoing schedule, and then re-confirms that work hours planned are actual man hours performed.

Listing of Items Causing Delays. Schedule Updates shall provide a listing of activities which are causing delay in the progress of Work and a narrative shall be provided showing a description of problem areas, anticipated delays, and impacts on the Construction Schedule. Simply stating “District Delay” or “Architect Delay” shall be an inadequate listing.

The Design of the Look Ahead Schedule is a spreadsheet. The spreadsheet tracks the remaining duration of time for a work scope, the activity, and the dates (1 week back and 5 weeks forward), noting weekends, holidays and off days. Each cell notes the man load per day by trade/scope and columns tally the overall planned daily man load of the project.

9. Schedule – Additional Components
(See District Contract Specifications).

10. Submittals and Shop Drawing Schedules

Schedule Requirements for Submittals. Contractor shall obtain and shall submit all required Submittals (i.e. Shop Drawings, Deferred Approvals, Samples, etc.), in accordance with Contractor’s “Schedule for Submission of Shop Drawings and Samples”.

Consideration of Schedule. The Bond Manager will ensure that the contractor has considered lead times, DSA or other agency governmental review times, Architect or Engineer review times, manufacturing seasons, and specific long lead procurement concerns for all submittals for the Project.

All Submittals for the Project, except those specifically agreed upon by District and Architect in writing, shall be specifically incorporated into the Submittal section of the Schedule so as to not delay the Work. It is further noted that an agreement to allow a late Submittal does NOT mean that the agreed upon submittal schedule is waived. The Contractor shall order materials and ensure prices are honored and secured for the Project.

The Bond Manager shall ensure that a Submittal shall not result in any increase in the Contract Price or result in an extension of time for the completion of the Project.

Piecemeal Submissions of Submittals. Piecemeal Submittals mean providing portions of Shop Drawings or Submittals as they are being completed. The submission of piecemeal Submittals results in the appearance of a submission when there is inadequate information for the Architect or Engineer to adequately review a submission. Piecemeal differs from submission of complete buildings or phases of buildings or complete assemblies. The Architect may agree to allow submission of single buildings or areas as long as the Submittals are complete.

E. TEMPORARY FACILITIES AND TRAILER SET-UP

- Inspector’s Office
- Site Trailer
- Site Vandal, theft, etc.

- Utilities
- Electrical
- Heaters
- A/C
- Phone
- Internet
- Drinking Water
- Safety/Security Systems
- First Aid
- Fire Extinguishers
- Storage/Laydown Area
- Sanitary Facilities
- Trash/Dumpsters/Cleanup
- Parking Areas
- Egress – Entrance/Exit
- Fencing
- Barricades/planking

F. CONSTRUCTION SITE BEST MANAGEMENT PRACTICES (BMPs)

The greatest water pollution threat from soil-disturbing activities is the introduction of sediment from the construction site into storm drain systems or natural receiving waters. Soil-disturbing activities such as clearing, grubbing, and earthwork increase the exposure of soils to wind, rain, and concentrated flows that cause erosion. A three-pronged approach is necessary to combat this storm water threat:

- Temporary soil stabilization practices reduce erosion associated with disturbed soil areas (DSAs).
- Temporary run-on control practices prevent storm water flows (sheet and concentrated) from contacting DSAs.
- Temporary sediment control practices reduce sediment caused by erosion from entering a storm drain system or receiving water.

Soil stabilization BMPs reduce the erosive impact of rain on exposed soil. Run-on control practices reduce the erosive impacts by preventing storm water flows from contacting DSAs. Sediment control BMPs remove sediment from storm water by ponding and settling, and/or filtering prior to discharge offsite. It is imperative that soil stabilization and sediment control BMPs are implemented together to reduce the discharge of sediment from the construction site.

The following conditions on construction sites contribute to erosion caused by storm water flows:

- Larger areas of impermeable structures and surfaces reduce natural infiltration resulting in increased storm water flow volume and velocity.
- Changes to surface flow patterns cause storm water flows to be more erosive.

- Concentration of flows to areas that are not naturally subjected to such runoff volume increases erosion.

Proper management of a construction project minimizes or prevents soil erosion and sediment discharges. Good construction management for soil conservation requires an understanding of the following basic principles:

Soil Erosion Control – The First Line of Defense Soil stabilization is a key component in the control of erosion. By stabilizing DSAs with covers or binders, the exposed soils are less likely to erode from the effects of wind or rain.

Prevent Storm Water Flows from Contacting DSAs – The Second Line of Defense Another key component in the control of erosion is the diversion of storm water flows around DSAs or the conveyance of flows through DSAs in a non-erosive manner.

Sediment Control – The Last Line of Defense Storm water runoff may originate from active or inactive DSAs whether or not proper erosion and/or run-on controls have been implemented. Implementing proper sediment control BMPs can reduce sediment amounts in storm water discharges.

Combine Soil Erosion and Sediment Control – Effective Protection An effective combination of soil erosion and sediment controls should be implemented to prevent sediment from leaving the site and/or entering a storm water drainage system or receiving water.

Soil stabilization and other erosion control BMPs are not 100 percent effective at preventing erosion. Soil erosion control BMPs must be supported by sediment control BMPs to capture sediment on the construction site.

Sediment control BMPs alone are not 100 percent effective primarily due to their capacity limits. To be effective for storm water protection, the amount of sediment must be reduced at the source using soil erosion control BMPs, and then sediment control BMPs are used to further reduce the sediment that leaves the site or enters the storm drain system.

Inspection and Maintenance – Ensure Protection for the Duration of the Project Inspection and maintenance are required for all BMPs (soil stabilization, run-on control, and sediment control) to maintain effectiveness for reducing or eliminating the amount of sediment that leaves a site.

COMMON POLLUTANTS ON THE CONSTRUCTION SITE There are a number of potential storm water pollutants that are common to Caltrans construction sites. The soil-disturbing nature of construction activities and the use of a wide range of construction materials and equipment are the sources of contaminants with the potential to pollute storm water discharges.

Common construction activities that increase the potential for polluting storm water with sediment include:

- Clearing and grubbing operations
- Demolition of existing structures
-

Grading operations • Soil importing and stockpiling operations • Clear water diversions •
Landscaping operations • Excavation operations

Common construction materials with the potential to contribute pollutants, other than sediment, to storm water include the following:

- Vehicle fluids, including oil, grease, petroleum, and coolants
- Asphalt concrete (AC) and Portland cement concrete (PCC) materials and wastes
- Joint seal materials and concrete curing compounds
- Paints, solvents, and thinners
- Wood products
- Metals and plated products
- Fertilizers, herbicides, and pesticides

Construction-related waste must also be managed to prevent its introduction into storm water. Typical waste on construction sites includes:

- Used vehicle fluids and batteries
- Wastewater from vehicle cleaning operations
- Green waste from vegetation removal
- Non-storm water from dewatering operations
- Trash from materials packaging, employee lunch/meal breaks, etc.
- Contaminated soils
- Slurries from sawing and grinding operations
- Wastewater/waste from concrete washout operations
- Hazardous materials waste
- Sanitary waste

G. CONTACTS WITH THE PUBLIC AND MEDIA

Most District projects will draw the interest and attention of the public. It is essential that the Bond Manager conduct itself in a manner that will encourage the respect and confidence of the public. All contact with the public will be courteous and responsive. Questions by the public of a detailed nature, requests for public presentations, and items of a similar nature will be referred to the Superintendent. Complaints by the public regarding any aspect of the contract will receive immediate attention. In the event the response does not fully address the complaints, the matter will be pursued by the Bond Manager until an adequate explanation can be provided.

H. CONCERNS AND COMPLAINTS

It is important to conduct construction operations in such a way as to obtain the cooperation and satisfaction of the public and the site. The Bond Manager will assure enforcement of contract



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requirements related to noise and other disturbances. Generally, concerns or complaints will be based upon the following types of occurrences:

- Noise
- Vibration
- Wet conditions
- Dusty conditions
- Obstructions
- Unsafe conditions
- Trash accumulation

In the event of a complaint, the Bond Manager will respond to the complaint promptly, and will work to address the issue and report the circumstance to the Superintendent.

I. PHOTOGRAPHS AND VIDEO RECORDINGS

The Bond Manager will obtain adequate photographic and/or video records of the progress of each project. The photographs and video recordings will be dated, properly identified, and filed. Photographs and video shall not include the faces of any student without the written permission of the student's parent or guardian. Any photos or videos that contain students must be reviewed and approved by the Superintendent prior to any public use or posting on the internet.

J. COMMUNICATIONS

To the greatest extent possible, communications should be generated within Procore. Communications not generated within Procore (such as email) shall be uploaded into Procore. Hard copy communication or documents, including hand-written documents, shall be loaded into Procore.

All communications between construction team members shall be copied to TCDS.

All inspection communications will be directed to the IOR for coordination. These communications include items related to assistant inspectors, special inspectors, material testing firms, etc.

a. Oral Communications

None of the parties shall rely on oral communications. All final decisions shall be rendered as written communications so that they are enforceable.⁵

b. Written Communications

Written communication will be handled through Procore and e-mail. Hand written communications are acceptable if legible, in proper form and complete with signatures of authorization/receipt. Any communication with State Agencies will be formalized in letter form or by other methods provided by that agency.

⁵ Performance Audit 2016-17 Observation 11

c. Mail and Deliveries

Correspondence by US Mail and deliveries by UPS, FedEx or other companies should be addressed to the Bond Manager. Originals will be scanned and filed.

d. Telephone Conversations

Telephone conversations should be followed up with an e-mail to record pertinent information, mutual understandings, and to memorialize decisions discussed.

K. PROJECT MEETINGS

Formal meetings will have a prepared agenda approved by the Bond Manager. Meeting minutes will be recorded and tracked in Procore.

Project meetings will be held weekly unless the Bond Manager agrees that the amount of work in progress justifies a change in frequency.

The meetings typically cover the status on the following at a minimum:

- Review of the schedule. Review of a three-week look ahead schedule.
- Review of progress on the project.
- Review of any issues raised by the IOR or Design Professional.
- Review of Submittal Log
- Review of Request for Information (RFI) Log
- Review of Potential Change Order (PCO) Log
- Review of any issues raised by the Site Contact.
- Review of the draft payment request (monthly).
- Assigning responsibility to the appropriate team member where needed to resolve issues raised at the meeting.

It is imperative that comprehensive minutes be recorded during each meeting. Transcribing of the meeting minutes should take place within one or two days of the meeting. After review, minutes should be distributed to all parties in attendance by email or in Procore. At the bottom of all meeting minutes, the following sentence should be included, "Please submit any corrections, revisions, additions or deletions within 48 hours; if none, the meeting minutes will be filed as sent."

L. CONTRACT DOCUMENTS

The Bond Manager will furnish a complete set of contract documents (specifications and drawings in half-size, if requested) including addenda for each assigned project. The Contractor will receive additional copies of specifications and drawings as stipulated in the contract.

The Bond Manager will ensure that construction team members receive any contract document updates.

If questions, discrepancies, omissions, or conflicts arise regarding the contract documents, drawings, or specifications, the Bond Manager will administrate resolution. If legal interpretation is required for any



provision in the contract documents or for a situation that arises, the Bond Manager will review with District legal counsel if necessary and manage the distribution of any and all clarifications.

M. LABOR COMPLIANCE

All public works projects must pay prevailing wages (Labor Code section 1771.5 (b)). After award of the construction contract, the District will submit contract information to the Department of Labor in the Division of Industrial Relations (DIR) for enforcement, and the department becomes the repository for all payroll records.

N. RECORDS REQUESTS

A public records request and will be submitted to the Superintendent. The request will then be sent to the Bond Manager who will work to extract the appropriate records for delivery to the Superintendent. Labor organizations have a right to more personnel payroll information than the public and therefore the redaction requirements differ depending upon who is requesting the information.

O. IOR's DUTIES AND RESPONSIBILITIES

It is the responsibility of the IOR to ascertain that the materials used and workmanship employed on the project is in accordance with the contract documents. The IOR is responsible for all inspection and quality testing on the project whether done personally or by assistant or special inspectors.

Both Procore and DSA Box are a repository for project drawings and specifications for digital access and reference by parties responsible for project implementation.

1. Daily Inspection Report

A daily inspection report (Daily) will be completed by the assigned IOR for every contract workday. Each Daily will describe the work performed, instruction given or received, unsatisfactory or nonconforming work, delays, contractor personnel, equipment, and any additional documentation required by the Design Professional and/or Bond Manager, including but not limited to; specialty inspectors and a summary of the required inspections, tests performed on-site, weather conditions to include precipitation, etc.

2. Test Reports

The IOR will keep a complete and accurate report of tests performed to verify specification requirements. The items to be included in the Test Report are the following:

- Project contract number and description of contract work.
- Type of test and specification(s) reference.
- Person/Company performing the test, location, date and equipment used.
- Sample source and date secured.
- Narrative description of tests performed.
- Results of tests, given in units required by specifications and, as appropriate, units of recognized standards.
- Recommendation as to acceptance or rejection.
- Signature of responsible person controlling the testing work.
- A list of observers.
- Required follow-up action if test results were not in conformance.

3. Semi-monthly Reports

The IOR's Semi-Monthly Reports will document all issues of importance as required by DSA. As well as conferences with the Contractor and/or other parties, significant information regarding material equipment and personnel, weather or delay causes as well as any other issues having a bearing on the project will be included. Potential differences with the Contractor such as responsibility for performing particular specific work will be addressed in detail. Particular care will be taken to record and preserve all possible data and/or evidence with respect to any matter which may become a basis for a Contractor claim.

P. INSPECTION AND TESTING

1. Inspection

- Inspections by the District are for the sole benefit of the District and do not:
- Relieve the Contractor of responsibility for providing adequate quality control measures.
- Relieve the Contractor of responsibility for damage to or loss of the material before acceptance.
- Constitute or imply acceptance.
- Affect the continuing rights of District acceptance of the completed work.

When contractually required, materials will be sampled, inspected, and/or tested at the source or fabrication plant prior to shipment to the project. When off-site inspections are required, the IOR will coordinate scheduling with the Bond Manager prior to performing off-site work.

A procedure for deficiency notices to address non-conforming work will be implemented by the IOR. These notices will be used to establish plans for remedial actions and to document acceptance of corrected work.

The District provides inspection and testing at its cost during the normal eight (8) hour day Monday through Friday (except holidays). Work performed by the Contractor outside of normal hours requires authorization from Bond Manager. Related costs, including inspections, generated by the recovery work are tracked in Procore using the Change Management tool, once off-hours work has been authorized.

2. Testing Disputed Items⁶

When it is suspected that work is deficient or not in compliance with the specifications, the IOR will notify the Bond Manager and request testing of such work. The testing/work will be tracked in Procore by the construction team using the change management tool.

The testing consultant will comply with the DSA Tests and Inspection requirements, which identify the specific material testing requirements and/or procedures to be used in complying with the DSA testing provisions of the contract documents. This portion of the plan will include:

⁶ Performance Audit 2016-17 Observation 11

- Name of testing laboratory and/or consulting firm(s) with primary quality control responsibilities and a detailed description of the services to be provided.
- Specific procedures for determining that the requirements of the American Society for Testing and Materials (ASTM) cited in the contract documents are satisfied in every respect.
- A listing of all tests required by the contract documents, including type, frequency, method of sampling, applicable standards, and acceptance criteria and/or tolerances.

The testing consultant will regularly prepare and submit reports to the IOR and Bond Manager that document the results of all material testing. Failed tests and/or tests that did not meet applicable standards will be highlighted. At completion of the project, the Testing Consultant will submit a final project material test and quality report (DSA Final Verified Reports)

3. Testing

It is the responsibility of the materials testing firm (or firms) to test materials used on the project as required by the construction contract.

The Bond Manager or IOR may determine the need for other types of tests, such as the monitoring of noise levels, vibration levels, subsurface movements, verifications of surveys and layout work. All requests for additional testing will be reviewed and approved by the Bond Manager. Approval may require new or amended consulting contracts. A complete record will be maintained of all tests performed in Procore by the IOR and construction team using the Change Management tool. The records will be filed and copies distributed to the Bond Manager, Design Professional, IOR, and DSA, in accordance with current law and the Contract Documents.

The Bond Manager is responsible for coordinating and verifying with the IOR the receipt of the necessary test results prior to authorizing payment to the designated Testing Consultant. All field reports will be directed to and received by the Bond Manager.

Q. AS-BUILTS

Bond Manager will verify that the Contractor and/or the IOR are maintaining an accurate as-built schedule if required by the contract. The Inspector's Daily Report will also note the actual start and finish of activities. Schedules will be updated on a weekly basis to:

- Develop an as-built schedule as each project progresses
- Determine actions required to reach the project milestones
- Document delays and other unforeseen influences on each project schedule that could develop into claims



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At project meetings, the construction team will review the schedule. In the event portions of work are in danger of being delayed, or actually are delayed, the Contractor must develop and present a recovery schedule. Potential or actual delays and plans for correction will be reported to the Bond Manager.

Throughout the duration of the Project, Contractor shall maintain on a current basis an accurate and complete set of As-Built Drawings (and Annotated Specifications) clearly showing all changes, revisions to

specifications and substitutions during construction, including, without limitation, field changes and the final location of all electrical and mechanical equipment, utility lines, ducts, outlets, structural members, walls, partitions, and other significant features. In case a specification allows Contractor to elect one of several brands, makes, or types of material or equipment, the annotations shall show which of the allowable items the Contractor has furnished. The Contractor will update the As-Built Drawings and Annotated Specifications as often as necessary to keep them current, but no less often than weekly.

- Updates. Contractor shall update As-Built Drawings with complete information on an area of Work at or near the time when the Work is being performed and prior to any DSA 152 sign off and prior to any Work being covered.
- Storage. The As-Built Drawings and Annotated Specifications shall be kept at the Site and available for review and inspection by the District and the Architect. Failure to maintain and update the As-Built Drawings is a basis to withhold scheduled Progress Payments.
- Upon Beneficial Occupancy. Upon Beneficial Occupancy, Contractor shall provide a copy of the As-Built Drawings and Annotated Specifications on bond paper along with digital files of the same and transmit them to the Bond Manager.
- As-Builts at Completion of Work. On completion of the Work and prior to and as a condition precedent to the Application for Retention Payment, the Contractor will provide one neatly prepared and complete set of As-Built Drawings and Annotated Specifications to the District. Contractor shall certify the As-Builts as a complete and accurate reflection of the actual construction conditions of the Work by affixing a Stamp indicating the Drawings are As-Builts and Certifying Accuracy on the final set of As-Builts.
- Log of Control and Survey Documentation. Contractor shall complete and maintain an accurate log of all control and survey documentation for the Project as the Work progresses. All reference and control points shall be recorded on the As-Built drawings. The basis of elevations shall be one of the established benchmarks that must be maintained on the As-Builts.
- Record Coordinates for Key Items. Contractor shall record, by coordinates, all utilities on-site with top of pipe elevations, major grade and alignment changes, rim, grate or top of curb and flow line elevations of all drainage structures and sewer manholes. Contractor shall update record information at or near the time when work is occurring in an area and prior to DSA 152 sign off on any category of Work and prior to covering the Work.

R.DELAYS

In addition to providing a schedule update every thirty (30) days, the Contractor, shall take the steps necessary to improve Contractor's progress and demonstrate to the District and Architect that the Contractor has seriously considered any lost time, the Completion Date, or the milestones that are required to be met within the terms of the Contract.

Schedule Updates shall provide a listing of activities which are causing delay in the progress of Work and a narrative shall be provided showing a description of problem areas, anticipated delays, and impacts on the Construction Schedule. Simply stating "District Delay" or "Architect Delay" shall be an inadequate listing.

In the event the Contractor cannot proceed with a specific work activity, the Bond Manager will immediately be advised and convene a meeting with the Contractor to address the issue. The Bond Manager will provide direction to the Contractor to provide a Recovery Schedule showing how Milestones and the Completion Date will be met.

Failure to comply with Contractor's Baseline or Update Schedule, meet critical Milestones which would result in a Delay to the Critical Path, or Delay the Contract Time and may trigger the District's right to issue a Partial Default of the Contractor's Work and take over that segregated area of Work.

R. PAYMENT APPLICATIONS

1. Retention

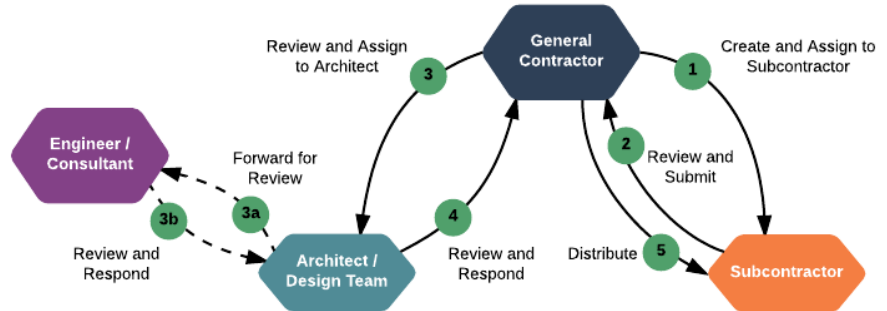
All payments to the Contractor are subject to a five percent (5%) retention. The District may increase this retention to the traditional ten percent (10%) if the BOE approves the increase and makes findings that the project is sufficiently complex to justify the increased retention. The District may entertain reduction in retention after 50 percent of the project is completed.

2. Progress Payments to Contractor for Stored Materials

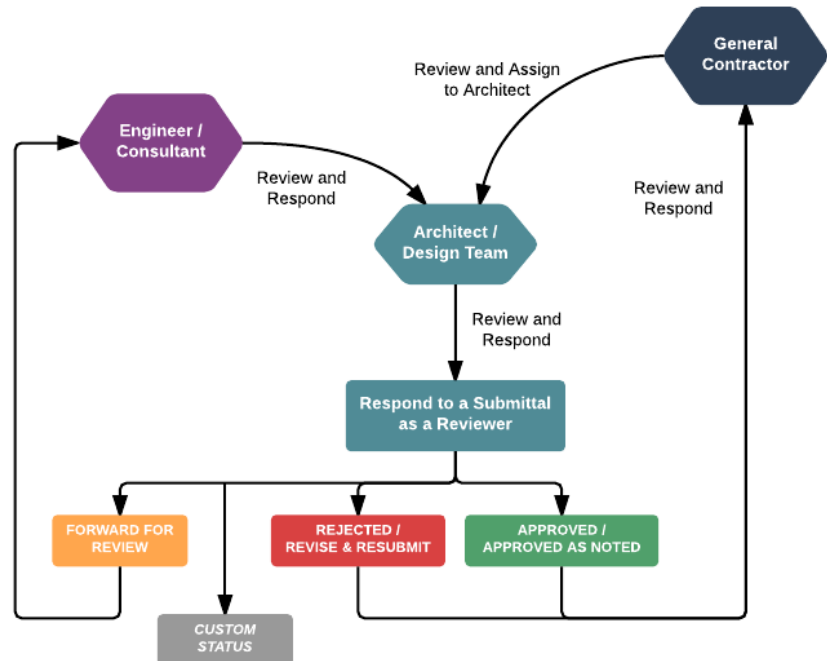
On the monthly payment request, the Contractor may request payment for certain construction materials and equipment delivered to the site (or off-site) but not yet installed, subject to strict conditions. If a Contractor wants to receive payment for stored materials, a listing of these materials must be submitted. The list will be subject to the review and approval of the Bond Manager.

S. SUBMITTALS and SHOP DRAWINGS

The diagram below demonstrates how key stakeholders collaborate using the Submittals tool.



The diagram below gives a more detailed view of the review and approval process for submittals.



The contract documents will require a submittal register that itemizes the submittals. The Submittal Items will be included as predecessor activities to the appropriate work items in the Project Schedule and will be reviewed by the Bond Manager.

Submittals and Shop Drawings will be packaged by the Contractor, uploaded in Procore, using the appropriate submittal form. The Bond Manager will review the submittal, comment, and forward it to the Design Professional for approval, rejection or a request that the contractor revise and resubmit the submittal as appropriate.



A copy of approved submittals will be maintained by the Bond Manager. Following completion of construction, all submittal files will be inventoried and transferred to the district in accordance with closeout procedures.

T. QUALITY IN CONSTRUCTION

1. Control of Work⁷

The Contractor is responsible for the means and methods employed to perform the work. The Bond Manager may give directions or instructions requiring the Contractor to accelerate the work or proceed with extra work not authorized by the contract.

It is the responsibility of the Bond Manager to verify that the project is being constructed in accordance with the plans and specifications and in compliance with the terms of the contract through the IOR and Design Professional. The Bond Manager and Design Professional has, and will exercise, the authority to reject both unsatisfactory workmanship and materials. Such rejections will be written to the Contractor immediately upon discovery and will refer to the appropriate plan or specification requirements. However, the work will not be directed to stop, except in an emergency situation.

Occasionally, conditions of the work will be such that changes or extra work will be necessary. In such cases, the Bond Manager will anticipate the necessity for changes in advance. The Bond Manager will follow the Potential Change Order (PCO) procedures outlined in this manual. The Bond Manager will not authorize the Contractor to perform changes or extra work without an executed modification of contract (Potential Change Order), except in an emergency.

Occasionally, the Contractor will not immediately correct unsatisfactory work and will proceed with other work. This practice will not be allowed. In such a case, the Bond Manager may approve a limited work stoppage until the unsatisfactory work is corrected. Documentation must be complete and must include photographs of the unsatisfactory condition.

The Bond Manager will direct all authorized instructions concerning contract work performance to the proper personnel in the Contractor's organization. In no instances will instructions or directions be given to subcontractors.

2. Quality in Construction Plan

The Contractor will submit the quality plan prior to start-up for a given project. A detailed inspection and testing plan based on the project contract documents (plans and specifications) will be developed by the Contractor. The Quality in Construction Program ("QIC") will be initiated, managed and documented by the Contractor. The QIC establishes that Contractor's Work is in conformance with the requirements from the start of the work.

⁷Performance Audit 2016-17 Observation 11

This plan must be reviewed in detail with the Design Professional and approved by the Bond Manager prior to implementation (if required by the Contract Documents).

The Contractor will name a full time on site person who will be responsible for the QIC and who will represent the Contractor at all QIC inspections conducted for the Work of this Contract. The Contractor and the field staff will follow a project's specific QIC Plan in performing and/or monitoring all inspections and/or tests performed by the Testing Consultant.

The Contractor is not authorized to revoke, alter, substitute or relax any contract requirement or obligation. Stopping work for reasons other than safety can only be initiated by the Bond Manager. Temporary curtailment of a specific construction activity to correct defective workmanship or materials (such as concrete slump) is within the IOR's authority.

3. Work Stoppages

Occasionally the work performed under a contract will be subject to conditions, which require immediate attention to prevent:

- Possible cessation of work due to changed conditions resulting from conflicting field conditions or interferences not referred to on contract drawings or in specifications.
- Damage to personnel or property due to unsafe and hazardous work practices or conditions.

In the event the Contractor cannot proceed with the work because of the above conditions, and the cessation of work may result in additional costs to the District, the will immediately notify the Bond Manager. If the conditions involve design changes, the Design Professional and IOR must also be consulted. A meeting between the Contractor and the Bond Manager will be convened on the shortest possible notice to discuss and resolve the issue. If, in the opinion of the Bond Manager the presence of the Design Professional is desirable, the Design Professional will be requested to attend.

Following determination of necessary action, the Contractor will provide an estimate of cost for the work, and if the cost is mutually agreeable, that cost will be the basis for contract modification in accordance with the terms of the contract.

Should the Contractor be unable to establish the cost for the work at this time, or if there is disagreement on the cost for the work, the Contractor may, through a directive from Bond Manager, be authorized to proceed with the work on a time and material basis.

The Bond Manager, IOR and Contractor will maintain complete daily documentation on all work performed under this basis and will compare records for concurrence at the close of each day's work. Daily work tickets must be signed by the IOR at the end of each shift.

In the event cessation of work results from an unsafe condition that may cause personal injury or property damage, the Bond Manager, conditions permitting, will pursue the same course of action described above. Should the unsafe condition be of such severity as to preclude any delay before remedial action is taken, the Bond Manager may under those circumstances, or, if necessary, direct the Contractor to immediately perform the necessary operations to remedy the unsafe condition.

All oral instructions or directives issued to the Contractor to stop work must be documented in writing to the Contractor within twenty-four (24) hours of issuance

4. Power Outages

The Bond Manager will coordinate any power outages during construction with the contractor, site staff (including Nutritional Services), maintenance, and IT.

U. CHANGE MANAGEMENT

All changes to the contract will be made by Change Order (CO) and changes will be submitted to DSA as Construction Change Directives (CCDs.)

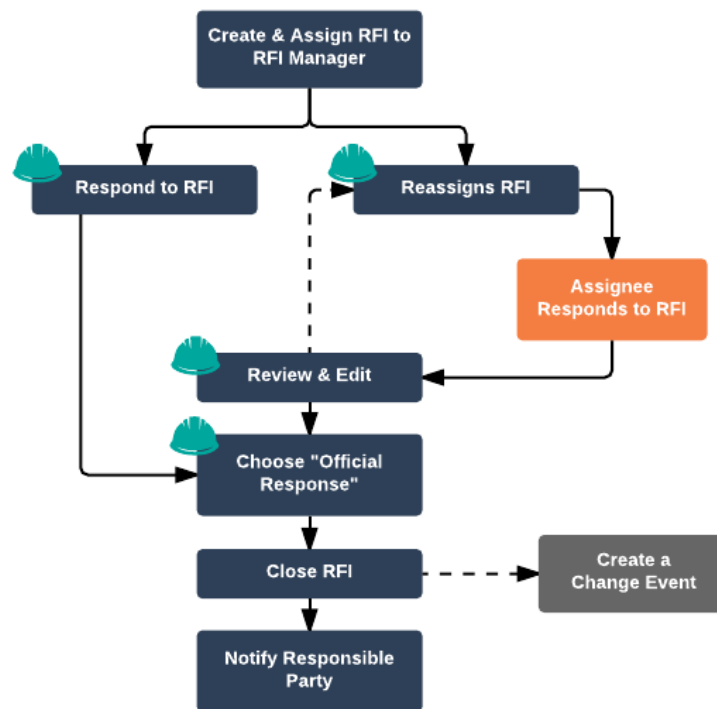
Construction contract change orders less than ten percent of the original contract amount may be approved by the Superintendent and ratified by the BOE. Change orders more than ten percent of the original contract must have prior BOE approval.

Changes are generated in several ways:

- By the contractor through the Request for Information (RFI) process or through submission of a Potential Change Order (PCO).
- By request of the District
- By outside agencies imposing new requirements or new interpretations of existing requirements.
- By the discovery of unforeseen conditions during construction.
- By the Design Professional to correct errors in the construction documents.

1. Requests for Information (RFIs)

A request for Information (RFI) is a written request prepared by the Contractor requesting the Architect to provide additional information necessary to clarify or amplify an item which the Contractor believes is not clearly shown or called for in the drawings or specifications, or to address problems which have arisen under field conditions.



RFIs are issued by the Contractor are first submitted to the Bond Manager, providing the owner to comment prior to the designers input. After review with the Bond Manager, the Design Professional shall respond to RFIs through Procore within four days. The response from the design professional will be one of the following:

- The contractor is directed where to find the answer in the contract documents (no change in contract).
- The Design Professional issues a clarification that is minor and does not involve a change in cost or schedule. The Design Professional will issue a CCD (Construction Change Directive). If the Contractor believes that there is an impact on cost and/or schedule, the Contractor will notify the Bond Manager and Design Professional before starting work. The Bond Manager and Design Professional will evaluate the claim and either change the response to one without cost or will require the Contractor to submit a PCO (Proposed Change Order).
- The Design Professional issues a response that impacts cost and/or schedule. Prior to issuing such a response, the Design Professional will notify the Bond Manager. The Bond Manager and Design Professional will evaluate the response and either change the response to one without cost or will process the change in a change order.
- An RFI log will be developed and maintained in Procore. This log will contain the following information: RFI number, name of originator, brief description, date RFI was received from contractor, date RFI was forwarded to design professional, date

reply was received from Design Professional and the date reply was transmitted to contractor.

- The Bond Manager will monitor the RFI log to monitor response times and to anticipate potential change orders.

2. Potential Change Order⁸

Changes resulting from approved responses to RFIs that have a financial or schedule impact will be discussed with the Bond Manager and converted to a PCO by the contractor. The PCO will include documentation justifying the change in contract cost or contractual completion date. The PCO will be submitted to the Bond Manager through Procore. After review, the Bond Manager and the design professional will review the PCO and either approve, reject or request additional information to justify the contractor's request. All PCOs will be negotiated by the Bond Manager and the contractor. After the contractor and Bond Manager agree to the cost and time impacts, the Bond Manager will generate a change order (CO) in Procore and will route to design professional and contractor for signature approval.

3. Owner Requested Changes

If approved, the Bond Manager will negotiate with the design professional any extra design fees that may be required. The design professional will create a CCD and issue it to the contractor with a request for proposal. If the cost of the proposal is approved by the Bond Manager, then the Bond Manager will include the change in a formal change order.

4. Unforeseen Circumstances

Where field conditions, unforeseeable causes beyond the control and without the fault or negligence of contractor including and/or interface with other program work are involved, the Bond Manager will evaluate any proposed changes to the project and review with the design professional.

5. Time Extensions

Extensions to the established contract completion date will be considered only if formally requested by the contractor. Contractor will within five calendar days of the beginning of any such delay (unless the District grants a further period of time prior to date of final settlement of the contract) to notify the Bond Manager in writing of causes of delay; thereupon the Bond Manager will ascertain the facts and extent of the delay and grant extension of time for completing work when, in its judgment, the findings of fact justify such an extension. The Bond Manager's findings of fact thereon will be final and conclusive on parties hereto. In case of a continuing cause of delay, only one claim is necessary. Time extensions to the completion of the Project should be requested by the contractor as they occur and without delay. Regardless of the schedule submitted by contractor, no delay claims will be accepted by the District unless the event or occurrence delays the completion of the Project beyond the contractual completion date.

6. Change Order (CO)

Once a CO, or CCD has been approved by all parties, a formal change to the contract is processed through a CO and will also include any agreed to time extensions.

⁸ Performance Audit 2016-17 Observation 8 Improvement Recommendation 11

V. SCHEDULE OF VALUES

1. Break Down of Schedule of Values. Schedule of Values shall be broken down by project, site, building, milestone, or other meaningful method to measure the level of project completion as determined by the District. The schedule of values shall include, but not be limited, to subcontractor costs, the costs for the submittals, punch lists, commissioning and start-up, close out submittals, and as-builts.

2. Based on Contractor Costs. The Schedule of Values shall be based on the costs from contractor to the District. However, the submission of the Schedule of Values shall not be front-loaded so the Contractor is paid a greater value than the value of the work actually performed and shall not shift funds from parts of the project that are related to work that is performed earlier.

3. Largest Dollar Value for Each Line Item. Identify subcontractors and materials suppliers proposed to provide portions of work equal to or greater than ten thousand dollars (\$10,000) or as otherwise approved in writing by the District.

4. Allowances. Any allowances provided for in the contract shall be a line item in the schedule of values.

5. Labor and Materials Separation. Labor and Materials shall be broken into two separate line items unless specifically agreed in writing by the District.

6. District Approval Required. The District shall review all submissions of schedule of values received in a timely manner. All submissions must be approved by the District before becoming the basis of any payment.

W. LABOR RELATIONS

1. DIR Registration

When all required approvals are received and the project is ready to begin actual construction, prevailing wage monitoring is an essential piece to ensuring that a project is completed in accordance with all Labor Code requirements. The information below outlines the important process of notifying and working with the Department of Industrial Relations through this process.

Contractors and subcontractors on most public works projects are required to submit certified payroll records (CPRs) to the Labor Commissioner using DIR's electronic certified payroll reporting system.

If a contractor or subcontractor works or bids on a public works project, then the contractor or subcontractor is considered a public works contractor.

All public works contractors must fulfill four key responsibilities.

- Register as a public works contractor
- Follow apprenticeship requirements
- Maintain and submit certified payroll records
- Pay prevailing wages

The Compliance Monitoring Unit or “CMU” was a component within the Division of Labor Standards Enforcement created to monitor and enforce prevailing wage requirements on public works projects that received state bond funding and on other projects that were legally required to use the CMU.

The laws and regulations that govern the new program became effective January 1, 2012 but ended June 20, 2014. Only projects for which the public works contract was awarded on or after January 1, 2012, and on or before June 19, 2014, were subject to the CMU requirements.

2. Apprenticeship

All public works contracts valued at \$30,000 or more carry an obligation to hire apprentices, unless the craft or trade does not require the use of apprentices, as indicated in the corresponding prevailing wage determination.⁹ This duty applies to all contractors and subcontractors on a project, even if their part of the project is less than \$30,000.

The Division of Apprenticeship Standards (DAS) provides assistance to contractors who need to employ apprentices on public works projects and may grant exemptions to the requirement to hire apprentices. A public works contractor must:

- Submit contract award information for each craft required on the project using the DAS 140 form;
- If the contractor is approved to train apprentices, the contract award information is sent to its apprenticeship committee;
- If the contractor is not approved to train apprentices, the DAS Form 140 must be sent to all apprenticeship committees that can supply apprentices to the site of the public works project;
- Make training fund contributions in the amount established in the prevailing wage rate – either to the applicable apprenticeship committee, or the California Apprenticeship Council (CAC);
- Contact the applicable apprenticeship committee to request apprentices for each craft or trade on your project using the DAS 142 form. The form must be submitted at least three business days before apprentices are required;
- Employ apprentices in the correct ratio. Be sure to employ one hour of apprentice work for every five hours performed by a journeyman level worker.

⁹ <https://www.dir.ca.gov/das/publicworks.html>

Section 9

Payment Procedures

Included in this section:

- A. General Invoices**
- B. Contractor Payment Application**

A. GENERAL INVOICES¹

The District will strive to pay invoices within 30 days of receiving an invoice. The following process has been implemented to comply with this policy:

As Invoices are received for payment, they are date stamped, and routed for management review and approval within three days. The invoices are then counter-signed and dated by two members of the bond management team, then authorized as OK to Pay.

Approved invoices are copied and registered in the invoice log. The copy is then placed in the corresponding purchase order file, and the original is placed in an inter-office envelope and transmitted to the Assistant Superintendent Business for signature.

Upon signature, the Assistant Superintendent Business will have the invoices delivered to the Accounts Payable Department for processing payment with LACOE. *(Note: If Assistant Superintendent Business is out of office for a period of time and unable to execute invoices, then anyone designated by the District can complete the invoice approval.)*

Five days after transmittal to the Assistant Superintendent Business, there is a follow up to verify the invoice has been delivered to Accounts Payable. If the invoice has not been delivered, the Assistant Superintendent Business is contacted.

Accounts Payable receives a warrant from LACOE, and issues payment to Contractor/Vendor.

At the end of each month, a copy of the commercial warrant register is downloaded and reviewed to confirm and update the invoice log.

The RAD Expenditure Report is to be run on the 1st of the month, for the previous month and transmitted electronically to CFS. If the first of the month falls on a Saturday or Sunday, reports are transmitted on the following Monday.

B. CONTRACTOR PAYMENT APPLICATION²

An approved Monthly Pay Application shall be paid by the District within 45 days after receipt and acceptance by the Design Professional, the IOR, and the Bond Manager in accordance with the California Prompt Payment Act. The following process has been implemented to comply with the Prompt Payment Act.

Within ten calendar days after the date of the Notice to Proceed, the Contractor will furnish a schedule of values (SOV) which is the basis for payment requests. The SOV will identify costs for each itemized activity and a breakdown of anticipated monthly earnings for payments in accordance with the contract.

The SOV is the basis for the Monthly Application for Payment. The Contractor shall be required to provide this breakdown by building and site, labor and material, allowances, and bonds. All work

¹ Performance Audit 2016-17 Observation 4A Improvement Recommendation

² Performance Audit 2016-17 Observation 4B Improvement Recommendation



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identified on schedule of values is required to be categorized by either modernization or new construction. The SOV shall be required to be updated with each monthly billing, as COs are added. SOV shall not change once it has been approved.

The following forms must also be submitted along with application for payment and SOV:

- conditional waiver and release upon progress payment (For the present month);
- unconditional waiver and release upon progress payment (For the previous month);
- conditional waiver and release upon final payment (For final payment request);
- unconditional waiver and release upon final payment (For final payment request);
- safety program compliance form .

All payments to the contractor are subject to five percent retention. The District may increase this retention to the traditional ten percent level only if the BOE approves the increase and makes findings that the project is sufficiently complex to justify the increased retention. The District may offer or approve requests for retention reduction after 50 percent completion.

No payments will be made until unconditional release upon progress payment form that covers the full period through the last payment received by the contractor is submitted by the contractor for itself and its subcontractors/suppliers that have performed work during the period in question.

The Contractor may submit payment requests monthly that show the percentage of work for each line item in the SOV. A member of the bond management team, design professional, and IOR will review the percentage of work completed compared to the approved SOV. The percentage complete must be justified by verified quantities of materials and labor. If the payment request is acceptable, then the design professional, IOR and bond management team member will sign the payment request and forward for processing.

Upon receipt of the approved payment request, the pay application will be date stamped, a copy will be made for the purchase order file, and the pay application will be registered in the invoice log.

Original pay applications are placed in an inter-office enveloped along with a transmittal (requesting that the warrant be sent to the facilities office for delivery to the contractor) to the Assistant Superintendent Business for signature. Upon signature, the Assistant Superintendent Business will have the invoices delivered to accounts payable department for processing payment with LACOE.

When the accounts payable department receives a warrant from LACOE, it will be mailed to the Contractor unless otherwise requested by the facilities office.

Note: If the Assistant Superintendent Business is out of office for a period of time and unable to execute invoices, then the Superintendent or designee will approve the invoices.

Note: Five business days after the transmittal to the Assistant Superintendent Business, the pay application status will be checked to ensure it was delivered to accounts payable. If not, a call will be placed to the Assistant Superintendent Business.

Note: At the end of each month, a copy of the commercial warrant register will be downloaded and used to update and balance the invoice log.



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On the monthly payment request, the Contractor may request payment for certain construction materials and equipment delivered to the site (or off-site) but not yet installed, subject to strict conditions.

If a Contractor wants to receive payment for stored materials, a listing of these materials must be submitted. The list is subject to the review and approval from the bond management team. In reviewing and recommending approval of material and equipment listed for payment, the following criteria must be met:

- Payments for major items only;
- Materials must meet the requirements of the specifications, be stored or stockpiled in a bonded warehouse or on-site or as specified in the contract and must be adequately safeguarded; Requests for materials payment must be accompanied by paid invoices for materials stored on site. Before payment can be made for delivered materials off-site, the Contractor will furnish as evidence of ownership properly executed bills of sale for the delivered materials for which payment is requested;
- IOR and a member of the bond management team will inspect items prior to payment.

Once stored material and equipment items are approved for payment, records are kept documenting these payments. Quantities are recorded upon receipt of approved invoices. In cases of multiple invoices, balances will be accumulated and payment made on the basis of "first in, first out".

Subtractions from the accumulated balances are made as the material and equipment is incorporated in the contract work. The management team will verify item balances periodically by physically inspecting contractor inventories. Attention must be paid to the material invoices for proof of payment, discounts, taxes, etc. Payments for stored material and equipment are subject to retention.

Prior to the payment of final retention, the management team will use the project closeout log to assure receipt of all close-out documentation. The notice of completion (NOC) must be issued for the contract prior to the final payment. If the NOC is filed with the county recorder's office within 15 days of completion, then the time for subcontractors to record a mechanic's lien or file a stop payment notice is 30 days after recordation. If the NOC is not recorded, the time for filing liens and stop notices is extended to 90 to 150 days.

Section 10

Commissioning

Covered in this Section:

- A. Commissioning Definition**
- B. Stages of Commissioning**
 - 1. Pre-design**
 - 2. Design**
 - 3. Installation/Construction**
 - 4. Acceptance**
 - 5. Post-acceptance/Warranty**
- C. Verification Checks**
- D. Retro-Commissioning**
 - 1. Planning**
 - 2. Investigation**
 - 3. Implementation**
 - 4. Handoff**
- E. Recommissioning**

A. COMMISSIONING DEFINITION

Commissioning ensures that the building and its systems and equipment operate as designed. The work is performed either by the owner's commissioning authority (OCA), an Independent contractor hired by the owner, or the project's construction manager. Systems are checked once during new construction or renovation for systems verification and functional performance testing.

B. STAGES OF COMMISSIONING

1. Pre-design

- a. Determine project objectives and develop owner's Criteria.
- b. Develop commissioning requirements.
- c. Hire or assign owner commissioning authority (OCA).

2. Design

- a. Design team develops project design; OCA (or representative) reviews design intent, basis of design documents, and drawings and provides feedback to design team.
- b. OCA develops commissioning plan.
- c. Design team develops project specifications based on owner specifications.

3. Installation/Construction

- a. OCA gathers and reviews design and project documentation.
- b. OCA works with contractors, and holds periodic commissioning meetings to integrate the process and schedule into the overall construction project.
- c. OCA develops verification checklists and functional performance test (FPT) forms.
- d. OCA monitors construction progress.
- e. OCA ensures selected maintenance staff members are given the training opportunity of observing the installation and testing of specific systems for which they will inherit maintenance responsibilities.
- f. OCA works with installing contractors to verify start-up and perform verification to ready systems and equipment for FPT.

4. Acceptance

- a. OCA directs and oversees installing contractors' performance of FPT, observed by OCA's selected maintenance staff; deficiencies are reported.
- b. OCA validates building testing and balancing (TAB) report data.
- c. OCA directs and oversees installing contractors' performance of equipment condition acceptance testing, observed by OCA's selected maintenance staff; deficiencies are corrected and condition baseline data is included in the final commissioning report and O&M manual.
- d. OCA works with installing contractors to reschedule FPT as needed when deficiencies are present; corrections to deficiencies are verified by OCA.

- e. OCA reviews and verifies O&M manuals for completeness and applicability.
- f. OCA oversees, Contractor conducts, and OCA coordinates prescribed training for the O&M staff.

5. Post-acceptance/Warranty

- a. OCA prepares the Final Commissioning Report.
- b. OCA conducts site visits to interview O&M staff on system performance.
- c. Deferred and/or seasonal testing is performed.

C. VERIFICATION CHECKS

Verifications checks are equipment inspections that ensure proper installation and configuration. This testing employs checklists to verify that the equipment or system is ready for initial start-up (e.g., flexible conduit is connected, belt tension is correct, oil levels are adequate, labels are affixed, gauges are in place, and sensors are calibrated). Some verification checklist items entail the simple testing of the function of a component, a piece of equipment, or system (such as measuring the voltage imbalance on a three-phase pump motor of a chiller system). For most equipment, the installing contractors execute the checklists on their own. The OCA requires that the procedures and results be documented in writing and usually witnesses only the verification testing of the larger or more critical pieces of equipment. Other components are validated randomly by the OCA.

Functional performance tests are a series of tests of the function and operation (and sometimes, condition) of equipment and systems using manual (direct observation) or monitoring methods. Functional performance testing is the dynamic testing of systems (rather than just components) under full operation (e.g., the chiller pump is tested interactively with the chiller functions to see if the pump ramps up and down to maintain the differential pressure set point). Systems are tested under various modes, such as during low cooling or heating loads, high loads, component failures, unoccupied condition, varying outside air temperatures, fire alarm, and power failure. The systems are run through all the control system's sequences of operation, and components are verified to respond as the prescribed sequences state

The OCA develops the functional test procedures in a sequential written form, coordinates, oversees, and documents the actual testing, which is usually performed by the installing contractor or vendor. In addition, seasonal functional performance tests may also be performed, during which the installing contractor and/or OCA performs the functional performance test during different seasonal weather conditions. Functional performance testing also may include procedures for condition acceptance testing. Condition acceptance testing uses condition monitoring techniques, usually associated with reliability centered maintenance, to identify latent manufacturing, transportation, and installation defects that affect the condition of the equipment at the time of acceptance. The most common techniques will use vibration analysis to inspect for mechanical alignment and balance, soft foot, and internal and bearing defects; infrared thermography to determine the presence of high resistance and other problematic electrical connections; ultrasound to determine the presence of fluid (e.g.,

compressed air, steam, gas) leaks; lube oil analysis to determine the quality, condition, and appropriateness of lubricating oils and their additives; and/or motor testing and electrical testing, where the condition of the insulation is of major importance.

Not all commissioning programs include condition acceptance testing. However, there is no better time to determine the physical hidden condition of the equipment (while functional performance testing looks at operating parameters). Hidden conditions are then noted as a condition for acceptance while the warranties are still active and this process establishes the condition baseline for the ensuing maintenance program. System testing (TAB) may or may not be included as part of the commissioning (that is, the TAB technicians may or may not work for the OCA). However, validation of the TAB results by random spot checking actual output against the documented TAB data normally will be included in the commissioning process regardless of the TAB contractor's relationship within the commissioning team.

D. RETRO-COMMISSIONING

Retro-commissioning is not tied to a specific new construction or renovation project, and therefore does not necessarily follow the same process as commissioning. Retro-commissioning typically follows a four-part process:

1. **Planning:** Identify project objectives, decide which building systems should be analyzed for improvements, and define tasks and assign responsibilities;
2. **Investigation:** Determine how the selected systems are supposed to operate, or how they could operate more efficiently; perform tests to measure and monitor how the targeted systems currently operate; and prepare a prioritized list of the operating deficiencies found and recommended corrective actions;
3. **Implementation:** Correct operating deficiencies (highest priority to lowest) and perform tests to verify proper and/or improved operation.
4. **Hand-off:** Prepare a report of improvements made and provide training and documentation on how to sustain proper and/or improved operation.

E. RECOMMISSIONING

During recommissioning, the tests that were performed during the original commissioning are performed again, with the goal of ensuring that the building is operating as designed or according to newer operating requirements. The development of new project documentation and testing procedures and forms is not required. However, these documents can be updated if the building and its systems and equipment have changed dramatically since the original commissioning. Recommissioning can be undertaken as an independent process in response to a specific requirement or or periodically scheduled as part of the building's operations and maintenance program. In general, the more substantial changes that a facility goes through, the more often it should be recommissioned if a continuous commissioning program is not in place. If there are no known substantial changes to the facility and its operation, it is recommended in general that the facility be recommissioned every three

to five years. An independent OCA can be hired to perform recommissioning, or the facility and O&M staff can use the existing test forms to perform recommissioning in house.

Recommissioning starts with:

- Site observation;
- Interviews with occupants;
- Analyses of energy metering data (if available);
- Review of current O&M practices and service contracts;
- Spot testing of equipment and controls; and
- Trending or electronic data logging of pressure, temperatures, power, flows, and lighting levels and use to determine current conditions (this replaces verification checks).

Section 11

Construction Project Closeout

Covered in this Section

- A. Close-Out Log
- B. Punch List
- C. Completion of ADA Work
- D. General Final Clean-up
- E. As-Builts
- F. DSA Close-out Requirements
- G. Warranty and Maintenance Manuals
- H. Documents to be Provided to District
- I. Notice of Completion
- J. Partial Completion and Substantial Completion

Closeout is the process for final completion of the project including the requirements for DSA certification. Final completion means all work for the project is complete, including punch lists, and all work complies with the approved contract documents, change orders and DSA requirements.

A. CLOSE-OUT LOG

A close-out log will be generated at the start of the project to ensure a complete and thorough close out of documents, certifications, procedures and materials can take place throughout the course of the project. All documents and contract materials related to closeout shall be transmitted formally using an itemized transmittal for tracking and confirmation of transfer receipt. Transmitted items will be acknowledged using date and signature either in writing or electronically.

B. PUNCH LIST

A punch list is prepared only after the project is substantially complete. The Bond Manager, IOR, and design professional will prepare a punch list of items required to complete the contract documents and ensure compliance with the DSA approved plans so the project may be completed by the contractor and a final DSA closeout approved.

The Bond Manager will provide contractor with a specified time to complete the punch list on a project. If the punch list is not completed by the end of the punch list time, the Bond Manager may issue a valued punch list to the contractor and withhold a percentage of the value of the punch list work until completed.

C. COMPLETION OF ADA WORK

The Bond Manager will ensure that ADA work is completed/corrected to comply with and receive DSA certification.

D. GENERAL FINAL CLEAN-UP

Upon completion of the work, contractor shall employ experienced workers or professional cleaners for final cleaning. Each surface will be cleaned to the condition expected in a normal, commercial, building cleaning and maintenance program.

E. AS-BUILTS

The Bond Manager will ensure that the following information is correctly drawn on the prints and accurately located on as-built drawings:

- Indications of changes to original drawings, inclusive of all architects supplemental instructions, RFI clarifications, addenda and change orders;
- Location and elevations of covered utilities, including valves, cleanouts, etc. ;
- Architect of record approval of "as-built" information;

- DSA Inspector's approval of the "as-built" information.

Contractor shall deliver a bound copy and an electronic file in a format acceptable to the District.

F. DSA CLOSE-OUT REQUIREMENTS

The Bond Manager will ensure that contractor performs all work within its scope to comply with the DSA requirements per PR-13-06.

Bond Manager shall ensure that contractor executes a Form DSA 6-C as required under Title 24 Sections 4-343 and PR-13-01. The contractor understands that the filing with DSA of a Form 6-C is a requirement to obtain final DSA approval of the construction by the contractor and utilized to verify under penalty of perjury that the work performed by the contractor complies with the DSA approved contract documents.

G. WARRANTY AND MAINTENANCE MANUALS

Bond Manager will ensure that three hard copies and one electronic copy of complete warranty and O&M documents (including warranties and operations and maintenance instructions consistent with the requirements of the contract and contract documents including repair parts lists, service instructions for all electrical and mechanical equipment, and equipment warranties) are submitted in bound 8½" x 11" binders and electronically, including a table of contents in front and indexed with tabs.

Each manual will contain of a list of subcontractors, with their addresses and the names of persons to contact in cases of emergency. Identifying labels will provide names of manufactures, their addresses, ratings, and capacities of equipment and machinery.

H. DOCUMENTS TO BE PROVIDED TO THE DISTRICT

Contractor shall provide all project documents and files, including but not limited to contractor's daily reports, RFIs, submittals, correspondence, certifications, forms, meeting minutes, and unconditional releases.

The IOR will provide the DSA job file per T-24 4-342 and PR 13-01.

I. NOTICE OF COMPLETION

At the completion of the overall project, and submission by the contractor and acceptance of all contract requirements by the Bond Manager, the BOE shall accept the project as complete and authorize the filing of a notice of completion with the county clerk and recorder. The BOE has delegated authority to Superintendent to accept negotiated projects as complete if the contract value is less than \$45,000.¹

¹ See Section 4 page 4

J. PARTIAL COMPLETION AND SUBSTANTIAL COMPLETION

The District reserves the right to partially occupy complete or partially complete portions of the project. If the District opts to occupy portions of the project, the Bond Manager will issue partial acceptance for that portion of the project being occupied. The partial acceptance will be subject to a punch list that will be prepared by the design professional for that portion of the project being occupied. This partial occupancy shall not constitute the commencement of the warranty period.

Substantial completion shall be defined as that time in the project when the work has been substantially completed such that the project can be utilized for its intended purpose. The District may at its option fully occupy the project. A punch list will be established by the design professional for the entire project prior to establishing the date for substantial completion.

Warranties required by the contract documents shall commence on the date of completion of the entire work. Warranty periods do not commence at substantial completion or when a particular subcontractor work is complete. No additional charges, extras, change orders, or claims may be sought for warranties commencing from the notice of completion.

The District shall have the right to utilize equipment, test and operate as necessary for acclimation, or testing without voiding or starting warranties. Taking beneficial occupancy shall not start warranties except in the case where the District agrees, in writing, that warranties shall commence running or where the District is taking phased occupancy of specific buildings or areas and completes separate punch lists.

Section 12

Claims Avoidance & Management Procedures Warranty of Construction and Correction Period

Covered in this Section

- A. CLAIMS AVOIDANCE PROCEDURES**
 - 1. Recommended Steps When Reviewing RFIs
 - 2. Recommended Steps When Review PCOs
 - 3. When District and Contractor Cannot Come to Terms
- B. CLAIMS MANAGEMENT PROCEDURES**
 - 1. Construction Claims Procedures
 - 2. Bond Manager's Responsibilities regarding alleged claims
 - 3. Contractor Claims Analysis
 - 4. Evaluation of Entitlement
- C. WARRANTY OF CONSTRUCTION**
- D. CORRECTION PERIOD**

A. CLAIMS AVOIDANCE PROCEDURES¹

Steps must be taken to avoid having formal claims filed by contractors whenever it is practically possible. If the quantity of Requests for Information (RFIs) or Potential Change Orders (PCOs) on a given project seems excessive, the bond manager will anticipate a potential claim. If the contractor submits unreasonable costs for additional work, the District must establish a means of pricing the work. The Bond Manager will be timely in these actions as the longer it takes to resolve pricing issues, the greater the potential delay claim.

These recommendations are intended to minimize the likelihood of the contractor initiating a formal claims process that may result in project delays, attorneys' fees, and other negative and costly outcomes. It is important that the Bond Manager act in good faith on behalf of the district at all times, even when it appears that the contractor is not doing so.

1. Recommended Steps When Reviewing RFIs

- a. Confirm that the design professional is responding within the time frame set forth in the contract documents. Contractors may complain about the length of time it takes to receive responses to RFIs. If the architect is missing contractual deadlines, the contractor may be entitled to compensation for delay, assuming that the RFI affects work that is in the critical path for the project.
- b. Confirm that the contractor is not submitting "nuisance" RFIs. Contractors may submit RFIs asking for information that is readily available in the bid documents.
- c. Confirm that the architect or other design professional is giving thorough and complete responses to RFIs. When multiple "back-and-forth" responses occur, contractors may attempt to initiate a delay claim.
- d. Document RFIs that are incomplete or vague when submitted by the contractor. Do not allow the contractor to claim delay for an RFI that could not be answered by the District's design professional because of the contractor's inadequate wording of the question.

2. Recommended Steps When Reviewing Potential Change Orders (PCOs)

- a. Examine contractor initiated PCOs to determine if all or part of the proposed additional work should have been included in the bid price.
- b. Review only cost of work if a PCO is clearly necessary or if it was initiated by the District. Varying methods for determining cost are available to the District, and the general conditions allow for flexibility. Examples include:
 - Lump sum as agreed upon by both parties.
 - Unit costs established at bid time.
 - Time and materials.

¹ Performance Audit 2016-17 Observation 11 Improvement Recommendation

- Generally accepted and agreed upon basis of establishing cost (e.g., Means Building Construction Costs Book).

It is up to the Bond Manager to implement the best methodology to determine reasonable cost for extra work. Typically, lump sum pricing is simplest, but it requires that a level of trust exists between the owner and the contractor.

If unit costs were included in bid pricing, they are a definitive method of avoiding disputed costs.

Time and material pricing is an effective method of making sure that the owner pays only actual costs associated with the extra work. However, this method requires that the contractor's activities be monitored by the IOR.

Using an established pricing standard such as the Means Building Construction Costs Book can be subject to interpretation and should be used with the appropriate level of consideration.

3. When District and Contractor Cannot Come to Terms

- a. The Bond Manager must establish a fair value for the work in dispute. This value will be needed as a benchmark for purposes of negotiation.
- b. The Bond Manager will need to compile backup documentation and exhibits to support the cost established by the District as fair value for the work.
- c. The Bond Manager will advise the contractor to proceed with the work under protest as required. Article 13 of the general conditions states that filing of a claim is not a basis to discontinue work.
- d. A meeting should occur that includes the contractor, Bond Manager, IOR and design professional to review the issues.
- e. The Bond Manager may engage in informal conflict resolution with the affected parties.

If none of these steps results in resolution of the disputed costs, an informal mediation may be scheduled.

B. CLAIMS MANAGEMENT PROCEDURES

A claim usually involves a contractor or subcontractor requesting additional disputed compensation for work completed that was outside the scope of work defined by the contract or for work that was completed within the contract scope but under conditions that were neither bid nor anticipated. The claims process is set forth in the contract. Once the claims process is set in motion, all parties involved in the project play a role in the resolution of the claim, including the District, architect, inspector of record, contractor/subcontractors, and legal counsel.

Claims issues that may arise during construction include (but are not limited to) requests for:

- A time extension;
- Payment of money or damages arising from Work done by or on behalf of the contractor pursuant to the contract and payment of which is not otherwise expressly provided for or the claimant is not otherwise entitled to; or

- Payment of money that the District disputes that it owes.

1. Construction Claims Procedures

At the pre-construction meeting, the Bond Manager will remind the contractor that all claims must be submitted in writing to the Bond Manager for processing and distribution.

Upon receipt of intent to claim or a claim from the contractor, the Bond Manager will immediately take the following steps:

- a. Establish a separate file folder for all pertinent documentation;
- b. File the original letter of intent to claim in the project file;
Acknowledge to the contractor, in writing, without commitment, receipt of intent to claim or claims. (Care must be taken that no indication of the Bond Manager's opinion regarding the contractor's allegations is either given or implied);
- c. Assemble all documentation regarding the claim; (This documentation will include, but not be limited to, all relevant reports, diary entries, photographs, and correspondence.)
- d. For all claims from the contractor, the Bond Manager will prepare a factual analysis, with detailed citations of the evidence that will either support or rebut the contractor's position. The analysis will reference daily reports, diary entries, photographs, etc.;
- e. If the Bond Manager determines that the claim has merit, the Bond Manager will evaluate entitlement (time and money), and initiate a contract modification (Change Order);
- f. If the claim is rejected by the Bond Manager, the Bond Manager will inform the contractor in writing;
- g. After intent to claim has been presented by the contractor and at completion of all work associated with the intent to claim, the Bond Manager will, in writing, request the contractor to present the claim in a timely manner.

2. Bond Manager's Responsibilities Regarding Alleged Claims

Whenever an event occurs or a situation arises which has the potential of delaying the contractor with respect to his contract completion date, and it can be demonstrated that the cause of the potential delay is beyond the contractor's control (e.g., strikes, unusually severe weather, etc.), the Bond Manager and the contractor will make a determination of the extent of the potential delay.

If, and when, it is determined by the contractor that the contract completion date cannot be met, the contractor will present to the Bond Manager for review and analysis a request for an extension of time in the form of a TIA. The request should demonstrate the reasons behind the failure to meet the contract completion date and present practical alternatives such as re-sequencing of items of work or methods of accelerating the work, with time and dollar values assigned.

After a detailed analysis by the Bond Manager and the contractor, a determination will be made as to the following:

- What is the time impact on the contract completion date? This evaluation is

made after unused float time, etc., is taken into account.

- What, if any, remedial action can be taken to compress the schedule and allow

for on-time completion? What will this action or actions cost in terms of time and dollars?

- What would the impact on the contractor be if the time extension is disallowed and liquidated damages are assessed?
- If the Bond Manager recognizes the contractor's request as having merit, the Bond Manager will initiate a contract modification (Change Order) for extended time.
- If the Bond Manager denies the contractor's request for a time extension, the Bond Manager will notify the Contractor of the denial.

3. Contractor Claims Analysis

For each claim submitted by the contractor, the Bond Manager, and design professional will prepare an in-depth, factual analysis, with detailed citations of evidence that will either support or rebut the contractor's position. The analysis of each claim will reference daily inspection reports, construction summaries, as-built schedules, photographs and/or video documentation as appropriate. The design professional will forward the completed factual analysis to the Bond Manager with a recommendation as to the claim's merit.

4. Evaluation of Entitlement

If the Bond Manager determines that the claim has merit, the Bond Manager, in conjunction with the design professional, will complete an evaluation of entitlement (time and/or money) and initiate a proposed change order to the contract.

C. WARRANTY OF CONSTRUCTION

The contractor warrants that the work performed meets the contract requirements and is free of any defect in equipment, material, or design furnished, or workmanship performed by the contractor or any subcontractor or supplier at any time.

With respect to all warranties, expressed or implied, from subcontractors, manufacturers, or suppliers for work performed and materials furnished under this contract, the contractor will:

- Obtain all warranties required by the contract documents;
- Require all warranties to be executed, in writing, for the benefit of the District;
- Enforce all warranties for the benefit of the District.

D. CORRECTION OF WORK

For the period specified in the contract or warranty, from the date of beneficial occupancy, the contractor will remedy at the contractor's expense any failure to conform to the contract requirements or any defect. If the District takes possession of any part of the work before final completion, the correction period for such part of the work will continue for the period specified in the contract. The



Beverly Hills Unified School District

contractor will remedy at the contractor's expense any damage to real or personal property owned or controlled by the District when the damage is the result of:

- Contractor's failure to conform to contract requirements.
- Any defect of equipment, material, workmanship, or design furnished by the contractor.

The contractor will restore any work damaged in the correction of work. The contractor's warranty with respect to work repaired or replaced will begin or resume from the date of repair or replacement.

The Bond Manager and design professional will notify the contractor, in writing, within a reasonable time after the discovery of any failure, defect, or damage.

If the contractor fails to remedy any failure, defect, or damage within a reasonable time after receipt of notice, the Bond Manager will have the right to replace, remove, or otherwise remedy the failure, defect, or damage at the contractor's expense.

APPENDIX A

Resolution No. 2008-2009-014 Establishing the COC

Resolution 2018-2019-001 Expanding Powers of the COC and Approving Amended
Related Bylaws

Amended and Related Bylaws

**RESOLUTION OF THE BOARD OF EDUCATION OF THE
BEVERLY HILLS UNIFIED SCHOOL DISTRICT
ESTABLISHING A CITIZENS' OVERSIGHT COMMITTEE TO
OVERSEE BOND PROCEEDS, EXPENDITURES AND AUDITS**

RESOLUTION 2008-2009-014

WHEREAS, on August 6, 2008, the Board of Education (the "Board") of the Beverly Hills Unified School District (the "District") adopted Resolution number 2008-2009-005 (the "Resolution") ordering a school bond election, establishing specifications of the election order, and requesting consolidation with other elections;

WHEREAS, the Board adopted the Resolution for the purpose of submitting to the electors the question of whether the bonds of the District ("Bonds") shall be issued and sold for purposes outlined in the Facilities Master Plans completed during 2008.

WHEREAS, by way of the Resolution, the Board declared its intent to establish a citizens' oversight committee to ensure that the proceeds of the Bonds are expended only for the specific projects identified on the bond measure approved by the voters.

WHEREAS, consistent with the Resolution, the Board of Education is required to establish a citizens' oversight committee to increase accountability, communication, oversight and representation for the planning, scheduling, budgeting and execution of plans outlined in the Measure E Resolution.

NOW, THEREFORE, the Board of Education of the Beverly Hills Unified School District does hereby resolve, determine and order as follows:

Section 1 – Establishment of the Citizens' Oversight Committee

A Citizens' Oversight Committee is hereby established for the purpose, and operating under the criteria, listed below.

Section 2 – Purpose of the Citizens' Oversight Committee

The purpose of the Citizens' Oversight Committee shall be to:

1. Review spending of Measure E proceeds and ensure that these funds are used only on school improvements, as described in the official ballot "To repair/upgrade and improve security and safety at all Beverly Hills Unified School District schools, qualify for state grants if possible, address building safety/health issues and make other improvements to school sites and buildings, shall the District issue \$334,000,000 of bonds at interest rates within the legal limit with annual audits and citizens' oversight."
2. Establish and maintain quality communications between the Beverly Hills Unified School District and the community.
3. Assure the Board of Education that the goals of the Measure E bond are being met.

Section 3 – Membership on the Citizens’ Oversight Committee

1. The Citizens’ Oversight Committee shall consist of a minimum of seven citizens who have had no current or past financial relationship with the School District.
2. Committee Members shall serve a term of two years and for no more than three consecutive terms, without compensation.
3. Citizens’ Oversight Committee membership shall include no vendors and no current Board of Education Members; it shall not have any overemphasis on government employees or on union or employee association members.
4. Qualifications for membership will be based on:
 - a. broad representation of the community;
 - b. interest and experience in construction, finance and/or auditing;
 - c. volunteering and involvement in school activities;
 - d. length of time in the community.
5. Committee members shall be Board appointed after completing an application process established by the Board of Education.

Section 4 – Responsibilities of the Citizens’ Oversight Committee

The Citizens’ Oversight Committee will pursue five primary goals in order to achieve its charter.

1. Receive an annual auditor’s report.
2. Ensure that funds are used only on school building improvements, not district salaries or administration.
3. Provide regular quarterly reports to the Beverly Hills Unified School District Board of Education that the expenditures match those promised during the bond campaign. In addition, release these findings to the general public.
4. Review the district’s maintenance effort ensuring proper maintenance of school buildings after repair and renovation.
5. Review district’s school building repair funding plan comprised of local and state bond funds, and other funding sources.

Section 5 – Operation and Organization of the Citizens’ Oversight Committee

1. The committee shall conduct its business in compliance with the Ralph M. Brown Act.
2. The committee shall follow parliamentary procedures and keep and provide regular minutes of all meetings.
3. The committee shall review the annual financial audit of the Bond proceeds and State School Facility Program funds.
4. The committee shall review the annual performance audit to ensure that Bond funds and State School Facility Program funds have been expended only on the specified projects.
5. The members of the committee shall serve for two year terms and shall serve no more than two consecutive terms.
6. The committee shall elect a chair and a co-chair who shall each serve a one-year term and for no longer than two consecutive years.
7. The total committee shall have an odd number of appointees.
8. Unless excused by the committee chair or co-chair, members who have been absent for more than two consecutive meetings shall be deemed to have resigned from the committee.
9. Vacancies on the committee shall be filled based on the original appointment criteria and process.

10. The committee shall be disbanded when the Bond proceeds and the State School Facility Program funds intended to fund identified projects have been fully expended and all projects completed.

Section 6 – Oversight Defined

1. Ensure to the Board of Education, the Superintendent and the general public that Measure E ballot language and plans are followed.
2. Review and comment to the Board of Education regarding the Measure E audit.
3. Report and comment to the Board of Education regarding the Measure E construction reports provided by Strategic Concepts, LLC and District personnel.
4. Submit accountability assessments to the Board of Education.
5. Review and comment on various aspects of Bond Plans as required by the Board of Education or the Superintendent.

PASSED AND ADOPTED by the Beverly Hills Unified School District Board of Education at a meeting held on the 3rd of February 2009.

AYES: 5

NOES: 0

ABSENT: 0

Jerry C. Gross
Clerk to the Board of Education

BEVERLY HILLS UNIFIED SCHOOL DISTRICT

RESOLUTION NO. 2018-2019-001

RESOLUTION OF THE BOARD OF EDUCATION OF THE BEVERLY HILLS UNIFIED SCHOOL DISTRICT EXPANDING THE POWERS OF ITS INDEPENDENT CITIZENS' BOND OVERSIGHT COMMITTEE AND APPROVING AMENDED AND RESTATED BYLAWS THEREFORE

WHEREAS, the Board of Education of the Beverly Hills Unified School District (the "District") previously adopted a resolution requesting Los Angeles County, California (the "County") to call an election for general obligation bonds (the "2008 Election") held on November 4, 2008 ("Measure E"); and

WHEREAS, notice of the 2008 Election was duly given; and on November 4, 2008, the 2008 Election was duly held and conducted for the purpose of voting a measure for the issuance of bonds of the District in the amount of \$334,000,000; and

WHEREAS, based on the Canvass and Statement of Results for the County, more than fifty-five percent of the votes cast on Measure E were in favor of issuing the aforementioned bonds; and

WHEREAS, the Board of Education of the District previously adopted a resolution requesting the County to call an election for general obligation bonds (the "2018 Election") held on June 5, 2018 ("Measure BH"); and

WHEREAS, notice of the 2018 Election was duly given; and on June 5, 2018, the 2018 Election was duly held and conducted for the purpose of voting a measure for the issuance of bonds of the District in the amount of \$385,000,000; and

WHEREAS, based on the Canvass and Statement of Results for the County, more than fifty-five percent of the votes cast on Measure BH were in favor of issuing the aforementioned bonds; and

WHEREAS, the Board of Education of the District (the "Board") previously has established an independent citizens' bond oversight committee (the "Committee") in connection with issuance of bonds under Measure E; and

WHEREAS, the Board has also previously approved Bylaws governing such Committee; and

WHEREAS, the Board now desires to further amend and restate such Bylaws, in whole, to include within the Committee's responsibilities review of Measure BH (so amended and restated, the "Amended and Restated Bylaws").

NOW, THEREFORE, THE BOARD OF EDUCATION OF THE BEVERLY HILLS UNIFIED SCHOOL DISTRICT DOES HEREBY FIND, DETERMINE AND CERTIFY AS FOLLOWS:

Section 1. **Authorization.** Measures E and BH was authorized pursuant to paragraph (3) of subdivision (b) of Section 1 of Article XIII A of the California Constitution and subdivision (b) of Section 18 of Article XVI of the California Constitution in accordance with the requirements of the Strict Accountability In Local School Construction Bonds Act of 2000 (the "Act").

Section 2. **Powers of the Committee.** An Independent Citizens' Bond Oversight Committee (the "Committee") has been established for the purposes set forth in the Act and the Board grants it jurisdiction over Measures E and BH.

Section 3. **Bylaws.** The Committee shall operate pursuant to the Board approved Amended and Restated Bylaws. The Committee shall have only those responsibilities granted to them in the Act and in the Amended and Restated Bylaws. The Amended and Restated Bylaws, as submitted herewith and attached hereto, are hereby approved, and any prior Bylaws are terminated.

Section 4. **Other Actions.** Officers of the Board and members of the Committee established hereunder are hereby authorized and directed, jointly and severally, to do any and all things and to execute and deliver any and all documents which they may deem necessary or advisable in order to give effect to and comply with the terms and intent of this Resolution. Such actions heretofore taken by such officers, officials and staff are hereby ratified, confirmed and approved.

ADOPTED, SIGNED AND APPROVED this 24 day of July, 2018.

BOARD OF EDUCATION OF THE BEVERLY
HILLS UNIFIED SCHOOL DISTRICT



President

ATTEST:



Secretary

[illegible]

I, Michael Bregy, do hereby certify that the foregoing is a true and correct copy of Resolution No. 2018-19-02 which was duly adopted by the Board of Education of the Beverly Hills Unified School District at the meeting thereof held on the 24 day of July, 2018, and that it was so adopted by the following vote:

AYES: 3 (Korbatov, Margo, Spitz)

NOES: 2

ABSENT: 2 (Hacker, Goldstein)

ABSTENTIONS: 0

By Michael Perry
Secretary

EXHIBIT A

INDEPENDENT CITIZENS' OVERSIGHT COMMITTEE BYLAWS

Section 1. COMMITTEE ESTABLISHED

The Board of Education (the "Board") of the Beverly Hills Unified School District (the "District") hereby establishes the Independent Citizens' Oversight Committee (the "Committee") which shall have the purposes and duties set forth in these Bylaws.

Section 2. PURPOSE

The purpose of the Committee is to inform the public annually concerning the expenditure of Measure E bond (the "Bond") proceeds, approved by the voters in November, 2008, by issuing a written report.

Section 3. DUTIES

To carry out its stated purpose, the Committee shall perform the following duties:

3.1 Review Expenditures. The Committee shall review expenditure reports produced by the District to (a) ensure that Bond proceeds are expended only for the purposes set forth in the ballot measure; and (b) ensure that no Bond funds are used for any teacher or administrator salaries or any other operating expenses.

3.2 Annual Report. The Committee shall present to the Board an annual written report (the "Annual Report") which shall include the following:

(a) A statement indicating whether the District is in compliance with the requirements of Article XIII A, Section 1(b)(3) of the California Constitution; and

(b) A summary of the Committee's proceedings and activities for the preceding year.

Section 4. AUTHORIZED ACTIVITIES

4.1 In order to perform the duties set forth in Section 3 hereof, the Committee may engage in the following authorized activities:

(a) Receive and review copies of the District's annual independent performance audit and annual independent financial audit required by Article XIII A of the California Constitution.

(b) Inspect school facilities and grounds for which Bond proceeds have been or will be expended to ensure that bond funds are expended in compliance with the requirements of paragraph (3) of subdivision (b) of Section 1 of Article XIII A of the California Constitution in accordance with any access procedure established by the Superintendent or designee.

(c) Receive and review copies of any deferred maintenance proposals or plans developed by the District, including any reports required by Section 17584.1 of the California Education Code (the “Education Code”).

(d) Review efforts by the District to maximize Bond proceeds by implementing cost-saving measures, including, but not limited to, all of the following: (1) mechanisms designed to reduce the costs of professional fees; (2) mechanisms designed to reduce the costs of site preparation; (3) recommendations regarding the joint use of core facilities; (4) recommendations regarding the use of cost-effective and efficient reusable facility plans; or (5) mechanisms designed to reduce costs by incorporating efficiencies in school site design.

4.2 Any Committee requests for copies or inspection of District records shall be made in writing to the Superintendent or designee.

SECTION 5. MEMBERSHIP

5.1 Number. The Committee shall consist of not more than fourteen members, as follows:

(a) The Board shall appoint at least five members of the Committee from nominees provided by the following organizations:

- (1) one member from a Business Organization in Beverly Hills; and
- (2) one member of the PTSA who is also a parent or guardian of a child enrolled in the District; and
- (3) one member with a Finance Background Member; and
- (4) one member from the Beverly Hills Taxpayers Association.
- (5) one member from a Construction Background Member; and

(b) The Board shall also appoint at least two members from applications received by the District as follows:

- (1) one member who is active in a senior citizens’ organization;
- (2) one member from the City of Beverly Hills of whom is the parent or guardian of a child currently enrolled in the District.

5.2 Qualification Standard.

(a) To be a qualified member of the Committee, a person must:

- (1) be at least 18 years of age and a citizen of the State of California in accordance with Section 1020 of the California Government Code (the “Government Code”).
- (2) not be an employee or official of the District; and

(3) not be a vendor, contractor, or consultant of the District.

(b) If a member fails to meet the qualification standards set forth above at any time during the term of service, such member shall be disqualified and the position shall be declared vacant. The Board shall appoint a new person to serve the remainder of the term, in accordance with the appointment process set forth in Section 5.3 below.

5.3 Appointment. The Board shall appoint members to the Committee at each vacancy or at the termination of each two year term. Prior to appointment, the District Superintendent shall conduct a nomination process to ensure that each person nominated meets the qualification standards set forth in Sections 5.1 and 5.2. The Superintendent shall establish a process that provides reasonable notice to Board members, specified nominating organizations and individuals. When an appointment is necessary to fill a vacancy, the Superintendent shall ensure that a nomination is received from a like organization or category as the Committee member whose position is vacant.

5.4 Ethics: Conflicts of Interest. By accepting appointment to the Committee, each member agrees to comply with Article 4 (commencing with Section 1090) and 4.7 (commencing with Section 1125) of Division 4 of Title 1 of the Government Code and the Political Reform Act (Government Code §§ 81000 *et seq.*), and to complete the Form 700 as required by certain designated employees of the District.

5.5 Term. Each member of the Committee shall serve for a term of two years and for no more than two consecutive terms, except at its first meeting the members shall draw lots to establish which four members will serve an initial one year term in order to stagger the terms of office of members.

5.6 Removal; Vacancy. The Board may remove any Committee member for cause, including failure to attend three consecutive committee meetings. Upon the removal of a member, his or her seat shall be declared vacant. The Board shall fill any vacancies on the Committee in accordance with the appointment process set forth in Section 5.3 hereof.

5.7 Compensation. The Committee members shall not be compensated for their services.

Section 6. MEETINGS OF THE COMMITTEE

6.1 Regular Meetings. The Committee shall establish a schedule for the date and time of regular meetings to be held at least quarterly to include an annual organizational meeting to be held in June.

6.2 Location. All meetings shall be held at the administrative offices of the District located at 255 S. Lasky Dr., Beverly Hills, California, or other District facilities.

6.3 Procedures. All meetings shall be open and public in accordance with the Ralph M. Brown Act, Government Code Section 54950 *et seq.* (the "Brown Act"). Meetings shall be conducted according to such procedural rules as the Committee may adopt. A majority of the number of Committee members shall constitute a quorum for the transaction of any business except adjournment.

Section 7. DISTRICT SUPPORT

7.1 The District shall provide to the Committee necessary technical and administrative assistance as follows:

(a) preparation of and posting of public notices as required by the Brown Act ensuring that all notices to the public are provided in the same manner as notices regarding meetings of the Board;

(b) provision of a meeting room, including any necessary audio/visual equipment;

(c) preparation and copies of any documentary meeting materials, such as agendas and reports; and

(d) retention of all Committee records and public access to such records, including the posting of Committee records on the internet website maintained by the District.

7.2 District shall maintain all Committee records and provide public access to such records.

7.3 The District shall not use any Bond proceeds to provide the support set forth in this Section 7.

Section 8. OFFICERS

The Committee shall elect a Chair and a Vice-Chair who shall act as Chair only when the Chair is absent; such positions shall continue for two year terms. No person shall serve as Chair for more than two consecutive terms.

Section 9. POWERS RESERVED TO THE GOVERNING BOARD

9.1 In order to clarify that the Committee's duties and activities are limited to those set forth in Sections 3 and 4 respectively, by way of example the Governing Board maintains the exclusive authority with respect to all, but not limited to, the following powers and activities:

(a) projects financed through the State of California, developer fees, redevelopment tax increment, certificates of participation, CFD Bonds, the general fund or the sale of surplus property without bond proceeds.

(b) the establishment of priorities and order of construction for Bond projects.

(c) the selection of architects, engineers, soils engineers, construction managers, project managers, CEQA consultants and such other professional service firms as are required to complete the Bond projects.

(d) the approval of the design for each Bond project including exterior materials, paint color, interior finishes, site plan and construction methods.

(e) the selection of independent audit firm(s), performance audit consultants and such other consultants as are necessary to support the activities of the Committee.

(f) the approval of an annual budget for the Committee that is sufficient to carry out the activities set forth in Proposition 39 and included herein.

(g) the allocation of State School Building Program grant funds to projects in the order and in an amount determined by the Board.

(h) the adoption of a plan for publicizing the activities of the Committee.

(i) the appointment or reappointment of qualified applicants to serve on the Committee, subject to legal limitations, and based on criteria adopted by the Governing Board.

Section 10. AMENDMENT OF BYLAWS

Any amendment to these Bylaws shall be approved by the Board prior to becoming effective.

Section 11. TERMINATION

The Committee shall automatically terminate and disband at the earliest of the date when (a) all Bond proceeds are spent, or (b) all projects funded by Bond proceeds are completed.

Section 12. APPLICABILITY OF THE CALIFORNIA LAW

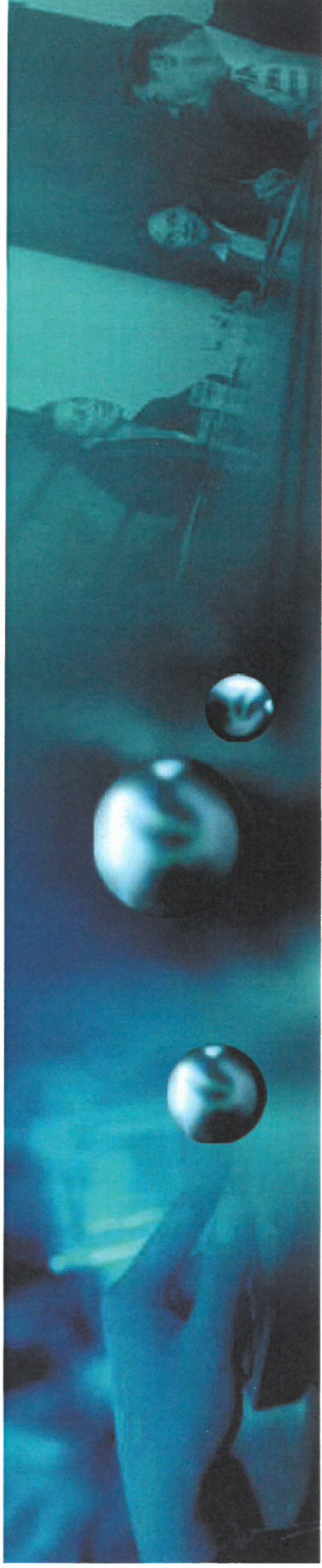
The Committee was established by the District in order to comply with Sections 15278 *et seq.* of the Education Code. Nothing in these Bylaws shall be interpreted in a manner that is inconsistent with such provisions of the Education Code.

APPENDIX B

TCDS, Inc. Owner Managed Construction Program



Team Concept
Development Services Inc



**“Owner Managed Construction Program”
Professional Consulting Services**

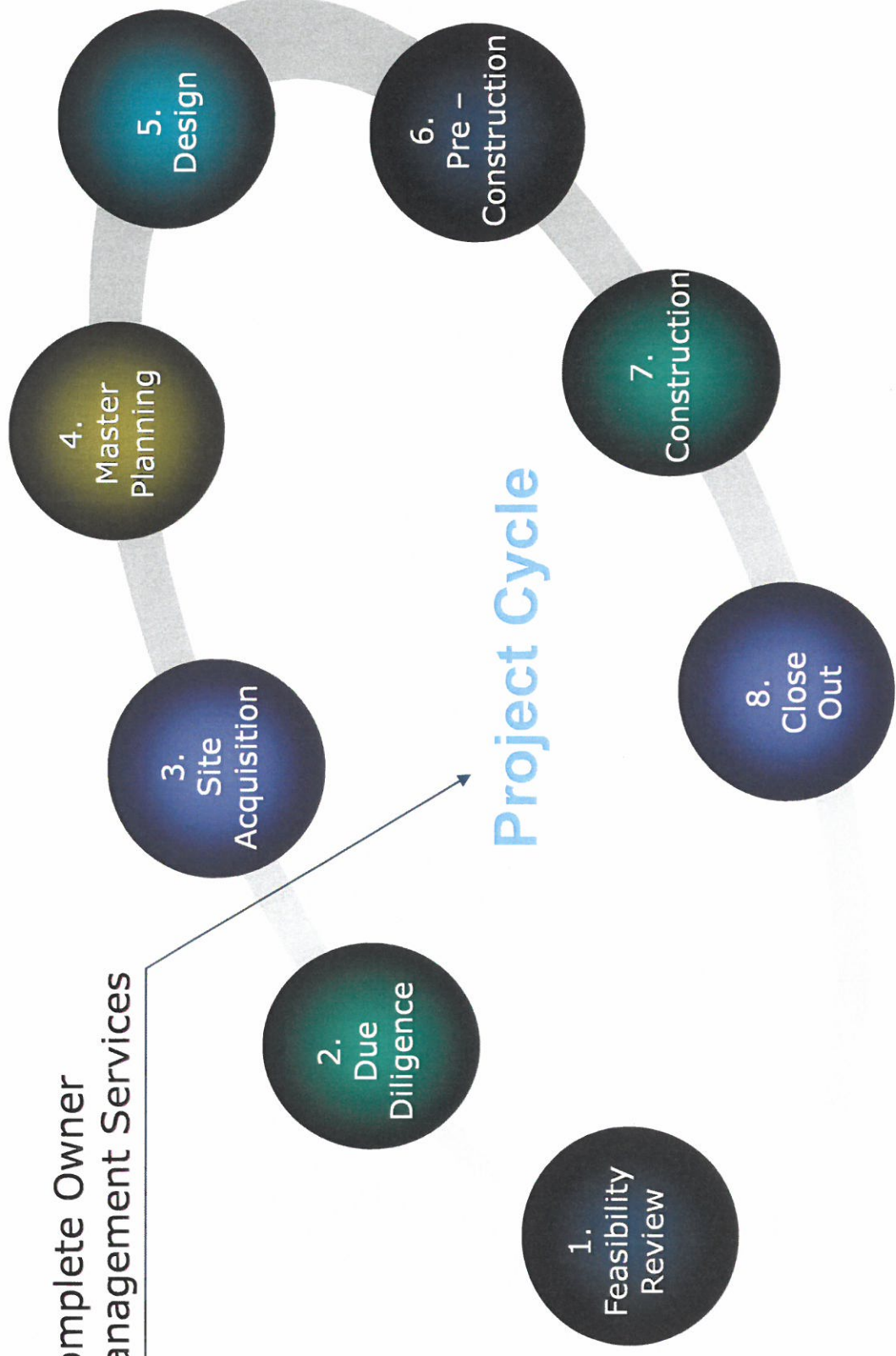


Team Concept Development Services Inc

- Who is TCDS?
 - Professional consulting firm with over 30 years of construction management experience.
- What do we provide?
 - “Owner Managed Construction”
 - Complete Project Cycle services from Feasibility Review to Close Out & Occupancy
- Who are our clients?
 - Public and private non-profit organizations.

Team Concept Development Services Inc

Complete Owner
Management Services





Team Concept Development Services Inc

Development / Construction Project Management

Typical

CM

OMP

Interests Protected

- A/E Exposure
- GC Contract

Interests Protected

- Owner Information
- A/E Exposure
- Multiple Prime Contracts

Interests Protected

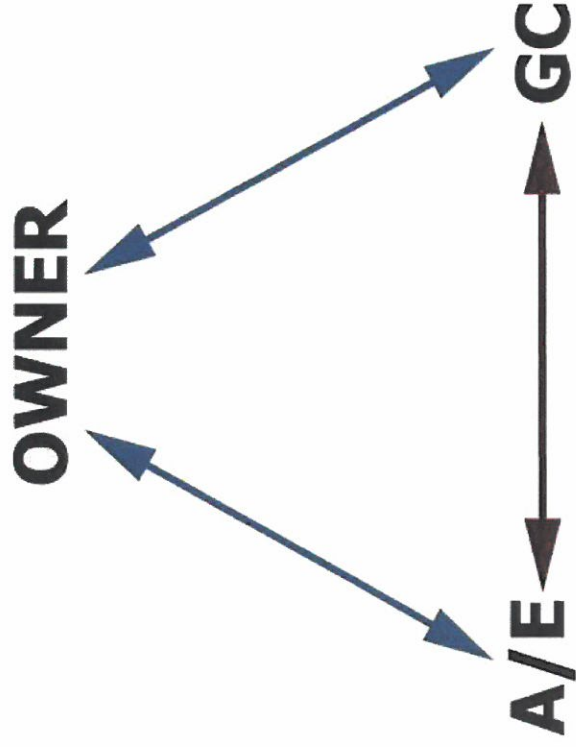
- Owner's Risk
- Owner's Time & Money
- A/E Exposure
- All Construction Contracts



Team Concept Development Services Inc

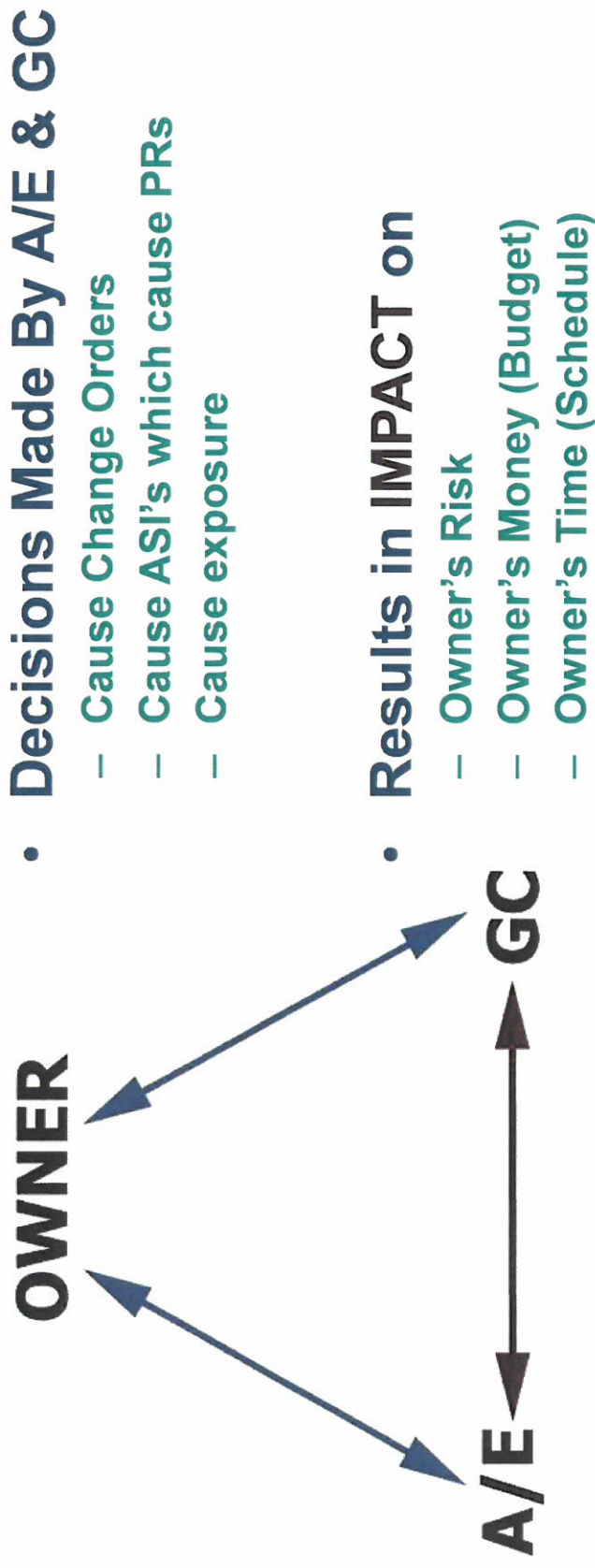
Typical Project Communication Structure

- **Owner Gives Minimal Direction To A/E & GC**
 - Usually occurs when awarding contracts
- **Owner Receives Reporting From A/E & GC**
 - Usually occurs monthly
- **A/E & GC Communicate Directly**
 - Usually occurs daily
- **Decisions Are Made By A/E & GC**
 - Usually occurs daily or weekly





Typical Project Communication Outcomes

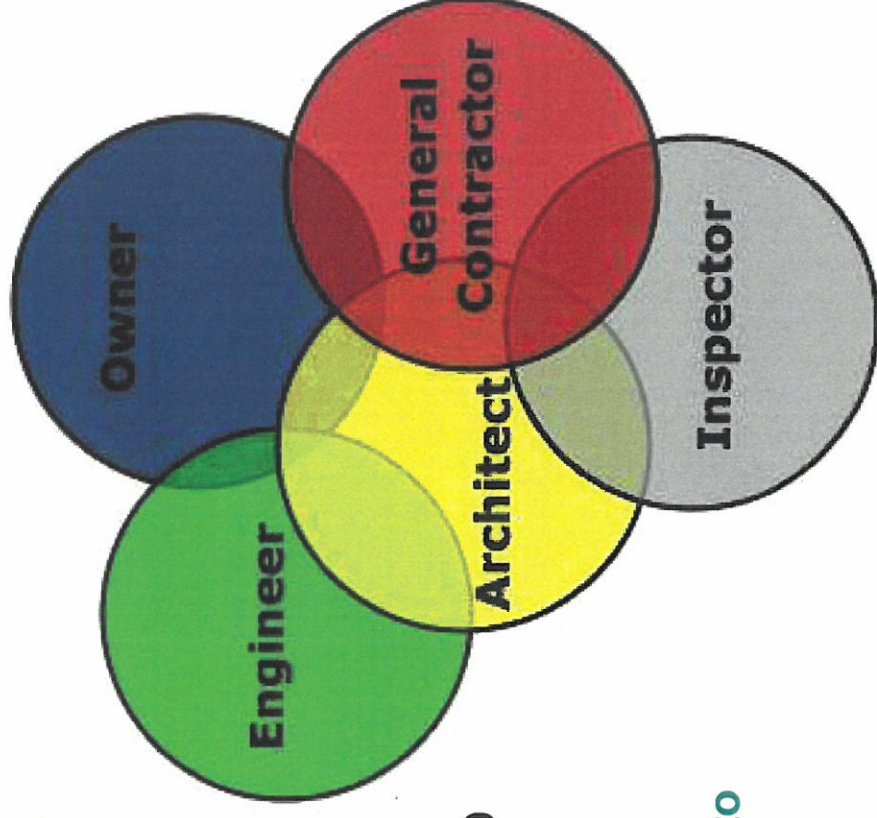




Team Concept Development Services Inc

Typical Project Reporting and Sphere of Impact

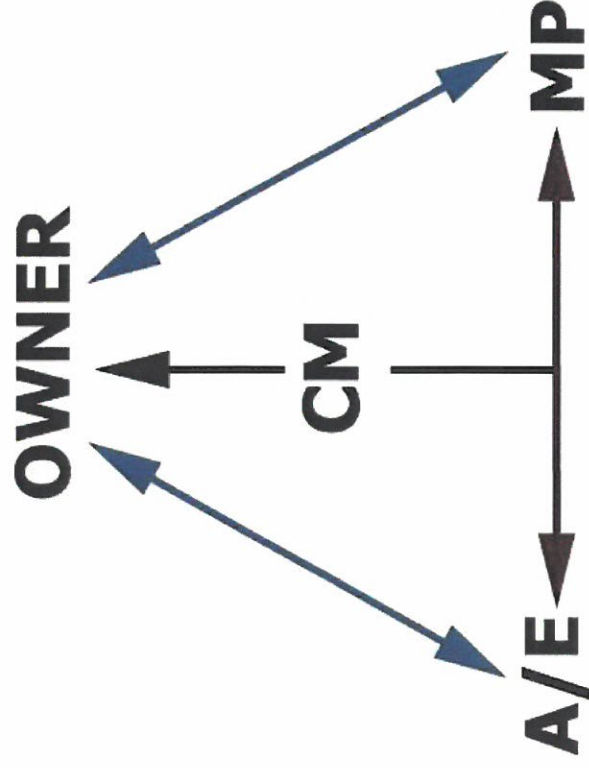
- **Monthly Reports Are Sent To Owner**
 - Project Status
 - Project Cost
 - Project Schedule
 - Project Change Orders / ASIs / PRs
- **Issues With Reporting**
 - Everything has **ALREADY HAPPENED**
 - Owner has no timely information to make decisions – has little to **NO IMPACT** on **OUTCOME**
 - Often major decisions that are sent to the owner are held up and cause **DOWNTIME**





Team Concept Development Services Inc

CM Project Communication Structure



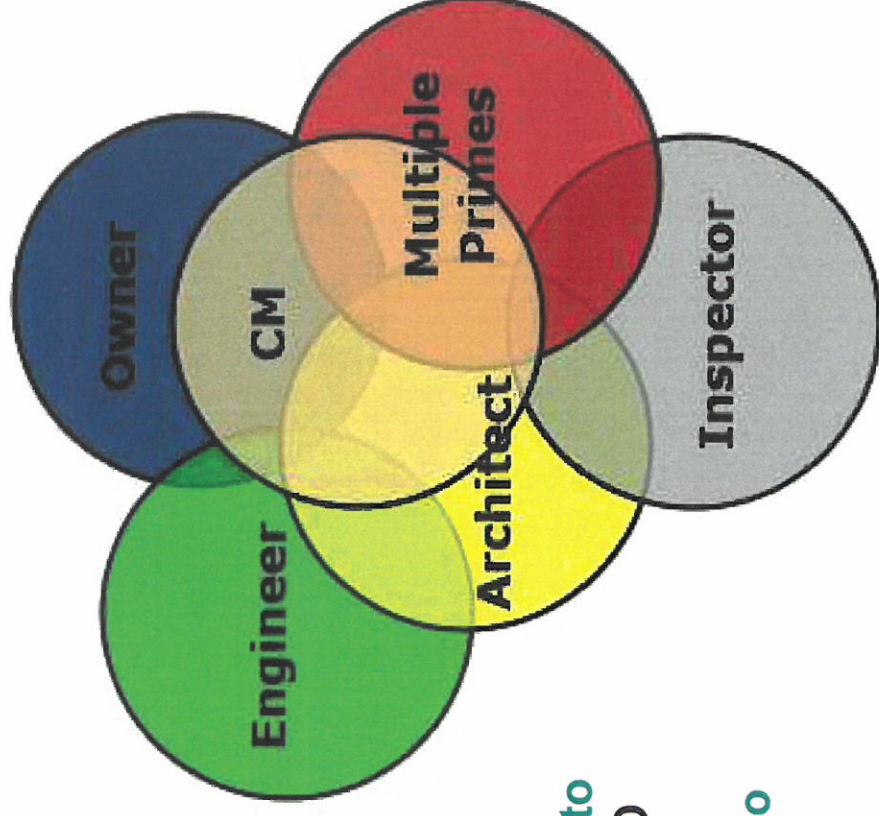
- Owner Gives **Minimal Direction To A/E & GC**
 - Usually occurs when awarding contracts
- Owner Receives **Reporting From CM**
 - Usually occurs monthly
- A/E & CM/Prime Communicate **Directly**
 - Usually occurs daily
- CM Collects Data – Gives Owner “View” Of Communication Process
 - Owner’s “Eyes & Ears”
- Decisions Are Made By A/E & Multiple Primes – Limited Impact By CM
 - Usually occurs daily or weekly



Team Concept Development Services Inc

CM Project Reporting and Sphere of Impact

- **Weekly Reports Are Sent To Owner**
 - Project Status
 - Project Cost
 - Project Schedule
 - Project Change Orders / ASIs / PRs
- **Issues With Reporting**
 - Most things have **ALREADY HAPPENED**
 - Owner has some timely information to make decisions – still has little to **NO IMPACT** on **OUTCOME**
 - Often major decisions that are sent to the owner are held up and cause **DOWNTIME**





Team Concept Development Services Inc

"Owner Managed Program"

Project Communication Structure

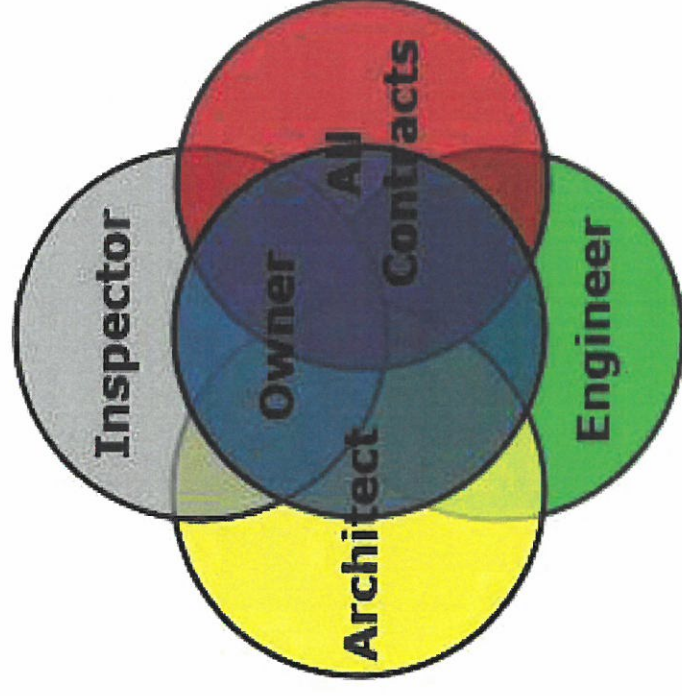




Team Concept Development Services Inc

“Owner Managed Program” Project Reporting and Sphere of Impact

- **Owner Views Real Time Information**
 - Daily management of all communication
 - Daily assessment of risk, money & time
 - Creates live accurate reports
- **Differences In Reporting**
 - Almost EVERYTHING HAPPENS With The OWNER KNOWING & PARTICIPATING
 - All Data Resides With The Owner – Has Complete IMPACT on OUTCOME
 - Owner Can Make Timely Decisions In Order To Have NO DOWNTIME





Team Concept Development Services Inc

- Owner Managed Program Objectives

1. Mitigate Owner's Risk

2. Manage Owner's Budget

3. Maintain Owner's Schedule

4. Focus: NO Down Time



Team Concept Development Services Inc

- Complete Project Cycle Services

1. Feasibility Review

2. Due Diligence

3. Site Acquisition – Purchase Phase

4. Master Planning

5. Design Phase

6. Pre-Construction Phase

7. Construction Phase

8. Close Out & Occupancy

APPENDIX C

DSA form IR A-8 Project Inspector and Assistant Inspector Duties and Performance

DSA PR 13-01 Procedure: Construction Oversight Process

DSA 100-PRE: General Instructions for Applying to the DSA Lab Evaluation and Acceptance Program

PROJECT INSPECTOR AND ASSISTANT INSPECTOR DUTIES AND PERFORMANCE: 2016, 2013, 2010, and 2007 CAC

| | | |
|--------------------------------|------------------|----------------------------|
| Disciplines: Structural | History: | Revised 10-03-07 |
| | Revised 05-23-16 | Revised 05-16-07 |
| | Revised 07-17-13 | Revised 06-01-06 |
| | Revised 08-09-12 | Revised 01-28-02 |
| | Revised 11-03-08 | Issued 01-01-99 as IR 17-2 |

Purpose: This Interpretation of Regulations (IR) provides clarification of specific Code requirements related to the duties of project inspectors and assistant inspectors.

Background: There are three types of inspectors who may perform code-required inspections on DSA projects:

- **Project Inspector** - is responsible for ensuring that all code-prescribed inspections and administrative duties are completed, including supervision of assistant inspectors and monitoring of special inspectors. The DSA certified Class 1 project inspector may utilize one or more assistant inspectors to assist in performing inspection and administrative duties on a project.
- **Assistant Inspector** - may be required to assist a DSA certified Class 1 project inspector by providing inspection and administrative assistance to the project inspector on a project. An assistant inspector must be qualified by obtaining DSA certification as a project inspector. Qualified assistants must be approved by DSA for each project as explained in [IR A-12](#).
- **Special Inspector** - a specially qualified person utilized, where required by code, to inspect specific aspects of the work, such as structural steel welding or masonry construction. A special inspector may be hired by the laboratory of record or through an independent contract with the school district or owner. Refer to [IR 17-4](#) and [IR 17-6](#) for additional information.

1. REQUIRED DUTIES OF THE PROJECT INSPECTOR: The project inspector must perform specific duties in accordance with California Administrative Code (CAC), Title 24, Part 1 (Sections 4-211, 4-219, 4-333 and 4-342). The project inspector acts under the direction of the design professional in general responsible charge and is subject to supervision by DSA. The project inspector does not have the authority, under Title 24, to direct the contractor in the execution of the work or to stop the work of construction.

The project inspector's responsibilities include:

- A thorough understanding of all requirements of the construction documents.
- Inspection of all portions of the construction for compliance with the requirements of the DSA approved construction documents.
- Identification, documentation, and reporting of deviations using form [DSA 154](#) in the construction from the requirements of the DSA approved construction documents. (Refer to DSA Procedure [PR 13-01](#) for additional information.)
- Submittal of interim and final verified reports (forms [DSA 152](#) and [DSA 6-PI](#), respectively; [DSA 152-IP](#) for in-plant inspector) per [PR 13-01](#). At the conclusion of the project any outstanding deviations must be noted on the form [DSA 6-PI](#) or, for the in-plant inspector, In-Plant Inspector Inspection Card/Verified Report (form [DSA 152-IP](#)).

Lack of compliance with the duties described above, the next section below, or detailed in [PR 13-01](#) may result in a non-compliance recording on the Project Inspector Performance Review (form [DSA 119](#).) The project inspector is prohibited from performing functions associated with actual construction work such as the following:

- Performing construction work.
- Ordering or purchasing materials.
- Directing the work of the contractor, subcontractor(s), volunteer labor, or any entity performing construction work.
- Coordinating or scheduling the construction work.
- Performing "quality control" of construction. Quality control is the responsibility of the contractor. Quality assurance is the responsibility of the inspector.

The project inspector may perform duties for the school district or owner that are not code-prescribed as long as such duties do not interfere with inspection duties. It is the inspector's responsibility to report all ancillary duties to DSA, the design professional in general responsible charge, and the structural engineer. The inspector shall also report unforeseen time demands that are impacting, or will impact, his or her ability to perform code-prescribed duties.

DSA may approve a project inspector when, in the opinion of DSA, these ancillary duties would not create a conflict of interest. DSA may withhold approval of a project inspector or withdraw approval at any time if the appearance of a conflict of interest arises.

2. SEVEN CATEGORIES OF CODE-PRESCRIBED DUTIES OF THE PROJECT

INSPECTOR: The code-prescribed duties of the project inspector have been organized into the following seven categories.

2.1 CATEGORY 1 - Inspector's Job File: The inspector must maintain the following records at the job site during construction in an organized, readily accessible manner:

1. DSA approved (stamped and initialed) plans and specifications (printed copy).
2. DSA approved testing and inspection list (form [DSA 103](#)). The DSA 103 may be incorporated into drawings or specifications (printed copy).
3. DSA approved deferred submittals as required by DSA approved plans (printed copy).
4. DSA approved project addenda and revisions (printed copies) with identification marks made on the original DSA approved construction documents indicating changes made by these documents.
5. DSA approved construction change documents Category A with a log of all construction changes and identification marks made on the original DSA approved construction documents indicating changes made by these documents.
6. Project Inspection Card (form DSA 152) and, when applicable, form DSA 152-IPI.
7. Copies of contractor submittals (construction schedules, shop drawings, certificates, product labels, concrete trip tickets, etc.) accepted by applicable design professionals.
8. Communication log referencing all significant project construction related communications, such as contractor's requests for information (RFI), responses to RFIs, DSA communications (field trip notes, etc.), architect's supplemental instructions, information bulletins, and project related meeting minutes and/or notes.

9. Deviation notices using form DSA 154 with a log (summary record) indicating resolution status for each deviation. Notice of resolution of deviations using form DSA 154.
10. Records of concrete placing operations.
11. Evidence of continuous inspection, such as daily inspection reports.
12. Both structural/materials and fire/life safety testing reports as well as special inspection reports.
13. Identification of responsible groups/individuals, including the project inspector, for both structural/material and fire/life safety related tests and special inspections.
14. Completed semi-monthly reports (form [DSA 155](#)).
15. Verified reports from all parties required to file verified reports.
16. DSA field trip notes (form DSA 135 or comparable) from prior visits and attachments indicating resolution of each field trip note item requiring action.
17. California Building Standards Codes (Title 24) applicable to the project, such as the following: Part 1 CAC; Part 2, Volumes 1 and 2 CBC; Part 3 California Electrical Code (CEC); Part 4 California Mechanical Code (CMC); Part 5 California Plumbing Code (CPC); Part 6 California Energy Code. The code edition must be as referenced on the DSA approved plans and specifications. The project inspector should have access to applicable structural referenced standards as needed for particular project inspection activity.
18. Any other documents required to provide a complete record of construction.

The job file records listed above may be maintained in paper (i.e., hard copy) and/or electronic format, unless otherwise specified above. If any records are maintained electronically, full viewing access shall be given to the school district, DSA personnel and others needing access. The Project Inspector Performance Review (form DSA 119) provides guidance for required recordkeeping and duties. It may be used by the DSA field engineer, per Section 3.1 of this IR. At the completion of the project, the project inspector shall transfer the job file, with the exception of building codes and reference standards, to the school district, which shall maintain the job file as part of the permanent school district records. If the project inspector is, for any reason, terminated prior to the completion of the project, they shall ensure transfer of the job file. This occurrence requires the project inspector to personally provide a copy of the entire job file (with the exception of building codes and standards) to the assuming project inspector and to the school district. A copy of the entire job file shall be made available to DSA upon request (refer to [PR 13-01](#) for additional information).

2.2 CATEGORY 2 - Inspector's Comprehension of the Construction Documents: The project inspector must study and fully comprehend the requirements of the construction documents in order to provide competent inspection of the work. It is necessary for the inspector to possess a thorough understanding of the requirements of the plans and specifications *before* that portion of the work is performed.

The inspector must:

- Consult the responsible design professional(s) to resolve any uncertainties in the inspector's comprehension of or seeming errors in the approved construction documents prior to construction of that portion of the work.
- Review requirements for each phase of the construction with the contractor prior to commencing that phase of the work. Good communications will prevent construction errors from occurring.

- Readily identify noncompliant work as the construction progresses to facilitate prompt corrective action.
- Verify code compliant implementation of both the structural/materials and fire/life safety testing as well as the special inspection program.

CAC, Title 24, Part 1, Section 4-343, specifies that the contractor must direct inquiries regarding document interpretation (including Requests for Information (RFI)) to the design professional in general responsible charge, through the inspector. This code provision requires the contractor to involve the inspector in the interpretation and clarification of the construction documents.

- 2.3 CATEGORY 3 - Continuous Inspection of the Work:** Continuous inspection means complete and timely inspection of every part of the work, including any and all work beyond the inspected structural, fire/life safety or accessibility portions of the work, such as mechanical, electrical, plumbing, etc. Title 24, Part 1 requires prompt inspection of all the work as it progresses. Title 24, Part 1 also requires that prompt verbal notification be made to the contractor of any deviation so that the deviation can be immediately corrected. Use DSA 154 to report structural, fire/life safety or accessibility deviations that do not receive immediate corrective action. Use DSA 155, Section B on page 2, to report deviations affecting other work.

Work such as concrete work or masonry work, which can be inspected only as it is placed, requires the constant presence of the inspector. Certain types of work which can be completely inspected after the work is installed may be carried out while the inspector is not present, provided that the inspector promptly identifies and reports all deviations.

The project inspector must have personal knowledge of the construction obtained through the project inspector's own physical inspection of the work in all stages of its progress. When special inspectors or approved assistant inspectors are used on a project, the project inspector's personal knowledge may include that knowledge obtained from these individuals. The project inspector must keep a log of time spent on site and report any unforeseen time demands that are impacting or will impact his or her ability to perform code-prescribed duties.

- 2.4 CATEGORY 4 - Records of Inspections:** The inspector must maintain detailed records of all inspections. The inspector's records must provide comprehensive and timely documentation of the inspected work, promptly identifying all compliant and noncompliant construction. These records must be readily accessible and maintained in an organized manner as described in Section 2.1. The following are the inspection records that must be maintained at the job site:

- A systematic record of all materials and assemblies accepted by the applicable design professional (when applicable) and delivered to the project site.
- A systematic record of the inspection of all work required by the approved construction documents, including any modifications to the originally approved documents, such as approved addenda, revisions, or construction change documents. Marking properly completed work on a set of construction documents is a recommended method of verifying that the requirements of the plans and specifications have been met. The inspector must also record the resolution of reported deviations on form DSA 154.
- Construction procedure records per CAC, Title 24, Part 1, Section 4-342, including but not limited to, concrete placement operations and other records specified on the approved construction documents.

- Log of project inspector's and assistant inspector's time spent on site. DSA may require verification from the inspector of time spent at the job site during all phases of the work. The project inspector's maximum cumulative total number of hours permitted on one or more simultaneous projects must not exceed approximately 60 hours per week without justification and notification to districts in which all simultaneous projects occur. Refer to [IR A-7](#) for additional information.

2.5 CATEGORY 5 - Communications Required of the Inspector: The inspector must, during the course of construction, provide specific code-prescribed notices and reports to the responsible design professional(s), DSA, the school district, and the contractor. The inspector must maintain records of all communications. These records must be readily accessible (as noted in Section 2.1) and maintained in an organized manner. The date and recipients of all communications must be clearly indicated.

The inspector is required to provide the following communications during the course of a construction project:

2.5.1 Notifications to DSA: As required by CAC, Title 24, Part 1, Section 4-342 (b) 5 (see form DSA 151 and [PR 13-01](#)), including start of work, minimum 48 hours prior to completion of foundation trenches, minimum 48 hours prior to first concrete placement, and when work is suspended for more than one month.

Note: For the start of work, the project inspector shall use the date the contractor mobilizes on the project site to begin construction (or demolition, if demolition work is included in the project scope and in the DSA approved construction documents).

Notifications shall be made using form [DSA 151](#) and submitted electronically as prescribed in PR 13-01.

2.5.2 Inspector's Semi-Monthly Reports: (See CAC, Title 24, Part 1, Section 4-337). The project inspector must make semi-monthly reports (on the 1st and 16th of every month) on the progress of construction. The semi-monthly report must be completed on the form DSA 155 and submitted in accordance with the procedures described in PR 13-01.

2.5.3 Deviation Notices: (See CAC, Title 24, Part 1, Section 4-342(b) 8.) When the inspector identifies deviations from the DSA approved plans and specifications, the inspector must verbally notify the contractor. If the deviation is not immediately corrected, the inspector is required to promptly issue a written notice of deviation (form DSA 154) to the contractor and submitted electronically as prescribed in PR 13-01. The project inspector shall contact DSA by email at least 48 hours prior to scheduled work covering up uncorrected deviations. The status and resolution of all deviations must be documented on semi-monthly reports (form DSA 155).

2.5.4 Record of Communications to the Responsible Design Professional(s): All uncertainties in the inspector's or contractor's comprehension of or identification of seeming errors in the documents must be reported in writing (email is acceptable) to the responsible design professional(s).

2.5.5 Reporting for Projects with Work Stoppage: This may be required in cases where DSA issues a Stop Work Order, Order to Comply or a request for district/owner to stop work in accordance with IR A-13 (Stop Work and Order to Comply). DSA may issue specific instructions to the project inspector for additional reporting and/or oversight of construction related to a documented noncompliant condition that is the cause of work stoppage.

2.5.6 Verified Reports: (refer to CAC Title 24, Part 1, Section 4-336). The project inspector shall submit verified reports (form DSA 6-PI and, when applicable, DSA 152-IPI) directly to DSA, the responsible design professional(s) and the school district as described in PR 13-01.

The PI must also communicate to applicable parties how they addressed issues noted in communications (e.g., field trip notes, notifications, telephone calls, emails, letters, etc.) from DSA representatives or design professionals.

2.6 CATEGORY 6 - Inspector's Monitoring of Both the Structural/Materials and Fire/Life Safety Testing and Special Inspection Program: The inspector is responsible, under the direction of the design professional in general responsible charge, for monitoring the work of the laboratory of record (LOR) and any special inspectors and other technicians hired directly by the school district to ensure that all structural/materials and fire/life safety testing and special inspections required for the project are satisfactorily completed in accordance with the DSA approved documents. Those special inspections prescribed by Chapter 17A of the 2013 CBC Title 24, Part 2, which are performed by the project inspector, require detailed daily inspection reports by the project inspector.

The project inspector must monitor the following aspects of the structural/material and fire/life safety related testing and special inspection program:

- When DSA approval for special inspectors is required for district-employed special inspectors, the project inspector must identify and report any special inspectors on the job site that are not DSA approved on form DSA 155. The project inspector must contact the design professional in general responsible charge and/or the school district to resolve this as soon as possible.
- The project inspector must verify that the LOR is included on the [List of DSA Accepted Testing Laboratories](#) on the DSA website and is qualified to perform the project tests and inspections. If there are tests or inspections the LOR is not qualified to perform, the project inspector must contact the design professional in general responsible charge and/or the school district to resolve this as soon as possible.
- The project inspector must verify that the LOR and special inspectors have received sufficient advance notification to perform the required material sampling or special inspection.
- The project inspector is responsible for verifying that all required material sampling, structural and fire/life safety related tests and special inspections have been performed. The project inspector is also responsible to verify special inspector's possession of valid certifications for the work being inspected. The project inspector is also responsible to monitor any special inspector's on-site presence, performance of duties, the special inspector's documentation of complying and noncomplying work, and issuance of deviation notices.

- The project inspector is responsible for reviewing all structural/materials and fire/life safety related test and special inspection reports. The project inspector must report on semimonthly reports (DSA 155) the status and resolution of deviations (form DSA 154) reported by any LOR or special inspector.

Refer to [IR 17-4](#) and [IR 17-6](#) for additional information.

- 2.7 CATEGORY 7 - Monitoring of Assistant Inspectors:** The project inspector must provide technical guidance to assistant inspectors and must verify the assistant inspectors' comprehension of the construction documents. The project inspector must also monitor the assistant inspectors' performance, verifying that the assistant inspectors are properly checking the construction, recording inspections, and performing other assigned duties.

The project inspector must ensure that any assistant inspector is performing the duties indicated on the assistant inspector's approved form [DSA 5-AI](#). See IR A-12.

The project inspector must provide continuous onsite supervision of all assistant inspectors.

- 3. DSA OVERSIGHT:** Each DSA regional office has field engineers who conduct oversight of the project through review of documents and construction site visits. Each site visit typically includes the following:

- Monitoring of the project inspector's administration and documentation of project activities
- Observation of construction
- Documentation of site visit findings using DSA field trip notes (form DSA 135).

- 3.1 Project Inspector Performance Review:** The DSA field engineer may evaluate the project inspector's performance of code required duties for and administration of the project using the Project Inspector Performance Review (form DSA 119.) The purpose of the performance review is as follows:

- To verify:
 - Continuous inspection of all work, including any portion performed by assistant inspectors.
 - Comprehension of the DSA approved construction documents.
 - Proper oversight of the testing and inspection program.
 - Proper communications/notifications to DSA and others as well as response to or appropriate action taken based on prior DSA communications.
 - Completeness of the project inspector's records as described in the job file list in Section 2.1.
- To communicate:
 - With the project inspector and responsible design professional regarding the project inspector's performance.
 - Any project documentation or other issues during construction, such as project inspector's proper noting and communication of deviations and their resolutions, to facilitate timely project certification.

The form DSA 119 is a project record which is maintained in DSA project files as well as posted both in DSA's electronic submittal system ([DSABox](#)) and the [Project Inspector Performance Review Box](#). At the completion of a project, form Project Inspector Performance Record (form [DSA 180](#)) will be completed and posted to these same locations.

3.2 Observation of Construction by DSA: The DSA field engineer conducts a site walk to make observations as necessary to ascertain that inspections have been completed diligently. During the site visit, the DSA field engineer may provide guidance to the project inspector, as needed, to ensure enforcement of the CAC and approved construction documents.

3.3 DSA Field Trip Notes: At the conclusion of the site visit, the DSA field engineer issues a field trip note (form DSA 135) as described in PR 13-01. The field trip note indicates any findings by the field engineer that require action by the project inspector and/or the design professional(s) to ensure project compliance with Field Act requirements. The field trip note may include informational comments, including construction status and guidance given to the project inspector. The field trip note becomes a part of the DSA project records.

REFERENCES:

California Code of Regulations (CCR) Title 24

Part 1: California Administrative Code (CAC)

Sections 4-211, 4-212, 4-214, 4-219, 4-240, 4-241, 4-242, 4-333, 4-333.1, 4-334, 4-336, 4-337, and 4-342

California Health and Safety Code, Sections 16017 and 16021

California Education Code, Sections 17309, 17311, 81141 and 81143

This Interpretation of Regulations (IR) is intended for use by the Division of the State Architect (DSA) staff, and as a resource for design professionals, to promote more uniform statewide criteria for plan review and construction inspection of projects within the jurisdiction of DSA which includes State of California public elementary and secondary schools (grades K-12), community colleges and state-owned or state-leased essential services buildings. This IR indicates acceptable practices as stipulated in the CAC (Title 24, Part 1) and aligning with DSA policies and procedures.

This IR is reviewed on a regular basis and is subject to revision at any time. Please check the DSA website for currently effective IRs. Administrative and technical IRs are listed on the DSA website at:

<http://www.dgs.ca.gov/dsa/Resources/IRManual.aspx>

Administrative IRs are effective upon publication. Questions regarding the effect for existing projects can be directed to the DSA regional office with plan review and construction oversight authority for the project.

PROCEDURE: CONSTRUCTION OVERSIGHT PROCESS

PURPOSE: California Code of Regulations (CCR), Title 24, Part 1, Chapter 4, Article 1 (Sections 4-211 through 4-220) and Group 1, Articles 5 and 6 (Sections 4-331 through 4-344) provide regulations governing the construction process for projects under the jurisdiction of the Division of the State Architect (DSA).

This Procedure provides the required, prescribed method for compliance with applicable sections of the above regulations related to communication and documentation of the status of construction inspections and material testing.

See *Section 5* for information on applicability of this procedure to your existing project.

BACKGROUND: Successful construction inspections and material testing are critical to the delivery of code compliant projects. Communication and documentation of these inspections and tests are necessary to enable involved parties to understand the status of those inspections and tests, so that conditions not compliant with the DSA-approved construction documents are identified in a timely manner and not covered up by subsequent construction activities.

DEFINITIONS: The following definitions apply to terms used in this document:

Architect/Engineer – An abbreviated use of the term design professional in general responsible charge.

Contract – A written agreement for facility construction, alteration, repair or other construction activities regulated by DSA.

Contractor – A company or individual that contracts for or is otherwise responsible for the construction of the project or portions of the project.

DSA-Approved Construction Documents – Portions of plans, specifications, [DSA-103](#), addenda, deferred submittals, revisions, and construction change documents (CCDs) duly approved by DSA that contain information related to and affecting structural safety, fire/life safety, and accessibility (refer to DSA [IR A-6](#) for additional information about CCDs). While all portions of the construction documents may contain a DSA identification stamp, this stamp is not the approval. Approval by DSA is indicated by a letter to the school district. This letter clarifies that the approval is limited to structural safety, fire/life safety and accessibility.

The DSA approval letter states: *“Buildings constructed in accordance with approved drawings and specifications will meet minimum required standard given in Title 24, California Code of Regulations, for structural, and fire and life safety ... and ... certifies that the drawings and specifications are in compliance with State regulations for the reasonable accommodation of the disabled.”*

Design Professional In General Responsible Charge – The architect or engineer in general responsible charge of the project, as listed on Line 21 or 23 of form [DSA 1](#).

Non-Building Site Structures – Structures that are required to resist loads imposed by gravity, wind, seismic, earth or other external forces and are not enclosed by walls and a roof (examples include: shade structures not enclosed by walls, bleachers, ball walls, trash enclosures, dugouts, tanks, equipment, fences, retaining walls, ramps, stairs, cell towers, light poles, etc.).

The term “Non-Building Site Structures” is used only to clarify the types of site structures that are relevant when issuing form [DSA 152](#) for site work. These types of structures are “school buildings” as defined in the California Administrative Code Title 24, Part 1.

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Other Responsible Design Professionals – Architects or engineers with delegated responsibility for portions of the project as listed on Lines 24a, 24b, 24c or 24d of form DSA 1 and Line 1.0 of [DSA 1-MR](#) (when applicable), such as architects, structural engineers, mechanical engineers, electrical engineers and the geotechnical engineer of record.

Permanent Modular – Permanent buildings or structures built in a fabrication plant off-site not intended for relocation, constructed of modular units that do not have an integral floor, and are mounted on a permanent foundation such as modular school buildings or elevator towers.

Permanent buildings include enclosed structures for the purpose of housing students and teachers, such as classrooms, assembly buildings, administrative buildings, etc.

Project Inspector – An inspector who is employed by the school district, certified by DSA and specifically approved by DSA and applicable project design professionals to provide competent, adequate and continuous construction inspections for the project.

Relocatable Building – Buildings as defined in Title 24, Part 1, Section 4-314 which are built in a fabrication plant off-site.

APPLICABLE DSA FORMS: The following forms are referenced in this document and can be found on the DSA website at <http://www.dgs.ca.gov/dsa/Forms.aspx>.

- [DSA 1](#): Application for Approval of Plans and Specifications.
- [DSA 1-MR](#): Application for New Manufactured Permanent Modular or Relocatable Buildings.
- [DSA 5-AI](#): Assistant Inspector Qualification and Approval.
- [DSA 5-PI](#): Project Inspector Qualification and Approval.
- [DSA 5-IPI](#): In-Plant Project Inspector Qualification and Approval.
- [DSA 5-SI](#): Special Inspector Qualification and Approval.
- [DSA 6-AE](#): Architect/Engineer Verified Report.
- [DSA 6-C](#): Contractor Verified Report.
- [DSA 6-PI](#): Project Inspector Verified Report .
- [DSA 102-IC](#): Construction Start Notice/Inspection Card Request.
- [DSA-103](#): List of Required Structural Tests & Special Inspections.
- [DSA 108](#): Change in Delegation of Responsibility.
- [DSA 109](#): Transfer of Responsibility: Geotechnical Engineer.
- [DSA 119](#): Project Inspector Performance Review.
- [DSA 130](#): Certificate of Compliance–Accepted Folding and Telescopic Seating Fabricator.
- DSA 135: Field Trip Note (internal form).
- [DSA 151](#): Project Inspector Notifications.
- [DSA 152](#): Project Inspection Card.
- [DSA 152-IPI](#): In-Plant Inspector Inspection Card/Verified Report.

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- **DSA 153:** Inspection Card Building Identifier (internal form).
- [DSA 154:](#) Notice of Deviations / Resolution of Deviations.
- [DSA 155:](#) Project Inspector Semi-Monthly Report.
- [DSA 156:](#) Commencement/Completion of Work Notification.
- [DSA 168:](#) Statement of Final Actual Project Cost.
- [DSA 180:](#) Project Inspector Performance Record.
- [DSA 211:](#) Attachment for Additional Comments/Information.
- [DSA 291:](#) Laboratory of Record Verified Report.
- [DSA 292:](#) Special Inspectors Employed Directly by the District Verified Report.
- [DSA 293:](#) Geotechnical Verified Report.

REQUIREMENTS FOR REPORTING STATUS OF COMPLIANT CONSTRUCTION: For every project there shall be a project inspector who shall have personal knowledge as defined in Title 24, Part 1, Section 4-336(a) of all work on the project.

All construction is required to be completed in compliance with the project construction documents. The construction documents are required to be in compliance with the California Building Codes in effect at the time the original plans and specifications are submitted to DSA. DSA reviews and approves the submitted plans, specifications and other construction documents for compliance with codes regulating structural safety, fire/life safety and accessibility. Other portions of the plans that do not contain content about or that affect structural safety, fire/life safety and accessibility are not reviewed by DSA and the responsibility for determining code compliance of those portions is the sole responsibility of the design professionals.

In order to distinguish between the portions of the plans that DSA reviews and approves and other portions of the plans, the term DSA-approved construction documents is used for the portions of the plans, duly approved by DSA, that contain information related to and affecting structural safety, fire/life safety, and accessibility. However, all work shown in the project construction documents must be inspected by the project inspector.

The California Administrative Code Section 4-333(b)3 specifically states that “no work shall be carried on except under the inspection of an inspector approved by DSA.” All construction is required to be completed in compliance with the project construction documents which include both the “DSA-approved construction documents” portions and the portions containing all the other work.

The California Administrative Code requires the project inspector to make certain reports pertaining to the status of construction compliance. To fulfill this requirement, the project inspector shall use the following:

- [DSA 151:](#) Project Inspector Notifications.
- [DSA 152:](#) Project Inspection Card.
- [DSA 152-IPi:](#) In-Plant Inspector Inspection Card/Verified Report.
- [DSA 154:](#) Notice of Deviations / Resolution of Deviations.
- [DSA 155:](#) Project Inspector Semi-Monthly Report.

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- [DSA 6-PI](#): Project Inspector Verified Report.
- Project Inspector Job File.

1. REQUIREMENTS FOR USE OF PROJECT INSPECTION CARD (FORMS DSA 152 AND DSA 152-IPI): The Project Inspection Card (form DSA 152) is considered to be an interim verified report by the project inspector. The DSA 152-IPI is considered to be the final verified report for the in-plant fabrication of permanent modular or relocatable buildings (see *Section 1.7*). The project inspector signs off the applicable blocks and sections on the form as the work progresses. The project inspector is required to complete the form in compliance with this procedure document and use the Instructional Notes on the second page of form DSA 152 and the [DSA 152 Manual](#) as a guide. When signing off the blocks and sections of the form, the project inspector is verifying all of the following:

- Identified areas are determined to be in compliance with the DSA-approved construction documents.
- Required structural/material and fire/life safety testing and inspections are complete.
- Required documentation has been received by the project inspector.

NOTE: For small/fast projects, interim verified reports from the design professionals, geotechnical engineer, Laboratory of Record, and special inspectors are not mandatory if the requirements listed in DSA Policy [PL 14-01](#) are met prior to commencing construction.

1.1 Request for issuance of forms DSA 152 and DSA 152-IPI: Form DSA 102-IC is used to request the issuance of Project Inspection Cards. After project approval, a DSA 5-PI, DSA 5-IPI (when applicable) must be submitted to and approved by DSA prior to the DSA 102-IC submission. Under circumstances agreed to by DSA prior to project approval, the DSA 5-PI, DSA 5-IPI (when applicable) and DSA 102-IC may be submitted simultaneously and DSA will attempt to expedite the issuance of the DSA 152 and DSA 152-IPI. Once the DSA 5-PI, DSA 5-IPI (when applicable) is approved, DSA (Document Controller) will fill in the "DSA 5-PI Approval Date" (or, when applicable, "DSA 5-IPI Approval Date") in Section 3 of the DSA 102-IC and upload it to DSABox. The request is electronically submitted to DSA (See *Section 4* of this procedure for information on electronic submittal) and consists of providing the following required information:

- Identifying the DSA-approved project inspector.
- Contractor firm name and delivery method.
- Specified construction contract information.
- Project scope (DSA will use this information to determine the quantity of inspection cards needed for the project).
- Contact information for electronic communication by listing project collaborators.

1.2 Issuance of form DSA 152 and DSA 152-IPI: Project Inspection Cards (DSA 152 and DSA 152-IPI) are issued electronically by upload to [DSABox](#) by DSA per *Section 1.16* of this procedure.

1.3 Quantity of DSA 152 and DSA 152-IPI forms required for projects: The number of Project Inspection Cards issued varies by project type. In general, though there are exceptions for siting or relocation of permanent modular or relocatable buildings (discussed later) and small scope projects of a certain type (described later), one Project Inspection Card (form DSA 152) is required for each separate building and one for the

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site work (which includes non-building site structures). The number of Project Inspection Cards and building identifiers should match the information specified in form DSA 153: Inspection Card Building Identifier, which is completed by DSA plan review staff during the back check and provided to the design professional upon project plan approval.

For in-plant construction of permanent modular or relocatable buildings, one Project Inspection Card (DSA 152-IPI) is required for each separate building.

For the siting or relocation of permanent modular or relocatable buildings 2,160 square feet or less, only one Project Inspection Card (DSA 152) is required encompassing all the buildings, and one Project Inspection Card (DSA 152) is required for the site work (which includes non-building site structures).

The following small scope type projects require only one Project Inspection Card for all buildings on a campus rather than one Project Inspection Card per building:

- Fire Alarm Only Projects.
- Hardware Replacement Only Projects.
- Security Camera Only Projects.
- Low Voltage (Communication) Only Projects.

The following is not an exhaustive list of possibilities, but examples of the various project types and the resulting quantity of DSA 152 and DSA 152-IPI forms (note: unless noted otherwise, all references to forms in the examples are to DSA 152 forms):

- 1.3.1 Project scope is site work only (includes non-building site structures, if any):**
- One form is required.
- 1.3.2 Project scope is new buildings:**
- One form for the site work (includes non-building site structures, if any).
 - One form for each separate new building.
- Example:** Construction of three new buildings requires a total of four forms.
- 1.3.3 Project scope is alterations/additions to existing buildings:**
- One form for the site work (includes non-building site structures, if any).
 - One form for each separate existing building being altered or changed.
- Example:** Alterations to two existing buildings requires a total of three forms.
- 1.3.4 Project scope is alterations to existing buildings and no site work is required (such as mechanical/electrical only projects):**
- One form for each separate existing building being altered or changed.
- Example:** Alterations to two existing buildings requires a total of two forms.
- 1.3.5 Project scope is new buildings and alterations/additions to existing buildings:**
- One form for the site work (includes non-building site structures, if any).
 - One form for each separate new building.
 - One form for each separate existing building being altered or changed.
- Example:** Construction of three new buildings and alterations to two existing buildings requires a total of six forms.

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1.3.6 Project scope is placing existing relocatable buildings (max. 2160 square feet) on a site:

- One form for the site work (includes non-building site structures, if any).
- One form encompassing all of the relocatable buildings being placed on the site.

Example: Placing of three existing relocatable buildings on a site requires a total of two forms.

1.3.7 Project scope is constructing new permanent modular or relocatable buildings (max. 2160 square feet) and placing them on a site:

- One DSA 152-IPI form for each separate building for the in-plant construction.
- One form for the site work (includes non-building site structures, if any).
- One form encompassing all of the permanent modular or relocatable buildings being placed on the site.

Example: Construction and placing of two new permanent modular or relocatable buildings requires a total of four forms: two DSA 152 forms and two DSA 152-IPI forms.

1.3.8 Project scope is constructing new relocatable buildings for stockpile:

- One DSA 152-IPI form for each separate building for the in-plant.

Example: Construction of three new relocatable buildings for stockpile requires a total of three DSA 152-IPI forms.

1.4 Project Inspection Card numbers: Project Inspection Card numbers are issued by DSA staff. For each project, the issued inspection card numbers will be consecutive starting with the number 01 (01, 02, 03....) for all buildings. The Project Inspection Card number for site work (includes non-building site structures) will be "#SW." Inspection card numbers for in-plant construction of permanent modular or relocatable buildings will use form DSA 152-IPI and be consecutive starting with the number 01, followed by the letters "IP" (01IP, 02IP, 03IP, etc.). Projects having the small scope defined in Section 1.3 on the inspection card under "Building Number" will indicate "All ___ Buildings" with the number of buildings inserted in the blank.

1.5 Project posting of forms DSA 152 and DSA 152-IPI: The project inspector and in-plant inspector shall post the forms in his/her job file and shall electronically post the forms (See *Section 4* for information on electronic submittal/posting). The information in the forms shall always be current. Each time the form is updated, a new electronic posting is required such that the electronically posted form is always kept current. In addition, the project inspector shall:

- Immediately, upon request, make the form available for review by any parties involved in the construction.
- Include a current copy of the forms (DSA 152) any time he/she submits a Verified Report (form DSA 6-PI).
- Upon request, provide a current copy of the forms to DSA, the school district/state agency, or the design professional in general responsible charge.

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1.6 Project inspector termination and transfer of the form DSA 152 and DSA 152-IPI: If the project inspector or in-plant inspector is, for any reason, terminated prior to the completion of the project, then he/she must personally provide the original DSA 152 and DSA 152-IPI forms to the assuming DSA-approved project inspector or in-plant inspector, respectively, or to DSA and provide a copy to the school district. Use form DSA 211 to identify status of inspections completed up to the termination date if the space in the DSA 6-PI or DSA 152-IPI is insufficient to note such. Forms located in DSAbbox that are current at the time of termination satisfy these requirements.

1.7 Permanent Modular and Relocatable buildings: The design professional in responsible charge shall delegate the responsibility for design and preparation of plans and specifications, observation of in-plant manufacturing, and on-site placement of the permanent modular or relocatable buildings. The individual delegated such responsibility may sub-delegate the responsibility for observation of in-plant and/or on-site construction as indicated on form DSA 1-MR. ←

1.7.1 In-Plant Construction: In-plant inspectors shall use the DSA 152-IPI as described in *Section 1.5*. Unlike the DSA 152, interim verified reports from the design professionals are not required for the in-plant inspector to sign off the DSA 152-IPI. However, the in-plant project inspector and the design professional delegated or sub-delegated the responsibility for observation of in-plant construction shall sign in the appropriate location on the DSA 152-IPI prior to the permanent modular or relocatable building leaving the plant. A stop work order may apply if this is not done (see [IR A-13](#) for additional information).

Building modules may be shipped to the project site in phases prior to construction of all modules of a building. For each phase, the DSA 152-IPI shall list the serial numbers of the modules constructed, be signed by the delegated design professional, and be attached to those modules being shipped. The final DSA 152-IPI shall denote that all modules have been constructed, be affixed to the last module being shipped to the site, and be uploaded to the DSAbbox by the in-plant inspector. The site inspector shall verify receipt of the final DSA 152-IPI prior to installation of the last module.

If the in-plant inspector does not perform welding special inspection, the Laboratory of Record or independently hired welding special inspector shall provide verified reports, either the DSA 291 or DSA 292 depending on the welding special inspector's employment relationship with the Laboratory of Record (see *Section 1.10* and *1.11* for additional information). In this situation, verified reports for testing of materials and special inspection of the welding are required for the in-plant inspector to complete the appropriate block on the DSA 152-IPI. These verified reports shall be submitted electronically to DSA as described in *Section 4*.

1.7.2 Transfer of forms: For construction of new permanent modular or relocatable buildings for a specific project (not stockpile), the DSA 152-IPI, DSA 291, and DSA 292 (when applicable) for the superstructure must be attached to the inside of the building either performed by or attachment verified by the in-plant project inspector prior to the permanent modular or relocatable building leaving the plant. The on-site project inspector must verify these forms are present when the buildings are delivered to the site.

For the first-time installation of permanent modular or relocatable buildings, the design professional delegated or sub-delegated the responsibility for on-site construction observation shall complete a DSA 6-AE at applicable times defined in

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this procedure and submit it to DSA and the on-site project inspector.

1.8 Duties of the project inspector and in-plant inspector related to the use of forms DSA 152 and DSA 152-IPI, respectively, are as follows:

NOTE: For in-plant construction, the in-plant inspector shall follow the duties described below for project inspectors and substitute form DSA 152-IPI for form DSA 152.

- Act under the direction of the architect/engineer.
- Ensure the project is issued the correct quantity of Project Inspection Cards (form DSA 152). The project inspector is required to be in possession of the form(s) DSA 152 prior to commencement of construction. Title 24, Part 1, Section 4-342(b).5.A requires the project inspector to notify DSA when construction work on the project is started. Entering the "Card Start Date" on the form DSA 152 and submitting the form DSA 151 are required for compliance with that code section. Lack of compliance may cause DSA to issue a "Stop Work Order" on the project (see [IRA-13](#) for additional information).
- Obtain a copy of the DSA-approved construction documents from the design professional in general responsible charge prior to the commencement of construction.
- Obtain a copy of the DSA-approved List of Required Structural Tests and Special Inspections (form DSA-103) from the design professional in general responsible charge (or DSABOX, when the electronic back check process is used per DSA Procedure [PR 16-01](#)) prior to the commencement of construction.
- Meet with the school district, design professionals, and contractor as needed to mutually communicate and understand the structural/material and fire/life safety testing and inspection program, and the methods of communication appropriate for the project.
- Meet with the Laboratory of Record and any independently contracted special inspectors and technicians to mutually communicate and understand the structural/material and fire/life safety testing and inspection program, and the methods of communication appropriate for the project. In cooperation with the Laboratory of Record, develop a schedule of required structural/material and fire/life-safety tests and special inspections based on the construction schedule.
- Immediately notify the DSA Regional Office with construction oversight authority for the project, by phone and electronically by using form DSA 154, if construction commences without DSA 152 forms in the possession of the project inspector (see *Section 4* for information on electronic submittal).
 - For permanent modular or relocatable buildings, the school site project inspector must receive a properly completed DSA 152-IPI prior to such buildings being placed in their final location.
- Provide personal, competent, adequate and continuous construction inspections of all aspects of the construction work.
- Monitor the work of the Laboratory of Record and Special Inspectors to ensure the testing and special inspection program is satisfactorily completed.
- Use the information found in the DSA 152 Manual to ensure necessary tests and inspections are completed and that necessary documents are in the job file prior to

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approving (signing off) each applicable block and section of each form DSA 152. Make requests to appropriate individuals for interim verified reports when such reports are required.

- Sign off applicable blocks and sections of the DSA 152 forms when:
 - The completed work is in compliance with the DSA-approved construction documents.
 - All necessary structural/material and fire/life safety testing and inspections are complete.
 - Any deviations from the DSA-approved construction documents are resolved.
 - Any DSA Field Trip Notes issues are resolved.
 - All necessary documents are received by the project inspector.

If any block or section is not applicable to the construction the inspector shall enter "NA" for the date and provide initials.

Until the project inspector has signed off applicable blocks and sections of the form DSA 152, the contractor may be prohibited from proceeding with subsequent construction activities that cover up the unapproved work. Any subsequent construction activities that cover up the unapproved work will be subject to a "Stop Work Order" from DSA or the school district (see [IR A-13](#) for additional information), and are subject to removal and remediation if found to be in noncompliance with the DSA-approved construction documents (see *Section 1.17* for information about incremental work).

- Immediately notify the DSA Regional Office with construction oversight authority for the project, by phone and electronically, if applicable blocks/sections of form DSA 152 have not been signed off and the contractor proceeds with subsequent construction activities that cover up the unapproved work. For electronic notifications, use form DSA 151: Project Inspector Notifications (see *Section 1.17* for information about incremental work).

EXCEPTION: Projects with concrete cast-in-place deep foundations may have construction occurring in multiple blocks and sections prior to sign-off due to the nature of soil inspections for such. For example, verification of concrete or grout volumes to ensure no significant soil caving has occurred is part of the geotechnical engineer's soil inspections for these types of foundations. In such cases, the project inspector does NOT need to notify the DSA Regional Office with construction oversight authority for the project that the contractor is proceeding with activities that cover up unapproved work, provided the following:

- The geotechnical engineer is on-site during boring/drilling and concrete placement.
- The geotechnical engineer has not identified any other soil issues specifically associated with the deep foundation hole or surrounding area which could impact the structural stability of the hole or foundation.
- If the project inspector is, for any reason, terminated prior to the completion of the project, refer to *Section 1.6*.

1.9 Duties of the Laboratory of Record related to the use of form DSA 152 and DSA 152-IPI are as follows:

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- Meet with the project inspector, in-plant inspector (when applicable), design professionals, and the contractor as needed to mutually communicate and understand the structural/material and fire/life safety testing and inspection program, and the methods of communication appropriate for the project.
- Obtain a copy of the DSA-approved construction documents from the design professional in general responsible charge prior to the commencement of construction.
- Obtain a copy of the DSA-approved List of Required Structural Tests and Special Inspections (form DSA-103) from the design professional in general responsible charge prior to the commencement of construction.
- Report all project-related activities to the project inspector. The project inspector is responsible for monitoring the work of the Laboratory of Record and special inspectors to ensure the testing and special inspection program is satisfactorily completed. Coordinate with the project inspector to develop a schedule, based on the construction schedule, to complete the testing and special inspection program.
- Provide material testing as identified in the DSA-approved construction documents.
- Submit test reports to the project inspector within one work day of the day the tests were performed for any tests performed on-site.
- Submit material test reports in a timely manner such that construction is not delayed and not to exceed seven calendar days from the date the material tests were performed. Test reports are to be submitted to the project inspector, architect, structural engineer, and the school district and, when requested, to DSA. As a convenience, and if agreed upon by involved parties, the test reports may be submitted electronically as identified in *Section 4* of this procedure.
- Immediately submit reports of material tests not conforming to the requirements of the DSA-approved construction documents. These reports shall be submitted to DSA, the architect, structural engineer, project inspector and the school district.
- The engineering manager shall submit an interim Laboratory of Record Verified Report (form DSA 291) and the geotechnical engineer shall submit an interim Geotechnical Verified Report (form DSA 293) as prescribed in *Section 4*.

The reports are required to be submitted when any of the following events occur:

- Within 14 days of the completion of the material testing/special inspection program.
- Work on the project is suspended for a period of more than one month.
- The services of the Laboratory of Record are terminated for any reason prior to completion of the project.
- DSA requests a verified report. (See interim verified reports below. This is a "DSA request.")
- The engineering manager shall submit an interim verified report (form DSA 291) and the geotechnical engineer shall submit form DSA 293 as prescribed in *Section 4* for each of the applicable sections of the form DSA 152, prior to the project inspector signing off that section of the project inspection card, if that section required material testing. (Interim verified reports are not required for the DSA 152-IPI unless the

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Laboratory of Record employs welding special inspectors for in-plant special inspection; see *Section 1.7* for verified report requirements.) The sections are:

1. Initial Site Work and Foundation Prep.
2. Vertical and Horizontal Framing.
3. Appurtenances.
4. Finish Site Work and Other Work.

1.10 Duties of Special Inspectors, employed by the Laboratory of Record, related to the use of form DSA 152 and DSA 152-IPI are as follows:

- Meet with the project inspector, design professionals, and the contractor as needed to mutually communicate and understand the structural/material and fire/life safety testing and inspection program, and the methods of communication appropriate for the project.
- Report all project-related activities to the project inspector. The project inspector is responsible for monitoring the work of the Laboratory of Record and special inspectors to ensure the testing and special inspection program is satisfactorily completed.
- Perform work under the supervision of the engineering manager for the Laboratory of Record.
- Perform inspections in conformance with the DSA-approved construction documents, applicable codes and code reference standards.
- Prepare detailed daily inspection reports outlining the work inspected and provide the project inspector a copy of the reports within one day of the day the inspections were performed.
- Immediately submit reports of materials or work not conforming to the requirements of the DSA-approved construction documents. These reports shall be submitted to DSA, the architect, structural engineer, project inspector and the school district.
- Submit daily special inspection reports in a timely manner such that construction is not delayed and not to exceed seven days from the date the special inspections were performed. The reports are to be submitted to the architect, structural engineer, and the school district. As a convenience, and if agreed upon by involved parties, the special inspection reports may be submitted electronically as identified in *Section 4* of this procedure.
- The engineering manager for the Laboratory of Record shall submit verified report form DSA 291 as prescribed in *Section 4*. Unlike special inspectors independently contracting directly with the school district, the verified report form DSA 292 is not required since the form DSA 291 covers special inspections made by laboratory employed special inspectors.

The reports are required to be submitted upon any of the following events occurring:

- Within 14 days of the completion of the special inspection work.
- Work on the project is suspended for a period of more than one month.
- The services of the special inspector are terminated for any reason prior to completion of the project.
- DSA requests a verified report (see interim verified reports below; this is a

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“DSA request”).

- The engineering manager for the Laboratory of Record shall submit an interim verified report (form DSA 291) as prescribed in Section 4 for each of the applicable sections of the form DSA 152, prior to signing off that section of the Project Inspection Card, if that section required special inspections. (Interim verified reports are not required for the DSA 152-IPI unless another special inspector, employed by the Laboratory of Record or independently and directly with the school board, performs welding special inspection; see Section 1.7 for verified report requirements). The sections are:
 1. Initial Site Work and Foundation Prep.
 2. Vertical and Horizontal Framing.
 3. Appurtenances.
 4. Finish Site Work and Other Work.

1.11 Duties of Special Inspectors, not employed by the Laboratory of Record, related to the use of form DSA 152 and DSA 152-IPI are as follows:

- Meet with the project inspector, Laboratory of Record, the design professionals, and the contractors as needed to mutually communicate and understand the structural/material and fire/life safety testing and inspection program, and the methods of communication appropriate for the project.
- Obtain a copy of the DSA-approved construction documents from the design professional in general responsible charge prior to the commencement of construction.
- Obtain a copy of the DSA-approved List of Required Structural Tests and Special Inspections (form DSA-103) from the design professional in general responsible charge prior to the commencement of construction.
- Report all project-related activities to the project inspector. The project inspector is responsible for monitoring the work of the Laboratory of Record and special inspectors to ensure the testing and special inspection program is satisfactorily completed.
- Perform work under the direction of the design professional in general responsible charge, as defined in Section 4-335(f)1B of the 2013 and 2016 California Administrative Code (Title 24, Part 1).
- Perform inspections in conformance with the DSA-approved construction documents, applicable codes and code reference standards.
- Prepare detailed daily inspection reports outlining the work inspected and provide the project inspector a copy of the reports within one day of the day the inspections were performed.
- Immediately submit reports of materials or work not conforming to the requirements of the DSA-approved construction documents. These reports shall be submitted to DSA, the architect, structural engineer, project inspector and the school district.
- Submit daily special inspection reports in a timely manner such that construction is not delayed and not to exceed seven days from the date the special inspections were performed. The reports are to be submitted to the project inspector, architect, structural engineer, and the school district and, when requested, to DSA. As a

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convenience, and if agreed upon by involved parties, the special inspection reports may be submitted electronically as identified in *Section 4* of this procedure.

- Submit form DSA 292: Special Inspectors Employed Directly by the District Verified Report as prescribed in *Section 4*.

The reports are required to be submitted upon any of the following events occurring:

- Within 14 days of the completion of the special inspection work.
- Work on the project is suspended for a period of more than one month.
- The services of the special inspector are terminated for any reason prior to completion of the project.
- DSA requests a verified report (see interim verified reports below; this is a “DSA request”).
- Special inspectors who contract directly with the school district are to submit an interim Special Inspectors Employed Directly by the District Verified Report (form DSA 292) as prescribed in *Section 4* for each of the applicable sections of the form DSA 152, prior to the project inspector signing off that section of the Project Inspection Card, if that section required special inspections. (Interim verified reports are not required for the DSA 152-IPI unless the independent special inspector performs welding special inspection; see *Section 1.7* for verified report requirements). The sections are:
 1. Initial Site Work and Foundation Prep.
 2. Vertical and Horizontal Framing.
 3. Appurtenances.
 4. Finish Site Work and Other Work.

1.12 Duties of the Architect/Engineer related to the use of forms DSA 152 and DSA 152-IPI are as follows:

- Responsible to the school board and to DSA to see that the completed work conforms in every material respect to the DSA-approved construction documents.
- Ensure the project inspector, in-plant inspector (when applicable), and independently contracting special inspector(s) (i.e., not employed by the Laboratory of Record) are approved by DSA for the project by submitting form DSA 5-PI, DSA 5-IPI (when applicable) and DSA 5-SI (for independently contracting special inspector(s)) to and obtaining approval from DSA prior to the start of construction, and prior to requesting issuance of form DSA 152 or DSA 152-IPI.
- Provide a copy of all the DSA-approved construction documents to the project inspector, in-plant inspector (when applicable), Laboratory of Record and special inspector(s) independently contracting directly with the school district prior to the commencement of construction.
- Provide a copy of the DSA-approved List of Required Structural Tests and Special Inspections (form DSA-103) to the project inspector, in-plant inspector (when applicable), Laboratory of Record and special inspector(s) independently contracting directly with the school district prior to the commencement of construction. Upload a copy of the approved List of Required Structural Tests and Special Inspections (form DSA-103) to the applicable A/E folder in DSAbbox in accordance with *Section 4* of this procedure.

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- Provide general direction of the work of the project inspector and in-plant inspector (when applicable).
- Issue specific instructions to the testing facility and the special inspectors prior to start of construction.
- Direct and monitor the work of special inspectors who are not provided by the Laboratory of Record, as defined in Section 4-335(f)1B of the 2013 and 2016 California Administrative Code (Title 24, Part 1).
- Notify DSA as to the disposition of materials noted on laboratory testing, and/or **special inspection reports as not conforming to the DSA-approved construction documents. Facilitate resolution of deviation notices as needed in association with such non-conforming aspects.**
- Respond to DSA Field Trip Notes (form DSA 135 or comparable) as necessary, especially those items identified with a time frame for response in order to avoid potential covering up of deviated work and/or a stop work order.
- Provide observation of the construction. All architects and engineers having responsibility for observation of the work as listed on the Application for Approval of Plans and Specifications (form DSA 1 and DSA 1-MR, when applicable), shall maintain such personal contact with the project as is necessary to assure themselves of compliance, in every material respect, with the DSA-approved construction documents. Personal contact shall include visits to the project site by the architect or engineer or their qualified representative to observe the construction.
- Administer CCDs as prescribed in [IR A-6](#).
- The architect or engineer, as identified above, is required to submit Architect/Engineer Verified Reports (form DSA 6-AE or, when applicable, sign the DSA 152-IPI for construction of permanent modular or relocatable buildings) as prescribed in *Section 4*.

The reports are required to be submitted when any of the following events occur:

- The project is substantially complete. DSA considers the project to be complete when the construction is sufficiently complete in accordance with the DSA-approved construction documents so that the owner can occupy or utilize the project.
- Work on the project is suspended for a period of more than one month.
- The services of the architect or engineer are terminated for any reason prior to completion of the project.
- DSA requests a verified report (see interim verified reports below; this is a "DSA request").
- The architect or engineer shall submit an interim Architect/Engineer Verified Report (form DSA 6-AE) as prescribed in *Section 4* for each of the applicable sections of the form DSA 152 prior to the project inspector signing off that section of the project inspection card. (Interim verified reports are not required for the DSA 152-IPI; see *Section 1.7* for verified report requirements). The sections are:
 1. Initial Site Work and Foundation Prep.
 2. Vertical and Horizontal Framing.

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- 3. Appurtenances.
- 4. Finish Site Work and Other Work.

1.13 Duties of the design professionals delegated responsibility related to the use of forms DSA 152 and DSA 152-IPI are as follows:

- Responsible to the school board and to DSA to see that the completed work for which they are delegated responsibility conforms in every material respect to the DSA-approved construction documents.
- For the architect or engineer delegated responsibility for observation of fabrication of modular or relocatable buildings in Section 1.0 or, when subdelegated, Section 1.1 of the DSA 1-MR, ensure the in-plant inspector and independently contracting special inspector(s) (i.e., not employed by the Laboratory of Record) are approved by DSA for the project by submitting form DSA 5-IPI and DSA 5-SI (for independently contracting special inspector[s]) to and obtaining approval from DSA prior to the start of construction, and prior to requesting issuance of form DSA 152-IPI.
- Provide observation of the construction. All architects and engineers having delegated responsibility are also responsible for observations of the applicable portions of the work as delegated on the Application for Approval of Plans and Specifications (form DSA 1 and, when applicable, DSA 1-MR) (if there are any changes to such delegated individuals after project approval, use form DSA 108 to indicate such changes). As such, they shall maintain such personal contact with the project as is necessary to assure themselves of compliance, in every material respect, with the DSA-approved construction documents. Personal contact shall include visits to the project site by the architect or engineer or their qualified representative to observe the construction. The geotechnical engineer is included in this required duty for scope related to geotechnical engineering.
- For the architect or engineer delegated responsibility for observation of in-plant construction of permanent modular or relocatable buildings, the term “personal contact” shall mean periodic visits to manufacturing plants of reasonable frequency to provide general observation and verify quality assurance of construction practices, and project-specific knowledge obtained from the reporting of inspectors and special inspectors on the progress of the work, testing of materials, inspection, and superintendence of the work in accordance with the DSA-approved construction documents. Reports may include photos and digital images. The exercise of reasonable diligence to obtain the facts is required.
- Submit an Architect/Engineer Verified Report (form DSA 6-AE or, when applicable, sign the DSA 152-IPI for construction observation of permanent modular or relocatable buildings; see *Section 1.7* for additional information) as prescribed in *Section 4*.

The reports are required to be submitted upon any of the following events occurring:

- The project is substantially complete. DSA considers the project to be complete when the construction is sufficiently complete in accordance with the DSA-approved construction documents so that the owner can occupy or utilize the project.
- Work on the project is suspended for a period of more than one month.
- The services of the architect or engineer are terminated for any reason prior

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to completion of the project.

- DSA requests a **verified report** (see interim verified reports below; this is a “DSA request”).
- The Design Professional in General Responsible Charge shall submit an Interim Architect/Engineer Verified Report (form DSA 6-AE), signed by all architects and engineers having delegated responsibility for construction observation as prescribed in **Section 4**. Such a report is required for each of the sections of the form DSA 152 applicable to the areas of delegated responsibility, prior to the project inspector signing that section off on the project inspection card. (Interim verified reports are not required for the DSA 152-IPI; see **Section 1.7** for verified report requirements). The sections are:
 1. Initial Site Work and Foundation Prep.
 2. Vertical and Horizontal Framing.
 3. Appurtenances.
 4. Finish Site Work and Other Work.

1.14 Duties of contractor related to the use of forms DSA 152 and DSA 152-IPI are as follows:

- The contractor shall carefully study the DSA-approved documents and shall plan a schedule of operations well ahead of time.
- If at any time it is discovered that work is being done which is not in accordance with the DSA-approved construction documents, the contractor shall correct the work immediately.
- Verify that DSA 152 and, when applicable, DSA 152-IPI forms were issued for the project prior to the commencement of construction.
- Meet with the design team, the Laboratory of Record and the project inspector to mutually communicate and understand the structural/material and fire/life safety testing and inspection program, and the methods of communication appropriate for the project.
- Notify the project inspector and, when applicable, in-plant inspector, in writing, of the commencement of construction of each and every aspect of the work at least 48 hours in advance by submitting Commencement/Completion of Work Notification (form DSA 156), or other agreed-upon written documents, to the project inspector.
- Notify the project inspector and, when applicable, the in-plant inspector, of the completion of construction of each and every aspect of the work by submitting form DSA 156 (or other agreed-upon written documents) to the project inspector.
- Consider the relationship of the signed-off blocks and sections of the form DSA 152 and the commencement of subsequent work. Until the project inspector has signed off applicable blocks and sections of the form DSA 152, the contractor may be prohibited from proceeding with subsequent construction activities that cover up the unapproved work. Any subsequent construction activities that cover up the unapproved work will be subject to a “Stop Work Order” from DSA or the school district (see [IRA-13](#) for additional information), and are subject to removal and remediation if found to be in noncompliance with the DSA-approved construction documents.

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- Submit the final verified report. All prime contractors are required to submit final Contractor Verified Reports (form DSA 6-C) as prescribed in *Section 4*.

The reports are required to be submitted upon any of the following events occurring:

- The project is substantially complete. DSA considers the project to be complete when the construction is sufficiently complete in accordance with the DSA-approved construction documents so that the owner can occupy or utilize the project.
- Work on the project is suspended for a period of more than one month.
- The services of the contractor are terminated for any reason prior to the completion of the project.
- DSA requests a verified report.

1.15 Duties of the school district related to the use of forms DSA 152 and DSA 152-IPI are as follows:

- Provide for competent, adequate and continuous construction inspections and material testing for the project by employing an appropriate DSA certified and approved project inspector, in-plant inspector (when applicable), and Laboratory of Record.
- Contractually provide for and ensure that the design team is fulfilling their code required duty to observe the construction by making periodic visits of reasonable frequency. All architects and engineers having responsibility for observation of the work as listed on the Application for Approval of Plans and Specifications (form DSA 1 and, when applicable, DSA 1-MR), shall maintain such personal contact with the project as is necessary to assure themselves of compliance, in every material respect, with the DSA-approved construction documents. Personal contact shall include visits to the project site by the architects and engineers or their qualified representatives to observe the construction. For permanent modular or relocatable buildings, the architect or engineer delegated responsibility for observation of in-plant construction, personal contact shall mean visits to manufacturing plants of sufficient frequency to provide quality assurance of construction and in-plant structural/material and fire/life safety testing and inspection in accordance with the DSA-approved construction documents.
- Ensure that the project inspector and independently contracting special inspector(s) (i.e., not employed by the Laboratory of Record) are approved by DSA for the project by submitting form DSA 5-PI (DSA 5-AI for assistant inspectors; DSA 5-IPI for in-plant inspectors) and DSA 5-SI to and obtaining approval from DSA prior to the start of construction and prior to requesting issuance of project inspection cards (DSA 152 and, when applicable, DSA 152-IPI forms).
- Ensure the Laboratory of Record is DSA-accepted and employed by the school district prior to the start of construction and prior to requesting issuance of project inspection cards (DSA 152 and, when applicable, DSA 152-IPI forms).
- Ensure that the Project Inspection Cards (DSA 152 and, when applicable, DSA 152-IPI forms) are issued prior to commencement of construction.
- Submit Statement of Final Actual Project Cost (form DSA 168) to DSA when the project is substantially complete.

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1.16 Duties of DSA related to the use of forms DSA 152 and DSA 152-IPI are as follows:

- Evaluate the submitted form DSA 5-PI, DSA 5-IPI (when applicable), DSA 5-AI, and/or DSA 5-SI (when applicable) to determine if the proposed project inspector and, when applicable, in-plant inspector are qualified for the project.
- Upon determining the proposed project inspector and, when applicable, in-plant inspector and/or special inspector is qualified for the project, approve and return the form DSA 5-PI, DSA 5-IPI (when applicable), DSA 5-AI, and/or DSA 5-SI (when applicable) within five working days of receipt.
- Upon receipt of a completed form DSA 102-IC and approval of the DSA 5-PI and DSA 5-IPI (when applicable), determine the necessary quantities of Project Inspection Cards (DSA 152 and DSA 152-IPI forms), assign the Project Inspection Card numbers and issue the cards within five working days.
- Upload forms DSA 5-PI, DSA 5-IPI (when applicable), DSA 5-AI, and/or DSA 5-SI (when applicable), DSA 102-IC, DSA 152 and DSA 152-IPI to DSAbbox.
- Hold all involved parties accountable for compliance with their required duties.
- Supervise and review the performance of the project inspector (includes review of the project inspector's job file and use of form DSA 119 and, at project completion, use of form DSA 180).
- Make site visits as necessary. Record pertinent items to document the site visit and communicate to the project inspector, in-plant inspector, design professionals, special inspectors, Laboratory of Record, and school district using form DSA 135.
- Issue Orders to Comply or Stop Work Orders, in compliance with DSA IR A-13, if required, and as appropriate to achieve compliance with the DSA-approved construction documents and applicable codes (this includes DSA procedure PR 13-01 since the procedure implements the relevant sections of the CCR, Title 24, Part 1).

1.17 Use of form DSA 152 for parts of the construction that require multiple increments:

Some construction requires incremental work to make a complete system. An example is a large foundation system that may be placed incrementally over a period of time. In this example, framing may be starting in one area (where the foundation is in place) while foundation work is still occurring in another area of the same building. The expectation of DSA for these occurrences is:

- The Project Inspection Card applicable blocks and sections are signed off by the project inspector at the completion of the system, not during the construction of the increments.
- Until the system is complete, the project inspector, architect/engineers and contractors mutually agree on a system to keep track of compliant construction. One such system (using the above example) may be that a copy of the foundation plan is marked up showing areas of compliance. The applicable blocks and sections of the inspection card are then signed off once all areas of the foundation are complete, are determined to be in compliance with the DSA-approved construction documents, the required structural/material and fire/life safety testing and inspections are complete, and the required documentation has been received by the project inspector.

1.18 Executive Summary of Form DSA 152: See Appendix A for a summary of typical

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construction components and systems that are associated with each section/block of the inspection card. While the listing is not comprehensive, it provides a good foundation for understanding and consistency.

2. REQUIREMENTS FOR THE USE OF FORMS DSA 151, DSA 154, DSA 155, AND DSA 6-PI: (NOTE: For in-plant construction, the in-plant inspector shall follow the requirements described below for project inspectors.)

2.1 Requirements for use of form DSA 151: Project Inspector Notifications:

- The project inspector must make certain notifications to DSA. These include start of work, minimum 48 hours' notice prior to completion of foundation trenches, minimum 48 hours' notice prior to first concrete placement or significant concrete placement, and when work is suspended for more than one month.
- If there is an incorrect number or missing DSA 152 or DSA 152-IPI cards, the project inspector shall notify DSA using the form DSA 151.
- The report shall be made on form DSA 151 and submitted to DSA. Lack of compliance may cause DSA to record this noncompliance on the form DSA 119 Project Inspector Performance Review.
- A copy of each notification shall be kept in the project inspector's job file.

2.2 Requirements for use of form DSA 154: Notice of Deviations/Resolution of Deviations:

- When the project inspector identifies deviations from the DSA-approved construction documents the inspector must verbally notify the contractor. If the deviations are not corrected within a reasonable time frame or the contractor has covered up non-inspected or noncompliant work, the inspector is required to promptly issue a written notice of deviation to the contractor, with a copy sent to the design professional in general responsible charge and DSA.
- When the noticed deviations are corrected, the inspector is required to promptly issue a written notice of resolution to the contractor, with a copy sent to the design professional in general responsible charge and DSA.
- Deviations include both construction deviations and material deficiencies.
- The written notice of deviations shall be made using form DSA 154 and submitted to DSA (do not sign Section 3 of the form for deviation notifications). Lack of compliance may cause DSA to record this noncompliance on the form DSA 119: Project Inspector Performance Review.
- The notice of resolution of deviations shall be made using the original form DSA 154 that reported the deviations and be submitted to DSA (complete and sign Section 3 of the form for resolution of deviations). Lack of compliance may be cause for DSA to record this noncompliance on the form DSA 119: Project Inspector Performance Review.
- A copy of each notice shall be kept in the project inspector's job file.

2.3 Requirements for use of form DSA 155: Project Inspector Semi-Monthly Report:

- The project inspector must make semi-monthly reports (on the 1st and 16th of every month) on the progress of construction. The Project Inspector Semi-Monthly Report must be submitted to the design professional in general responsible charge, project

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structural engineer, DSA, and the school district.

- The report must be made on form DSA 155 and submitted to DSA. Lack of compliance may cause DSA to record this noncompliance on the form DSA 119: Project Inspector Performance Review.
- A copy of each report shall be kept in the project inspector's job file.

2.4 Requirements for use of Project Inspector Verified Report (form DSA 6-PI; form DSA 152-IPI for in-plant inspectors):

- The project inspector shall submit Project Inspector Verified Report (form DSA 6-PI; form DSA 152-IPI for in-plant inspectors) directly to DSA, the design professional in general responsible charge and the school district upon any of the following events occurring:
 - Work on the project is suspended for a period of more than one month.
 - The services of the inspector are terminated for any reason prior to completion of the project and such termination is not a result of work stoppage.
 - At the time of occupancy of any building, or portion of a building, involved in the project prior to completion of the entire DSA-approved scope of work. This reporting requirement applies to buildings that are newly constructed or rehabilitated as part of the project. A sketch drawing or written description shall be submitted to DSA, along with the DSA 6-PI, in order to identify the building(s) or portion thereof where occupancy has occurred.
 - The project is substantially complete. DSA considers the project to be complete when the construction is sufficiently complete, in accordance with the DSA-approved construction documents, so that the owner can occupy or utilize the project as determined by the project owner and design professional in general responsible charge.
 - DSA requests a verified report. The Project Inspection Card, form DSA 152 (DSA 152-IPI for in-plant inspectors), is considered a project inspector's verified report "as requested by DSA" and as such the applicable blocks and sections shall be kept updated as construction progresses.

Note: Each project may require filing of multiple reports. For example, the code requires filing a verified report for buildings that become occupied prior to completion of the entire scope. The same project will also require a final verified report upon completion of the entire project scope.

- The verified reports shall be made using forms DSA 6-PI and DSA 152 (DSA 152-IPI for in-plant inspector), as appropriate, and submitted to DSA. Lack of compliance may cause DSA to record this noncompliance on the form DSA 119: Project Inspector Performance Review.
- A copy of each verified report shall be kept in the project inspector's job file.

3. REQUIREMENTS FOR PROJECT INSPECTOR JOB FILE: Refer to [IR A-8](#) for a thorough discussion about requirements for the project inspector's job file.

(NOTE: The in-plant inspector shall also follow the requirements described in IR A-8 for the project inspector's job file and substitute DSA 152-IPI for DSA 152.)

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4. ELECTRONIC SUBMITTAL OF DOCUMENTS TO DSA: Wherever in this procedure it indicates to submit a document to DSA, the document shall be submitted using the method indicated below.

4.1 Submittal of all forms DSA 5 and DSA 102-IC: These two forms shall be sent by email to the DSA Regional Office with the construction oversight authority for the project.

Email addresses for submittals are:

- DSA Oakland: OAKfielddocs@dgs.ca.gov
- DSA Sacramento: SACfielddocs@dgs.ca.gov
- DSA Los Angeles: LAfielddocs@dgs.ca.gov
- DSA San Diego: SDfielddocs@dgs.ca.gov

4.2 Submittal of all other forms and documents: Submittals shall be uploaded to DSAbbox. For [DSAbbox](#) instructions see [DSAbbox External Library](#). All documents submitted to [DSAbbox](#) shall be in PDF format. The naming convention specified in Section 1.4 of the DSAbbox External Users Training Module shall be used when uploading documents to DSAbbox. Any document(s) incorrectly uploaded or named will be deleted and a notification with a deadline for the corrected submittal will be sent to the appropriate responsible individual(s). If the corrected document(s) is not uploaded by the notification specified deadline, it may result in an uncertified project and identification of the responsible individual(s) and missing document(s) noted on the DSA 301-P posted for public viewing in [DSA Certification Box](#). Note that once a DSA 301-P is issued, there will no longer be access to upload documents to DSAbbox; instead, documents must be uploaded to DSA Certification Box (see DSA Procedure [PR 13-02](#) for additional information).

4.2.1 Documents required to be uploaded to DSAbbox by the Project Inspector include: (NOTE: The in-plant inspector for permanent modular or relocatable buildings will submit the same documents described below but replace DSA 152 with DSA 152-IPI.)

- [DSA 6-PI](#): Project Inspector Verified Report (in-plant inspectors use DSA 152-IPI).
- [DSA 130](#): Certificate of Compliance – Accepted Folding and Telescopic Seating Fabricator.
- [DSA 151](#): Project Inspector Notifications.
- [DSA 152](#): Project Inspection Card.
- [DSA 152-IPI](#): In-Plant Inspector Inspection Card/Verified Report (by the in-plant inspector only).
- [DSA 154](#): Notice of Deviations/Resolution of Deviations, submitted and resolved.
- [DSA 155](#): Project Inspector Semi-Monthly Report.
- [DSA 156](#): Commencement/Completion of Work Notification (if used).

4.2.2 Documents required to be uploaded to DSAbbox by the Laboratory include:

- [DSA 291](#): Laboratory of Record Verified Report.
- [DSA 293](#): Geotechnical Verified Report.

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- [DSA 109](#): Transfer of Responsibility: Geotechnical Engineer (if applicable).
- Test and inspection reports (Nonconforming and, when requested by DSA, conforming per Section 1.9 of this Procedure).

4.2.3 Documents required to be uploaded to DSABox by the Architect/Engineer in General Responsible Charge include:

- [DSA 6-AE](#): Architect/Engineer Verified Report (including signatures of all other design professionals listed on form DSA 1).
- [DSA-103](#): List of Required Structural Tests and Special Inspections.
- [DSA 140](#): Application for Approval of Construction Change Document – CCD Category A/B.

4.2.4 Documents required to be uploaded to DSABox by Contractors include:

- [DSA 6-C](#): Contractor Verified Report.

4.2.5 Documents required to be uploaded to DSABox by the School District/Owner include:

- [DSA 108](#): Change in Delegation of Responsibility.
- [DSA 168](#): Statement of Final Actual Project Cost.

4.2.5.1 Documents required to be uploaded to DSABox by Special Inspectors not in the employ of the Laboratory of Record include:

- [DSA 292](#): Special Inspectors Employed Directly by the District Verified Report.
- Special Inspector test and inspection reports (Nonconforming).

4.2.5.2 Documents required to be uploaded to DSABox by Geotechnical Engineers not in the employ of the Laboratory of Record include:

- [DSA 293](#): Geotechnical Verified Report.
- Special Inspector test and inspection reports (Nonconforming).

5. APPLICABILITY OF PROCEDURE PR 13-01:

5.1 Projects with Construction Started on or after June 1, 2013: This procedure is applicable and must be implemented at the start of construction.

5.2 Projects with Construction Started before June 1, 2013, but not complete:

In order to allow for transition, the following portions of this procedure shall be implemented as noted below. Required reporting and submittal of documents shall continue to be done in the manner currently employed on the project:

5.2.1 Form DSA 151: Project Inspector Notifications:

The project inspector shall comply with the requirements of this procedure for all notifications to DSA for affected work starting after July 1, 2013.

5.2.2 Form DSA 154: Notice of Deviations/Resolution of Deviations:

The project inspector shall comply with the requirements of this procedure for all deviations occurring after July 1, 2013, and for all deviations that have occurred on

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the project and are not yet resolved.

5.2.3 Form DSA 155: Project Inspector Semi-Monthly Report:

The project inspector shall comply with the requirements of this procedure for all semi-monthly reports issued after July 1, 2013.

5.2.4 Form DSA 6-PI: Project Inspector Verified Report:

The project inspector shall comply with the requirements of this procedure effective June 1, 2013.

5.2.5 Project Inspector Job File:

The project inspector's job file shall comply with the requirements of IR A-8.

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APPENDIX A

Executive Summary of DSA 152 Project Inspection Card: The following provides a summary of typical construction components and systems that are associated with each section/block in the inspection card. While the listing is not comprehensive, it provides a good foundation for understanding and consistency. Refer to the [DSA 152 Manual](#) for additional detailed inspection and documentation requirements.

Section 1 – Initial Site Work and Foundation Prep:

Block 1 – Mass Grading

- Rough Grading of Overall Site
- Cuts/Fills
- Soil Remediation
- Soil Stabilization
- Soil Nails, Tie Backs, Rock/Soil Anchors
- Horizontal/Vertical Controls

Block 2 – Building Pad

- Soil Preparation Specific to Support of Structures
- Building Pad
- Soil Remediation
- Soil Densification
- Stone Columns

Block 3 – Drainage Devices

- Storm Water Collection/Distribution systems
- On-Site Retention Systems
- Foundation Drain systems
- Retaining Wall Drain Systems

Block 4 – Utilities (Rough-in)

- FLS Utilities/Systems
- MEP Utilities/Systems
- MEP Vaults
- Thrust Blocks

Block 5 – Excavations

- Foundation Systems
- Driven Piles

Block 6 – Forms

- Formwork
- FLS Systems
- MEP Systems
- Waterproofing/Vapor Barriers

Block 7 – Steel Reinforcing

- Reinforcing (bars, tendons, etc.)
- Embeds

Section 2 - Vertical and Horizontal Framing:

Block 8 – Foundation Concrete

- Verify Foundation Is Compliant (concrete 28 day strength, etc.)

Blocks 9 - 12 – Concrete, Masonry, Wood, Steel

- Walls
- Columns
- Frames

Blocks 13-15 – Concrete, Wood, Steel

- Floors
- Roofs

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Section 3 – Appurtenances:

Block 16 – Ceilings

- Ceilings
- Soffits
- Suspended Baffles

Block 17 – Exterior Cladding

- Storefront/Window Walls
- Veneer
- Precast Concrete Panels
- Wall Finishes
(stucco/plaster/wood/aluminum/etc.)
- Manufactured Systems (EFIS, GRFC, etc.)

Block 18 – Rated Assemblies

- Walls
- Shafts
- Floors
- Roofs
- Ceilings
- Doors
- Fire Doors
- Windows
- Penetrations
- Dampers
- Fire-Proofing

Block 19 – Fire Alarms:

- Fire/Smoke Alarm System (includes support, anchorage, bracing, etc.)

Block 20 – Automatic Fire Suppression Systems

- Sprinklers
- Chemical
- Deluge
- Water Curtains
- Extinguishers
- Support/Bracing/Anchorage of AFSS

Block 21 – MEP (Structural)

Support/Bracing/Anchorage for:

- MEP
- Equipment
- HVAC System
- Ducts
- Electrical
- Pendant Lights
- Transformers
- Switch Gears
- IDF/MDF/etc.
- Pipes
- Tanks

Block 22 – MEP (FLS)

- MEP Fire Suppression Systems
(smoke and fire dampers)
- Kitchen Hoods
- Laboratory Hoods
- Dust Collection Systems
- Smoke Control Systems

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Section 4 – Finish Site Work and Other Work:

Block 23 – Fine Grading

- Finish Grades
- Grading for Accessible POT System
- Grading for Run-off (drainage)

Block 25 – Parking

- Drop-off
- Accessible parking
- Striping
- Signage
- Truncated Domes

Block 27 – Other Work Structural

Support/Bracing/Anchorage for:

- Theater Systems (stage rigging, catwalks, speaker, lighting, curtains, etc.)
- Non-bearing partitions
- Operable partitions
- Casework
- Stairs
- Elevators
- Weather Protection

Block 29 – Other Work Accessibility

- Building Signage
- Site Signage
- Drinking Fountains
- Accessible POT Systems
- Stairs
- Ramps
- Walks
- Doors
- Gates
- Elevator
- Specialty Areas (restrooms, kitchens, casework, etc.)

Block 24 – Flatwork

Accessible Path of Travel Systems such as:

- Stairs
- Ramps
- Walks
- Gates

Block 26 – Fire Lane

- Fire Lane

Block 28 – Other Work Fire Life Safety

- Egress Components
- Doors
- Gates
- Emergency Lighting
- Building Signage
- Site Signage
- Elevators
- Hazardous Materials



100-PRE

LAB PROGRAM PRELIMINARY APPLICATION

Instructions

For an overview of the DSA Laboratory Evaluation and Acceptance Program application process, refer to the [Instructions for Applying to the DSA Laboratory Evaluation and Acceptance Program](#).

To apply for initial acceptance, renew acceptance, or report changes, the laboratory engineering manager must mail the required items, as listed below, to the DSA Headquarters Office at:

DSA Laboratory Evaluation and Acceptance Program
1102 Q Street, Suite 5100
Sacramento, CA 95811

ITEMS REQUIRED:

- **Applicant Information** – A completed printed copy of this page, Preliminary Application (DSA 100-PRE).
Note: If the firm has more than one facility or location which provides testing and/or inspection services, each location must submit a separate Laboratory Evaluation and Acceptance Program application package.
- **Fee** – Appropriate fee, per the fees section below. The fee must be in the form of a check, payable to the Division of the State Architect, and attached to the upper right-hand corner of this page.
- **AB 1424 Supplement (DSA 650)** – A completed and signed copy of form [DSA 650](#). This form can be found on the [DSA forms page](#). More information about AB 1424 is posted on the [AB 1424 Notification page](#).

Upon receipt of form DSA 100-PRE, the laboratory's Engineering Manager will receive an invitation from DSAbbox to an electronic folder for online submittal of form DSA 100 and required supporting documents. For laboratories which are currently accepted into DSA's Laboratory Evaluation and Acceptance Program and are submitting for renewal of acceptance, the Engineering Manager has ten business days from the date of the invitation to DSAbbox to submit the complete application package. If the complete package is not submitted within this time, the laboratory's acceptance may be withdrawn.

Note: Boxes may be checked in multiple fee categories. Only the highest applicable fee is required to be paid.

| APPLICANT INFORMATION | | Application Date: | |
|-------------------------------------|---------|--|--|
| APPLICATION TYPE AND FEES | \$8,000 | <input type="checkbox"/> New Applicant <input type="checkbox"/> Expiration of Acceptance | |
| | \$2,000 | <input type="checkbox"/> Re-Evaluation (Acceptance Withdrawn) | |
| | \$1,000 | <input type="checkbox"/> Laboratory Location Change | |
| | \$500 | <input type="checkbox"/> Engineering Manager Change | |
| | | Changes to: | <input type="checkbox"/> Supervisors <input type="checkbox"/> Laboratory Services <input type="checkbox"/> Laboratory Name <input type="checkbox"/> NDT Level III |
| LABORATORY NAME | | LAB NO.* | |
| ADDRESS | | DSA USE ONLY | |
| CITY | | STATE | ZIP CODE |
| ENGINEERING MANAGER | | PHONE NUMBER | |
| ENGINEERING MANAGER'S EMAIL ADDRESS | | Date Application REC'D. | |
| | | Check # _____ | |
| | | Date Fee REC'D. | |
| | | Date DSA 650 REC'D. | |

*New applicants will be assigned a Lab No. by DSA.

Note: The email address given above must be a valid personal company email (not a generic company or personal home email address).

APPENDIX D

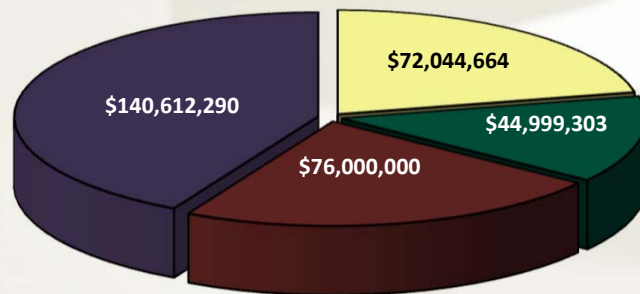
Examples of the financial reports available on the CFS system

Measure E Program Overview & Revenue Summary

The voters of the Beverly Hills Unified School District (the "District") authorized Measure E G.O. Bonds in the amount of \$334,000,000 on November 4, 2008. Funds received from the sale of the bonds are to be used to provide safe and modernized school facilities; make structural seismic safety repairs; upgrade, repair, and reconstruct aging classrooms, infrastructure, multi-use, gyms, libraries, science and technology labs, roofing, plumbing, heating, ventilation and electrical systems; renovate Beverly Hills Unified School District schools to better protect students and staff from unauthorized entry, security risks and natural disasters.

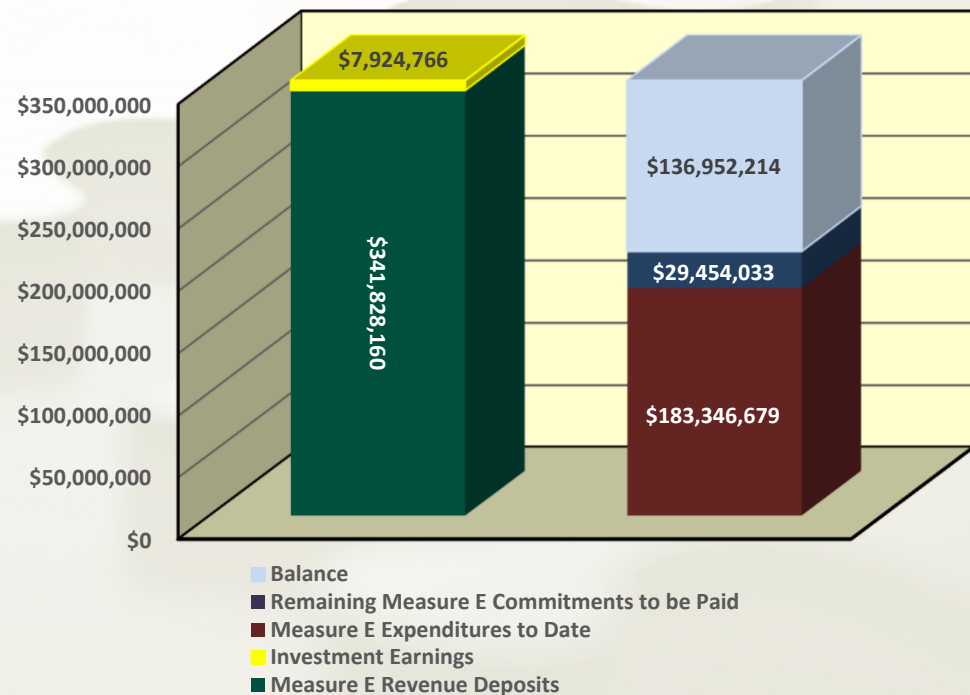
Measure E G.O. Bonds

G.O. Bond Authorization = \$334,000,000



- G.O. Bonds Election of 2008, Series 2009
- G.O. Bonds Election of 2008, Series 2013
- G.O. Bonds Election of 2008, Series 2015
- G.O. Bonds Election of 2008, Series 2017

Measure E Combined Revenue = \$349,752,926



MEASURE E - ESTIMATED PROJECT COMMITMENTS & EXPENDITURES

| District Project Name | Current Project Budget Estimate | Current Project Commitments | Project Expenditures to Date | Remaining Budget Balance |
|---|---------------------------------|-----------------------------|------------------------------|--------------------------|
| A | B | C | D | E (B + D) |
| Beverly Hills High School | | | | |
| 1 0050000-00000 - Beverly Hills High School - Replacement Project | \$25,042.00 | \$25,042.00 | (\$25,042.00) | \$0.00 |
| 2 0050000-90027 - BHHS - Modernization | 1,773,771.34 | 1,773,771.34 | (1,773,771.34) | 0.00 |
| 3 0050000-91004 - MTA | 970.21 | 970.21 | (970.21) | 0.00 |
| 4 0050000-91600 - High School - BHHS Modernization (C02) | 73,890,598.76 | 30,024,556.87 | (29,171,203.23) | 44,719,395.53 |
| 5 0050000-91601 - High School - C03 New Kitchen Hood - Culinary | 209,587.90 | 209,587.90 | (209,587.90) | 0.00 |
| 6 0050000-91610 - High School - Seismic | 1,152,095.87 | 1,152,095.87 | (1,152,095.87) | 0.00 |
| 7 0050000-91603 - Beverly Hills High School - Buildings B1 & B2 | 18,267,679.42 | 18,267,679.42 | (1,823,240.77) | 16,444,438.65 |
| 8 0050000-91612 - High School - DLR Facilities Hardship | <u>43,057.50</u> | <u>43,057.50</u> | <u>(43,057.50)</u> | <u>0.00</u> |
| Combined Beverly Hills High School Improvements: | \$95,362,803.00 | \$51,496,761.11 | (\$34,198,968.82) | \$61,163,834.18 |

| | | | | |
|--|------------------|------------------|--------------------|-------------|
| Beverly Vista School | | | | |
| 9 0010000-90029 - Beverly Vista - Building B - Phase III | \$429,510.49 | \$429,510.49 | (\$429,510.49) | \$0.00 |
| 10 0010000-91100 - Beverly Vista - Modernization (E01) | 3,419,711.49 | 3,419,711.49 | (3,417,711.49) | 2,000.00 |
| 11 0010000-91103 - Beverly Vista - DSA Closeout | 6,932.30 | 6,932.30 | (6,932.30) | 0.00 |
| 12 0010000-91105 - Beverly Vista - Modernization - Priority 3 BV | 80,181.74 | 80,181.74 | (80,181.74) | 0.00 |
| 13 0010000-91107 - Beverly Vista - Shade Structure (E07) | <u>74,554.09</u> | <u>74,554.09</u> | <u>(74,554.09)</u> | <u>0.00</u> |
| Combined Beverly Vista School Improvements: | \$4,010,890.11 | \$4,010,890.11 | (\$4,008,890.11) | \$2,000.00 |

MEASURE E - ESTIMATED PROJECT COMMITMENTS & EXPENDITURES

| District Project Name | Current Project Budget Estimate | Current Project Commitments | Project Expenditures to Date | Remaining Budget Balance |
|--|---------------------------------|-----------------------------|------------------------------|--------------------------|
| A | B | C | D | E (B + D) |
| El Rodeo School | | | | |
| 14 0020000-90034 - El Rodeo - Modernization | \$633,284.03 | \$633,284.03 | (\$633,284.03) | \$0.00 |
| 15 0020000-90100 - El Rodeo - Cabling for Wireless | 32,549.82 | 32,549.82 | (32,549.82) | 0.00 |
| 16 0020000-91100 - El Rodeo - BV Modernization (E01) | 4,182.50 | 4,182.50 | (4,182.50) | 0.00 |
| 17 0020000-91200 - El Rodeo - ER Modernization (F02) | 82,630,293.94 | 17,418,132.00 | (15,919,281.42) | 66,711,012.52 |
| 18 0020000-91201 - El Rodeo - Auditorium Ceiling Upgrade (F01) | 160,588.55 | 160,588.55 | (160,588.55) | 0.00 |
| 19 0020000-91203 - El Rodeo - DSA Closeout (F04) | 74,957.69 | 74,957.69 | (74,957.69) | 0.00 |
| 20 0020000-91205 - El Rodeo - Modernization - Priority 3 ER | 975,839.25 | 975,839.25 | (975,839.25) | 0.00 |
| 21 0020000-91206 - El Rodeo - Phylmar (DTSC) | 996,931.22 | 996,931.22 | (955,072.79) | 41,858.43 |
| 22 0020000-91210 - El Rodeo - Seismic | 112,279.60 | 112,279.60 | (112,279.60) | 0.00 |
| 23 0020000-91220 - El Rodeo - New Construction | <u>9,093.40</u> | <u>9,093.40</u> | <u>(9,093.40)</u> | <u>0.00</u> |
| Combined El Rodeo School Improvements: | \$85,630,000.00 | \$20,417,838.06 | (\$18,877,129.05) | \$66,752,870.95 |

| | | | | |
|--|-----------------------|-----------------------|-------------------------|-----------------------|
| Hawthorne School | | | | |
| 24 0030000-90039 - Hawthorne - Modernization | \$631,797.78 | \$631,797.78 | (\$631,797.78) | \$0.00 |
| 25 0030000-90100 - Hawthorne - Cabling for wireless | 39,409.03 | 39,409.03 | (39,409.03) | 0.00 |
| 26 0030000-91300 - Hawthorne - Modernization | 6,779,377.94 | 6,779,377.94 | (4,898,398.64) | 1,880,979.30 |
| 27 0030000-91301 - Hawthorne - Auditorium Ceiling Upgrade (G01) | 372,028.34 | 372,028.34 | (372,028.34) | 0.00 |
| 28 0030000-91303 - Hawthorne - DSA Closeout (G03) | 15,405.68 | 15,405.68 | (15,405.68) | 0.00 |
| 29 0030000-91304 - Hawthorne - Chiller/Cooling Tower Replacement G05 | 470,226.60 | 470,226.60 | (470,226.60) | 0.00 |
| 30 0030000-91305 - Hawthorne - Modernization - Priority 3 HAW | 411,387.02 | 411,387.02 | (411,387.02) | 0.00 |
| 31 0030000-91310 - Hawthorne - Seismic | 443,653.60 | <u>443,653.60</u> | <u>(443,653.60)</u> | <u>0.00</u> |
| Combined Hawthorne School Improvements: | \$9,163,285.99 | \$9,163,285.99 | (\$7,282,306.69) | \$1,880,979.30 |

MEASURE E - ESTIMATED PROJECT COMMITMENTS & EXPENDITURES

| District Project Name | Current Project Budget Estimate | Current Project Commitments | Project Expenditures to Date | Remaining Budget Balance |
|---|---------------------------------|-----------------------------|------------------------------|--------------------------|
| A | B | C | D | E (B + D) |
| Horace Mann School | | | | |
| 32 0040000-90044 - Horace Mann - Modernization (Building A) | \$1,515,610.33 | \$1,515,610.33 | (\$1,515,610.33) | \$0.00 |
| 33 0040000-90046 - Horace Mann - District Admin | 225.00 | 225.00 | (225.00) | 0.00 |
| 34 0040000-90100 - Horace Mann - Cabling for wireless | 21,241.89 | 21,241.89 | (21,241.89) | 0.00 |
| 35 0040000-91400 - Horace Mann - HM Modernization (H04) (Building A) | 33,857,451.55 | 30,471,253.83 | (24,358,491.19) | 9,498,960.36 |
| 36 0040000-91401 - Horace Mann - Interim Class (H01) | 178,983.86 | 178,983.86 | (178,983.86) | 0.00 |
| 37 0040000-91402 - Horace Mann - Auditorium Ceiling Replacement (H02) | 4,603,422.43 | 4,603,422.43 | (4,603,422.43) | 0.00 |
| 38 0040000-91403 - Horace Mann - DSA Closeout (H03) | 36,247.21 | 36,247.21 | (36,247.21) | 0.00 |
| 39 0040000-91410 - Horace Mann - Seismic | 301,418.62 | 301,418.62 | (301,418.62) | 0.00 |
| 40 0040000-91420 - Horace Mann - New Construction (H05) | 47,399,118.44 | 47,399,118.44 | (47,307,048.62) | 92,069.82 |
| 41 0040000-91421 - Demo of Rorunda & Middle School (H08) | 25,029.18 | 25,029.18 | (25,029.18) | 0.00 |
| 42 0040000-91423 - HM-Lunch Shelter, Courtyard & Central Plant (H09) | 22,741.14 | 22,741.14 | (22,741.14) | 0.00 |
| 43 0040000-91440 - Horace Mann - Technology | <u>312,475.35</u> | <u>312,475.35</u> | <u>(312,475.35)</u> | <u>0.00</u> |
| Combined Horace Mann School Improvements: | \$88,273,965.00 | \$84,887,767.28 | (\$78,682,934.82) | \$9,591,030.18 |

MEASURE E - ESTIMATED PROJECT COMMITMENTS & EXPENDITURES

| District Project Name | Current Project Budget Estimate | Current Project Commitments | Project Expenditures to Date | Remaining Budget Balance |
|--|---------------------------------------|-----------------------------------|------------------------------------|--------------------------------|
| A | B | C | D | E (B + D) |
| Miscellaneous District-Wide Expenses | | | | |
| 44 Z0000000-00000 - District Wide | \$131,360.48 | \$131,360.48 | (\$131,360.48) | \$0.00 |
| 45 0000010-00000 - Business Office - Unrestricted | 7,383.98 | 7,383.98 | (7,383.98) | 0.00 |
| 46 0000011-00000 - Technology | 2,442,189.92 | 2,442,189.92 | (2,442,189.92) | 0.00 |
| 47 0000011-91000 - Technology - Project Support | 32,123.20 | 32,123.20 | (32,123.20) | 0.00 |
| 48 0000011-91040 - Technology - District-Wide | 3,529,686.88 | 3,112,595.21 | (2,794,629.82) | 735,057.06 |
| 49 0000017-00000 - District Administration | 230,433.81 | 230,433.81 | (230,433.81) | 0.00 |
| 50 0000017-90046 - District Facilities & Planning | 3,891,816.54 | 3,891,816.54 | (3,891,816.54) | 0.00 |
| 51 0000017-90100 - District cabling for wireless | 70,939.66 | 70,939.66 | (70,939.66) | 0.00 |
| 52 0000040-90004 - Facilities Phone (Closed) | 273,276.42 | 273,276.42 | (273,276.42) | 0.00 |
| 53 0000055-00000 - Facilities & Planning | 1,627,437.03 | 1,627,437.03 | (1,627,437.03) | 0.00 |
| 54 0000055-90046 - District admin | 318,730.25 | 318,730.25 | (318,730.25) | 0.00 |
| 55 0000055-91000 - Facilities & Planning (91000 project contingency) | 30,613,693.48 | 14,129,618.83 | (12,770,198.75) | 17,843,494.73 |
| 56 0000055-91001 - District Master Plan | 300,158.54 | 300,158.54 | (300,158.54) | 0.00 |
| 57 0000055-91004 - MTA | 16,205,145.96 | 16,205,145.96 | (15,354,811.53) | 850,334.43 |
| 58 0000055-91040 - Facilities & Planning - Technology | <u>34,679.75</u> | <u>34,679.75</u> | <u>(34,679.75)</u> | <u>0.00</u> |
| Combined District-Wide Expenditures: | \$59,709,055.90 | \$42,807,889.58 | (\$40,280,169.68) | \$19,428,886.22 |
| | | | | |
| COMBINED MEASURE E PROJECT TOTALS: | \$342,150,000.00 | \$212,784,432.13 | (\$183,330,399.17) | \$158,819,600.83 |

**Measure E Project Expenditures From
July 1, 2017 to July 1, 2018**

Encumbrance Report

Beverly Hills Unified School District

Encumbrances, Expenses and Current Liabilities, From 07/01/2017 Up To 07/01/2018

| VENDOR | ENCUMBRANCE | EXPENDITURE | BALANCE | DESCRIPTION |
|--------|-------------|-------------|---------|-------------|
|--------|-------------|-------------|---------|-------------|

0000011-00000 - Technology

| | | | | |
|------------------------|-------------|---------------|--------|---|
| B.H.U.S.D. | \$75,937.15 | (\$75,937.15) | \$0.00 | District Project Support |
| Mjp Technologies, Inc. | \$0.00 | \$0.00 | \$0.00 | Technology Costs |
| Pcmg,Inc. | \$0.00 | \$0.00 | \$0.00 | Consulting Costs |
| | \$75,937.15 | (\$75,937.15) | \$0.00 | Project Totals for 0000011-00000 - Technology |

0000011-91000 - Technology - Project Support

| | | | | |
|------------|-------------|---------------|--------|---|
| B.H.U.S.D. | \$32,123.20 | (\$32,123.20) | \$0.00 | District Project Support |
| | \$32,123.20 | (\$32,123.20) | \$0.00 | Project Totals for 0000011-91000 - Technology - Project Support |

0000011-91040 - Technology - District-Wide

| | | | | |
|-----------------------------|----------------|------------------|--------------|---|
| Accu-Tech Corporation | \$12,397.59 | (\$12,397.59) | \$0.00 | Technology Costs |
| Apple Computer | \$444,698.32 | (\$416,549.64) | \$28,148.68 | Technology Costs |
| Beverly Hills Courier | \$6,300.00 | (\$6,300.00) | \$0.00 | Courier Service |
| CDW Government Inc. | \$1,558,572.27 | (\$1,506,067.84) | \$52,504.43 | Technology Costs |
| Darren P. Doerschel | \$326,139.00 | (\$192,413.00) | \$133,726.00 | Technology Costs |
| Dell Marketing L.P. | \$87,728.23 | (\$81,308.23) | \$6,420.00 | Technology Costs |
| Lightspeed Systems | \$17,933.75 | (\$17,933.75) | \$0.00 | Technology Costs |
| Mjp Technologies, Inc. | \$67,200.00 | (\$66,210.00) | \$990.00 | Technology Costs |
| Pcmg,Inc. | \$52,990.56 | (\$52,990.55) | \$0.01 | Consulting Costs |
| Shi International Corp. | \$39,995.07 | (\$39,995.07) | \$0.00 | Technology Costs |
| Southern Computer Warehouse | \$9,978.50 | (\$9,978.50) | \$0.00 | Technology Costs |
| Starnet Data Design, Inc. | \$121,963.95 | (\$121,963.95) | \$0.00 | Telecommunications Costs |
| Vector Resources, Inc. | \$277,416.83 | (\$181,240.56) | \$96,176.27 | Technology Costs |
| Yes Software | \$52,043.64 | (\$52,043.64) | (\$0.00) | Technology Costs |
| | \$3,075,357.71 | (\$2,757,392.32) | \$317,965.39 | Project Totals for 0000011-91040 - Technology - District-Wide |

0000055-00000 - Facilities & Planning

| | | | | |
|------------|------------|--------------|--------|--|
| B.H.U.S.D. | \$5,760.76 | (\$5,760.76) | \$0.00 | District Project Support |
| IDENTIFY | \$50.74 | (\$50.74) | \$0.00 | Legal Fees |
| | \$5,811.50 | (\$5,811.50) | \$0.00 | Project Totals for 0000055-00000 - Facilities & Planning |

0000055-91000 - Facilities & Planning (91000 project contingency)

| | | | | |
|-------------------------------|--------------|----------------|-------------|--------------------------|
| Beverly Hills Courier | \$625.00 | (\$625.00) | \$0.00 | Courier Service |
| Beverly Hills Weekly | \$800.00 | (\$800.00) | \$0.00 | Advertising |
| B.H.U.S.D. | \$600,926.59 | (\$600,926.59) | \$0.00 | District Project Support |
| C2 Reprographics (Crisp) | \$2,000.00 | (\$1,883.99) | \$116.01 | Printing Costs |
| California Financial Services | \$81,500.00 | (\$61,500.00) | \$20,000.00 | Project Planning Support |
| C.A.S.B.O. | \$75.00 | (\$75.00) | \$0.00 | Travel & Conference |
| CDW Government Inc. | \$17,874.56 | (\$17,874.56) | \$0.00 | Technology Costs |

Encumbrance Report

Beverly Hills Unified School District

Encumbrances, Expenses and Current Liabilities, From 07/01/2017 Up To 07/01/2018

| VENDOR | ENCUMBRANCE | EXPENDITURE | BALANCE | DESCRIPTION |
|---------------------------------------|----------------|------------------|----------------|--|
| Coleen Davenport - Paysinger | \$400.01 | (\$400.01) | \$0.00 | District Support Costs |
| Dell Marketing L.P. | \$2,829.17 | (\$2,823.17) | \$6.00 | Technology Costs |
| Fedex | \$2,000.00 | (\$942.43) | \$1,057.57 | Mailing Costs |
| Haulaway | \$0.00 | \$0.00 | \$0.00 | Rentals, Leases & Repairs |
| IDENTIFY | \$7,009.89 | (\$7,009.89) | \$0.00 | Legal Fees |
| Image IV Systems, Inc. | \$9,200.00 | (\$3,461.36) | \$5,738.64 | Rentals, Leases & Repairs |
| K 12 School Facilities | \$15,000.00 | (\$6,388.56) | \$8,611.44 | Contracted Services |
| Knowland Construction Services | \$174,000.00 | (\$158,780.00) | \$15,220.00 | Construction Costs |
| M & M Paper Co. | \$365.13 | (\$365.13) | \$0.00 | Office Supplies |
| Mobile Mini, Llc | \$1,400.00 | (\$1,006.86) | \$393.14 | Relocatable Buildings |
| Moss Adams Llp | \$82,250.00 | (\$71,004.32) | \$11,245.68 | Consulting Costs |
| Office Depot | \$10,000.00 | (\$2,900.00) | \$7,100.00 | Office Supplies |
| Pamela T. Johnson | \$0.00 | \$0.00 | \$0.00 | Consulting Costs |
| Paragon Engineering & Management, Llc | \$366,500.00 | (\$146,368.00) | \$220,132.00 | Consulting Costs |
| Procore Technologies | \$53,000.00 | (\$53,000.00) | \$0.00 | Technology Costs |
| Prowest Constructors | \$1,875,000.00 | (\$1,156,199.19) | \$718,800.81 | Construction Costs |
| Shi International Corp. | \$1,763.90 | (\$1,763.90) | \$0.00 | Technology Costs |
| Team Concept Development Services Inc | \$1,546,541.41 | (\$1,196,034.62) | \$350,506.79 | Construction Management |
| Timothy D. Melott | \$317.55 | (\$317.55) | \$0.00 | Office Equipment |
| Totum Corp. | \$89,350.00 | (\$89,350.00) | \$0.00 | Management Company |
| Xerox Corporation | \$3,138.71 | (\$3,138.71) | \$0.00 | Printing Costs |
| Zones Inc. | \$1,586.00 | (\$1,094.00) | \$492.00 | Technology Costs |
| | \$4,945,452.92 | (\$3,586,032.84) | \$1,359,420.08 | Project Totals for 0000055-91000 - Facilities & Planning (91000 project contingency) |

0000055-91004 - MTA

| | | | | |
|---|----------------|------------------|--------------|--|
| Atkinson, Andelson, Loya, Rudd & Romo | \$957,392.92 | (\$601,674.53) | \$355,718.39 | Legal Fees |
| Horvitz & Levy Llp | \$150,000.00 | (\$40,719.14) | \$109,280.86 | Legal Fees |
| Kasowitz, Benson, Torres & Friedman Llp | \$900,000.00 | (\$732,809.97) | \$167,190.03 | Legal Fees |
| Miller Starr Regalia | \$100,000.00 | (\$65,487.90) | \$34,512.10 | Legal Costs |
| Murphy & Evertz. Llp | \$200,000.00 | (\$16,366.95) | \$183,633.05 | Legal Costs |
| | \$2,307,392.92 | (\$1,457,058.49) | \$850,334.43 | Project Totals for 0000055-91004 - MTA |

0000055-91040 - Facilities & Planning - Technology

| | | | | |
|---------------------|--------|--------|--------|---|
| Darren P. Doerschel | \$0.00 | \$0.00 | \$0.00 | Technology Costs |
| | \$0.00 | \$0.00 | \$0.00 | Project Totals for 0000055-91040 - Facilities & Planning - Technology |

0010000-91100 - Beverly Vista - Modernization (E01)

| | | | | |
|-------------------------------|------------|----------|------------|--------------------------|
| 123 Moving & Storage Llc | \$0.00 | \$0.00 | \$0.00 | Moving Costs |
| B.H.U.S.D. | (\$60.89) | \$60.89 | \$0.00 | District Project Support |
| C2 Reprographics (Crisp) | \$2,000.00 | \$0.00 | \$2,000.00 | Printing Costs |
| Light Access Scaffolding, Llc | (\$486.00) | \$486.00 | \$0.00 | Lighting Costs |

Encumbrance Report

Beverly Hills Unified School District

Encumbrances, Expenses and Current Liabilities, From 07/01/2017 Up To 07/01/2018

| VENDOR | ENCUMBRANCE | EXPENDITURE | BALANCE | DESCRIPTION |
|-----------------------------------|-------------|-------------|------------|--|
| Sewup Jpa C/O Keenan & Associates | \$28.00 | (\$28.00) | \$0.00 | Insurance Costs |
| SVA Architects | \$0.00 | \$0.00 | \$0.00 | Architect Costs |
| | \$1,481.11 | \$518.89 | \$2,000.00 | Project Totals for 0010000-91100 - Beverly Vista - Modernization (E01) |

0020000-91200 - EI Rodeo - ER Modernization (F02)

| | | | | |
|---------------------------------------|----------------|------------------|----------------|--|
| Air Flow Mechanical, Inc | \$0.00 | \$0.00 | \$0.00 | HVAC |
| Ama Diversified Construction Group | \$0.00 | \$0.00 | \$0.00 | Construction Costs |
| Ampco Contracting, Inc. | \$117,508.65 | (\$117,508.65) | \$0.00 | Construction Costs |
| Asphalt, Fabric & Engineering, Inc. | \$20,875.00 | (\$20,875.00) | \$0.00 | Construction Costs |
| Bkf Engineers | \$9,800.00 | (\$9,800.00) | \$0.00 | Engineering Costs |
| C2 Reprographics (Crisp) | \$3,000.00 | (\$484.91) | \$2,515.09 | Printing Costs |
| California Department Of Education | \$29,050.00 | (\$29,050.00) | \$0.00 | Plan Check Fees |
| City Of Beverly Hills | \$1,000.00 | \$0.00 | \$1,000.00 | Permits & Fees |
| C.W. Industries, Inc. | \$14,952.00 | (\$14,952.00) | \$0.00 | Construction Costs |
| Digital Networks Group, Inc. | \$0.00 | \$0.00 | \$0.00 | Furniture & Equipment |
| Division Of State Architect | \$6,719.11 | (\$6,719.11) | \$0.00 | Plan Check Fees |
| DTSC | \$23,536.01 | (\$23,536.01) | \$0.00 | Environmental Costs |
| Environmental Audit Inc. | \$50,290.08 | \$0.00 | \$50,290.08 | Environmental Costs |
| EZ Vans | \$3,461.13 | (\$3,461.13) | \$0.00 | Rentals, Leases & Repairs |
| Fenceworks, Inc. | \$1,975.90 | (\$1,975.90) | \$0.00 | Fencing Costs |
| G2K | \$0.00 | \$0.00 | \$0.00 | Construction Costs |
| HMC Architects | \$1,934,427.79 | (\$580,505.29) | \$1,353,922.50 | Architect Fees |
| IDENTIFY | (\$16,681.36) | \$16,681.36 | \$0.00 | Legal Fees |
| Jamik Construction & Management, Inc. | \$29,491.46 | (\$29,491.45) | \$0.01 | Construction Costs |
| King Relocation Services | \$27,549.55 | (\$21,000.00) | \$6,549.55 | Moving Costs |
| Koury Engineering & Testing Inc | \$6,786.76 | (\$4,590.00) | \$2,196.76 | Engineering Costs |
| Leighton Consulting, Inc. | \$0.00 | \$0.00 | \$0.00 | Consultant Costs |
| Quality Fence Co., Inc. | \$7,800.00 | \$0.00 | \$7,800.00 | Fencing Cost |
| Sewup Jpa C/O Keenan & Associates | \$26,447.24 | (\$26,447.24) | \$0.00 | Insurance Costs |
| Waisman Construction | \$2,700.00 | (\$2,700.00) | \$0.00 | Construction Costs |
| Williams Scotsman | \$276,748.08 | (\$202,171.49) | \$74,576.59 | Relocatable Buildings |
| | \$2,577,437.40 | (\$1,078,586.82) | \$1,498,850.58 | Project Totals for 0020000-91200 - EI Rodeo - ER Modernization (F02) |

0020000-91206 - EI Rodeo - Phylmar (DTSC)

| | | | | |
|---------------------|--------------|----------------|-------------|--|
| Phylmar Group, Inc. | \$175,064.69 | (\$133,206.26) | \$41,858.43 | Environmental Services |
| | \$175,064.69 | (\$133,206.26) | \$41,858.43 | Project Totals for 0020000-91206 - EI Rodeo - Phylmar (DTSC) |

0020000-91220 - EI Rodeo - New Construction

| | | | | |
|-------------------------|------------|--------------|--------|--|
| SWRCB Accounting Office | \$8,823.00 | (\$8,823.00) | \$0.00 | Utility Costs |
| | \$8,823.00 | (\$8,823.00) | \$0.00 | Project Totals for 0020000-91220 - EI Rodeo - New Construction |

Encumbrance Report

Beverly Hills Unified School District

Encumbrances, Expenses and Current Liabilities, From 07/01/2017 Up To 07/01/2018

| VENDOR | ENCUMBRANCE | EXPENDITURE | BALANCE | DESCRIPTION |
|--|----------------|---------------|----------------|--|
| 0030000-91300 - Hawthorne - Modernization | | | | |
| C2 Reprographics (Crisp) | \$2,000.00 | \$0.00 | \$2,000.00 | Printing Costs |
| DLR Group | \$1,898,612.67 | (\$19,633.37) | \$1,878,979.30 | Architect Fees |
| Environmental Audit Inc. | \$0.00 | \$0.00 | \$0.00 | Environmental Costs |
| Totum Corp. | \$0.00 | \$0.00 | \$0.00 | Management Company |
| | \$1,900,612.67 | (\$19,633.37) | \$1,880,979.30 | Project Totals for 0030000-91300 - Hawthorne - Modernization |

0030000-91310 - Hawthorne - Seismic

| | | | | |
|---------------------------|--------|--------|--------|--|
| Leighton Consulting, Inc. | \$0.00 | \$0.00 | \$0.00 | Consultant Costs |
| | \$0.00 | \$0.00 | \$0.00 | Project Totals for 0030000-91310 - Hawthorne - Seismic |

0040000-91400 - Horace Mann - HM Modernization (H04) (Building A)

| | | | | |
|--|----------------|------------------|----------------|-------------------------|
| 123 Moving & Storage Llc | \$2,410.00 | (\$2,410.00) | \$0.00 | Moving Costs |
| 2H Construction, Inc. | \$8,108,972.43 | (\$5,532,050.22) | \$2,576,922.21 | Construction Costs |
| 3QC, Inc. | \$25,518.50 | (\$23,416.86) | \$2,101.64 | Consultant Costs |
| Amir Development Co - Management Acc | \$367.50 | (\$367.50) | \$0.00 | Legal Fees |
| Bristol Omega | \$0.00 | \$0.00 | \$0.00 | Construction Costs |
| C2 Reprographics (Crisp) | \$2,000.00 | (\$1,320.82) | \$679.18 | Printing Costs |
| City Of Beverly Hills | \$7,500.00 | (\$7,500.00) | \$0.00 | Permits & Fees |
| County of Los Angeles | \$546.75 | (\$546.75) | \$0.00 | Permits & Fees |
| Culver-Newlin Inc. | \$132,095.16 | (\$132,095.16) | \$0.00 | Furniture & Equipment |
| Dave Bang Assoc., Inc. | \$15,166.80 | \$0.00 | \$15,166.80 | Furniture & Equipment |
| Department of General Services | \$2,332.50 | (\$2,332.50) | \$0.00 | Plan Check Fees |
| Digital Networks Group, Inc. | \$1,314,866.66 | (\$435,294.06) | \$879,572.60 | Furniture & Equipment |
| Digital Telecommunications Corporation | \$8,976.29 | (\$8,976.29) | \$0.00 | Telecommunication Costs |
| Edgar Garza | \$39,569.00 | \$0.00 | \$39,569.00 | Construction Costs |
| Environmental Audit Inc. | \$34,913.80 | (\$1,159.66) | \$33,754.14 | Environmental Costs |
| Fast Track Construction | \$2,080,000.00 | \$0.00 | \$2,080,000.00 | Construction Costs |
| G4S Secure Integration Llc | \$12,921.05 | \$0.00 | \$12,921.05 | Technology Costs |
| GA Technical Services, Inc. | \$27,350.00 | \$0.00 | \$27,350.00 | Construction Costs |
| GMS Elevator | \$11,600.00 | (\$11,600.00) | \$0.00 | Elevator Costs |
| IDENTIFY | (\$2,318.40) | \$2,318.40 | \$0.00 | Legal Fees |
| Keep Clean Products, Inc. | \$45,395.09 | (\$45,395.09) | \$0.00 | Office Supplies |
| Kimball International, Inc | \$36,609.45 | (\$36,609.45) | (\$0.00) | Furniture & Equipment |
| King Relocation Services | \$27,063.39 | (\$12,081.39) | \$14,982.00 | Moving Costs |
| Knowland Construction Services | \$118,284.00 | (\$117,342.00) | \$942.00 | Construction Costs |
| Krueger International, Inc. | \$57,742.09 | (\$50,675.65) | \$7,066.44 | Furniture & Equipment |
| Landscape Forms, Inc. | \$44,013.26 | (\$41,173.66) | \$2,839.60 | Landscaping Costs |
| Leighton Consulting, Inc. | \$79,827.00 | (\$2,580.00) | \$77,247.00 | Consultant Costs |
| New Pig Corporation | \$3,051.80 | (\$3,051.80) | \$0.00 | Hazardous Waste |
| Otis Elevator | \$2,794.00 | (\$2,794.00) | \$0.00 | Elevator Service |

Encumbrance Report

Beverly Hills Unified School District

Encumbrances, Expenses and Current Liabilities, From 07/01/2017 Up To 07/01/2018

| VENDOR | ENCUMBRANCE | EXPENDITURE | BALANCE | DESCRIPTION |
|----------------------------------|-----------------|------------------|----------------|--|
| Prowest Constructors | \$0.00 | \$0.00 | \$0.00 | Construction Costs |
| Smith-Emery Laboratories | \$123,315.25 | (\$106,916.02) | \$16,399.23 | Inspection/Testing Costs |
| Systems Source, Inc | \$22,479.27 | (\$21,677.86) | \$801.41 | Furniture Costs |
| Tangram | \$239,052.28 | (\$197,186.46) | \$41,865.82 | Furniture Costs |
| Thermal Concepts, Inc. | \$709.30 | (\$709.30) | \$0.00 | HVAC Costs |
| The Sheridan Group | \$75,739.61 | (\$62,880.80) | \$12,858.81 | Construction Costs |
| Timothy D. Melott | \$127.95 | (\$127.95) | \$0.00 | Office Equipment |
| Totum Corp. | \$0.00 | \$0.00 | \$0.00 | Management Company |
| Uline | \$4,117.18 | (\$4,117.18) | (\$0.00) | Shipping Costs |
| Virco Inc. | \$19,450.42 | (\$13,714.22) | \$5,736.20 | Furniture Costs |
| Wenger | \$2,223.68 | \$0.00 | \$2,223.68 | Equipment Costs |
| Whitson Contracting & Management | \$1,325.00 | \$0.00 | \$1,325.00 | Inspection Costs |
| Williams Scotsman | \$217,558.27 | (\$76,714.46) | \$140,843.81 | Relocatable Buildings |
| WLC Architects | \$206,055.02 | (\$86,460.00) | \$119,595.02 | Architect Costs |
| | \$13,151,721.35 | (\$7,038,958.71) | \$6,112,762.64 | Project Totals for 0040000-91400 - Horace Mann - HM Modernization (H04) (Building A) |

0040000-91420 - Horace Mann - New Construction (H05)

| | | | | |
|------------------------------|----------------|------------------|-------------|---|
| Astro Plumbing Supply | \$45,786.24 | \$0.00 | \$45,786.24 | Plumbing Supply Costs |
| Beverly Hills Courier | \$2,600.00 | (\$2,600.00) | \$0.00 | Courier Service |
| Beverly Hills Weekly | \$400.00 | (\$400.00) | \$0.00 | Advertising |
| Bkf Engineers | \$23,612.00 | (\$3,700.00) | \$19,912.00 | Engineering Costs |
| C2 Reprographics (Crisp) | \$500.00 | (\$0.00) | \$500.00 | Printing Costs |
| Digital Networks Group, Inc. | \$59,187.07 | (\$59,187.07) | \$0.00 | Furniture & Equipment |
| Edgar Garza | \$390.42 | \$0.00 | \$390.42 | Construction Costs |
| Eyedeal Interiors, Inc. | \$945.00 | (\$945.00) | \$0.00 | Flooring Costs |
| G4S Secure Integration Llc | \$126,980.72 | (\$126,658.75) | \$321.97 | Technology Costs |
| Kimball International, Inc | \$0.00 | \$0.00 | \$0.00 | Furniture & Equipment |
| Leighton Consulting, Inc. | \$31,241.53 | (\$6,083.11) | \$25,158.42 | Consultant Costs |
| Prowest Constructors | \$1,525,360.00 | (\$1,525,360.00) | \$0.00 | Construction Costs |
| Signs And Lucite | \$0.00 | \$0.00 | \$0.00 | Signs Costs |
| Tangram | \$0.00 | \$0.00 | \$0.00 | Furniture Costs |
| WLC Architects | \$31,500.77 | (\$31,500.00) | \$0.77 | Architect Costs |
| | \$1,848,503.75 | (\$1,756,433.93) | \$92,069.82 | Project Totals for 0040000-91420 - Horace Mann - New Construction (H05) |

0040000-91440 - Horace Mann - Technology

| | | | | |
|------------------------|--------------|----------------|--------|---|
| Vector Resources, Inc. | \$312,475.35 | (\$312,475.35) | \$0.00 | Technology Costs |
| | \$312,475.35 | (\$312,475.35) | \$0.00 | Project Totals for 0040000-91440 - Horace Mann - Technology |

0050000-91600 - High School - BHHS Modernization (C02)

| | | | | |
|-----------------------------|------------|--------------|--------|---------------------------|
| 123 Moving & Storage Llc | \$2,928.75 | (\$2,928.75) | \$0.00 | Moving Costs |
| All Saints Episcopal Church | \$500.00 | (\$500.00) | \$0.00 | Rentals, Leases & Repairs |

Encumbrance Report

Beverly Hills Unified School District

Encumbrances, Expenses and Current Liabilities, From 07/01/2017 Up To 07/01/2018

| VENDOR | ENCUMBRANCE | EXPENDITURE | BALANCE | DESCRIPTION |
|-------------------------------------|----------------|------------------|----------------|---|
| American Integrated Resources | \$499.60 | (\$499.60) | \$0.00 | Construction Costs |
| Asphalt, Fabric & Engineering, Inc. | \$962,803.00 | (\$962,803.00) | (\$0.00) | Construction Costs |
| Beverly Hills Courier | \$3,250.00 | (\$3,250.00) | \$0.00 | Courier Service |
| Beverly Hills Weekly | \$400.00 | (\$400.00) | \$0.00 | Advertising |
| B.H.U.S.D. | \$23,820.04 | (\$23,820.04) | \$0.00 | District Project Support |
| Bill Bradbury | \$200.00 | (\$200.00) | \$0.00 | District Support Services |
| C2 Reprographics (Crisp) | \$6,500.00 | (\$6,020.30) | \$479.70 | Printing Costs |
| Creative Cooling Technologies | \$106,357.00 | \$0.00 | \$106,357.00 | HVAC Costs |
| D.A. Hogan & Associates, Inc. | \$2,115.22 | (\$1,050.00) | \$1,065.22 | Consultant Costs |
| Darren P. Doerschel | \$0.00 | \$0.00 | \$0.00 | Technology Costs |
| Digital Networks Group, Inc. | \$0.00 | \$0.00 | \$0.00 | Furniture & Equipment |
| Division Of State Architect | \$18,409.37 | (\$293,402.37) | (\$274,993.00) | Plan Check Fees |
| DLR Group | \$2,030,876.06 | (\$1,403,056.13) | \$627,819.93 | Architect Fees |
| DTSC | \$5,609.68 | (\$5,609.68) | \$0.00 | Environmental Costs |
| Edgar Garza | \$0.00 | \$0.00 | \$0.00 | Construction Costs |
| Environmental Audit Inc. | \$142,661.66 | (\$23,039.66) | \$119,622.00 | Environmental Costs |
| Heavenly Chair Covers | \$0.00 | \$0.00 | \$0.00 | Furniture & Equipment |
| Knowland Construction Services | \$4,544.00 | (\$820.00) | \$3,724.00 | Construction Costs |
| Leighton Consulting, Inc. | \$44,100.00 | (\$43,225.00) | \$875.00 | Consultant Costs |
| Meza Tree Service | \$0.00 | \$0.00 | \$0.00 | |
| Michael Dobrotin | \$274.92 | (\$274.92) | \$0.00 | Furniture & Equipment |
| Mike Brown Grandstands, Inc | \$26,325.00 | \$0.00 | \$26,325.00 | Rentals, Leases & Repairs |
| Prowest Constructors | \$200,000.00 | (\$182,200.00) | \$17,800.00 | Construction Costs |
| Quality Fence Co., Inc. | \$67,548.00 | (\$67,548.00) | \$0.00 | Fencing Cost |
| Sewup Jpa C/O Keenan & Associates | \$976.83 | (\$976.83) | \$0.00 | Insurance Costs |
| So Cal Industries | \$17,678.56 | \$0.00 | \$17,678.56 | Rental, Leases, Repairs |
| Spectra Company | \$5,484.50 | \$0.00 | \$5,484.50 | Construction Costs |
| SWRCB Accounting Office | \$442.00 | \$0.00 | \$442.00 | Utility Costs |
| Temple Emanuel | \$3,250.00 | (\$3,250.00) | \$0.00 | Rental, Leases, Repairs |
| The Perfect Mound | \$16,979.53 | (\$16,979.53) | \$0.00 | Sports Equipment |
| Totum Corp. | \$0.00 | \$0.00 | \$0.00 | Management Company |
| Uline | \$1,213.10 | (\$654.65) | \$558.45 | Shipping Costs |
| Vector Resources, Inc. | \$659.57 | (\$659.57) | (\$0.00) | Technology Costs |
| Wallis Annenberg Center For | \$22,352.00 | (\$10,920.00) | \$11,432.00 | Rental, Leases, Repairs |
| Williams Scotsman | \$360,811.65 | (\$172,128.37) | \$188,683.28 | Relocatable Buildings |
| | \$4,079,570.04 | (\$3,226,216.40) | \$853,353.64 | Project Totals for 0050000-91600 - High School - BHHS Modernization (C02) |

0050000-91603 - Beverly Hills High School - Buildings B1 & B2

| | | | | |
|---------------------------|-----------------|------------------|-----------------|--------------------|
| DLR Group | \$3,184,110.42 | (\$1,801,240.77) | \$1,382,869.65 | Architect Fees |
| Leighton Consulting, Inc. | \$314,380.00 | \$0.00 | \$314,380.00 | Consultant Costs |
| Prowest Constructors | \$14,358,999.00 | \$0.00 | \$14,358,999.00 | Construction Costs |

Encumbrance Report

Beverly Hills Unified School District

Encumbrances, Expenses and Current Liabilities, From 07/01/2017 Up To 07/01/2018

| VENDOR | ENCUMBRANCE | EXPENDITURE | BALANCE | DESCRIPTION |
|-----------------------|-----------------|------------------|-----------------|--|
| RMA Group | \$388,190.00 | \$0.00 | \$388,190.00 | Inspection Costs |
| Vertical Access, Inc. | \$22,000.00 | (\$22,000.00) | \$0.00 | Consulting Costs |
| | \$18,267,679.42 | (\$1,823,240.77) | \$16,444,438.65 | Project Totals for 0050000-91603 - Beverly Hills High School - Buildings B1 & B2 |

Z0000000-00000 - District Wide

| | | | | |
|---------|-------------|---------------|--------|---|
| Calpers | \$20,620.20 | (\$20,620.20) | \$0.00 | District Support Costs |
| | \$20,620.20 | (\$20,620.20) | \$0.00 | Project Totals for Z0000000-00000 - District Wide |

| | | | | |
|--|-----------------|-------------------|-----------------|---|
| | \$52,786,064.38 | (\$23,332,031.42) | \$29,454,032.96 | District Grand Totals for Beverly Hills Unified School District (for selected data) |
|--|-----------------|-------------------|-----------------|---|

APPENDIX E

Consolidated Procurement Activity Report

Project and Fraud Avoidance Checklist for Professional Services

Project and Fraud Avoidance Checklist for Construction Projects

Consolidated Procurement Activity Report

[illegible]

Professional Services Procurement and Fraud Detection Checklist under \$175,000

Project Name: _____

Date: _____

- 1 Create Electronic Temp File on F: Drive
- 2 Establish Provider Search Criteria
- 3 Prepare Sample Agreement
- 4 Establish Timeframe to Submit Proposal
- 5 Request Proposal
- 6 Create List of Providers Contacted/Responded (use call and email logs)
- 7 Obtain at least 2-3 Prices (document process)
- 8 Create Initial Entry in Consolidated Activity Report
- 9 Track and Document Rationale for Selection Process
- 10 Update Consolidated Activity Report
- 11 Obtain Superintendent's Signature
- 12 Process NTP
- 13 Prepare Board Item for Ratification

| ✓ | Notes | Initial |
|---|-------|---------|
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Form Updated By & Date

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| _____ | _____ |
| _____ | _____ |

Professional Services Procurement and Fraud Detection Checklist over \$175,000

Project Name: _____

Date: _____

- 1 Create Electronic Temp File on F: Drive
- 2 Establish Provider Search Criteria
- 3 Establish Timeframe to Receive Responses
- 4 Prepare Sample Agreement
- 5 Prepare RFQ; Follow Procedures in Manual
- 6 Create List of Providers Contacted/Responded (use call and email logs)
- 7 Create Initial Entry in Consolidated Activity Report
- 8 Track and Document Selection Process
- 9 Update Consolidated Activity Report
- 10 Prepare Board Agenda Item
- 11 Process NTP after Board Approval

| ✓ | Notes | Initial |
|---|-------|---------|
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Form Updated By & Date

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Bid Project Procurement & Fraud Detection Checklist

Project Name: _____

Date: _____

| | ✓ | Notes | Initial |
|--|---|-------|---------|
| 1 Create Electronics Temporary Project File | | | |
| 2 Assign Internal Project Number | | | |
| 3 Create Hardcopy Bid File | | | |
| 4 Create Line Item in Consolidated Activity Report | | | |
| 5 Establish Clear Scope of Work | | | |
| 6 Develop Estimate with Description | | | |
| 7 ID Method of Procurement w Rationale | | | |
| 8 Determine Timeframe to Receive Bid | | | |
| 9 Determine if BOE NOI to Bid Required | | | |
| 10 Determine if Prequalification is Required | | | |
| 11 Determine Need for Job Walk | | | |
| 12 ID List of Required Docs | | | |
| 13 Prepare Agreement | | | |
| 14 Establish Timeframe to Submit Bid | | | |
| 15 Update Project in Consolidated Activity Report | | | |
| 16 Confirm Compliance w BHUSD Policy/Procedures | | | |
| 17 Prepare Bid Docs | | | |
| 18 Contact Purchasing RE: | | | |
| 19 Obtain Bid Number | | | |
| 20 Provide Bid Docs for Ad Placements | | | |
| 21 Provide Bid Addenda Updates | | | |
| 22 Reserve Bid Opening | | | |
| 23 Upload Bid Info to BHUSD Website | | | |
| 24 Notify Plan Rooms | | | |
| 25 Notify Contractors (group email) | | | |
| 26 Call and Email Log Utilized Rigorously | | | |
| 27 Obtain at least 2-3 Prices (document process) | | | |
| 28 Attend Bid Opening | | | |
| 29 Confirm Receipt of Complete Bid Docs | | | |
| 30 Confirm Contractor License | | | |
| 31 Cross-check Bid w Estimate | | | |
| 32 Address Any Holes in Bid v Estimate and Track | | | |
| 33 Process BOE BAI to Award | | | |
| 34 Create Hardcopy Project File | | | |
| 35 Start file with Bid and Bid Result Sheet | | | |
| 36 Complete Entry in Consolidated Activity Report | | | |
| 37 Distribute NOI, Agreement, Request Ins/Bonds | | | |
| 38 Obtain Superintendent's Signature | | | |
| 39 Process NTP | | | |

Form Updated By & Date

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| _____ | _____ |
| _____ | _____ |

APPENDIX F

Resolution No. 2015-16-13 Adopting CUPCCA

Resolution No. 2015-16-14 Adopting Informal Bidding Procedures

Notification letter from State Controller

Public Works Up to \$15,000

CUPCCAA Tracking \$15,000 to \$25,000

CUPCAA Tracking \$25,000 to \$60,000

CUPCAA Tracking \$60,000 to \$200,000

**BEVERLY HILLS UNIFIED SCHOOL DISTRICT
RESOLUTION NO. 2015-2016-013**

**RESOLUTION ADOPTING UNIFORM PUBLIC CONSTRUCTION
COST ACCOUNTING PROCEDURES**

WHEREAS, Public Contract Code section 22000 et seq. sets forth the Uniform Public Construction Cost Accounting Act (the "Act");

WHEREAS, the Act provides for the implementation of uniform construction cost accounting procedures and informal bidding procedures for all public agencies electing to participate, together with instructions for their adoption and implementation by such public agencies;

WHEREAS, pursuant to Public Contract Code sections 22010 and 22017, the California Uniform Construction Cost Accounting Commission (the "Commission") developed and recommended to the State Controller uniform construction cost accounting and informal bidding procedures (the "Uniform Procedures") consistent with Public Contract Code sections 22031 through 22045 for consideration;

WHEREAS, pursuant to Public Contract Code section 22019, the State Controller adopted the Uniform Procedures;

WHEREAS, the Act only applies to a public agency whose governing board has by resolution elected to become subject to the Uniform Procedures and has notified the State Controller of that election;

WHEREAS, California public agencies such as school districts and county offices of education are eligible to adopt the Uniform Procedures pursuant to the Act;

WHEREAS, the Governing Board of the Beverly Hills Unified School District ("District") has determined that it is in the best interests of the District to elect to become subject to the Uniform Procedures;

NOW, THEREFORE, the Governing Board of the Beverly Hills Unified School District hereby resolves as follows:

1. That the above recitals are all true and correct.
2. That maintenance contracts as defined in Public Contract Code section 20115 shall not be subject to the Act and the Uniform Procedures.
3. That the Board of Education hereby elects pursuant to Public Contract Code section 22030 to become subject to the Uniform Procedures set forth in the Act and to the Commission's policies and procedures manual and cost accounting review

procedures, as they may each from time to time be amended, and directs District staff to notify the State Controller of this election.

4. That this Resolution shall take effect immediately upon its adoption.

PASSED AND ADOPTED this 26 day of January, by the members of the Governing Board of the Beverly Hills Unified School District.

| | |
|----------|----------|
| AYES: | <u>5</u> |
| NOES: | <u>0</u> |
| ABSENT: | <u>0</u> |
| ABSTAIN: | <u>0</u> |

I, Steve Kessler, Secretary of the Beverly Hills Unified School District Governing Board, do hereby certify that the foregoing is a full, true and correct copy of a resolution passed and adopted by said Board at a regularly scheduled and conducted meeting held on said date, which resolution is on file in office of said Board.


Secretary

**BEVERLY HILLS UNIFIED SCHOOL DISTRICT
RESOLUTION NO. 2015-2016-014**

**RESOLUTION ADOPTING INFORMAL BIDDING PROCEDURES PURSUANT TO
THE UNIFORM PUBLIC CONSTRUCTION COST ACCOUNTING ACT**

WHEREAS, Public Contract Code section 22000 et seq. sets forth the Uniform Public Construction Cost Accounting Act (the "Act");

WHEREAS, the Act provides for the implementation of uniform construction cost accounting procedures for all public agencies electing to participate, together with instructions for their adoption and implementation by any public agency;

WHEREAS, pursuant to Public Contract Code section 22030, the Board of Education of the Beverly Hills Unified School District ("District") formally elected to become subject to the procedures set forth in the Act and to the California Uniform Public Construction Cost Accounting Commission's Policies and Procedures Manual and cost accounting review procedures by adopting Resolution #2015-2016-013 on January 12, 2016;

WHEREAS, pursuant to Public Contract Code section 22034, any public agency that elects to become subject to the Act must adopt informal bidding procedures to govern the selection of contractors to perform public projects pursuant to Public Contract Code section 22032(b);

NOW, THEREFORE, the Board of Education of the Beverly Hills Unified School District hereby resolves as follows:

1. That the above recitals are all true and correct.
2. That public projects undertaken by the District, as defined by the Act and in accordance with the limits listed in Public Contract Code section 22032, may be let to contract by informal procedures as set forth in Public Contract Code section 22032.
3. That the District shall develop and maintain a list of qualified contractors, identified according to categories of work, in accordance with the provisions of Public Contract Code section 22034 and criteria promulgated from time to time by the California Uniform Public Construction Cost Accounting Commission.
4. That in the event the District undertakes a project which is subject to Public Contract Code section 22032(b), a notice inviting informal bids shall be mailed to all contractors on the qualified contractors list for the category of work being bid. If the product or service sought by the District is proprietary in nature such that it can be obtained only from a certain contractor or contractors, the notice inviting informal bids may be sent exclusively to such contractor or contractors.

5. That the notice inviting informal bids shall describe the project in general terms and explain how to obtain more detailed information about the project, and state the time and place for the submission of informal bids.
6. That the District Superintendent or the Superintendent's designee is authorized to award informal contracts pursuant to this Resolution in accordance with Education Code section 17605.
7. That this Resolution shall take effect immediately upon its adoption.

PASSED AND ADOPTED this 26 day of January, by the members of the Board of Education of the Beverly Hills Unified School District.

| | |
|----------|----------|
| AYES: | <u>5</u> |
| NOES: | <u>0</u> |
| ABSENT: | <u>0</u> |
| ABSTAIN: | <u>0</u> |

I, Steve Kessler, Secretary of the Beverly Hills Unified School District Governing Board, do hereby certify that the foregoing is a full, true and correct copy of a resolution passed and adopted by said Board at a regularly scheduled and conducted meeting held on said date, which resolution is on file in office of said Board.


Secretary

California Uniform Construction Cost Accounting Commission



RECEIVED

FEB 29 2016

SUPERINTENDENT

February 24, 2016

Beverly Hills Unified School District
 Attention: Steve Kessler
 255 South Lasky Drive
 Beverly Hills, CA 90212-3697

RE: Welcome New Participating Agency

Dear Mr. Kessler:

The State Controller's Office (SCO) received the Beverly Hills Unified School District's Resolution No. 2015-2016-013; 2015-2016-014, dated January 26, 2016 electing to become a participating member of the California Uniform Public Construction Cost Accounting Act (Act) pursuant to Public Contract Code (PCC) section 22030. The California Uniform Construction Cost Accounting Commission (Commission) is very pleased to welcome you as a new member.

The Commission, created by PCC 22010 in 1983, is the governing body for the Act. Comprised of fourteen members, the Commission works to ensure the equitable application of the Act. One member is appointed by the State Contractors' License Board and thirteen members are appointed by the Controller. Seven members represent public agencies: cities, counties, school districts, and special districts. Six members represent professional services: contractors, subcontractors, and laborers.

The Commission is responsible for developing uniform public construction cost accounting policies and procedures. Force account and bidding rules are periodically reviewed by working with the legislature, participating agencies, laborers, and contractors to adapt the Act to evolving industry standards. Compliance and cost accounting reviews are conducted by the Commission with independent accounting consultants as necessary. In addition, the Commission conducts meetings open to the public and maintains the Commission's webpage on the SCO web site.

As a participating member of the Act, there are many advantages, including expedited bid processes and increased bid limits. Agencies joining the Act mid-year or having a fiscal year other than a calendar year should advertise for their contractors' list as soon as practical, then re-advertise in November each year as currently required as outlined on page 6 of the Cost Accounting Policies and Procedures Manual.

Linda Clifford
 Chief Financial Officer
 C.C. Myers, Inc.
 Contractors State License Board
 Appointed
 Chair-CUCCAC

Will Clemens
 Public Works Dept. Administrator
 County of San Luis Obispo
 Counties
 Vice Chair-CUCCAC

Guiselle Carreon
 Commercial Warrants &
 Accounts Payable Manager
 San Diego County Office of
 Education
 School Districts
 Secretary-CUCCAC

George Hicks
 Director of Public Works
 City of Fairfield
 Cities

Jeff Armstrong
 Apprenticeship Director
 Northern CA Laborers' Union
 Labor

Eddie Bernacchi
 President
 NECA, Politico Group
 Subcontractors

Robert R. Campbell
 Auditor-Controller
 County of Contra Costa
 Counties

David Cruce
 Area Manager
 Papich Construction Inc.
 General Contractors

~Vacant~
 Labor

Lisa Ekers
 Port Director
 Santa Cruz Harbor
 Special Districts

Steven L. Hartwig
 Director of Public Works
 City of Vacaville
 Cities

Michael R. Hester
 President
 McGuire and Hester
 Subcontractors

Nathaniel Holt
 Director of Purchasing and
 Contracts
 Pomona Unified School District
 School Districts

~Vacant~
 General Contractors

California Uniform Construction Cost Accounting Commission



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Education
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~Vacant~
Labor

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Special Districts

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Director of Public Works
City of Vacaville
Cities

Michael R. Hester
President
McGuire and Hester
Subcontractors

Nathaniel Holt
Director of Purchasing and
Contracts
Pomona Unified School District
School Districts

~Vacant~
General Contractors

To better help you understand and utilize all aspects of the Act, please visit the SCO web site at http://www.sco.ca.gov/ard_cuccac.html. There you will find the Cost Accounting Policies and Procedures Manual, contact information for SCO staff and Commissioners, Commission meeting agendas and minutes, FAQ's, and other information including sample document templates to adapt to your particular needs. In the event you have questions or concerns regarding the Act, you are encouraged to contact one of the Commissioners.

On behalf of the Commission and SCO staff, I congratulate you on your election to participate in the Act. We welcome your questions and concerns, and look forward to serving you.

Sincerely,

Lj Clifford

L. J. CLIFFORD, Chair

PUBLIC WORKS UP TO \$15,000

Procurement Summary and Approval

| | | |
|---|--------------------------|---|
| Form Completed by (your name): | | |
| Project Name: | | |
| Today's Date: | | |
| NOTE: Use of Project Procurement & Fraud Detection Checklist Required | | |
| | | PROCUREMENT REQUIREMENTS |
| 1) Procurement Process | | Negotiated Amount - Purchase Order |
| 2) Agreement Required | <input type="checkbox"/> | Yes |
| 3) Single Contractor Negotiation | <input type="checkbox"/> | Yes |
| 4) How was outreach performed? (NOTE: keep track and record contact trail for all outreach methods & history) | <input type="checkbox"/> | a. Email (Does NOT require CUPCCAA List) |
| | <input type="checkbox"/> | b. Call |
| | <input type="checkbox"/> | c. Other |
| 5) Description of Work | | |
| 6) DIR Registration Required | <input type="checkbox"/> | Yes, date confirmed (initialed by): |
| 7) Insurance Certificate | <input type="checkbox"/> | Yes, date confirmed (initialed by): |
| 8) Prevailing Wage | <input type="checkbox"/> | Yes |
| 9) Contractors (only 1 required) | | 1) |
| | | 2) |
| | | 3) |
| 10) Engineering Estimate \$ | <input type="checkbox"/> | |
| 11) # of Days Required to Complete Work | <input type="checkbox"/> | |
| 12) Vendor/Contractor Proposed Amount \$ | <input type="checkbox"/> | |
| 13) Request Purchase Order | <input type="checkbox"/> | |
| 14) Request Board Agenda Item for Ratification | <input type="checkbox"/> | |

Program Management Signature/Date

CUPCCAA Greater than \$15k up to \$25k

Procurement Summary and Approval

| | | |
|--|--|--|
| Form Completed by: | | |
| Project Name: | | |
| Today's Date: | | |
| <div> <div> NOTE: Use of Project Procurement & Fraud Detection Checklist Required </div> <div> <h3>PROCUREMENT REQUIREMENTS</h3> </div> </div> | | |
| 1) Procurement Process | | Negotiated Amount - Purchase Order |
| 2) Agreement Required | | Yes |
| 3) Single Contractor Negotiation | | Yes |
| 4) How was outreach performed? (NOTE: keep track and record contact trail for all outreach methods & history) | | a. Email (Requires all licenses applicable from CUPCCAA List) b. Call c. Other |
| 6) Description of Work | | |
| 7) DIR Registration Required | | Yes, date confirmed (initialed by): |
| 8) Insurance Certificate | | Yes, date confirmed (initialed by): |
| 9) Prevailing Wage | | Yes |
| 10) Contractors (only 1 required) | | 1) 2) 3) |
| 11) Engineering Estimate \$ | | |
| 12) Vendor/Contractor Proposal Amount | | |
| 13) # of Days Required to Complete Work | | |
| 14) Superintendent Signature | | Yes |
| 15) Request Purchase Order | | |
| 16) Request Board Agenda Item for Ratification | | |
| 17) Board Ratification Required | | |

Program Management Signature/Date

CUPCCAA Greater than \$25k up to \$60k

Procurement Summary and Approval

| | | | |
|---|--------------------------|---|--|
| Form Completed by: | | | |
| Project Name: | | | |
| Today's Date: | | | |
| NOTE: Use of Project Procurement & Fraud Detection Checklist Required | | | |
| | | PROCUREMENT REQUIREMENTS | |
| 1) Procurement Process | | Negotiated Amount - P.O. | |
| 2) Agreement Required | <input type="checkbox"/> | Yes | |
| 3) How was outreach performed? (NOTE: keep track and record contact trail for all outreach methods & history) | <input type="checkbox"/> | a. Email (Requires all licenses applicable from CUPCCAA List) | |
| | <input type="checkbox"/> | b. Call | |
| | <input type="checkbox"/> | c. Other | |
| 4) Description of Work | | | |
| 5) DIR Registration Required | <input type="checkbox"/> | Yes, date confirmed (initialed by): | |
| 6) Payment Bond | <input type="checkbox"/> | Yes, date confirmed (initialed by): | |
| 7) Insurance Certificate | <input type="checkbox"/> | Yes, date confirmed (initialed by): | |
| 8) Prevailing Wage | <input type="checkbox"/> | Yes | |
| 9) Responding Contractors | | 1) 2) 3) | |
| 10) Engineering Estimate | <input type="checkbox"/> | | |
| 11) Vendor/Contractor Proposal Amount | <input type="checkbox"/> | | |
| 12) # of Days Required to Complete Work | <input type="checkbox"/> | | |
| 13) Superintendent Signature | <input type="checkbox"/> | | |
| 14) Request Purchase Order | <input type="checkbox"/> | | |
| 15) Request Board Agenda Item for Ratification | <input type="checkbox"/> | | |

Program Management Signature/Date

CUPCCAA Greater than \$60k up to \$200k

Procurement Summary and Approval

| | | |
|---|--------------------------|--|
| Form Completed by: | | |
| Project Name: | | |
| Today's Date: | | |
| NOTE: Use of Project Procurement & Fraud Detection Checklist Required | | |
| PROCUREMENT REQUIREMENTS | | |
| 1) Informal Bid / Procurement Process | | Informal bid w CUPCCAA List |
| 2) Agreement Required | <input type="checkbox"/> | Yes |
| 4) How was project advertised? | <input type="checkbox"/> | Yes (10 days notice) |
| 5) How was outreach performed? (NOTE: keep track and record contact trail for all outreach methods & history) | <input type="checkbox"/> | a. Email (Requires all licenses applicable from CUPCCAA List) |
| | <input type="checkbox"/> | b. Call |
| | <input type="checkbox"/> | c. Other |
| 6) Description of Work | | |
| 7) DIR Registration Required | <input type="checkbox"/> | Yes, date confirmed (initialed by): |
| 8) Payment Bond | <input type="checkbox"/> | Yes, date confirmed (initialed by): |
| 9) Insurance Certificate | <input type="checkbox"/> | Yes, date confirmed (initialed by): |
| 10) Prevailing Wage | <input type="checkbox"/> | Yes |
| 11) Bid Bond | <input type="checkbox"/> | Yes, date confirmed (initialed by): |
| 12) List of Subcontractors Required | <input type="checkbox"/> | Yes, date confirmed (initialed by): |
| 13) Pre-Qualification | <input type="checkbox"/> | Yes, date confirmed (initialed by): |
| 14) # of bidders @ job walk | | |
| 15) # of Prices Received | | |
| 16) Bidding Contractors | | 1) 2) 3) |
| 12) # of Days Required to Complete Work | <input type="checkbox"/> | |
| 13) Engineering Estimate | <input type="checkbox"/> | |
| 14) Accepted Price \$ | <input type="checkbox"/> | |
| 15) Prepare Board Item to Recommend Award | <input type="checkbox"/> | |
| 16) Prior Board Approval Required | <input type="checkbox"/> | |

Program Management Signature/Date

APPENDIX G

Observation key

**BEVERLY HILLS USD
MEASURE E
PERFORMANCE AUDIT 2016-17
OBSERVATION KEY**

| | | |
|-----------------|---|--|
| Observation 1: | Not relevant to Manual | Conduct of audit |
| Observation 2: | Not relevant to Manual | Auditor's attendance at meetings |
| Observation 3A: | Not relevant to Manual | Chief facilities officer buyout |
| Observation 3B: | Section 6, page 3 | District salaries charged to Measure E |
| Observation 3C: | Not relevant to Manual | MTA legal fees |
| Observation 4A: | Section 9, page 2 | Prompt payment of invoices |
| Observation 4B: | Section 9, page 2 | Prompt payment of pay applications |
| Observation 5: | No exception taken | Timing of payment of admin salaries |
| Observation 6: | Section 1, page 2 | Consolidation of policies and procedures |
| Observation 7: | Section 4, page 5, fn. 3 | Staffing plan for bond program |
| Observation 8: | Sec. 3; Section 6, pages 3-4 | Budget management |
| Observation 9A: | Section 7, pages 16 and 19 | Professional services procurement |
| Observation 9B: | Section 7, pages 12-13, and 16 | Documentation for IT procurement |
| Observation 9C: | Section 7, pages 11-13 | Piggyback contracts |
| Observation 9D: | Section 7, page 7 and 8 | Lowest bidder not selected |
| Observation 9E: | Section 7, page 11 | Compliance with informal bidding |
| Observation 9F: | Section 4, page 3 | Amended contract outside of authority |
| Observation 9G: | Section 7, page 7 | Duplicate scopes of work |
| Observation 9H: | Section 7, page 9 | Change order limits |
| Observation 9I: | Section 4, pages 3-4 | Conflicting BOE resolutions |
| Observation 10: | Sec. 2, p. 2; Sec. 7, pp. 2, 7 | Procurement fraud controls |
| Observation 11: | Section 8, pp. 24, 28, 33 and Section 12 | Claim avoidance procedures |
| Observation 12: | Section 12 | Maintenance and warrant of assets |
| Observation 13: | Manual and other steps | Summary of audit observations |
| Observation 14: | No exception taken | Job-site visits—no exception taken |
| Observation 15: | Manual and other steps | Excel spreadsheet of recommendations |