

## Capital Project Management Checklist

Project Name: \_\_\_\_\_ Project No. \_\_\_\_\_

Campus: \_\_\_\_\_ Contract Award: \_\_\_\_\_

Delivery Method: \_\_\_\_\_ Date Updated: \_\_\_\_\_

*Use this checklist for all major projects, regardless of delivery method. Please review the entire checklist prior to use, so that you are familiar with the items listed hereon and in what project phase they are listed. The completed checklist is to be signed and filed in the project files. The checklist may be requested as part of the project performance reporting process.  
Reference Acronym Key on last page.*

A. General: (Applies to DB, DBB, CMAR, CDB, TO-CA, UON)						
No.	Required	Recommended	N/A	Completed	Date	Item
1)						Updated Capital Outlay Management plan in place. {Renew each January using template found on CM Sample Forms website.}
2)						Updated Quarterly Report through Project completion.
3)						Submit a complete Group II Equipment List for approval by DOF for funding. Inform the CPDC facility planner via the quarterly report the percentage of expenditures until funds were fully expended.
4)						Update Campus Master Plan.

B. Program Phase: (Applies to DB, DBB, CMAR, CDB, TO-CA, UON)						
No.	Required	Recommended	N/A	Completed	Date	Item
1)						Feasibility Study A. Market Study B. Scope of Work C. Schedule D. Budget E. Site F. Land Title/Site Investigation/CEQA Requirements (Review of Site Certification Issues) G. Delivery Method Decision (DB, DBB, CMAR, CDB, TO-CA) H. Submittal to CPDC
2)						Submit project for approval through the five-year Capital Outlay Program process, or through the COBCP Amend process—requiring BOT approval.
3)						Auxiliary and other "non-state" projects: Write MOU agreement delineating Campus's provision of construction management services for the project and payment for said services, in accordance with Campus's Capital Outlay Management Plan.
4)						Retain executive architect for program and criteria documentation (DB, CDB).
5)						Issue RFP to soils engineering firms for soils investigation and report services; issue agreement to most responsive firm, <b>when geotech services are needed.</b>
6)						Issue RFP to testing labs and inspection firms to provide specialty testing and inspection services; issue agreement to most responsive firm(s).
7)						Approval to award preconstruction service agreements by Vice President or designee.
8)						Procurement of Architect/Engineer (DBB)
9)						Procurement of GC/Architect Team (DB, CDB, CMAR, TO-CA) A. Advertisement 1. California State Contract Register (CSCR) - 2 weeks or longer 2. PlanetBids (CSU Public Solicitation Portal-replaces newspaper advertising) <b>or</b> 3a. Trade newspaper (LA or SF area): 1 ad once per week for 2 consecutive weeks, and b. One newspaper of general circulation (in county where campus is located): 1 ad once per week for 2 consecutive weeks B. Prequalification (DB, CMAR, CDB, TO-CA, A/E)

						C. Prepare proposal/bidding documents:
						1. Technical proposal and fee proposal form
						2. RFQ (DB, CMAR, CDB, TO-CA, A/E)
						3. RFP (DB, CMAR, CDB, TO-CA, A/E)
						D. RFP evaluations scoring by committee consensus; each member given a section of the RFQ/RFP to evaluate and score.
						E. Contract Award to GC and/or A/E: (DB, CMAR, CDB, TO-CA)
						F. For CMAR, contract with CM and A/E at the same time.

### C. Design Phase: (Applies to DB, DBB, CMAR, CDB, TO-CA, UON)

No.	Required	Recommended	N/A	Completed	Date	Item
1)						Send compliance certification letter to CPDC confirming scope and budget 'approval' at the following different phases: A. Completion of CEQA requirements and documentation (for Schematic Design) B. 100% Schematic Design Phase (BOT or AVC Approval) C. 100% Preliminary Drawings D. 90% Construction Documents E. Hazmat Survey F. Hazmat in Bid Documents
2)						Submit letter attesting that Campus's disabled users group has had the opportunity to review and comment on this project.
3)						Sustainability / Green Building Integration
4)						Pre-enroll In BRIP for major projects
5)						Submit Project Identification Sheet (on CSU OCIP website) to Alliant to enroll In OCIP for major projects > \$10M (award amount).
6)						For OCIP projects, provide an Owner's Allowance in the Construction Contract for Drug Testing per the OCIP Safety Manual.
7)						PCC section 3400 Requirements Specify products to be A, B, or equal, per PCC section 3400 <i>et seq.</i> If exceptions were made to the requirements in #7 above, make a finding per PCC section 3400(c), and put the finding in the RFP, Bid or Advertisement.

### D. Pre-Construction Phase: (Applies to DB, DBB, CMAR, CDB, TO-CA, UON)

No.	Required	Recommended	N/A	Completed	Date	Item
1)						Prebid meeting, using the following: A. Prebid Meeting Agenda, Form 700.01 B. Construction Bid Information, Form 700.02.
2)						Prepare Approval to Proceed to Bid, containing all the plan review completion dates and signature of DBO. Prepare and submit 2-7 for bid phase. Prepare Statement of Finances (Prior to Bid).
3)						Prepare Notice to Contractors; send to prospective bidders/GCs: A. Before Bid Phase (DBB) B. Before RFQ Phase (DB, CDB, CMAR, TO-CA) C. Before Direct Cost (trade bids) Bid Phase (DB, CDB, CMAR, TO-CA)
4)						Advertise project at least 2 weeks prior to job walk and 4-6 weeks prior to due date as stated in Notice to Contractors (DBB, before Bid Phase): A. Prepare advertisements. 1. California State Contract Register (CSCR) - 2 weeks or longer 2. PlanetBids (CSU Public Solicitation Portal-replaces newspaper advertising) <i>or</i> 3a. Trade newspaper (LA or SF area): 1 ad once per week for 2 consecutive weeks, and b. One newspaper of general circulation (in county where campus is located): 1 ad once per week for 2 consecutive weeks

5)					Prepare Bid/Fee Proposal Form A. Include alternatives in the bid that are less than 10% of the budgeted bid amount. B. Include allowances in the bid that are less than 10% of the budgeted bid amount.
6)					Prepare Bid/Cost Proposal Packages
7)					Campus hold a job walk/prebid walkthrough.
8)					Bidder Prequalification: A. Campus verified bidder's prequalification online <i>before</i> issuing a bid proposal package to bidder (DBB) B. Prequalification letter included in the RFQ response (DB, CDB, CMAR, TO-CA) C. Supplementary or Technical Prequal D. Subcontractor Technical Prequal (DBB) E. Contractor prequalified subs in cooperation with campus (DB, CDB, CMAR, TO-CA)
9)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		GMP Review (CDB, CMAR) Lump Sum Review (TO-CA) Prepare and submit 2-7 for award.
10)					Prepare Statement of Finances (After Bid) A. After award (DB, DBB) B. After GMP (CDB, CMAR)
11)					Prepare Approval to Award Construction Contract.
12)					Set up project files.
13)					Award construction contract. A. Prepare and issue Notice of Intent to Accept Bid Letter. B. Prepare construction contract; review by staff per Capital Outlay Mgmt. Plan; mail to Contractor. Upon its return, route contract for signatures, with final by University Counsel, then distribute fully executed contract to GC. C. Upon return of contract: check bonds and surety, check insurance, and review the Subcontractor Directory, then route contract documents for signatures with final signature by University Counsel.
15)					Prepare service agreements; route for signatures (with final signature by University Counsel), then distribute to service providers for the following services: A. Project management/inspector of record . B. Materials testing and special inspection C. Hazardous materials monitoring D. Soils testing and reports
18)					Building Permits (Single Permit): A. Independent Plan Check B. Access Compliance (CASp and DSA) C. Seismic Peer Review D. State Fire Marshal E. Mechanical Peer Review F. Local Health Dept. (Food Service & Aquatic) G. Other reviews: PG&E / SCE; Regional Water Board, etc. H. Campus review I. Constructability (DB, CDB, CMAR, TO-CA): Warranty By General Contractor
19)					Building permit certifying code and policy compliance to authorize construction signed by Deputy Building Official.
20)					Phased Permits: check N/A if appropriate (DB, CDB, TO-CA) A. Demolition, Site Grading and/or Site Utilities, Footings Permit (DB, CDB only) 1. Project GMP in place 2. Project funding in place 3. 100% Construction Document Civil drawings and specifications 4. 100% Construction Document Demolition drawings and specifications for demolition permits; include narrative descriptions of footings. 5. 100% DD Architectural, Structural, MEP, Landscape, and Specialty drawings and specifications.

						6. SRB and MRB site reviews and conceptual approvals on all 100% "vertical" DD documents to date.
						7. Review by all local jurisdictions of all elements that may affect Civil or Demolition, with comments received; advise that all comments are incorporated in documents.
						8. SFM review and approval on site construction documents.
						9. Independent Plan Check Firm approval on site CD and conceptual approval on remaining 100% DD.
						B. Vertical Construction / Building Permit (DB, CDB only)
						1. Project GMP in place
						2. Project funding in place
						3. 100% Construction Document and specifications package completed
						4. SRB and MRB review and final approvals on documents
						5. Independent plan check firm approval on all documents, including access and fire protection; All plan check comments incorporated into drawings
						6. Review by all local jurisdictions, comments received; recommend all comments are incorporated into documents.
						7. Review by DSA and local CASp staff with all comments received; recommend all comments are incorporated into documents.
						8. Submittal of 100% drawings described above to SFM, with all plan review comments incorporated; allow 45-day review period for SFM to return comments.

**E. Construction Phase: (Applies to DB, DBB, CMAR, CDB, TO-CA, UON)**

No.	Required	Recommended	N/A	Completed	Date	Item
1)						Preconstruction Meeting
						A. Schedule meeting; prepare agenda; send meeting announcement and agenda to GC. Prepare handouts for meeting (disk with forms).
						B. Conduct meeting using Preconstruction Meeting Agenda.
						C. Distribute Job Start Package information; include Contractor's Payment Request, Form 702.12.
2)						Building Permit certifying code compliance
3)						Prepare and issue Notice to Proceed to start construction. Include the following:
						A. Specific day and date for construction start and end dates,
						B. Duration in calendar days (Calculate duration: in spreadsheet subtract start date from end date and add one day.)
						C. Liquidated damages.
						D. Issue NTP not later than five days prior to Proceed date.
4)						PWC-100 Filed with DIR (for all contracts and service agreements)
5)						Notice of Contract with the Dept. of Fair Employment and Housing.
6)						Schedule Review - baseline vs. monthly update
7)						On-going Inspections during construction:
						A. Inspector of Record:
						1. Confirm construction in place is in compliance with Contract Documents
						2. Maintain daily diary
						3. Verify submittals vs. field installation
						4. Pre-installation meetings
						5. Review drawings
						6. Written inspection requests with written correction items
						7. Non-compliance notices
						8. Coordinate other inspections:
						a. Specialty for material testing and inspection
						b. Geotechnical testing and inspection
						c. CASp inspections
						d. Elevator inspections
						e. Health Dept. inspections
						f. SFM inspections
						g. Punch list before occupancy

8)						Liquidated damages associated with any phased starts
9)						Conduct a site survey of the contract work area with the contractor and inspector, using Site Survey and Acceptance, Form 702.08.
10)						Review Contractor's bid cost breakdown (or schedule of values) (GMP-CDB, CMAR, TO-CA only)
11)						Collect and review the first two weeks of CPR and the hourly labor rate worksheets for the Contractor's workers and all subcontractors on the project.
12)						Collect and review the first two weeks of CPR for the service provider against prevailing wage rates, if applicable.
13)						Collect and review the Subcontractor Directory, Form 702.02S, initially when submitted with the contract, and monthly thereafter when submitted with the Contractor's payment request, for the purpose of identifying all tiers of subs and those that are subsidiary to or partially owned by the Contractor, as well as all DVBEs and SBEs.

**F. Change Order Requirements: (Applies to DB, DBB, CMAR, CDB, TO-CA, UON)**

No.	Required	Recommended	N/A	Completed	Date	Item
1)						Utilize the change proposal process for its change orders
2)						Utilize a contingency status report (CSR)
3)						Contractor provide a COR log; compare to CSR
4)						Follow campus management plan in the signing of change orders (level of authority)
5)						Follow all provisions of the Subletting and Subcontracting Fair Practices Act for subcontractor substitutions
6)						Include milestone change order language, when appropriate.

**G. Project Closeout: (Applies to DB, DBB, CMAR, CDB, TO-CA, UON)**

No.	Required	Recommended	N/A	Completed	Date	Item
1)						Certificate of Occupancy by SFM or TCO effective for 30 days
2)						Conduct a pre-final inspection of the construction and utilize the punch list process. Include input from campus facilities department on punch list. Include CASp inspection.
3)						Document Campus occupancy prior to project acceptance with a field instruction and subsequent occupancy change order. Include: A. Punch List B. Warranty Status C. Landscape Maintenance Period D. Milestone change order settlement language
4)						Project Closeout Checklist for: A. Occupancy B. Notice of Completion C. Release of Retention
5)						Conduct a final inspection of the construction against the punch list.
6)						Did project finish on time or within approved time extensions? A. Liquidated damages assessed? How much? B. Contract time reconciled through acceptance as stated on NOC; how many days? C. Document LDs and time on milestone settlement change order.
7)						Receive final report from the geotechnical firm and the special inspection firm.
8)						Certification of Completion, Form 702.02C
9)						Notice of completion (submit within 15 days of project acceptance or cessation of labor as stated on NOC, to obtain the county recorder's stamped recordation number and date).

H. Post-Construction: (Applies to DB, DBB, CMAR, CDB, TO-CA, UON)						
No.	Required	Recommended	N/A	Completed	Date	Item
1)						Copy of Notice of Completion and 30 day lien period sent to GC.
2)						All change orders completed, including significant global milestone change orders, final settlement change order and justification memo (if applicable).
3)						Use milestone change orders posted on CPDC website.
4)						Release full retention to the Contractor 30 days after NOC has been recorded
5)						Stop notices, preliminary notices, stop notice withholds accounted for in retention withhold
6)						Collect Prime Contractor's DVBE Subcontracting Report (Form DVBE Subcontracting Report) from GC, and review to ensure GC satisfied all DVBE participation levels as proposed in its bid.
7)						Submit Contractor Performance Evaluation, Form 703.13, for this project to the Prequalification Coordinator at the Chancellor's Office.
8)						Archive Project Files with signed Plans & Specifications.
						Warranty walk-through with Contractor one year after completion.

**I. Best Practices: (Applies to DB, DBB, CMAR, CDB, TO-CA, UON)**

*In the box below, describe any recommended "Best Practices" or revisions to process that were realized as a part of this Project.*

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**Form Completed By:**

_____	_____	_____
Name, Title	Signature	Date

**Form Approved By:**

_____	_____	_____
Name, Title of Executive Facilities Officer	Signature	Date

Acronym Key:		
A/E: Architect/Engineer	DB: Design-Build	NTP: Notice to Proceed
AVC: Assistant Vice Chancellor	DBB: Design-Bid-Build	OCIP: Owner Controlled Insurance Program
BOT: Board of Trustees	DD: Design Development	PCC: Public Contract Code
BRIP: Builders Risk Insurance Program	DIR: Department of Industrial Relations	PGE: Pacific Gas & Electric
CASp: Certified Access Specialist	DOF: Department of Finances	PPR: Project Performance Report
CDB: Collaborative Design Build	DSA: Department of State Architect	RFP: Request for Proposals
CD: Construction Documents	DVBE: Disabled Veterans Business Enterprise	RFQ: Request for Qualifications
CEQA: California Environmental Quality Act	GC: General Contractor	SBE: Small Business Enterprise
CM: Construction Management in CPDC	GMP: Guaranteed Maximum Price	SCE: Southern California Edison
CMAR: Construction Manager At Risk	LA: Los Angeles	SF: San Francisco
COBCP: Capital Outlay Budget Change Proposal	LD: Liquidated Damages	SFM: State Fire Marshal
COR: Change Order Request	MEP: Mechanical, Electrical, Plumbing	SRB: Seismic Review Board
CPDC: Capital Planning, Design & Construction	MOU: Memorandum of Understanding	TCO: Temporary Certificate of Occupancy
CPR: Certified Payroll Records	MRB: Mechanical Review Board	TO-CA: Task Order-Construction Agreement
CSCR: California State Contracts Register	N/A: Not applicable	UON: Unless Otherwise Noted
CSR: Contingency Status Report	NOC: Notice of Completion	