



**OAKLAND UNIFIED
SCHOOL DISTRICT**
Community Schools, Thriving Students

Program Procedures Manual

September 23, 2020

Version 2.1

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REVISION RECORD

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REVIEWERS

| NAME | ROLE | DATE |
|--------------------------|---------------------|-----------|
| Tadashi Nakadegawa | Acting Deputy Chief | 1/30/2020 |
| Al Anderson | | June 2020 |
| Alton Jefferson | | June 2020 |
| Brendan Havenar-Daughton | | June 2020 |
| Colland Jang | | June 2020 |
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| Lee Sims | | June 2020 |
| Michelle Berry | | June 2020 |
| Sandra Soo | | June 2020 |
| Valiant Ravarra | | June 2020 |

APPROVALS

| APPROVER NAME | TITLE | STATUS / UPDATES | DATE |
|--------------------|-------------------------------|------------------|------|
| Tadashi Nakadegawa | Acting Deputy Chief | | |
| Kenya Chatman | Acting Director of Facilities | | |

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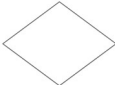


Terms and Definitions

Table 1 below provides a list of terms and acronyms used within this report.

Table 1: Terms & Acronyms

| TERM/ACRONYM | DEFINITION |
|-----------------------|--|
| Accounting | OUSD Facilities and Maintenance accounting department or staff |
| Architect/AOR | Architect of Record |
| B&G | OUSD Building and Grounds |
| Board | OUSD Board of Education |
| CBOC | Citizens Bond Oversight Committee |
| Consultant | A consultant, contractor, or other entity, contracted with OUSD for consulting services. |
| Contractor | A consultant, contractor, or other entity, contracted with OUSD for construction services |
| Contracts/Procurement | OUSD department or staff responsible for advertising contracts for professional or construction services |
| CM | Construction Manager, OUSD representative |
| DGS | Department of General Services |
| District | Oakland Unified School District |
| DSA | Division of State Architect |
| Deputy Chief | Deputy Chief of the OUSD Planning, Facilities, and Maintenance |
| Director | Director of OUSD Planning, Facilities, and Maintenance |
| Executive Director | Executive Director of OUSD Planning, Facilities, and Maintenance |
| Facilities Committee | A committee of the Board as identified in Board Bylaws 9130 |
| IOR | Inspector of Record |
| Labor Compliance | OUSD department or staff responsible for monitoring contractor's compliance with labor regulations and requirements, including prevailing wage |
| LBU | Local Business Utilization |
| Legal | OUSD attorney |
| PM | Project Manager, OUSD representative |
| OAC Meeting | Weekly Owner, Architect, and Contractor meeting |
| OUSD | Oakland Unified School District |

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| TERM/ACRONYM | DEFINITION |
|---|---|
|  | Terminator. This symbol marks the starting or ending point of the process with the action described. |
|  | Process Step. This symbol can represent a single step or entire sub-process within a more extensive process. |
|  | Document. This symbol represents a printed document. (i.e., form, letter, report) |
|  | Database. This symbol represents a system for data storage and retrieval. |
|  | Condition. This symbol represents a decision point for options. Lines representing different decisions emerge from different points of the diamond. |
|  | Pre-defined Process. This symbol represents a sequence of actions described in a different process area (i.e., outside of this Process Flow). |
|  | Single arrow connector. The arrow tip represents the next-step direction. |

OUSD PROCEDURES MANUAL

I. INTRODUCTION

This document is an update to Oakland Unified School District’s procedures manual in accordance with to ensure compliance with best practices management of bond-funded projects.

As part of a Measure J and Measure B Construction Bond Funds Performance Audit, the District received several recommendations to enhance the effectiveness and efficacy of internal controls. In response, the District had engaged an outside law firm to review the District’s standard architectural services and construction services documents. This work included the review of procurement documents, contract documents, and project management and contract administration forms. The effort led to updates and revisions to these documents. The District then engaged a Consultant to update the procedures to reflect the new documents and other existing District processes.

We conducted interviews and collaborative meetings with Project Managers, accounting staff, procurement staff, project controls staff, and others as part of this manual update. The updated processes and workflow documents reflect the existing processes, incorporating the new documents, and incorporate best practices. The scope of the bond program procedures manual includes initial planning through closeout of projects.

The manual also takes into consideration the California Department of Education’s Guiding Principles for Public School Facilities.

Three distinct major processes comprise the Bond Program: Planning, Delivery, and Reporting.

Figure 1: Program Overview



This manual addresses each of these major processes in detail for District staff, Consultants, and Contractors for consistent management and delivery of projects. This manual outlines the major roles and responsibilities for a high functioning facilities improvement program and incorporates best practices. This manual is not a desktop procedure that outlines day to tasks performed by staff and Consultants. The manual is also not policy. The District’s published policies supersedes any procedure that may appear inconsistent with existing policies or appears to modify or set policy.

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PLANNING

II. PLANNING



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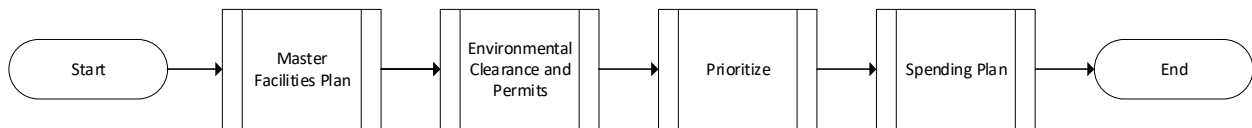
PLANNING

The following factors shall be considered in the planning of District facilities to provide the best possible physical environment for learning and teaching.

- Facilities shall accommodate the educational needs of students and be consistent with the educational philosophy and instructional goals of the District.
- Facilities shall meet or exceed all health, safety, and welfare regulations.
- The District shall seek state and federal money when necessary to supplement its financial resources.
- Undesirable environmental impact shall be minimized.
- Changing demographic factors shall be monitored so that students' needs are met.

The District utilizes a four-step planning process. First, a Master Facilities Plan is prepared by Consultants and approved by the Board. Next, environmental assessments and clearance are performed by Consultants for the work identified in the Master Facilities Plan. OUSD Facilities and Maintenance then prioritize the work as approved and cleared. Finally, a spending plan is prepared by the Deputy Chief and approved by the Board.

Figure 2: Planning

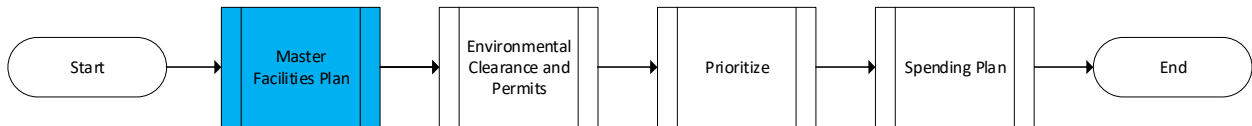


The following sections describe further details about each of the four major steps.

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II.A. MASTER FACILITIES PLAN



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MASTER FACILITIES PLAN

The District develops a Master Facilities Plan to manage future facility needs efficiently. The plan shall cover a multi-year period, shall be developed in conjunction with the local comprehensive land-use plan and other growth management policies, shall be reviewed annually, and shall include at least the following:

- A life cycle cost analysis of the financial ability of the District to implement its facilities program;
- Existing and projected enrollment figures;
- An inventory of the District's facilities and undeveloped property, an analysis of the number of students in each facility, and an analysis of over or under crowding;
- An analysis of the appropriateness of the facilities to meet the needs of all students and members of the public, all District services, programs, and activities; accessibility to individuals with disabilities; and appropriate for students;
- Recommendations as to the sale or other disposition of District property not needed in the future; and
- Recommendations as to the acquisition, construction, or modification of new sites or facilities and of how such will better meet the needs of students and the educational program.

Process

The Consultant begins by Forecasting Needs. Forecasting Needs involves information gathering; program assessments; and coordination with District staff, principals, and other stakeholders. Specifically, the Consultant shall review the Guiding Principles, Deferred Bond Projects, Seismic and other data, Deferred Maintenance, Blueprints, and Community Input. The Consultant shall forecast the needs of the District, including enrollment. The Consultant shall validate the information and shall perform program assessments.

Next, the Consultant shall perform facility condition assessments. The Consultant shall perform on-site visits and visual assessments of each District facility to verify its existing condition and determine any need for updates or improvements. Existing facilities shall be assessed in terms of its size, capacity, and location in relation to changing population patterns, modifications currently underway, and compliance with state health and safety regulations, including codes and accessibility to persons with handicapping conditions.

After Forecasting Needs and performing Facility Condition Assessments, the Consultant shall present findings to the District and work with the Deputy Chief and Executive Director to develop concept plans and perform a Feasibility Study. The Feasibility Study shall include site assessments and selection, review of governmental constraints, sustainability rating review, and economic feasibility. Once the recommendations and directions from the District are incorporated, the initial planning work is complete.

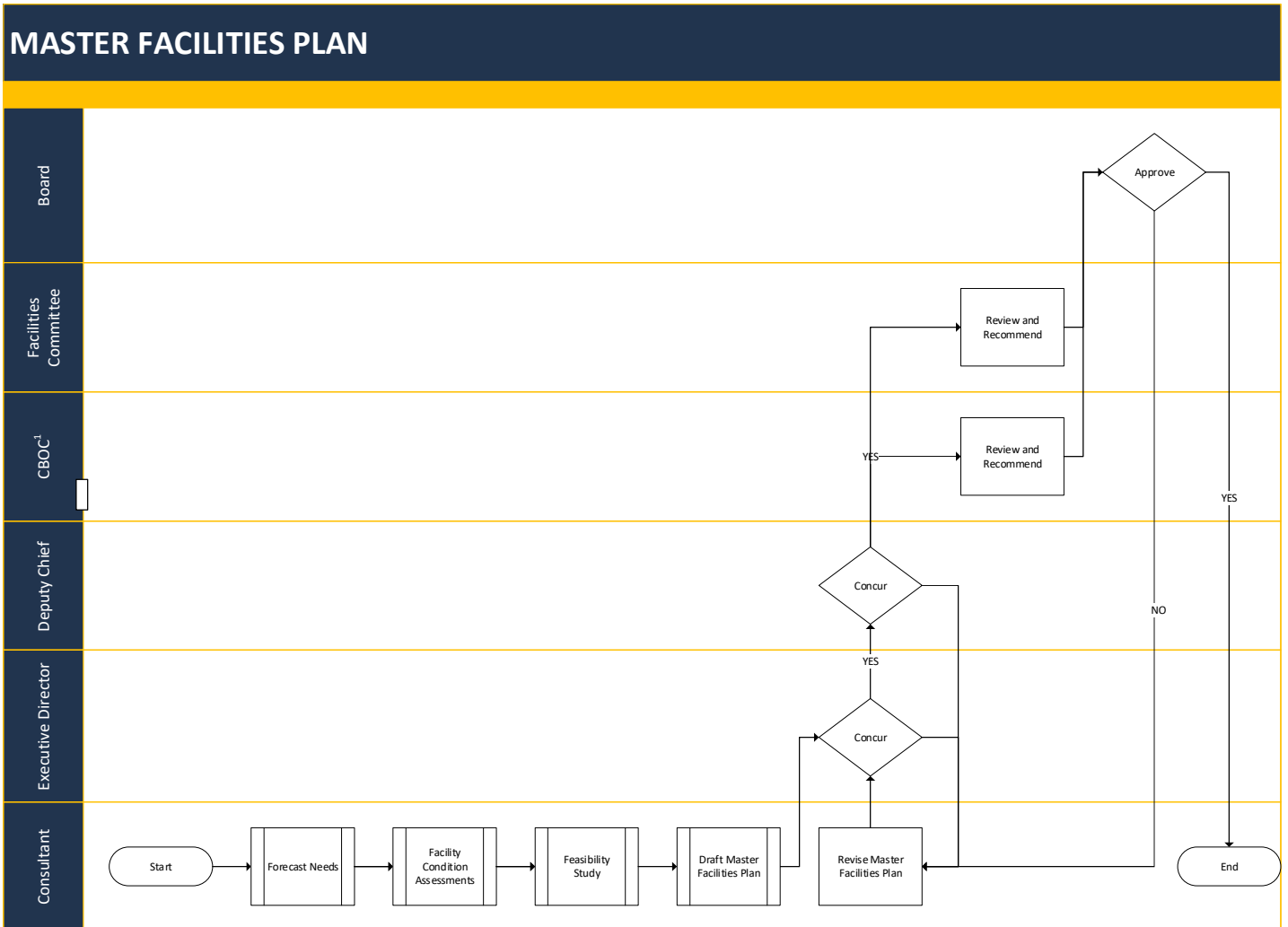
Next, the Consultant shall prepare a draft of the Master Facilities Plan for review and approval. The Executive Director and Deputy Chief review the Master Facilities Plan and concur or request revisions as necessary. The Deputy Chief and Executive Director reviewed draft is presented to

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the Facilities Committee and the CBOC liaison for review. Finally, the Master Facilities Plan is presented to the Board for approval.

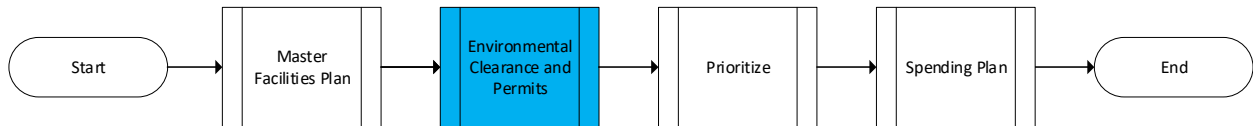
Figure 3: Master Facilities Plan



¹ The CBOC will receive the documentation at the same time as the Facilities Committee. The CBOC review and recommendations are limited to the impacts to projects paid for by bond funds. If the CBOC elects to make recommendations to the Board, the Approval of Master Facilities Plan may be delayed to the following Board Meeting.

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II.B. ENVIRONMENTAL CLEARANCE AND PERMITS



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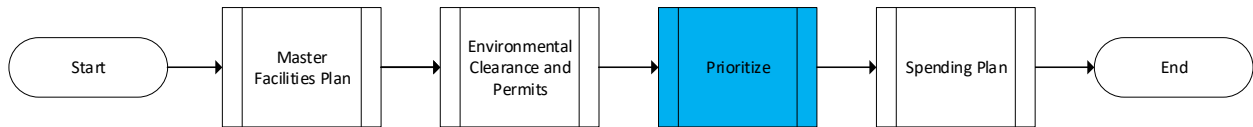
PLANNING

ENVIRONMENTAL CLEARANCE

The District must comply with all California Environmental Quality Act requirements. The District typically utilizes a Consultant to facilitate assessment, studies, outreach, and other requirements before commencing construction. The detailed process of environmental compliance is beyond the scope of this manual.

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II.C. PRIORITIZE



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PRIORITIZE

The District seeks to equitably and transparently recommend bond projects in alignment with the District's priorities. In compliance with Board Administrative Regulation 7112, the District gathers and reviews data to make informed decisions, identifies eligible projects, declares projects, recommends minimum allocations of resources, and utilize the prioritization scoring tool.

Process

Gather and Review Data

Review District planning and design guideline documents, including but not limited to: the OUSD Strategic Regional Analysis (SRA), Facilities Master Plan, Asset Management Plan and Policy, OUSD Collaborative for High-Performance Schools Guidelines, Strategic Plan and Priorities, Measure N planning documents, Intensive Support School Proposal documents, Prop. 39 space allocation documents, Programs for Exceptional Children Strategic Roadmap, relevant board policies and resolutions, bond project scopes, and successor documents created for similar strategic planning purposes but identified by different names.

Identify Potential Bond Eligible Projects

The project identification and engagement mechanisms may include but are not limited to: projects identified in the Bond Language; ongoing Facilities Division bond or other ongoing projects lists; projects identified in the Facilities Master Plan or Asset Management Plan; online and paper surveys; focus groups; physical walk-throughs of buildings and grounds; meetings with external experts and community leaders; community working sessions; facilitated dialogues.

To ensure the active participation of all school communities, the school Site Councils (SSC) work with the school site leadership to identify site facilities needs and document those needs in the Site Plan for Student Achievement (SPSA). School leaders submit the facilities' needs on the Bond Prioritization Submission Form to the Network Supervisor. The Network Supervisor reviews the form and signs off as the project sponsor and submits the form to the Facilities Review Team.

Facilities Department staff shall categorize projects by project type. For example, Field Projects, Seismic, Mechanical, Infrastructure, Modernizations, and New Construction.

Declare Projects

The Network Supervisors and Facilities Department Leads bring all needs to the Executive Cabinet for project declaration and categorization by the first week in May. Each project can be described by project identifiers, grouped and sorted by project characteristics.

Minimum Allocation of Resources

The staff brings a recommendation to the Board to establish a minimum allocation of resources to implement the recommended projects.

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Prioritization Scoring Tool

Utilize a simple Prioritization Scoring Tool with appropriate Criteria and weighting of Criteria, to score each proposed project on the list.

Convene and train a multi-stakeholder group of no more than 15 reviewers to score projects in a consistent and transparent way, ensuring each reviewer has adequate time and access to review all content documents. The scoring process will be open to the general public and not a closed process.

Score each project (1 through 5 points) according to each of the following criteria:

- Safety/Compliance
- Strategic Plan & District Priorities
- Value to the Community and District
- Equity (Based on a facility needs assessment and District standard of care)
- Urgency (Critical projects, necessary projects, or desirable projects)
- Leverage potential (i.e. potential to leverage other state, federal or private funding sources, which may be time-sensitive)

Sort the projects by highest to lowest total score by project type

Prioritize the highest scored projects until the minimum allocation percentage is reached

Sort all remaining projects from highest to lowest regardless of type

Prioritize until 80 percent of unallocated bond dollars have been allocated (reasonable construction allowable bond dollars have been met)

Develop work plan sequence recommendation based on magnitude, scheduling and other considerations.

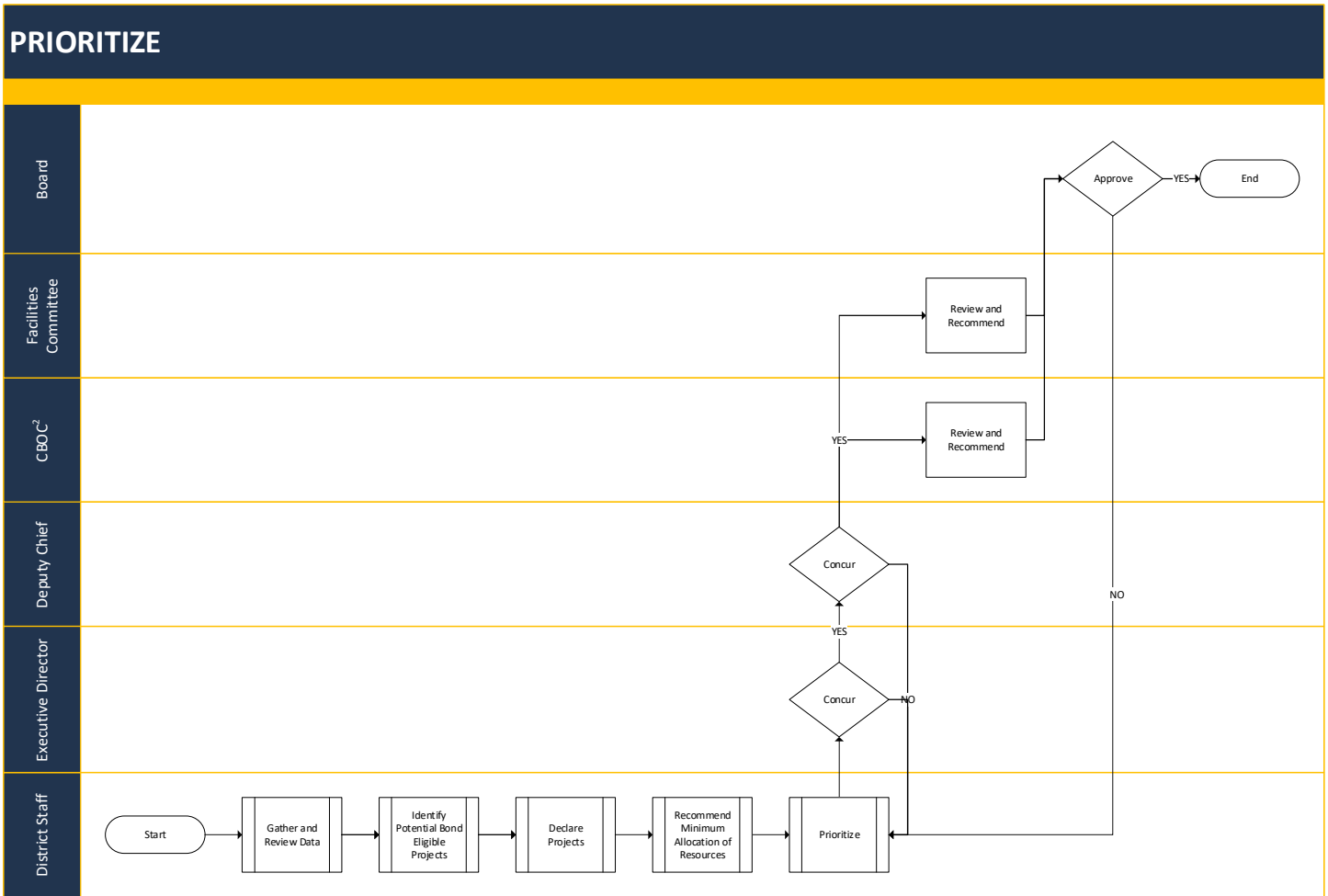
The Executive Director and Deputy Chief will review the Prioritization and concur or request revisions as necessary. The Prioritization is presented to the Facilities Committee and the CBOC liaison for review. Finally, the Master Facilities Plan is presented to the Board for approval.

Present the recommendation for approval at a regular Board meeting by June 30th.

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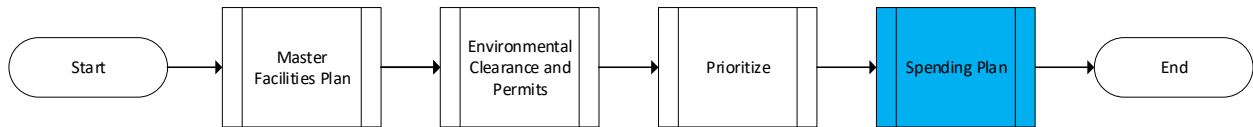
Figure 4: Prioritize



² The CBOC will receive the documentation at the same time as the Facilities Committee. The CBOC review and recommendations are limited to the impacts to projects paid for by bond funds. If the CBOC elects to make recommendations to the Board, the Approval of Master Facilities Plan may be delayed to the following Board Meeting.

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II.D. SPENDING PLAN



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SPENDING PLAN

The Spending Plan provides specific details to ensure consistency with immediate and long-range goals; availability of resources; and established priorities within the bond program.

The Spending Plan must be reviewed by the Citizens Bond Oversight Committee and Facilities Committee before presentation to the Board for adoption. The Spending Plan shall provide for both anticipated revenues and allocations for risks.

Process

The Deputy Chief provides direction to Accounting on the Spending Plan taking into consideration the Prioritization of the Master Facility Plan.

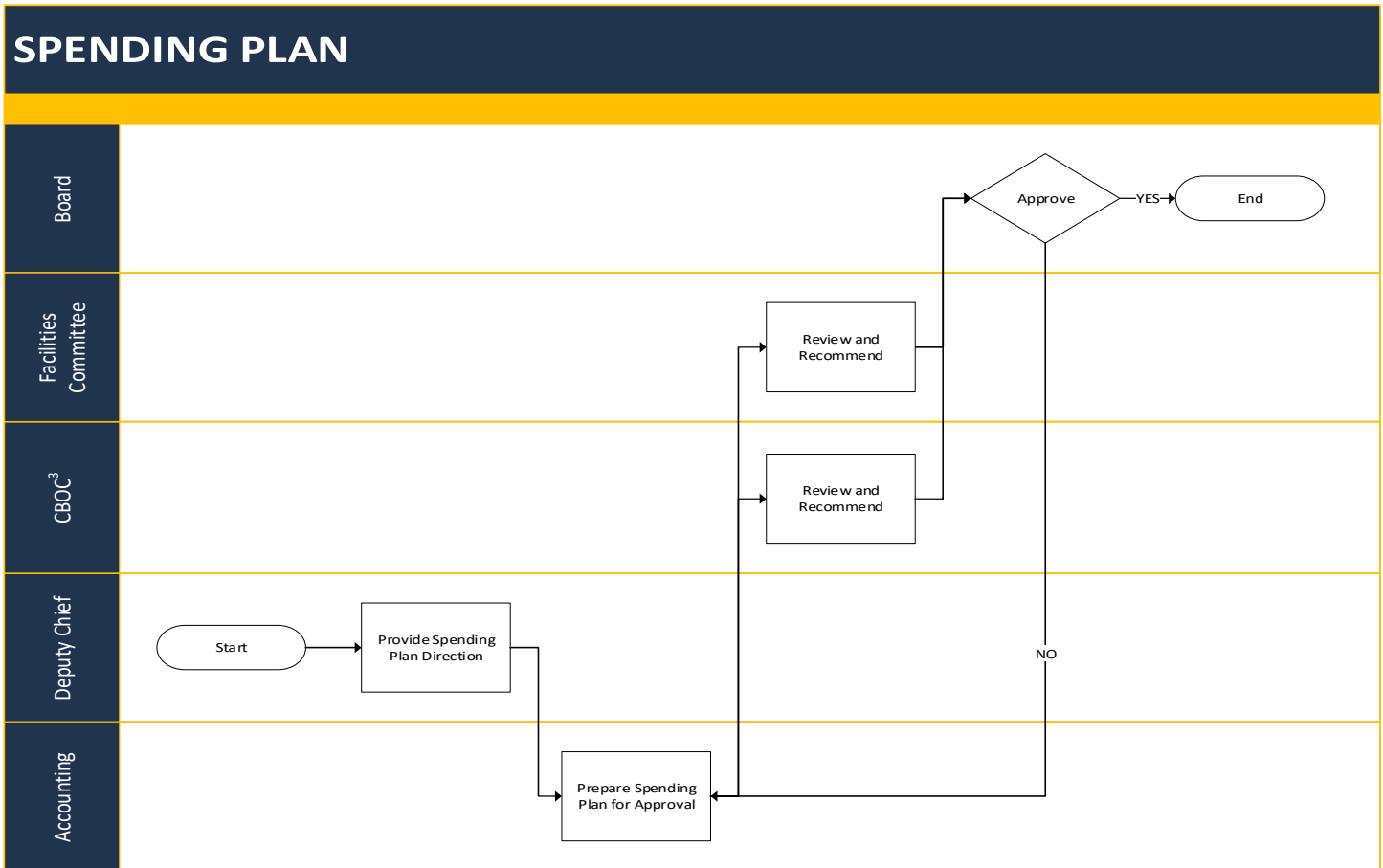
Accounting shall prepare the Spending Plan and route for review to the Citizens Bond Oversight Committee and Facilities Committee. Finally, the Spending Plan will be presented to the Board for approval.

With the adoption of the Spending Plan by the Board, the planning process is complete.

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Figure 5: Spending Plan



On occasion, changes to the spending plan are necessary. The process is detailed below.

Process

The Executive Director requests a change to the Spending Plan.

Accounting prepares a discussion draft and coordinates the review of the proposed changes with the Director and Project Manager(s). Accounting then compares the proposed changes to the anticipated revenue.

Accounting shall prepare the revised Spending Plan and route to the Executive Director and Deputy Chief for concurrence or revisions as necessary.

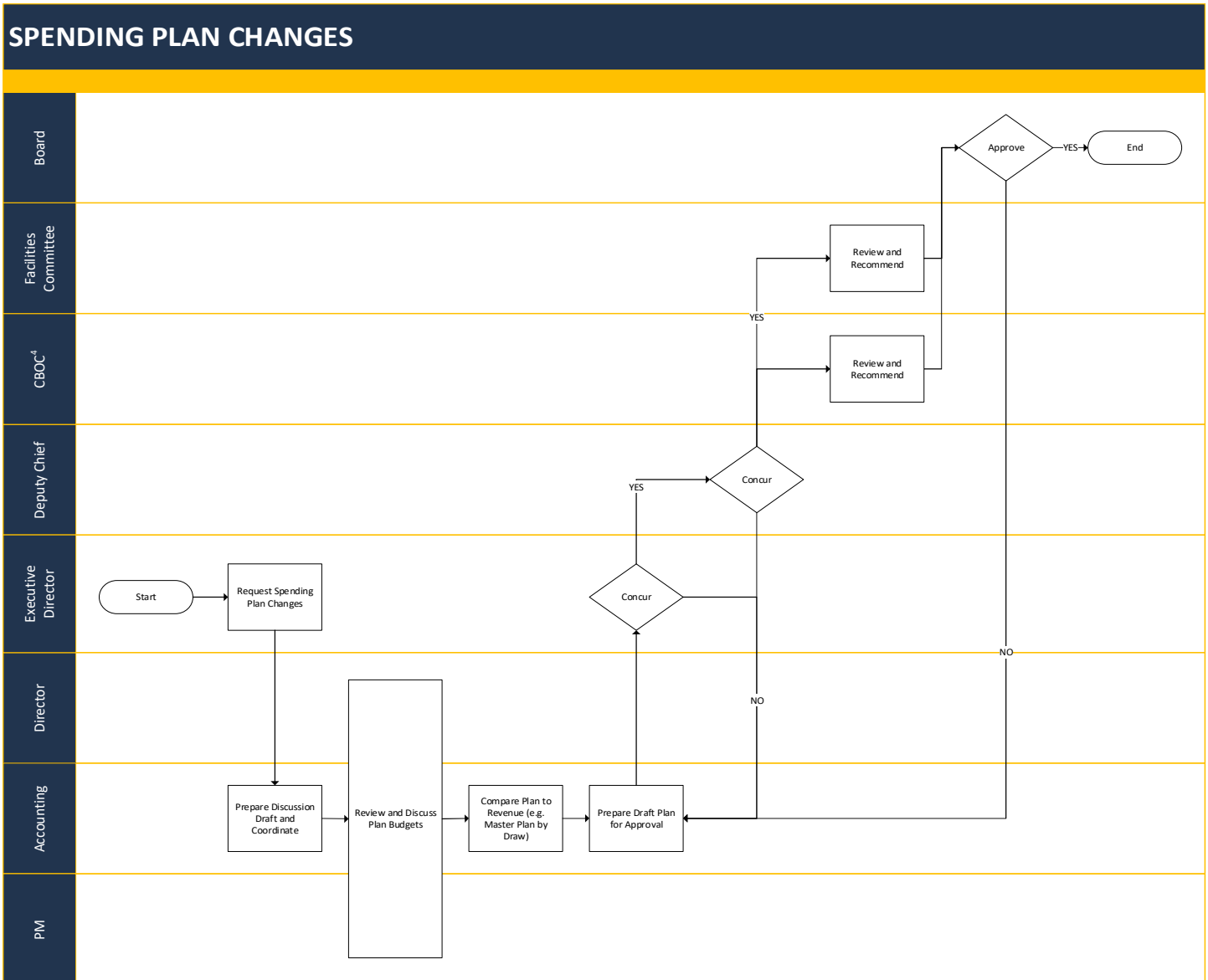
³ If the CBOC elects to make recommendations to the Board, the Approval of Master Facilities Plan may be delayed to the following Board Meeting.

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The revised Spending plan is presented to the Facilities Committee and the CBOC liaison for review. Finally, the revised Spending Plan is presented to the Board for approval.

Figure 6: Spending Plan Changes



⁴ If the CBOC elects to make recommendations to the Board, the Approval of Master Facilities Plan may be delayed to the following Board Meeting.

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PROGRAM DELIVERY

III. PROGRAM DELIVERY



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PROGRAM DELIVERY

PROGRAM DELIVERY

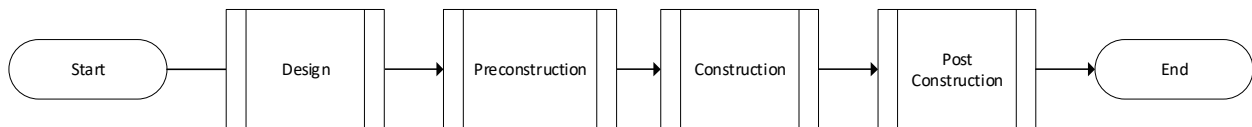
Program delivery procedures are critical for efficiently delivering projects consistent with the Facilities Master Plan and Spending Plan. The District utilizes various owners' authorized representatives to deliver projects effectively. The representatives may be District staff or Consultants who act in the capacity of Architect, Construction Manager, Project Manager, or Inspector of Record.

With a large number of participants in delivering the program, communication is of paramount importance. It is essential to ensure that project team members communicate regularly and effectively to share knowledge, facilitate continuous improvement, and resolve problems. These procedures reflect this overriding tenant, and the Project Managers are the primary facilitators of communication for each project.

In general, these procedures utilize best practices and the District's Contract Documents. If any of these procedures conflict with any relevant contract document, the Contract Documents' terms and procedures shall govern.

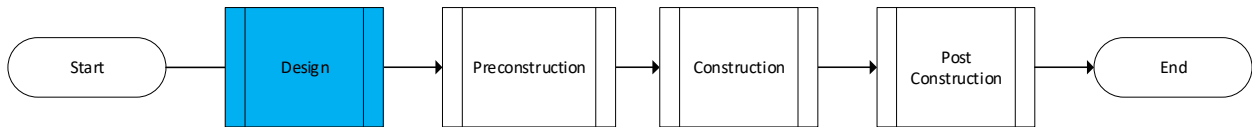
The District utilizes a four-step program delivery process. First, the Architect of Record design the project. Next, the District engages in preconstruction activities, including the procurement of Contractors. The District then manages construction. Finally, the District closes out the completed projects.

Figure 7: Program Delivery



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PROGRAM DELIVERY

III.A. DESIGN



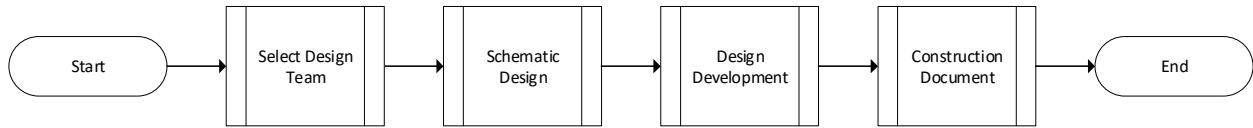
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PROGRAM DELIVERY

DESIGN

The design team, consisting of architects, engineers, and other designers, prepare the design of District facilities. The design team progresses design through the following steps:

Figure 8: Design



The following sections delve into further details about each of the four major steps.

In all of the different design phases, the District controls quality by employing the following:

- Clear and measurable design goals in design contracts that are guided by the content of the Facility Master Plan.
- District standards are supplemented, as necessary, with owner design standards and model specifications.
- Design contracts include a design review process that includes feedback loops to all participants that ensures documentation and resolution of all issues.
- The comments recorded during the reconciliations of the previous phases shall be checked by the Project Managers to ensure all actions to cure were incorporated into the design during the Design Development and Construction Documents Phases.

SELECT DESIGNER

The Executive Director selects the design team from a list of approved Consultants if the project is under \$5 million. If the project is more than \$5 million, the District shall competitively procure a design team.

The contracts department must prepare bidding documents and advertise the contract. In support of the procurement and in furtherance of the District's policies, the Local Business Utilization Consultant supports the advertisement and selection of the Contractor. Once a Contractor is selected, a contract is executed.

Process

The Executive Director authorizes a new project. (see PM Tools for form). The New Project Authorization Form identifies the project name, funding source, and a project description, among other things.

Then the Project Manager prepares a request for advertisement form (see PM Tools for form) that provides essential information to the contracts department, including estimate, project schedule, required commercial terms, e.g., liquidated damages.

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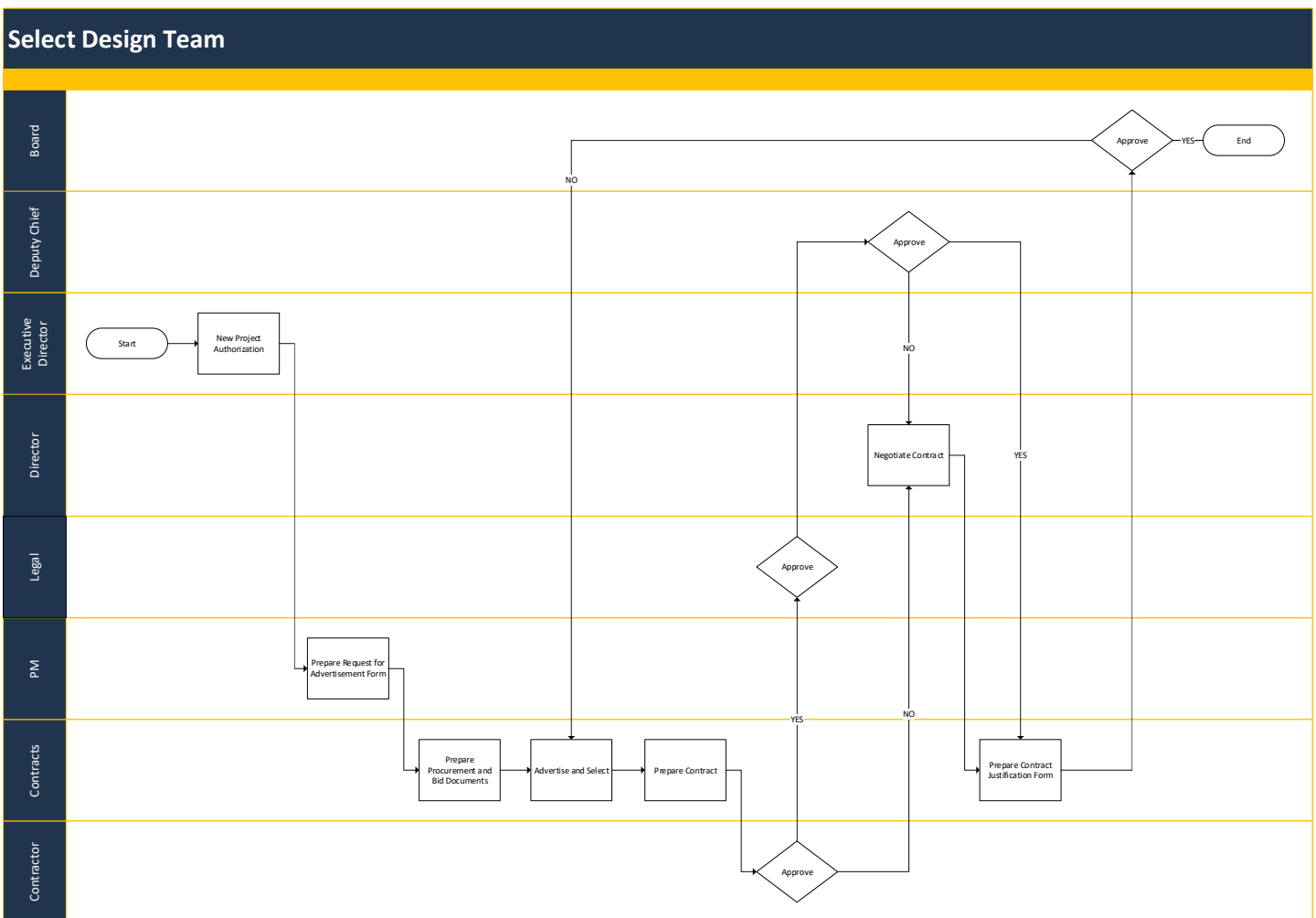
Once approved, the contracts department prepares the bid documents and advertise the contract. In the meantime, the LBU Consultant performs business outreach with LBU certified businesses.

Once bidders submit proposals, the LBU Consultant reviews all proposals for compliance with LBU goals, including any necessary certifications, and submit a report. Contracts checks insurance, certifications, and other required qualification submittals as identified in the procurement documents. Contracts and the Director and Executive Director reviews the proposals/bids and the LBU report to select an apparent winner as determined by the methodology identified in the procurement documents.

Next, Contracts prepares a contract for execution on the District’s approved contract template. The contract is sent to the apparent winner for review and approval. If approved, Contracts sends the contract to Legal and the Deputy Chief for approval.

Finally, once fully approved, Contracts prepares the Contract Justification Form (see PM Tools for form) and route for Board approval and ratification of the design contract.

Figure 8: Select Design Team



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PROGRAM DELIVERY

SCHEMATIC DESIGN

The schematic design gives graphic shape to the project program. It is an overall concept that illustrates key ideas of the design solution. The Architect develops the design scheme (or several design options), generally with little help from others. Because most projects have strict budgetary limitations, a rough estimate of the project's probable cost is generally produced at this stage.

The schematic design usually goes through several revisions. The Architect communicates the design proposal(s) to the District through various types of drawings—plans, elevations, sections, freehand sketches, and three-dimensional graphics (axonometrics and perspectives). For some projects, a three-dimensional scale model of the entire building or the complex of buildings, showing the context (neighboring buildings) within which the project is sited, may be needed.

It is important to note that the schematic design drawings, images, models, and simulations, regardless of how well they are produced, are not adequate to construct the building. Their objective is merely to communicate the design scheme to the District and not to the Contractor.

Process

The Architect prepared schematic designs and provides various plans (see SD checklist in PM Tools). The District's geotechnical and survey Consultants perform geotechnical analysis and survey the site.

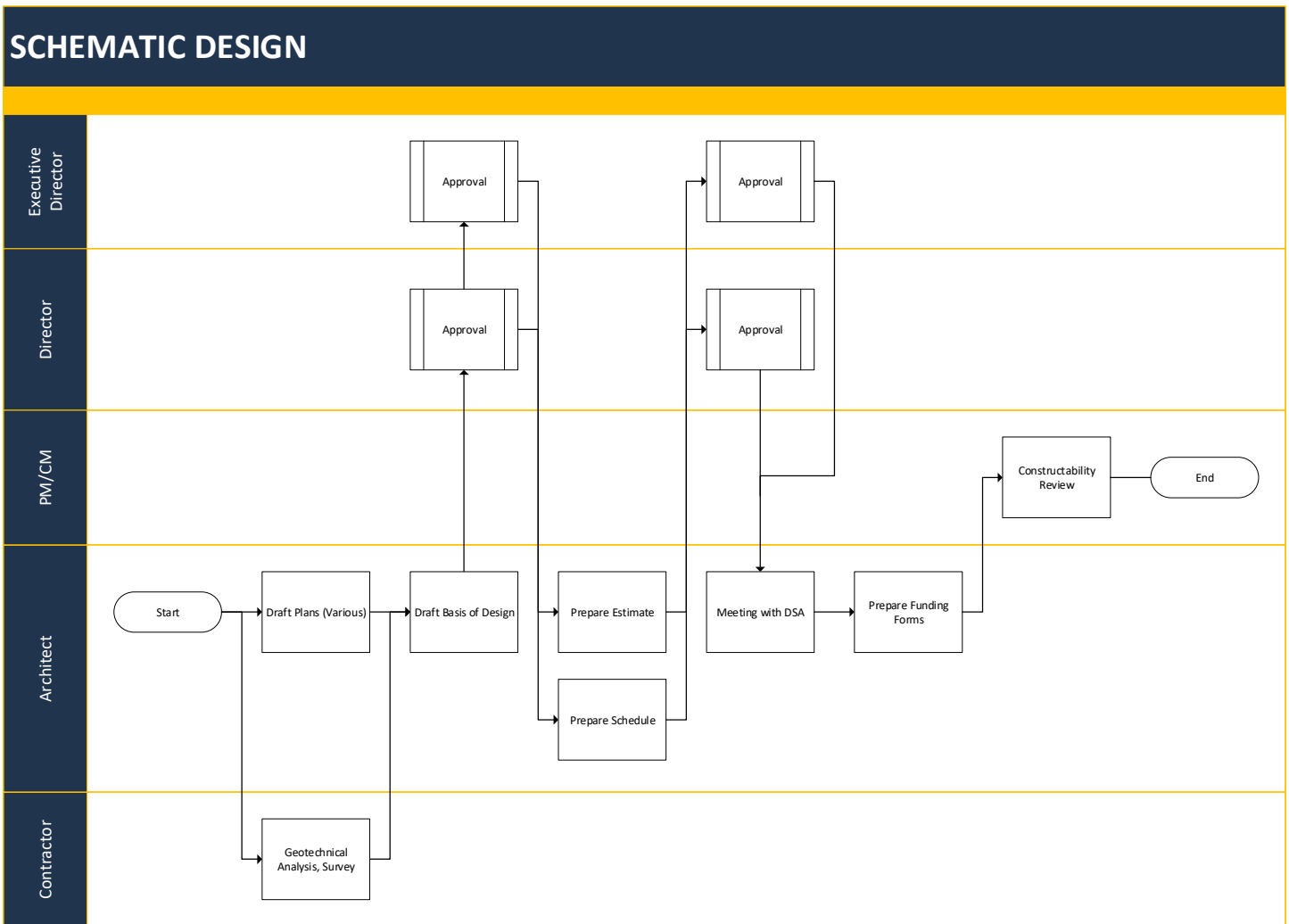
The Architect submits the designs and basis of design to the Director and Executive Director for approval. Once approved, the Architect prepares a preliminary estimate and project schedule that to be reviewed and approved.

With these two approvals in hand, the Architect has a Pre-Application Meeting with the California Division of the State Architect and prepares the project funding forms. (See PM Tools for forms). Finally, the Project Manager or Construction Manager, as assigned by the Director, performs a project feasibility review.

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PROGRAM DELIVERY

Figure 9: Schematic Design



DESIGN DEVELOPMENT

Once the schematic design is approved by the District, the process of designing the building in greater detail begins. During this stage, the schematic design is developed further—hence the term design development stage.

While the emphasis in the schematic design stage is on the creative, conceptual, and innovative aspects of design, the design development stage focuses on developing practical, pragmatic, and constructible solutions for the exterior envelope, structure, fenestration, interior systems, and MEP systems. This development involves strategic consultations with all members of the design team.

Therefore, the most critical feature of the design development stage is decision making, which ranges from broad design aspects to finer details. At this stage, the vast majority of decisions are made about products, materials, and equipment. Furthermore, a more detailed version of the specifications and probable cost of the project is prepared.

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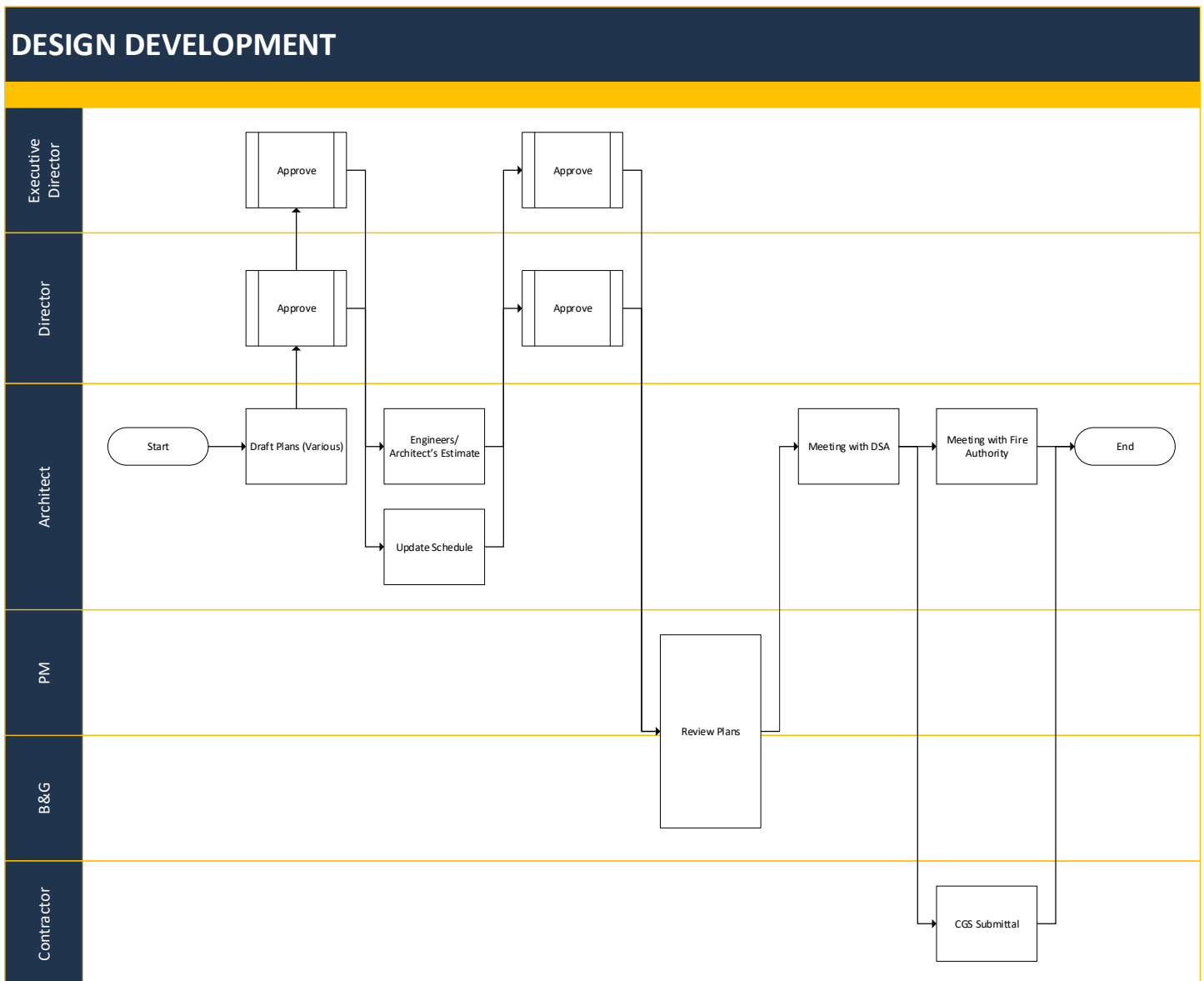
PROGRAM DELIVERY

Process

The Architect prepares designs and provides various plans (see DD checklist in PM Tools). The Architect submits the designs to the Director and Executive Director for approval. Once approved, the Architect prepares an engineer's estimate and updates the project schedule. The estimate and project schedule are to be submitted to the Director and Executive Director for approval.

With these two approvals in hand, the Architect meets with the California Division of the State Architect for a second time and the City of Oakland's Fire Marshall. The PM meets with the Districts Building and Grounds to go over the plans and seek input. Finally, the District's geotechnical Consultants prepare the California Geological Survey submittal. (See PM Tools for form).

Figure 10: Design Development



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PROGRAM DELIVERY

CONSTRUCTION DOCUMENT

The purpose of the construction documents stage is to prepare all documents required by the Contractor to construct the building. All of the Consultants advise the Architect, but they also collaborate (generally through the Architect) so that the work of one Consultant is not in conflict with that of the others.

During the construction documents stage, the Architect and Consultants prepare their own sets of drawings, referred to as construction drawings. Thus, a project has architectural construction drawings, civil and structural construction drawings, MEP construction drawings, landscape construction drawings, and so on.

Construction drawings are the drawings that the construction team uses to build the building. Therefore, they must indicate the geometry, layout, dimensions, types of materials, details of assembling the components, colors, and textures, and so on.

Construction drawings are also used by the Contractor to prepare a detailed cost estimate of the project at the time of bidding.

Buildings cannot be constructed from drawings alone because there is a great deal of information that cannot be included in the drawings, therefore specifications are required. Specifications are written technical descriptions of the design intent, whereas the drawings provide the graphic description. Generally, there is little overlap between the drawings and the specifications. More importantly, there should be no conflict between them. The specification shall take precedence over the drawings in the event of a conflict.

Process

The Architect will prepare designs and provide various plans (see CD checklist in PM Tools). The Architect will submit the designs to the Director and Executive Director for approval. Once approved, the Architect will revise the estimate and project schedule if necessary. At this stage, the Architect will also provide calculations for the design.

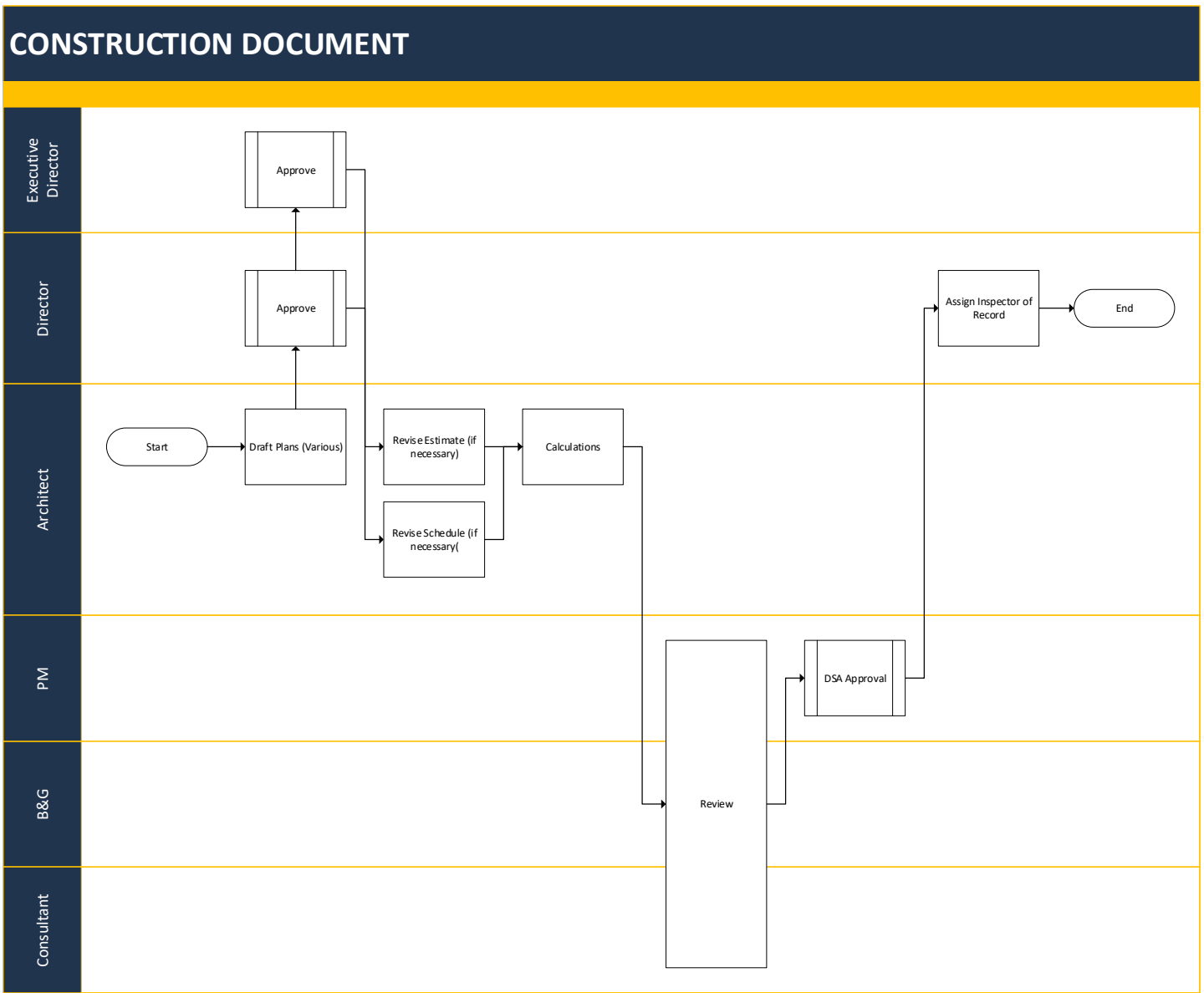
With these two approvals in hand, the Architect will submit to the California Division of the State Architect for approval. The PM will meet with the Districts Building and Grounds to go over the specifications and seek input. Concurrently, the District's safety and commissioning Consultants will perform a review of the plans and specifications. Commissioning firm shall commence their work upon receipt of the Owner's Project Requirements and 100% Design Development documents.

Finally, the Director will assign the IOR for this project from the list of approved inspectors.

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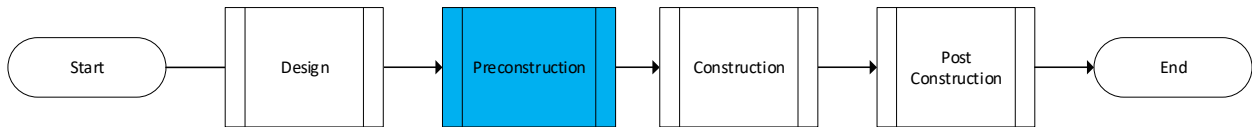
PROGRAM DELIVERY

Figure 11: Construction Document



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III.B. PRECONSTRUCTION



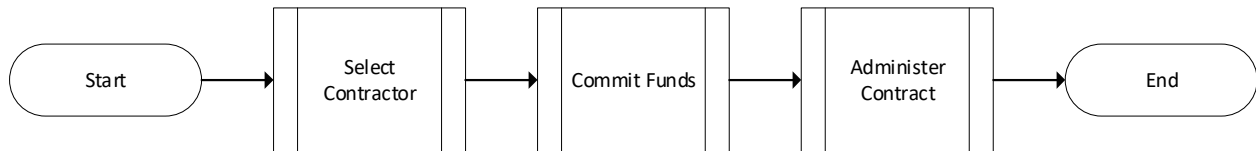
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PRECONSTRUCTION

After the design is complete and often concurrent with DSA Approval, three important administrative steps must be taken before construction can begin. The District must procure and select a Contractor, commit funds for the project, and begin the contract administration process.

Figure 11: Preconstruction



The following sections delve into further details about each of the three major steps.

SELECT CONTRACTOR

The procurement of a Contractor is one of the most important processes in program delivery. These processes interact with many District departments and are one of the most publicly visible and scrutinized tasks.

After construction documents (drawings and specifications) are completed and approved, the contracts department must prepare bidding documents and advertise the contract. In support of the procurement and in furtherance of the District's policies, the Labor Compliance/PLA and Local Business Utilization Consultant will support the advertisement and selection of the Contractor. Once a Contractor is selected, a contract will be executed.

These three documents, construction documents, bidding documents, and contract form the Contract Documents and is the basis of the rest of the program delivery work until closeout of the project.

Process

The Executive Director will authorize a new project. (see PM Tools for form). The New Project Authorization Form identifies the project name, funding source, and a project description, among other things.

Then the Project Manager will prepare a request for advertisement form (see PM Tools for form) that provides essential information to the contracts department, including construction estimate, project schedule, required commercial terms, e.g., liquidated damages and bonding requirements.

Once approved, the contracts department will prepare the bid documents and advertise the contract. In the meantime, the LBU Consultant will perform business outreach with LBU certified businesses.

Once bidders submit proposals, the LBU Consultant will review all proposals for compliance with LBU goals, including any necessary certifications, and submit a report. Contracts will check insurance, certifications, and other required qualification submittals, including Letters of Assent

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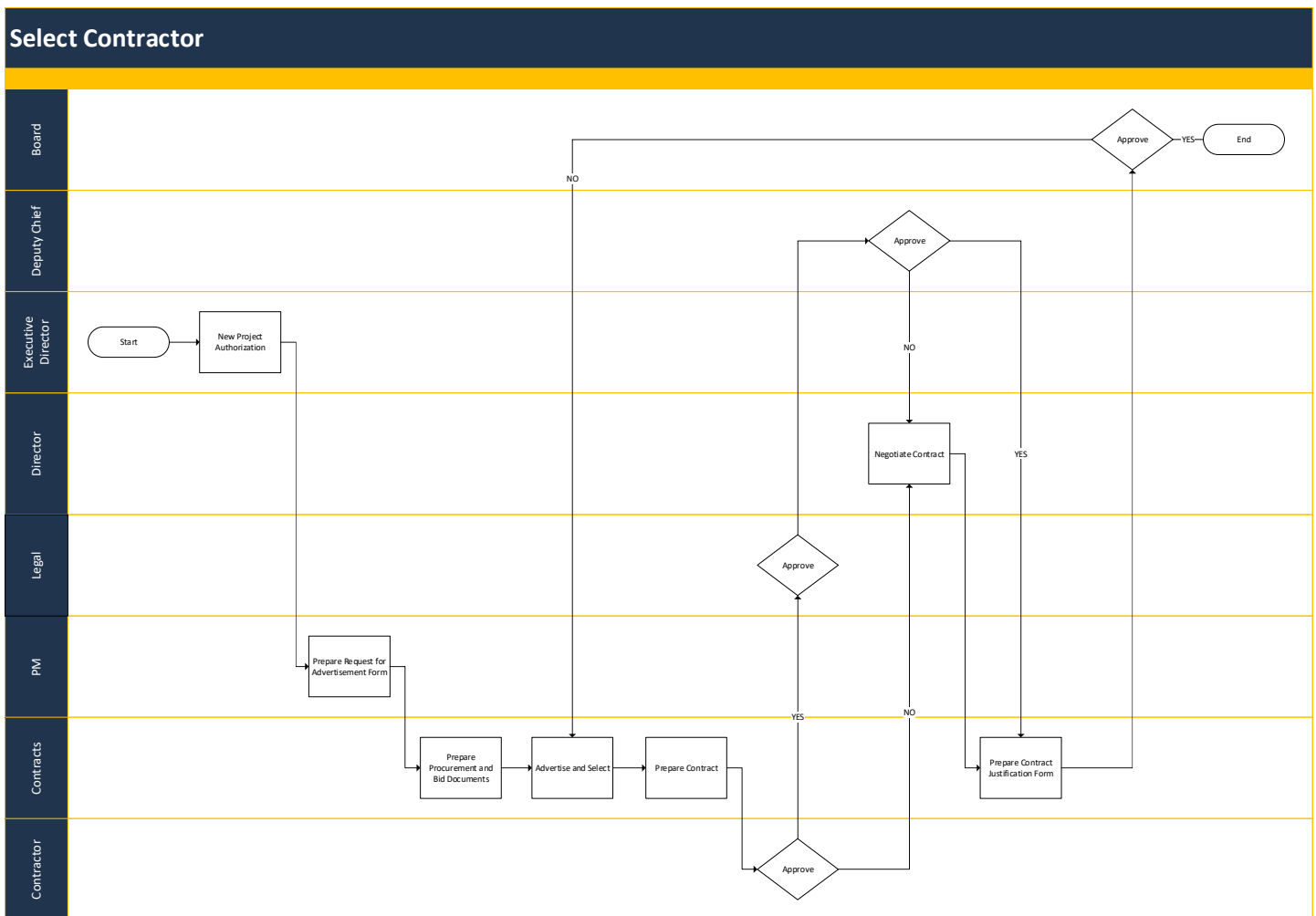
PROGRAM DELIVERY

(to the Project Labor Agreement) from all Contractors and subcontractors regardless of tier, registration with the Department of Industrial Relations, bid bond, and Non-Collusion Affidavit. Contracts, along with the Director and Executive Director, will review the proposals/bids and the LBU report to select an apparent winner as determined by the methodology identified in the bid documents.

Next, contracts will prepare a contract for execution on the District’s approved contract template. The contract will be sent to the apparent winner for review and approval. If approved, Contracts will then send the contract to Legal and the Deputy Chief for approval.

Finally, once approval is received from all parties, Contracts will prepare the Contract Justification Form (see PM Tools for form) and route for Board approval and ratification, of the construction contract.

Figure 12: Select Contractor



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COMMIT FUNDS

After the Contractor is approved, funds must be committed in the accounting system so that the project finances can be tracked and invoices can be paid. This is almost entirely an accounting function.

Process

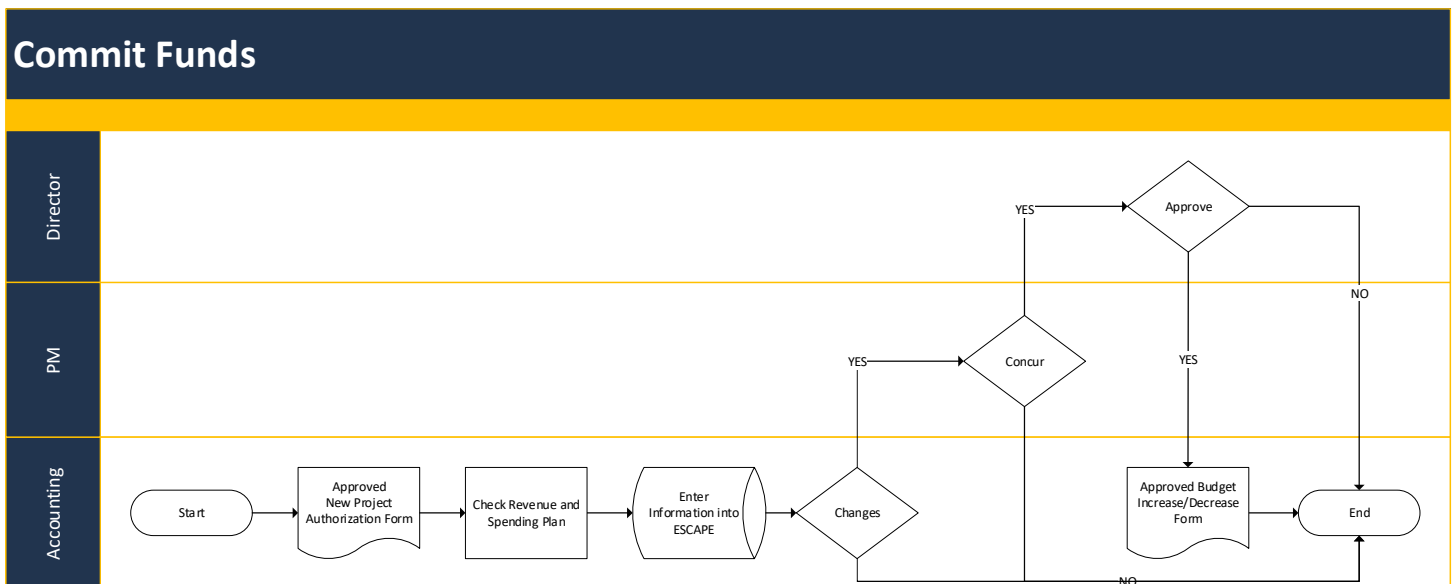
Accounting takes the approved New Project Authorization Form, which includes information such as budget key code and funding source and checks it against the approved Revenue and Spending Plan.

In some instances, there may need to be changes to the detailed spending plan. If the changes require a change to the CBOC and Board approved Spending Plan, then follow the Spending Plan Change process in the Planning section of this manual.

If the changes are only line-item changes that are consistent with the approved Spending Plan, then accounting will request a budget increase/budget decrease form to be approved. (See PM Tools for form).

Accounting will then enter information, including vendor information and budget codes, and into ESCAPE.

Figure 13: Commit Funds



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ADMINISTER CONTRACT

After the Contractor is approved and often concurrently with committing funds, the Contractor must submit its surety bonds and or escrow funds along with any other required submittals prior to a notice to proceed. Only after all of the required pre-work submittals are submitted, the Project Manager or Construction Manager, as the case may be, will issue a notice to proceed to the Contractor to start the construction work formally.

Process

Contractor submits bonds and escrows as required to contracts. Contracts checks for compliance with the Contract Documents and files the information. The Project Manager will then issue a notice to proceed in phases if applicable.

The Kickoff Meeting, the first meeting, is typically held and attended by the Director, Labor Compliance, Architect, Project Manager, Construction Manager, Contracts, and LBU Consultant. In some instances, Building and Grounds and the Executive Director will also attend the Kickoff Meeting. At the Kickoff Meeting, the ground rules are established. This includes the RFI process, the Submittal process, the Invoicing process, the LBU process, the Labor Compliance process, and the weekly Owner, Architect, and Contractor meeting process.

Separately, the Project Manager, as the primary responsible party for facilitating communication, will need to establish an issue escalation process to ensure issues are resolved:

- At the lowest level possible
- At the earliest possible time
- At the highest level required to move a stagnant issue to a resolution before it becomes a liability and a risk

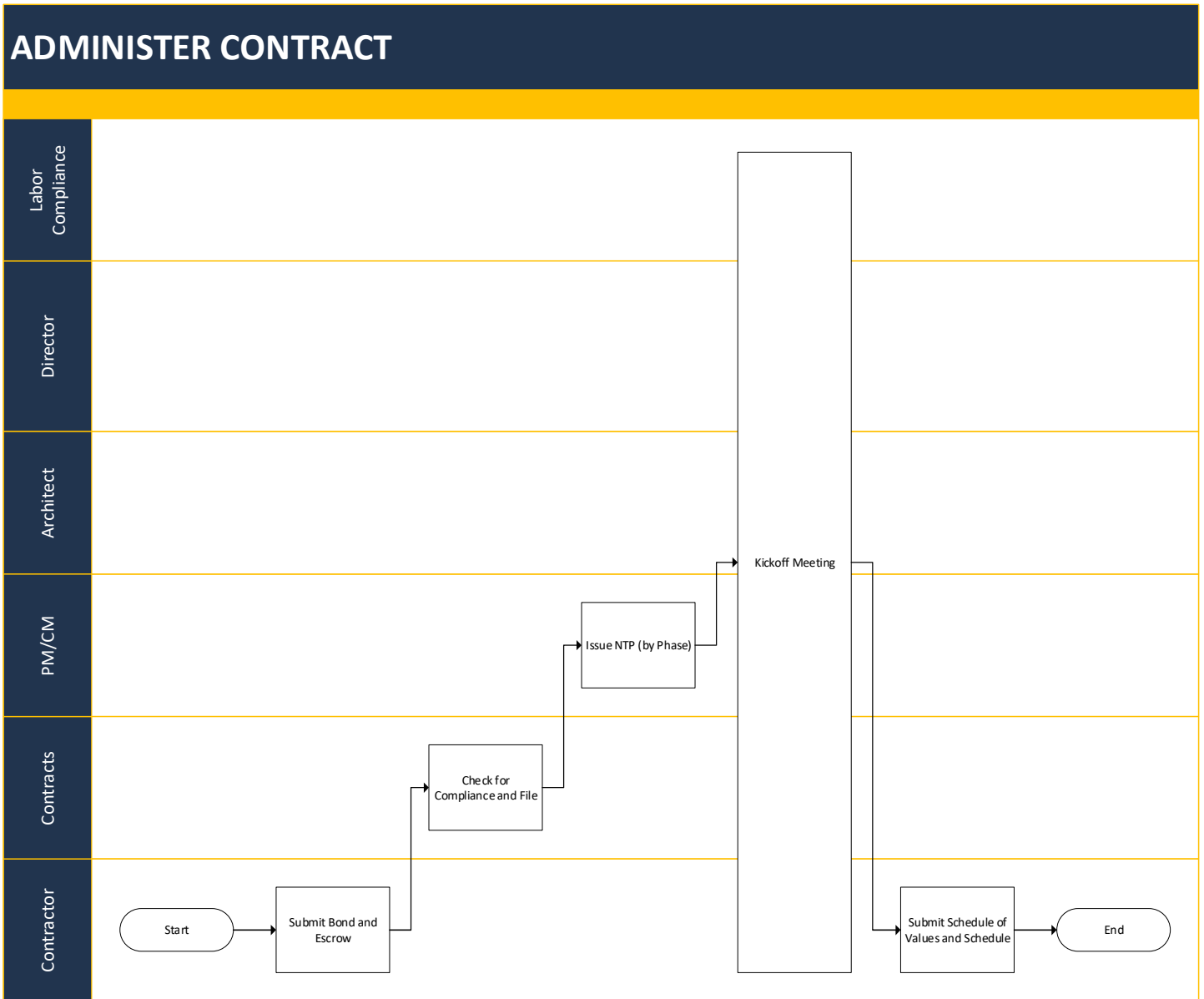
The Project Manager will also prepare the initial risk register.

After the Kickoff Meeting, the Contractor is typically required to submit its schedule of values and baseline construction schedule.

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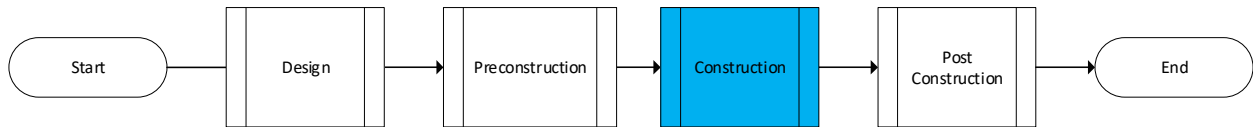
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Figure 14: Administer Contract



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III.C. CONSTRUCTION



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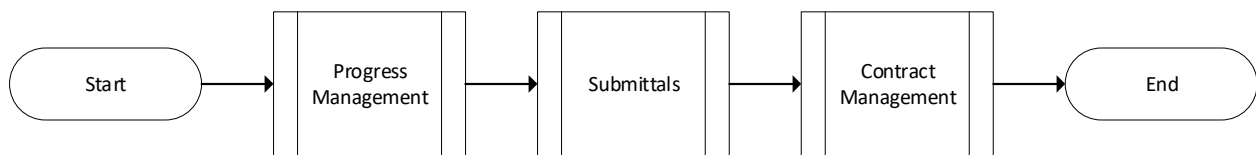
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CONSTRUCTION

Once the Contractor is on-board and key administrative tasks are complete, the District's essential functions are to monitor and manage the progress of the Contractor, review submittals, and manage the construction contract.

- As further described later, progress management is primarily risk, schedule, and cost management.
- Submittal management is primarily RFI and shop drawing review and management.
- Contract management is primarily invoicing and change management.

Figure 15: Construction



The following sections delve into further details about each of the three major steps.

PROGRESS MANAGEMENT

Progress management mostly entails keeping complete and continuous documentation of construction. Necessary documentation includes project correspondence, minutes of meetings, verbal conversations, weather conditions, change order logs, critical materials brought to the site, and site visits by a third party (design team members, building inspection personnel from the city, OSHA staff, and others).

Process

The District utilizes three separate avenues for visual progress management. The Architect and Inspector of record will perform, at a minimum, weekly site observations to ensure design intent is met, and the Project Manager will perform a weekly site walk. In addition, the IOR shall be present at all major construction activities.

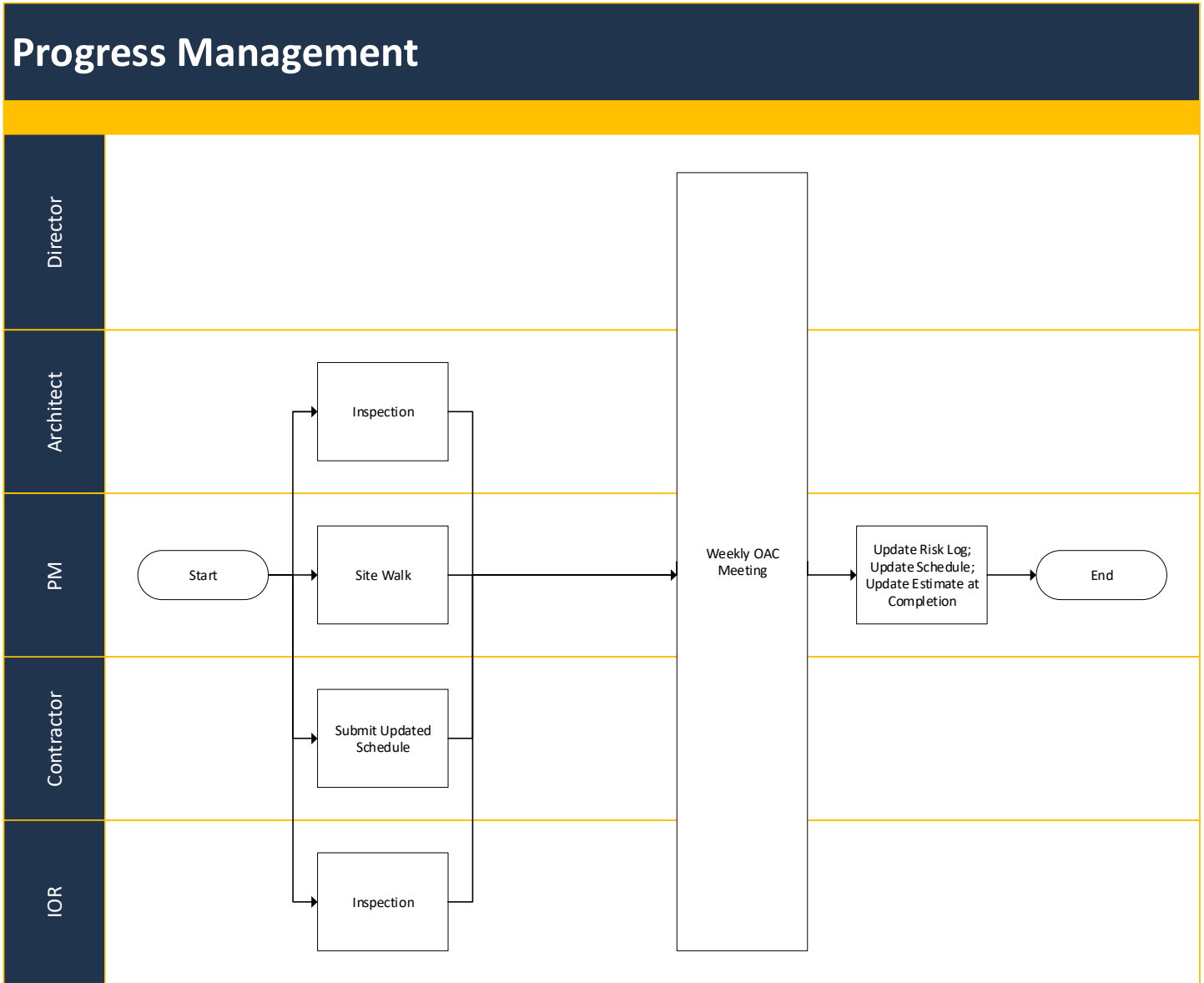
The Contractor will submit an updated schedule showing progress to date.

After the Kickoff Meeting during the preconstruction phase, the Contractor, Architect, Director, Project Manager, and IOR will typically meet weekly to go over issues, outstanding submittals and RFIs, potential changes, and a 3-6 week look ahead. (OAC Meeting).

Based on the discussions at the OAC Meeting, the Project Manager will update the project risk log, schedule, and estimate at completion.

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Figure 16: Progress Management



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SUBMITTALS

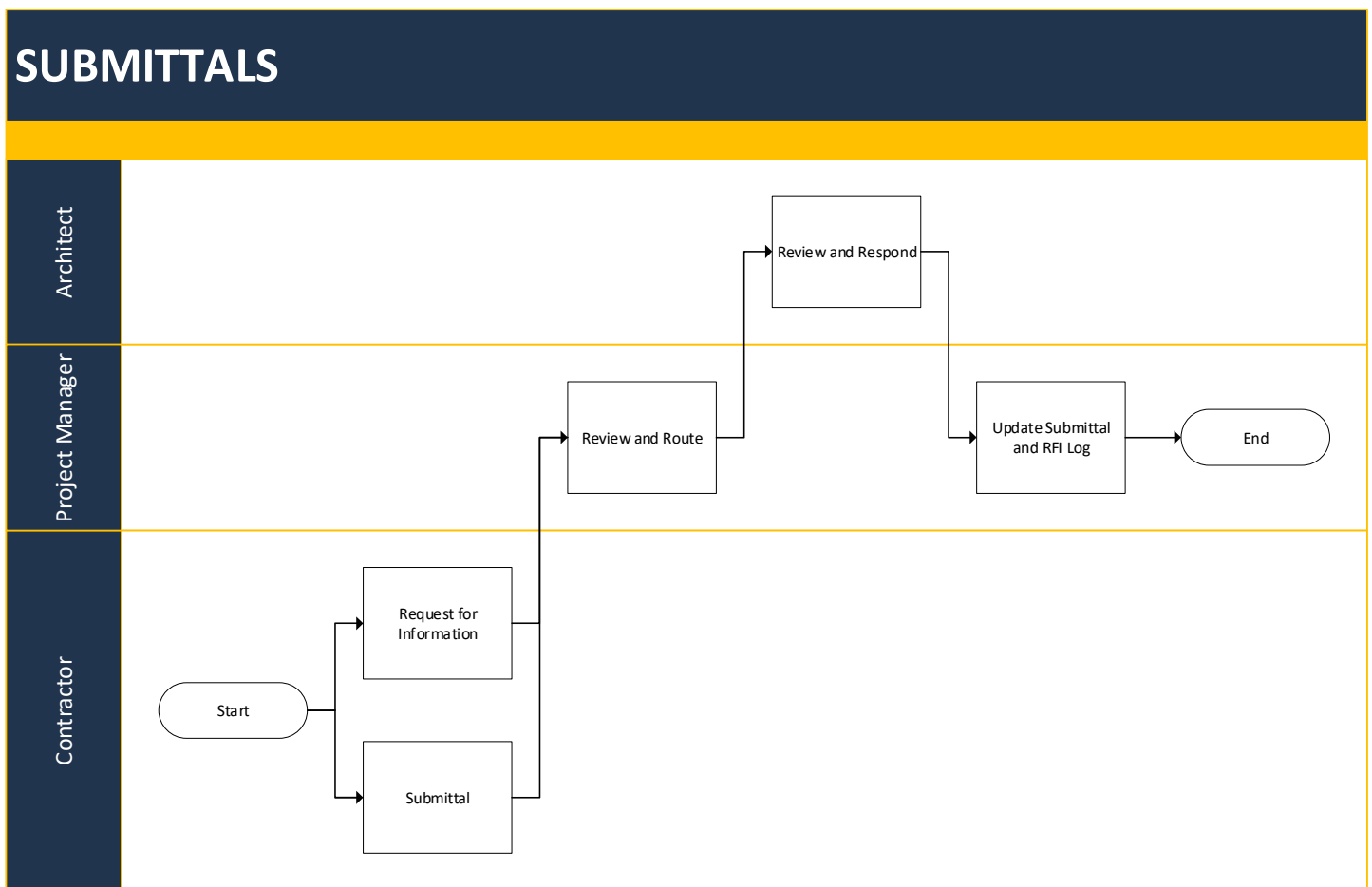
In preparing the contract documents, the design team aims to communicate the design intent effectively to minimize missing pieces of information. However, there are a few items that cannot be described to absolute finality in contract documents. For these items, the design team makes its final decision based on the information sought from the Contractor. The entities from which the required information is obtained are called submittals.

Process

The Contractor submits requests for information and submittals in accordance with the procedures outlined at the Kickoff Meeting.

The Project Manager will review and route the submittal or RFI to the Architect for review and response back to the Contractor. Finally, the Project Manager will update the submittal or RFI log as necessary.

Figure 17: Submittals



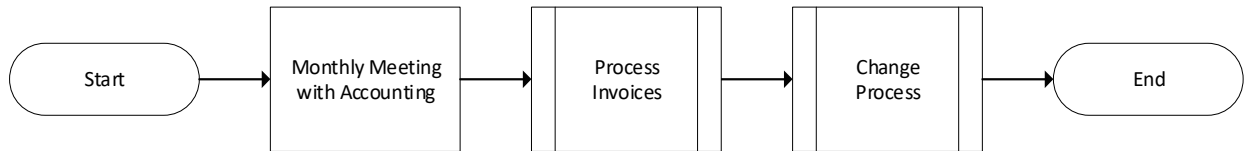
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MANAGE CONTRACT

Contract management consists of three major tasks: 1) coordination with Accounting, 2) Process Invoices, and 3) Change Process.

Figure 18: Manage Contract



The following sections delve into further details about processing invoices and managing change.

PROCESS INVOICES

Processing invoices is a critical control point in program delivery and project management. In addition to the construction observation and inspection by the Architect, Project Manager, Inspector or Record, the Architect must certify payment requests as to work and materials at the construction site.

Process

The Contractor submits an invoice. The Districts administrative staff enters necessary information about the invoice into its database. The Project Manager will then review the invoice and coordinate with Labor Compliance. After reviewing, the Project Manager will recommend approval.

Labor Compliance will prepare the Payroll Verification Letter, then perform a labor force check. Finally, Labor Compliance will ensure that the workforce training fund amount is collected.

Once the Payroll Verification Letter is received, the Project Manager will prepare the Pay Application Packet. (See PM Tools for form). The Project Manager will route the Pay Application Packet to Accounting for payment.

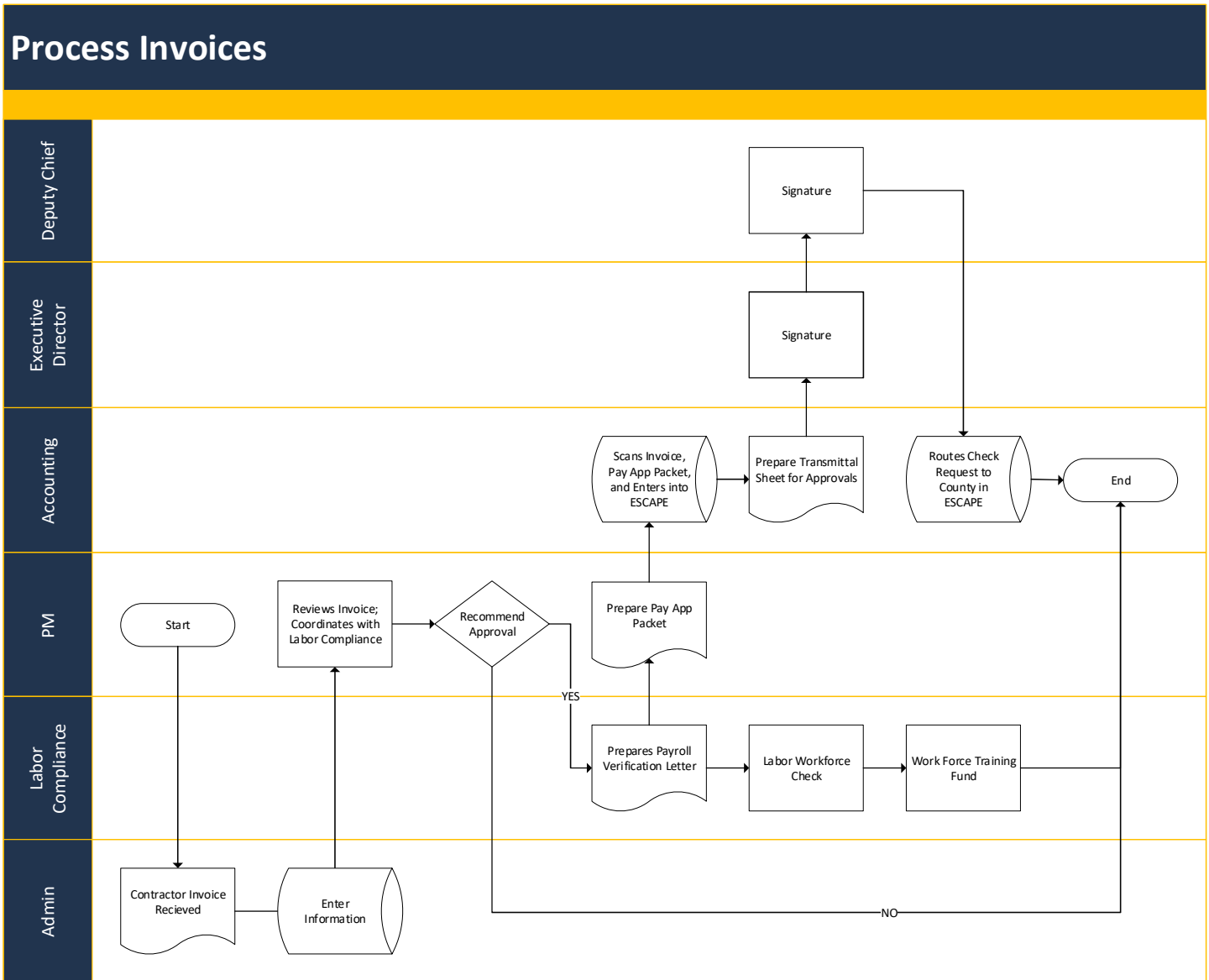
Accounting will scan the invoice and Payment Application Packet and enter payment information into ESCAPE. Accounting will then route the Transmittal Sheet for payment approvals for Executive Director and Deputy Chief signature.

Once all approvals are received, Accounting will electronically route the check request to the County in ESCAPE.

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Figure 19: Process Invoices



CHANGE PROCESS

The District utilizes a multi-tiered and escalating change control process. Furthermore, changes can originate from the District, IOR, Construction Manager, Architect, or the Contractor. The process below is a high-level overview of the entire change control process. The following section delves into further detail for each of the five escalating change control processes.

Process

Change is initiated by the District, IOR, Construction Manager, Architect or Contractor. The Contractor will submit a Notice of Potential Change. The Contractor will then prepare a Change Order Request to the Project Manager. The Project Manager will route the Change Order Request

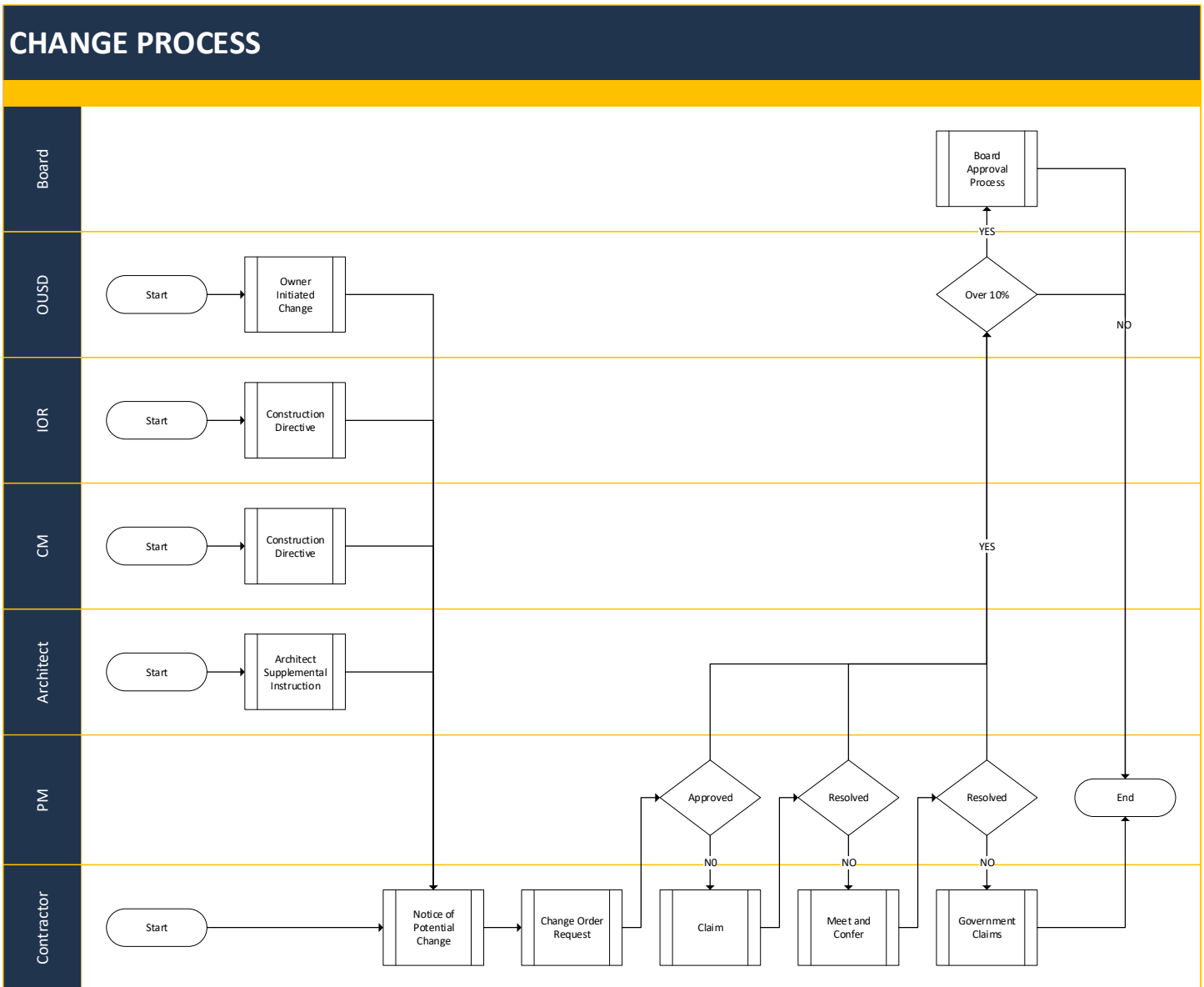
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for approval. If the Change Order Request is not approved, the Contractor may submit a Claim. If the Claim is not resolved, then the Contractor may request to Meet and Confer. If the Claim is still not resolved, then the Contractor may file a Government Claim.

If the resolution of any Change Order Request results in a change of more than 10% of the Contract Value, then the Change Request must receive Board approval.

Figure 20: Change Process



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NOTICE OF POTENTIAL CHANGE

The District’s change process requires that the Contractor provides a Notice of Potential Change for any Change Order Request to be valid. The District’s Contract Documents provide for a very prescriptive timeline and process for submitting such notice.

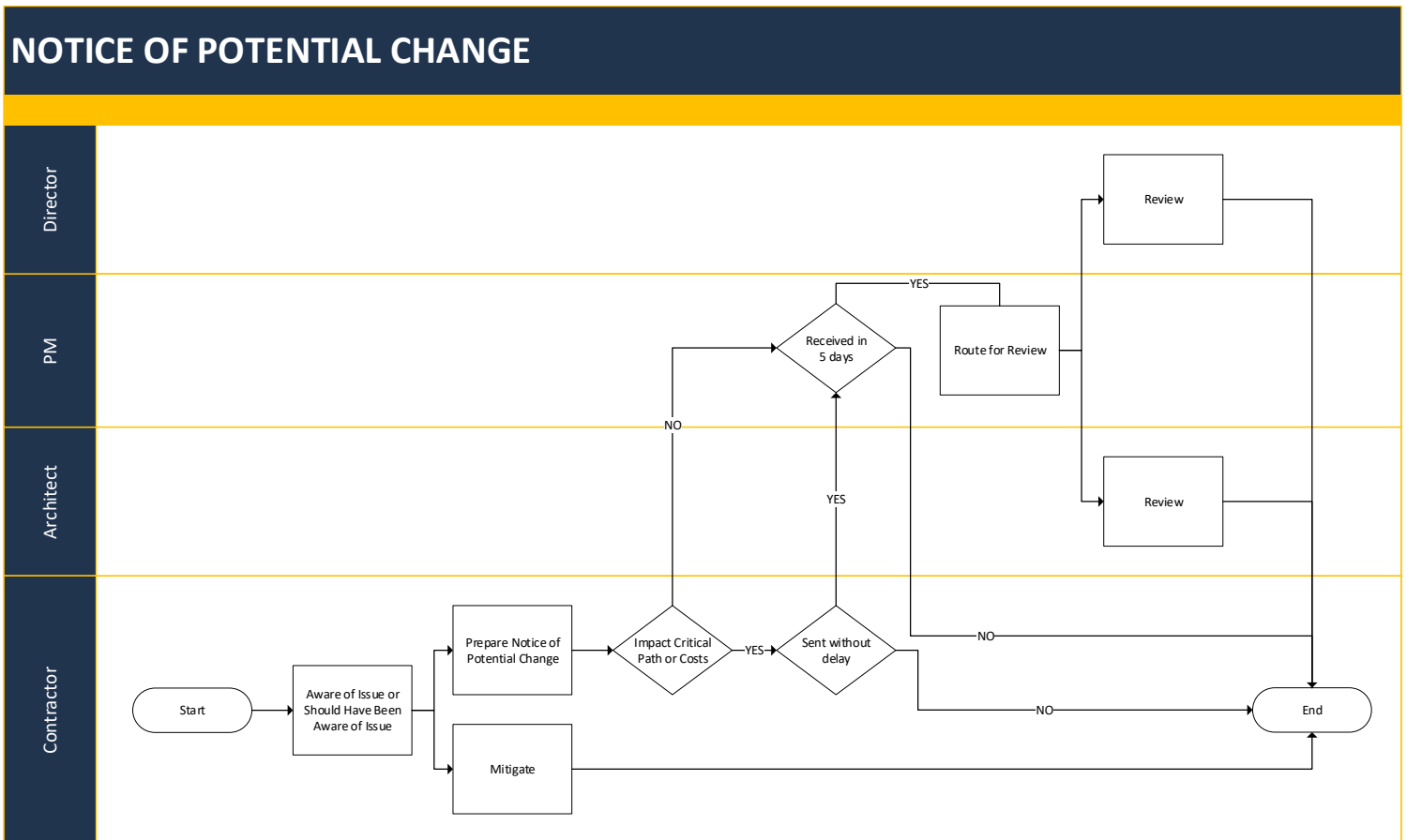
Process

Once the Contractor is aware of an issue or should have been aware of an issue, it is required to prepare a Notice of Potential Change and concurrently take steps to mitigate the issue.

If the issue impacts the project’s critical path or costs, the Contractor is required to submit the Notice of Potential Change without delay, but no less than five days. If the Notice of Potential change is sent with delay, then the Contractor waives any future claim. Similarly, any issue, regardless of impact to critical path or costs must be noticed to the District in a Notice of Potential Claim within five day or the Contractor waives any future claim.

If the Notice of Potential Claim is received within five days, then the Project Manager will route the notice to the Architect and Director for review. No response is required.

Figure 21: Notice of Potential Change



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CHANGE ORDER REQUEST

Only after a valid Notice of Potential Change is received in accordance with the procedure outlined above, the Contractor may submit a Change Order Request.

Process

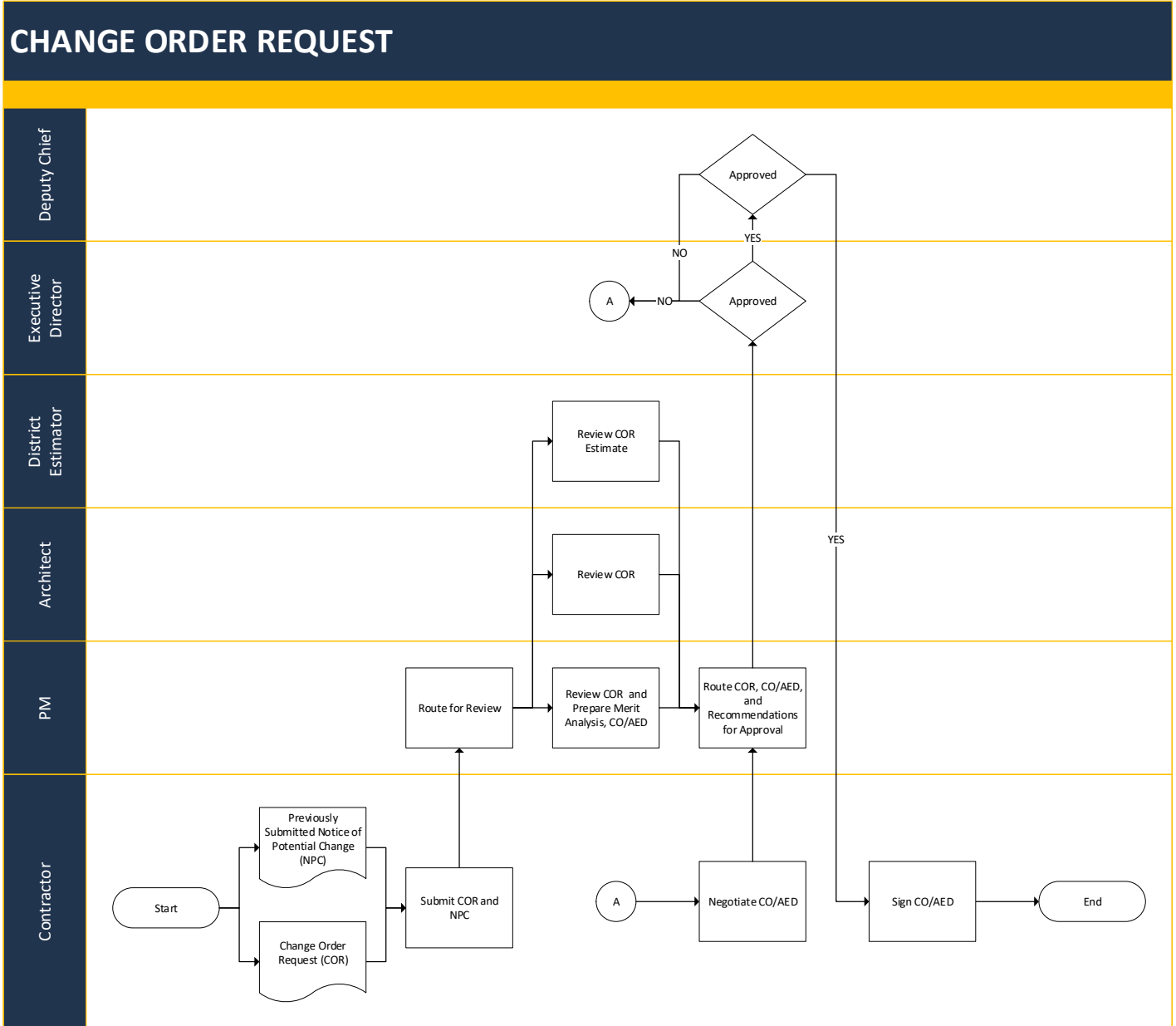
The Contractor will submit a Change Order Request (COR) with the previously submitted Notice of Potential Change (NPC). The Project Manager will review the COR, route the COR to the Architect and District Estimator. The Project Manager will also prepare merit analysis and Change Order or Allowance Expenditure Directive (CO/AED). (See PM Tools for forms).

The District estimator's recommendations, Architect's recommendations, Project Managers merit analysis, and forms will be routed to the Executive Director and Deputy Chief for approval. If the CO/AED is not approved, then negotiations will commence. If the CO/AED is approved, then the CO/AED will be signed by the District and Contractor.

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Figure 22: Change Order Request



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CLAIM

If a Change Order Request is not successfully negotiated, then the Contractor may submit a Claim. A Claim, however, is only valid if it is submitted in a timely manner as prescribed in the Contract documents.

Process

The Contractor will submit a Claim Package and a Claim Certification. If the project work is complete, the Claim must have been submitted within seven days of the work completion. If not, the Contractor has waived any claim.

If the project work is not yet complete, then the Claim Package must have been submitted within fifteen days of knowing about the claim. If not, the Contractor has waived any claim. Nevertheless, any claim must have previously been preceded by a valid Notice of Potential Claim.

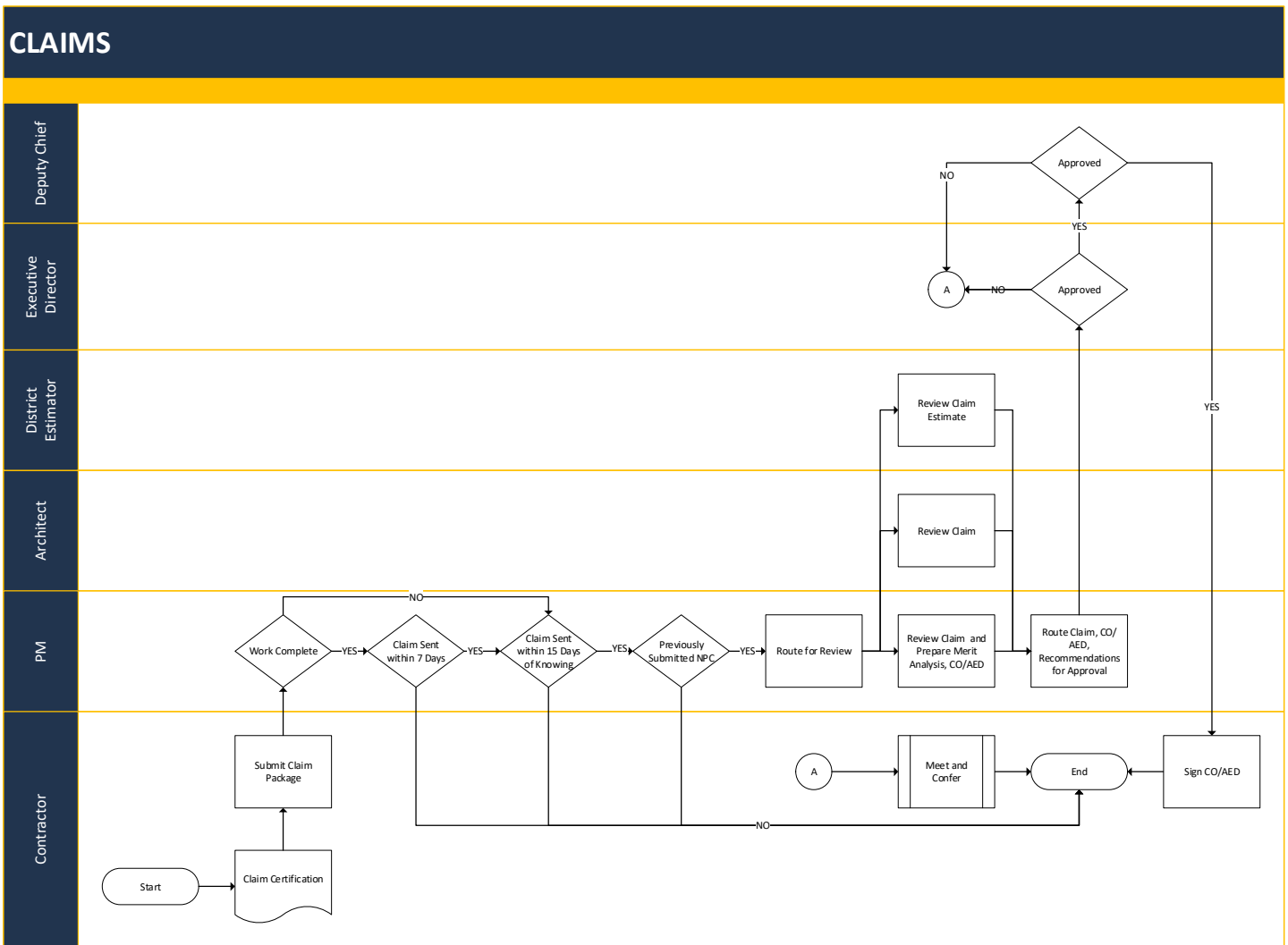
If, all of the previous requires have been met, then the Project manager will review the Claim, route the Claim to the Architect and District Estimator. The Project Manager will also prepare merit analysis and Change Order or Allowance Expenditure Directive (CO/AED). (See PM Tools for forms).

The District estimator's recommendations, Architect's recommendations, Project Managers merit analysis, and forms will be routed to the Executive Director and Deputy Chief for approval. If the CO/AED is not approved, then the Contractor may request to Meet and Confer. If the CO/AED is approved, then the CO/AED will be signed by the District and Contractor.

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Figure 23: Claim



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MEET AND CONFER

If a Claim is not successfully resolved, then the Contractor may request to Meet and Confer. A request to Meet and Confer must be submitted as written demand within 15 days.

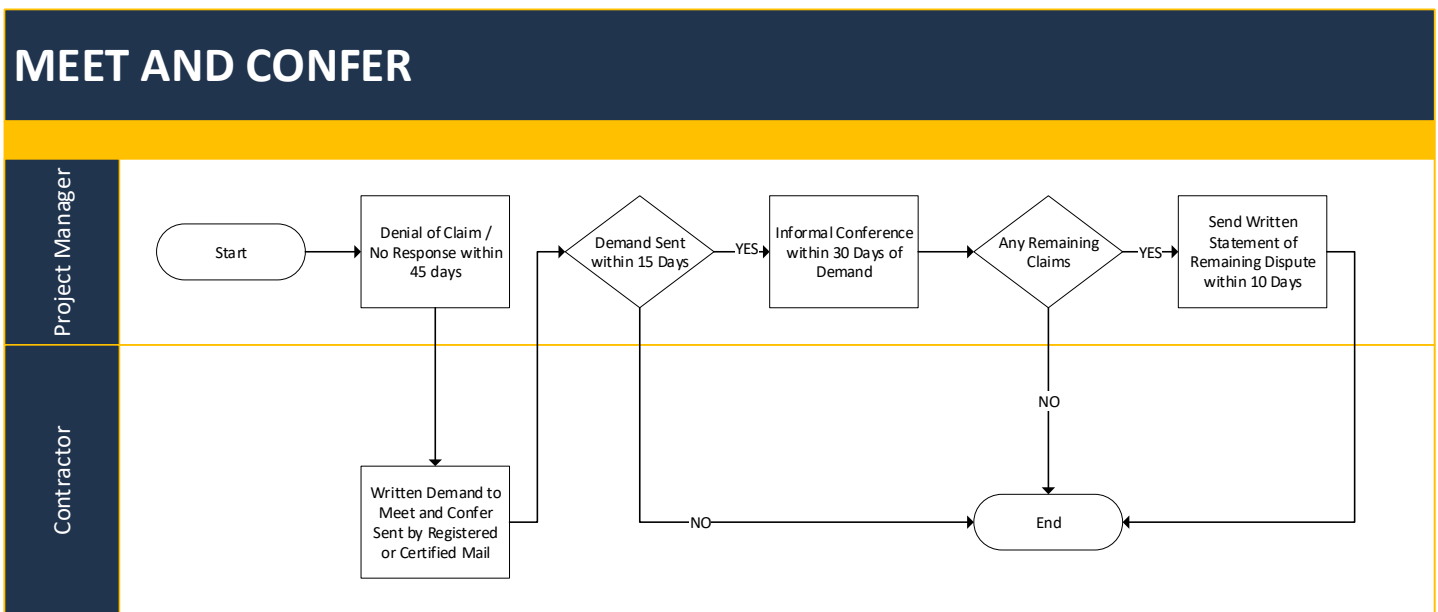
Process

If a previously submitted Claim is denied or if no response is provided to the Contractor within 45 days, the Contractor may submit a written demand to Meet and Confer.

If the demand is sent within 15 days, then the District will make itself available for an informal conference within 30 days of the demand. If the demand is not sent within 15 days, then the Contractor waives any claim.

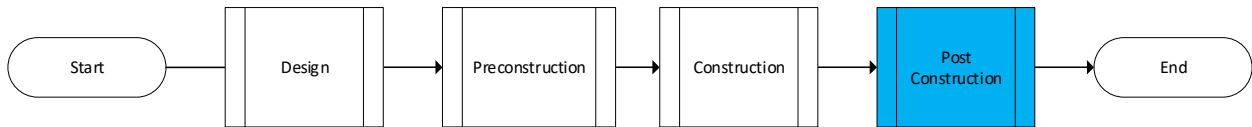
After the informal conference, if any claims remain, then the District will submit a written statement of any remaining dispute to the Contractor within 10 days.

Figure 24: Meet and Confer



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III.D. POST CONSTRUCTION



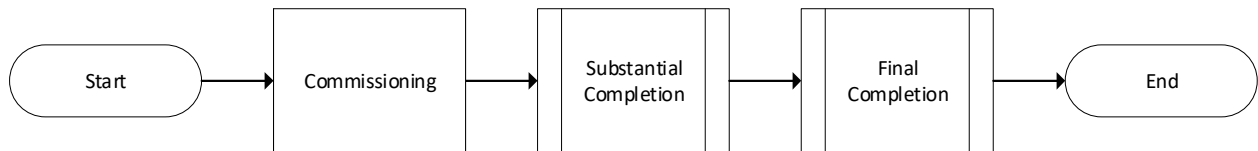
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POST CONSTRUCTION

Once the project is sufficiently complete, the Contractor will ask the commissioning Consultant to complete its work so that District can occupy the facility even though there might be cosmetic and minor work yet to be completed. The Contractor will also ask Architect to conduct a Substantial Completion inspection. Finally, the Architect will issue a notice a Completion.

Figure 25: Post Construction



The following sections will delve into further details about Substantial Completion and Final Completion.

SUBSTANTIAL COMPLETION

Once the project is sufficiently complete, the Contractor will ask the District to conduct a substantial completion inspection to confirm that the work is complete. The Contractors request for substantial completion inspection should include a list of incomplete portions of the work to be completed. The punch list, which is prepared by the Contractor, is used by the District as a checklist to review all work, not merely the incomplete portions of the work. If the District's inspection discloses incomplete items not included in the punch list, they are added to the list.

If the additional items are excessive, the District may ask the Contractor to complete the selected items before rescheduling the substantial completion inspection.

Process

Once the project is sufficiently complete, the Contractor will submit a Notice of Substantial Completion.

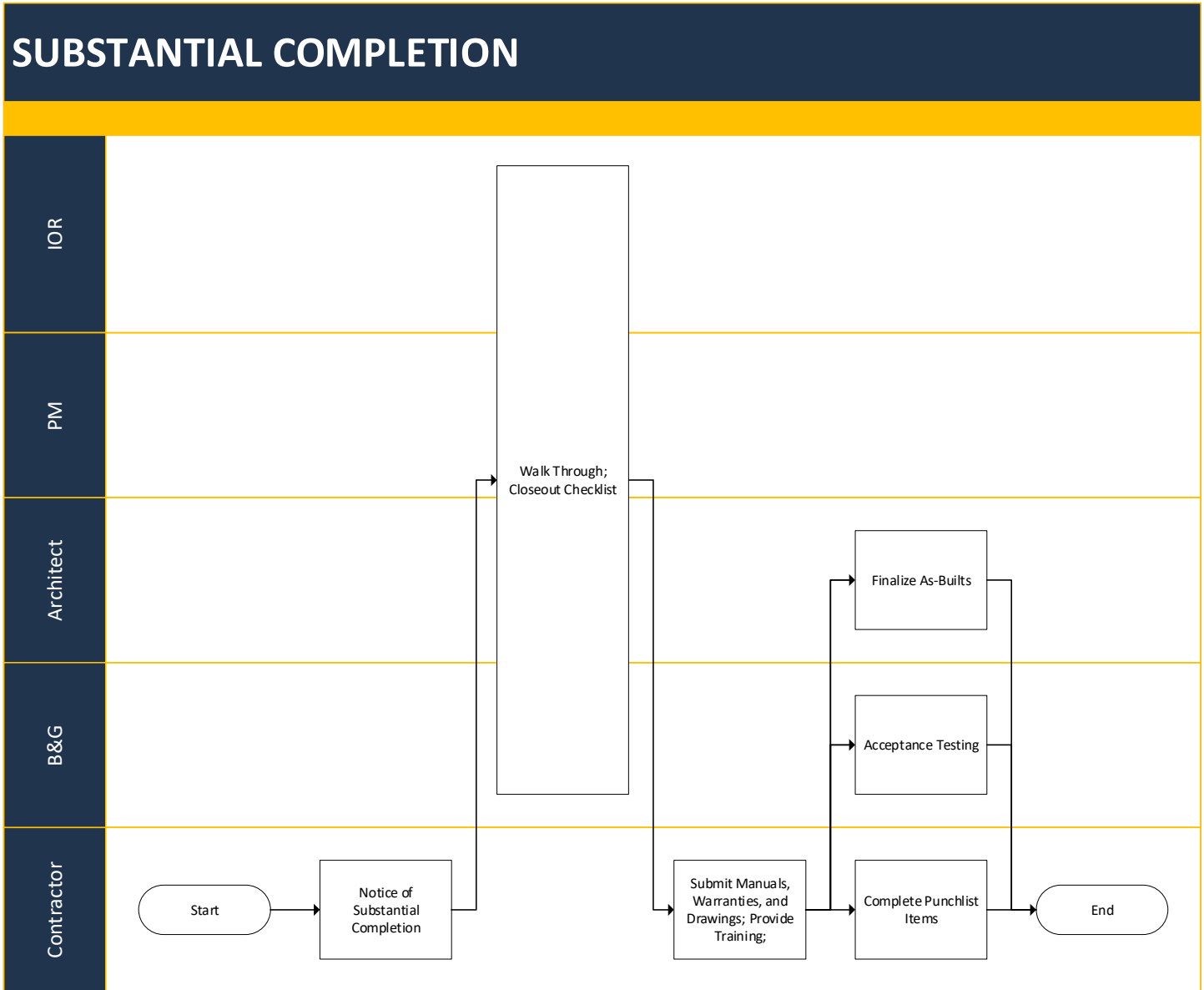
Building and Grounds, the Architect, the Project Manager, and the IOR will perform an inspection walk through and review and augment the closeout checklist, if necessary.

The Contractor will submit all manuals, warranties, and As-Built drawings to the District as part of Substantial Completion. The Contractor will also provide any necessary training to the District.

Finally, the Architect will finalize Electronic Conformed Drawings based on the As-Built drawings and other construction related documents, Building and Grounds will perform acceptance testing, and the Contractor will complete the punch list items.

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Figure 26: Substantial Completion



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FINAL COMPLETION

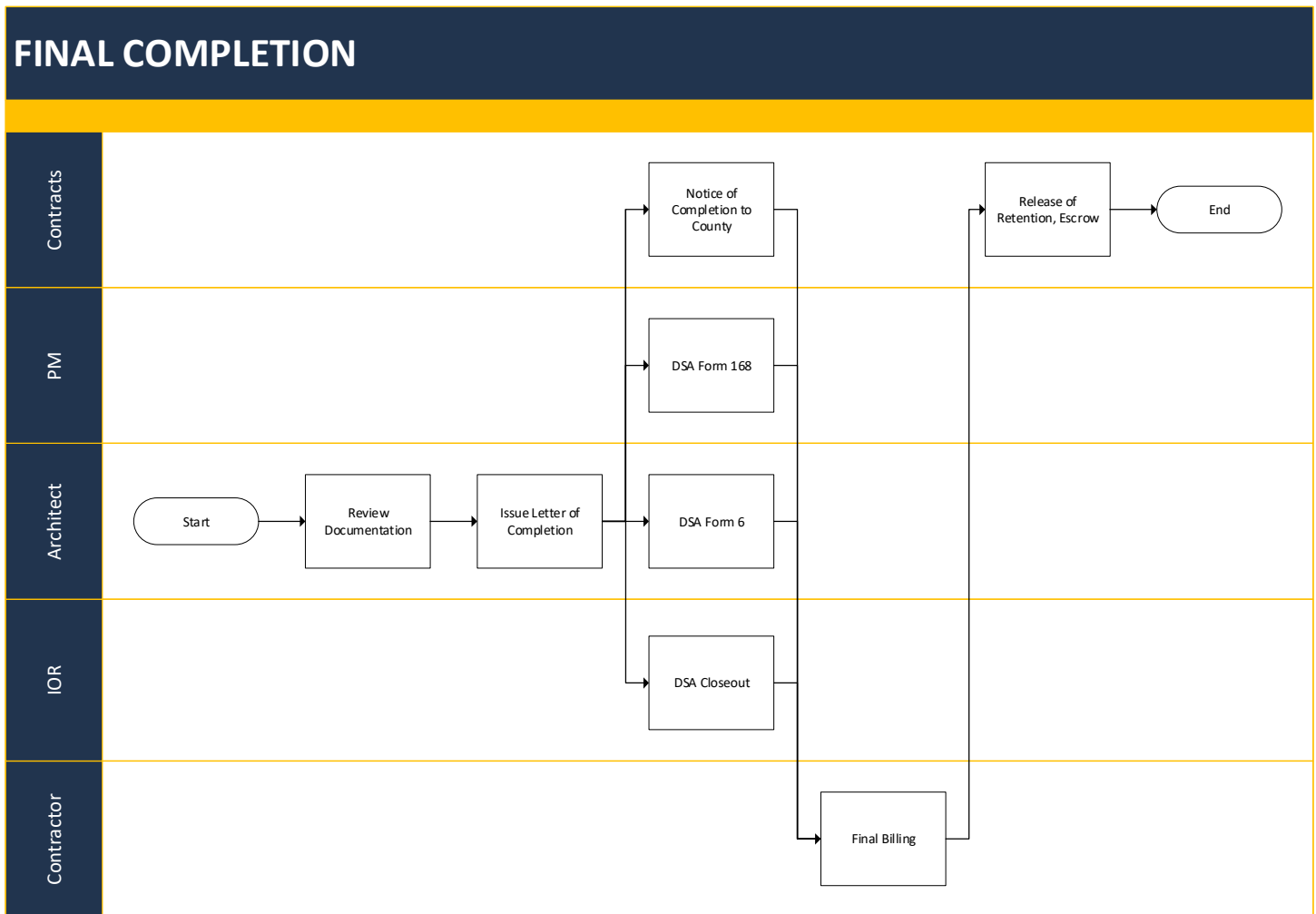
Once the Substantial Completion Process has been complete, several important administrative steps must be completed to closeout the project.

Process

The Architect will review all of the project documentation and issue a Letter of Completion. Contracts will then submit a Notice of Completion to the County, the Project Manager will submit DSA Form 168, the Architect will submit DSA Form 6, and the IOR will complete the DSA closeout procedures including DSA Form 103 and DSA Form 5.

Next, the Contractor will submit its final billing and Contracts will release any remaining retention or escrowed funds.

Figure 27: Final Completion



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REPORTING

IV. REPORTING



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REPORTING

REPORTING

Three main stakeholders need to be provided program reports on a regular basis: the Facilities Committee, the Board, and the Citizens Bond Oversight Committee. Reports on program and project progress as well program finances need to be reported.

The Facilities Committee needs to be provided progress reports on a regular basis. The Executive Director and Deputy Chief are responsible for reporting. Project Managers will provide input for the progress reports.

The Board needs to be provided progress, financial, and Local Business Utilization reports. The Executive Director and Deputy Chief are responsible for providing progress reports. The Chief Financial Officer is responsible for providing financial reports as part of the District budget reports. Project Managers will provide input to the progress reports. Accounting will provide input for the financial reports. The LBU Consultant will provide the Monthly LBU reports.

The Citizens Bond Oversight Committee needs to be provided progress and finance reports. The Executive Director and Deputy Chief are responsible for providing progress reports. Accounting is responsible for providing bond program specific financial reports. Project Managers will provide input to the progress report.