

APPENDIX E

*Administration of Capital Construction and
Controlled Maintenance Projects*

APPENDIX E

Administration of Capital Construction and Controlled Maintenance Projects

State Buildings Programs Policies and Procedures

CHECKLIST OF THE BASIC STEPS REQUIRED IN THE ADMINISTRATION OF CAPITAL CONSTRUCTION AND CONTROLLED MAINTENANCE PROJECTS (incorporating a Standard Scope of Professional Services for Design and a Lump-Sum Bid process for Construction.)

BASIC STEPS		RESPONSIBILITY
A. SETTING UP A PROJECT		
1.	Agency receives a long bill appropriation.	Legislature
2.	Accounts and Control assigns project number.	SBP/DOAC
3.	Construction Project Application SC-4.1 is prepared and sent to State Buildings Programs with the signature of the Principal Representative and the AP document.	Agency
4.	Review and SBP signature approval of SC-4.1 and sent to DOAC with AP document.	SBP/Delegee
5.	Distribution of approved SC-4.1.	DOAC
6.	Agency follows guidelines established to assist all state personnel responsible for the administration of controlled maintenance and capital construction projects.	Agency/Delegee/SBP
B. STARTING THE PROJECT		
1.	Preparation of Request for Qualifications (RFQ) draft for professional services.	Agency
a.	Professional services can also include efforts to produce studies, surveys, and programming documents.	
b.	If a non-standard project delivery method is proposed incorporating a construction manager/general contractor (CM/GC), this approach must first be approved by SBP.	SBP/Director
2.	Review and approval of RFQ draft for content, format and application.	SBP/Delegee
3.	Completion of RFQ.	Agency
4.	Advertisement for professional services pursuant to C.R.S. 24-30-1405, as amended. (Minimum solicitation time is 15 days and must be advertised on two separate dates.)	Agency
	NOTE: For professional services fees estimated at < \$50,000, public notification is not required, pursuant to C.R.S. 24-30-1405, as amended (an advertisement is not required).	
5.	RFQ documents are made available to prospective respondents.	Agency
6.	Completed RFQ's from respondents are evaluated and most qualified are invited to interview.	Agency
7.	Most qualified architect/engineer is selected and contract negotiations commence pursuant to C.R.S. 24-30-1405 (et. Seq.), as amended.	Agency
8.	A standard Architect/Engineer Services Agreement (Form SC-5.1) for all professional services involving design and specification of projects where the product of the services will result in construction or demolition, is prepared. A standard Consultant Agreement (Form 6-AC-02A) for professional services including asbestos abatement where the product does not result in construction or demolition is prepared. Attach Contractor Certification of Wage Rates and Minority/Women Business Enterprises (MBE/WBE) Compliance Report Form SBP-04. Insurance certificate from Architect/Engineer is required.	Agency
a.	First, the Architect/Engineer signs the agreement, then the Agency's Principal Representative, then SBP.	
b.	If modifications are proposed to the standard agreement or if a non-standard project delivery method such as a construction manager/general contractor (CM/GC) has previously been approved by SBP, a draft of the	SBP Director

Architect Engineer Companion Agreement to the CM/GC contract must		
	BASIC STEPS	RESPONSIBILITY
	first be approved by SBP prior to signing the Architect/Engineer Agreement.	
9.	Review and SBP signature approval of agreement. Agreement is then sent to the Attorney General's Office, Division of Human Resources, and the State Controller's Office, if delegations are not within the agency.	SBP/Delegee
	<u>NOTE:</u> State Controller will establish effective date; however, agency may insert date agreement is reached (made date).	
9.1.	Send copy of executed Agreement to C-West Code Consultants.	Agency
10.	Architect/Engineer prepared drawings and specifications are reviewed for programmatic compliance OR	Agency
10.1	Architect Engineer prepared study, survey or program document is reviewed and approved, thus satisfying the obligation of the Architect/Engineer as stipulated in the Consultant Agreement .	Agency
11.	Progress sets of the Architect's/Engineer's prepared drawings and specifications are sent to the State's code review consultant per the policies and procedures of the State's Code Review Checklist (Form SC-11.9, revised 1/97) pursuant to C.R.S. 24-30-1303(1)(2), as amended.	Agency and Architect/Engineer
12.	Architect prepared drawings and specifications are reviewed by SBP pursuant to C.R.S. 24-30-1303(3), as amended, with comments sent to the agency and the Architect/Engineer.	SBP/Delegee
13.	Agencies that have been approved to use the As-Needed Services Program will interview at least three (3) architects/engineers/consultants from the list and select the most qualified. Agencies not delegated will prepare four (4) Work Authorizations , send them along with a memo describing the selection process with a list of questions and a score sheet to the State Buildings' Director for approval.	Agency/Delegee/ SBP
14.	Responses to SBP delegee and code review consultant review comments, and incorporation of comments into drawings and specifications.	Agency and Architect/Engineer
15.	Preparation of Authorization to Bid (Form SC-6.10) with Architect/Engineer's estimate and signature for a lump-sum bid.	Agency
16.	<u>NOTE:</u> Code compliance documentation for the bid and drawings from the State's code review consultant is required prior to SBP approval of the Authorization to Bid .	Agency
17.	Preparation of Invitation to Bid (Form SC-6.11) .	Agency
18.	Approval and advertisement of Invitation to Bid for a lump-sum bid project pursuant to Procurement Rule R-24-103-202(3), revised 1/1/95 (minimum solicitation time is 14 days).	SBP/Delegee
	a. If a non-standard project delivery method is proposed incorporating a construction manager/general contractor (CM/GC), the proper solicitation for pre-construction/construction services is Request for Proposal (RFP). The RFP draft must first be reviewed and approved by SBP.	SBP Director
	b. The preparation of the RFP draft.	Agency
	c. Approval of the RFP draft.	SBP Director
	d. Advertisement for the RFP is to be reviewed and approved by SBP and advertised by the agency pursuant to Procurement Rule R-24-103-202a-01e, rev. 1/1/96. (Minimum solicitation time is 30 days.)	Agency and SBP
19.	Bids are received with accompanying Bid Bond (Form SC-6.14) , revised 7/1/89) and opened publicly pursuant to Procurement Rule R-24-103-202a.08, revised 1/1/95.	SBP/Delegee/ Agency
	<u>NOTE:</u> For a CM/GC project, RFP submittals for pre-construction/construction services, general conditions, are received and evaluated by agency with input from SBP. Interviews are set up and the most qualified is determined based on a combination of qualifications and price by the agency with input from SBP.	Agency and SBP Director
20.	Notice of Award (Form SC-6.15) is prepared, signed, and sent to agency.	SBP/Delegee
	<u>NOTE:</u> For a CM/GC project, Notice of Award is prepared by agency and	SBP/Delegee

signed by SBP prior to distribution by agency.

	BASIC STEPS	RESPONSIBILITY
21.	Distribution of Notice of Award signed by Principal Representative.	Agency
22.	Preparation of the standard Construction Agreement (Form SC-6.21, revised 9/92) . Agreement is sent to Agency for Principal Representative's signature. (If timing is critical, Principal Representative may sign Agreement at signing conference.)	SBP/Delegee
	NOTE: If modifications are proposed to the standard Agreement , or if a non-standard project delivery method such as a construction manager/general contractor (CM/GC) has previously been approved by SBP, the draft of the Agreement must first be approved by SBP prior to signatures by the agency, contractor and SBP.	SBP Director
23.	A contract signing conference is held with SBP and the contractor:	SBP/Delegee/ Agency
	<ul style="list-style-type: none"> contractor provides bonds with limits of each equal to 100% of the accepted bid (Forms SC-6.22, revised 7/70, and 6.221, revised 6/85) with power of attorney; certificate of insurance; and Minority/Women Business Enterprises (MBE/WBE) Compliance Report (Form SBP-04). 	Contractor
	<ul style="list-style-type: none"> agency provides four (4) complete stamped sets of drawings signed by the A/E and four (4) sets of specifications stamped and signed by the A/E. 	Agency and A/E
	<ul style="list-style-type: none"> agency provides the Building Inspection Record (SBP B.I.R. 7/98) posted by the Contractor at the job site. 	Contractor
	<ul style="list-style-type: none"> SBP and contractor sign four (4) sets of drawings and four (4) sets of specifications that have previously been signed by A/E. SBP and contractor sign five (5) original Agreements. Agreement is then sent to the Attorney General's Office and the State Controller's Office, if delegations are not within the Agency. If State Controller signs, he will distribute the copies. 	SBP/Delegee
	NOTE: State Controller will establish effective date; however, agency may insert date agreement is reached.	SBP/Delegee
	<ul style="list-style-type: none"> if contract time is \geq 180 days, it must be routed to the Division of Human Resources, prior to the AG's office. ONLY DELEGATED AGENCIES HAVE A PERSONAL SERVICES WAIVER. 	SBP Director
	<ul style="list-style-type: none"> for a CM/GC pre-construction/construction services base agreement/ the signing of the contract would be similar to that of a lump-sum bid except that the RFP document would be the basis for the fee and no bonds or insurance documents would be required until the first amendment establishing the guaranteed maximum price (GMP). 	SBP/Director
24.	Fully executed Agreement received. Five (5) originals of Notice to Proceed prepared, signed and forwarded to Principal Representative.	SBP/Delegee
25.	Principal Representative signs and distributes Notice to Proceed .	Agency
26.	Signed original of Notice to Proceed received. Contract manuals are prepared that incorporate specifications prepared by A/E, Construction Agreement, General Conditions (SC-6.23, revised 6/85) and Special Supplementary General conditions (SC-6.23A, revised 2/97) , bonds and insurance forms, MBE/WBE Contract Compliance Form, Notice to Proceed (SC-6.23) , signed by SBP. Manuals are distributed to agency, contractor, A/E, and one is retained by SBP.	SBP/Delegee/ Agency
27.	Project begins within ten days of date stipulated on Notice to Proceed .	Contractor
	NOTE: On a previously approved CM/GC project, the contractor would commence work as designated in the pre-construction/construction services/general conditions agreement immediately after the effective date the contract was established by the State Controller/delegee.	Contractor
C. MANAGING THE PROJECT: (Architect/Engineer Agreement)		
1.	Preparation of A/E Pay Application (Form SC-7.1) for portion of work completed and sends to agency.	A/E

BASIC STEPS		RESPONSIBILITY
2.	A/E Pay Application is reviewed against contract and Principal Representative signs for approval and sends to SBP for signature approval.	Agency/SBP/ Delegee
3.	Process is repeated until contract is completely liquidated.	Agency
NOTE: Process is similar when professional services are being provided on a CM/GC project.		
C1. MANAGING THE PROJECT: (Contractor's Agreement)		
1.	Preparation of Contractor's Pay Application (Form SC-7.s) for portion of work completed. Sends to A/E for approval.	Contractor
2.	A/E approves Contractor's Pay Application and sends to Agency.	A/E
3.	Contractor's Pay Application is reviewed against contract and retainage held. Principal Representative approves and sends to SBP for signature approval.	Agency/Delegee/ SBP
4.	Process is repeated until contract is completely liquidated.	
NOTE: Process is similar if a CM/GC project delivery method is used.		
D. A/E SUPPLEMENTS/CHANGE ORDERS/AMENDMENTS		
A/E Supplements are used to make modifications to a professional services contract. Refer to SBP Contract Modification Guidelines Policy (Form SBP/CONTRACTMOD01) for appropriate application.		
A/E SUPPLEMENTS		
1.	Additional A/E services are requested within the original scope of the Agreement and agency's professional services budget.	Agency
2.	A/E prepares and Principal Representative signs Supplement (Form SC-7.0, Rev. 2/96) and sends to SBP.	A/E
3.	Review and SBP signature approval. Approved Supplement is sent to State Controller's Office, if delegation is not within agency.	SBP
4.	Distribution of signed Supplement	Agency
NOTE: Process is similar if professional services are being provided on a CM/GC project.		
CHANGE ORDERS		
Change Orders are used to make modifications to the construction contract. Refer to SBP Contract Modifications Guidelines Policy (SBP/CONTRACTMOD01) for appropriate application.		
1.	Change work is requested	Agency
2.	A/E issues Change Order Bulletin (Form SC-6.311) with instructions to contractor.	A/E
3.	Contractor prepares Change Order Proposal (Form SC-6.312) with price and returns to A/E.	Contractor
4.	A/E reviews and approves price and forwards to agency.	A/E
5.	Agency reviews and approves Change Order Proposal and authorizes A/E to prepare Change Order (Form SC-6.31)	Agency
6.	A/E prepares Change Order , signs and issues it to Contractor.	A/E
7.	Contractor signs Change Order and sends to agency.	Contractor
8.	Agency's Principal Representative signs Change Order and sends to SBP.	Agency
9.	Review and SBP signature approval of Change Order . Signed documents sent to State Controller's Office, if delegation is not within agency.	SBP
10.	Distribution of Change Order .	Agency
NOTE: Process is similar if a CM/GC project delivery method is being used.		
EMERGENCY FIELD CHANGE ORDERS		
1.	Change work is requested.	Agency

BASIC STEPS		RESPONSIBILITY
NOTE: Contract language establishing the Emergency Field Change Order must be included in the original contract documents. (See Emergency Field Change Order Policy SBP-EMG FIELD CO.)		
2.	A/E issues Emergency Field Change Order with instructions to Agency.	A/E
3.	Emergency Field Change Order is approved.	Principal Representative and SBP
4.	Distribution of Emergency Field Change Order .	Agency
AMENDMENTS		
Amendments are used to make significant modifications to professional services contracts or construction contracts. Refer to SBP Contract Modifications Guidelines Policy (SBP CONTRACTMOD01) for appropriate application.		
1.	When using an Amendment (Form SBP-02, Revised 1/96) to a professional services contract, the process is similar to that of a Supplement . When using an Amendment to a construction contract, the process is similar to that of a Change Order . SBP approves all Amendments by signature.	Agency/SBP/Delegee
a.	Signature approval of the Attorney General/delegee is also required on all Amendments .	AG
b.	For CM/GC contracts, Amendments are used to establish the "guaranteed maximum price" (GMP) and to incorporate all anticipated bid packages into the construction contract. SBP approves all Amendments by signature.	SBP Director
E. FISCAL YEAR END		
1.	Preparation and distribution of Open Projects List .	DOAC
2.	Review of Open Projects List for: expiration of third year closing deadline for appropriation; additional appropriations for upcoming year; unexpended funds remaining versus outstanding encumbrances; project completion and/or project continuation status and reverting funds.	Agency
3.	Preparation and submittal of CCCAS form as required by DOAC instructions to either request for project close-out or continuance of appropriate spending authority.	Agency
F. CLOSING THE PROJECT		
1.	Contractor requests inspection and punch list from A/E after all required code inspections have been performed and signed-off in accordance with the Building Inspection Record .	Contractor
2.	A/E inspects and prepares punch list of items not acceptable. Punch list is sent to Contractor and with copies to agency.	A/E
3.	Contractor completes work required by punch list.	Contractor
4.	A/E and agency inspect project to determine all punch list items have been completed and that fewer than ten items remain.	A/E and Agency
5.	A/E completes and signs Close Out Checklist (Final Occupancy Permit SBP-05, revised 7/98) and Contract Close-out Punch List (SBP-06, revised 7/98) and sends to Contractor.	A/E
6.	Contractor signs form and sends to agency.	Contractor
7.	Agency's Principal Representative signs form and sends to SBP.	Agency
8.	Review and SBP signature approval of checklist forms. Preparation of SBP signature approval of Notice of Acceptance (Form SC-6.27) issued to agency.	SBP/Delegee
NOTE: The warranty period begins when Principal Representative signs Notice of Acceptance .		
9.	Agency's Principal Representative signs Notice of Acceptance and distributes.	Agency

	BASIC STEPS	RESPONSIBILITY
10.	Notice of Contractor's Settlement (Form SC-7.3, revised 5/93) is prepared and sent to newspapers pursuant to C.R.S. 38-26-107, as amended.	Agency
11.	Newspapers advertise settlement of project twice. Ten days after last advertisement, contractor is eligible for final payment and retainage.	Agency
12.	Contractor sends Final Application for Payment to A/E for approval.	Contractor
13.	A/E approves Final Application for Payment and sends to agency.	A/E
14.	Agency's Principal Representative signs Final Application for Payment and distributes.	Agency
15.	Before receipt of final payment, contractor sends as-built drawings and warranties to agency.	Contractor
16.	Six-month and eleven-month walk-through inspections with A/E and Contractor as per Agreement .	Agency

REFERENCES:

1. Colorado Revised Statutes (C.R.S.): title 24, Article 30, Parts 13 and 14, as amended
2. Fiscal Rules: issued by the Division of Accounts and Control.
3. Procurement Rules: issued by the Division of Purchasing.
4. Budget Instructions: issued by the Office of State Planning and Budget.
5. Capital Construction Accounting Guidelines: issued by the Division of Accounts and Control.