DELEGATION OF CAPITAL OUTLAY MANAGEMENT AUTHORITY AGREEMENT  1

BACKGROUND  1

IMPORTANCE OF THE CAPITAL OUTLAY PROGRAM  2

ROLES AND RESPONSIBILITIES  2

ORGANIZATIONAL STRUCTURE  3

OTHER CAMPUS SUPPORT  6

CAMPUS OPERATIONAL PLAN
- Project Programming / Planning Phase  7
- Feasibility Study  8
- Project Budget  8
- Group II Equipment  8
- California State Environmental Quality Act  8
- Project Sustainability  9

RESPONSIBILITIES OF THE OFFICE OF DESIGN & CONSTRUCTION
- Design Management  9
- Consultant Selection  9
- Design Consultant Contracts  9
- Construction Contracts  10

DESIGN PHASES
- Schematic Phase  10
- Preliminary Design Phase  10
- Construction Documents Phase  11
- Plan Reviews During Design Phase  11
- Pre-Bid Construction Contract Phase  13
- Bidding Phase  13

CONSTRUCTION PHASE
- Construction Management  14
- Record Drawings  14
- Project Close-Out  14

RISK MANAGEMENT  15

BUILDER'S RISK INSURANCE  15
MINOR CAPITAL OUTLAY,
CAMPUS, FOUNDATION AND/OR AUXILIARY PROJECTS

CAMPUS OPERATIONAL PLAN

FOUNDATION AND/OR AUXILIARY PROJECTS

PROJECT FUNDING
- Minor Capital Outlay Projects
- Campus Funded Projects
- Foundation and/or Auxiliary Funded Projects
- Job Order Contracting (JOC)

PROJECT BUDGET MANAGEMENT

PROJECT ACCOUNTING RESPONSIBILITIES

PROJECT ADMINISTRATIVE FEES

FUND TRANSFER REQUEST FOR PROJECT ADMINISTRATIVE FEES

CONTRACT EXTRA SERVICES & CHANGE-ORDERS
- Consultant Contracts
- Construction Contracts

PROJECT SAVINGS
- Minor Capital Outlay Projects
- Campus & Foundation and/or Auxiliary Funded Projects

EXHIBITS

A - T
Delegation of Capital Outlay Management Authority

This delegation made and entered into this 4th day of September, 2008, between California State University, Fullerton, and the Office of the Chancellor, hereby transfers authority to the campus for direct management of the capital outlay process from initial funding through completion of the project.

In consideration of receipt of transfer of capital outlay management authority, the campus does hereby agree to the following conditions and stipulations:

A. Management
   1. The campus shall follow the current management plan it has prepared in seeking management authority. Key management staff have been consulted in the preparation of this plan and concur with its intent. The plan is incorporated herein by reference.

   2. During the delegation period, the campus may modify the plan if it determines that such modification is required to improve the operational efficiency. A copy of the modified plan is to be filed with the Assistant Vice Chancellor - Capital Planning, Design and Construction on behalf of the Certification Review Board.

B. Budget
   1. The campus shall be responsible for the management of all preliminary planning, working drawings, construction and group II equipment funds allocated for each and every project.

   2. The campus shall submit project status financial reports on a quarterly basis to Capital Planning, Design and Construction in the Office of the Chancellor on all projects. Additional reports pertaining to capital outlay expenditure projections shall also be provided.

   3. The campus shall use its financial reporting system to generate a report that identifies the project budget, prior year expenditures, current year expenditures, encumbrances, and budget balance available. This report should be able to include all funding sources across multiple years that span the life of the project. The campus shall reconcile project cost tracking systems monthly against the campus financial system.

C. Design
   1. Using SUAM selection guidelines, the campus shall conduct interviews and select a preferred design professional required for each project.

   2. The campus shall prepare and administer contracts with the design professionals, using the trustees-approved fee schedule and standard agreement approved by the Office of General Counsel in this process. The campus will also administer contracts with all other vendors for service agreements needed for the project using standard forms approved by the Office of General Counsel.

   3. The campus shall prepare or cause to be prepared the appropriate CEQA documents and submit the documents according to established operation procedures.

   4. The campus shall submit the schematic design package, in accordance with SUAM, to the Office of the Chancellor for final approval by the Assistant Vice Chancellor, Capital Planning, Design and Construction, or Board of Trustees as appropriate.
5. The campus shall submit the complete (100 percent) preliminary plan package. The submittal shall include a certification that the project complies with supplemental language to the budget with regard to scope, schedule and budget, along with any action taken to meet these criteria.

6. The campus shall submit the complete (100 percent) working drawings package, including all required plan approvals. The submittal shall include a certification that the project complies with supplemental language to the budget with regard to scope, schedule and budget, along with any action taken to meet these criteria.

D. Construction
1. Following SUAM guidelines, the campus shall carry out all normal pre-bid activities. Capital Planning, Design and Construction staff will provide contractor prequalification services.

2. The campus, using Office of General Counsel approved contract documents, shall prepare all appropriate contracts and submit said documents to legal counsel for approval as required.

3. The campus shall carry out all construction management activities and complete the project within the approved scope, schedule and budget, in accordance with SUAM guidelines.

4. Costs of claims disputes and settlements are the responsibility of the campus. The campus shall follow the procedures established in SUAM. Capital Planning, Design and Construction staff shall make available claims dispute services including claims resolution during construction, claims review board process, and claims settlement negotiations.

E. Post Construction Review
1. The campus shall submit a post project review report to Capital Planning, Design and Construction staff within 90 days of filing the Notice of Completion.

2. The campus shall accommodate site visits by Capital Planning, Design and Construction staff to assess campus performance. Capital Planning, Design and Construction staff will then identify any on-going concerns during the project. This review is for the purpose of determining the effectiveness of campus management practices related to the capital outlay program. The results will be reviewed with the campus and may be reviewed by the Certification Review Board.

This delegation shall remain in effect unless withdrawn by the Executive Vice Chancellor/Chief Financial Officer, Business and Finance, upon recommendation of the Certification Review Board.

IN WITNESS WHEREOF, this delegation has been executed by the parties hereto, upon the date first above written.

<table>
<thead>
<tr>
<th>California State University, Fullerton</th>
<th>Office of the Chancellor The California State University</th>
</tr>
</thead>
<tbody>
<tr>
<td>By Milton A. Gordon 9/9/08</td>
<td>By Richard P. West 9/1/08</td>
</tr>
<tr>
<td>President</td>
<td>Executive Vice Chancellor/Chief Financial Officer Business and Finance</td>
</tr>
</tbody>
</table>

Page 3 of 3 pages
Revised September 3, 2008
CALIFORNIA STATE UNIVERSITY, FULLERTON

DELEGATION OF CAPITAL OUTLAY MANAGEMENT AUTHORITY

BACKGROUND

Prior to 1997, all major capital outlay projects throughout the CSU were centrally managed by the Chancellor's Office.

With Executive Order No. 672 (Exhibit A), the Chancellor delegated the authority to manage capital outlay projects to the individual campuses. This authority applies to both State and Non-State funded capital outlay projects and encompasses all phases of project delivery, from programming, through design and construction. It also requires each campus to comply with the State University Administrative Manual (SUAM) requirements and reserves oversight responsibility to the Chancellor's Office, Capital Planning, Design & Construction (CPDC).

In order for any individual campus to be granted this delegated authority, it must develop an operational plan for management of capital projects. At CSUF, this responsibility is assigned to the Division of Administration and Finance, to Facilities Management. Facilities Management and its Associate Vice President are responsible for conformance to the requirements of this plan. Facilities Management carries out these responsibilities primarily through its Office of Design & Construction, but also through Physical Plant on Capital Renewal and infrastructure projects. When the name D&C is used in this document it will refer to Physical Plant on certain project types. To assure that the interests of the Trustees are protected, the campus must demonstrate that a competent staff of experienced professionals is in place to manage the projects.

The CSUF campus submitted its first Operational Plan for Delegation of Capital Outlay Management Authority on March 31, 1997. We learned much during that time and a revised plan was submitted in 2003. Facilities Management continues to successfully manage the capital outlay program, and we are updating our plan effective June 2008.
IMPORTANCE OF THE CAPITAL OUTLAY PROGRAM

It is of great importance to California State University, Fullerton (CSUF) to continue to have a successful capital outlay program. As a key part of the campus mission and goals, the capital outlay program helps develop and maintain attractive, accessible and functional facilities that support learning. It also integrates advances in information and communication technologies into the campus work environment. CSUF is currently the fastest growing CSU in terms of full-time enrollment. As a result CSUF continues to maintain one of the most aggressive growth plans in the CSU. As we continue to grow, our capital outlay program assumes even greater importance. Delegated authority allows us to effectively manage our own projects and be more responsive to our campus clients and to the specific needs of California State University, Fullerton.

CSUF has a long history of managing numerous major capital outlay projects. Since delegation to the campus in 1997, CSUF has completed a significant number of major capital projects. These include: Phase II of the Library Seismic Upgrade, Titan House Remodel, Langsdorf Hall Seismic Upgrade, Student Housing Addition Phase II, Health Center Addition, Humanities Seismic Upgrade, KHS Addition, Arboretum Visitor Center, Auditorium/Fine Arts Instructional Facility, Telecommunications Infrastructure, Fire Life Safety, two Parking Structures, Student Recreation Center and a number of Capital Renewal projects. We are in the design phase for Student Housing Phase III, Child Care Center, and Parking Structure III; and are in the construction phase for the College of Business & Economics, and University Police Building.

In terms of dollars, the capital outlay program at CSUF has been one of the most active in the CSU system over the past years. Since delegation, CSUF has successfully managed over $194 million of delegated major capital outlay projects. We are currently managing major capital projects in construction and design phases of over $275 million in state and non-state funds. (Exhibit B) *Taken together with other smaller projects, this represents over a half billion dollars of successful project management!*

ROLES AND RESPONSIBILITIES

The mission of Facilities Management at CSUF is to *help create and maintain quality environments that enable students to learn, instructors to teach, and staff to support the mission of California State University, Fullerton.*

Facilities Management working through the Office of Design & Construction (D&C) and Physical Plant prepares the capital outlay plans for the campus, and directs the programming, planning, design, construction, and maintenance of all new and remodeled facilities and other public works projects for CSUF and its auxiliary organizations. It formulates, recommends and is responsible for administering all policies related to capital outlay planning. It provides oversight and guidance for the development of the University’s Master Plan, acts as a liaison for capital projects with the community and state and federal agencies, and advises the
President on matters affecting the University's development. Facilities Management also assists the President in lobbying for support of capital projects.

ORGANIZATIONAL STRUCTURE

In any venture, the people involved are critical to its success. California State University, Fullerton, Division of Administration and Finance, and Facilities Management is staffed with highly qualified professionals in various areas who have extensive backgrounds in all phases of capital outlay programs from planning, budgeting, design, construction, contract and financial management, to maintenance and operations. Following are brief statements of roles and responsibilities relative to CSUF's capital program. (See Organizational Charts - Exhibit C)

PRESIDENT
- Serves as Chief Executive, prioritizes and approves all capital outlay projects.
- Represents campus at the Board of Trustees meetings.
- Oversees the campus attorney.
- Is consulted on change orders over $200,000.

VICE PRESIDENT FOR ADMINISTRATION & FINANCE
- Directs and oversees four administrative units: Financial Services, Facilities Management, University Police, and Administration.
- Serves as CFO for the campus and its auxiliaries.
- Responsible for the University's operating and capital budgets.
- Is a member and participates in key campus and community committees including President's Administrative Board which is involved in the overall planning and management of the University.
- Reviews and approves all change-orders up to $200,000.

FACILITIES MANAGEMENT

Associate Vice President
- Provides administrative oversight to Facilities Management.
- Serves as Executive Dean.
- Serves as Chief Building Official.
- Oversees Capital Development Plan.
- Reviews and approves all change-orders up to $125,000.

Manager, Physical and Capital Planning
- Provides oversight and guidance for the development of the University's Master Plan.
- Provides capital project programming & budgeting.
- Responsibility to manage the CEQA Compliance.
Space Planning
- Provides space and occupancy management.
- Assists building occupants with move coordination.

OFFICE OF DESIGN & CONSTRUCTION (D&C)

Director
- Directs the overall office including project management, project administration, CAD services and project inspection.
- Directs the design and construction activities related to all capital projects on campus and represents the University as Campus Architect.
- Develops and initiates policies, procedures, and campus design standards.
- Serves as "Project and Construction Administrator" on all project contracts.
- Approves all contract invoices and change-orders up to $75,000.

Associate Director
- Supervises the project management staff of D&C.
- Provides project management on assigned capital outlay projects.
- Represents D&C in the absence of the Director.
- Reviews all contract invoices and approves change-orders up to $15,000.

Assistant Director for Administration
- Coordinates the project budget, and contract operations to ensure quality and efficient operations in managing the capital outlay program.
- Manages and supervises the day-to-day administrative operations to support the capital outlay program.
- Reviews all contract invoices and change-orders submitted for Director's approval.

Manager CAD Services
- Manages and maintains the CSUF CAD database, and is responsible for "as-built" record drawing archives and CAD documents.
- Develops CAD standards to ensure quality control for working drawings.
- Provides CAD support on capital projects.
- Reviews design and construction documents for completeness and quality control.

Chief Campus Inspector
- Manages and supervises project inspectors (IOR)
- Coordinates inspection with the SFM.
- Develops inspection procedures, and coordinates project punch lists with other campus departments including Physical Plant and EH&IS.
- Reviews for approval all invoices for the general contractor.
Prepares bid abstract
Determines low responsible bidder and awards bid
- Processes consultant and vendor agreements
- Processes construction contracts
  Obtains certificates of insurance and bonds
  Verifies DVBE and small business status
- Processes Preliminary Notices, Stop Notices and Releases
- Reviews sub-contractor substitution requests
- Verifies contractor’s payroll for prevailing wage compliance

Accounts Receivable
- Processes monthly Cash Flow Analysis Reports to Chancellor’s Office

Accounts Payable
- Processes and reconciles invoice payment transactions after review and approval by D&C

OTHER CAMPUS SUPPORT

Various other CSUF departments provide critical support for the capital outlay program. Among these are Environmental Health & Instructional Safety, and Disabled Student Services, University Police, Parking & Transportation, and Campus Information Technology.

ENVIRONMENTAL HEALTH & INSTRUCTIONAL SAFETY
Works closely with Facilities Management in matters relating to the health and safety on all capital outlay projects, and assists as liaison with the State Fire Marshal.

DISABLED STUDENT SERVICES
Works closely with Facilities Management in issues related to the accessibility of facilities and advocates for accessible design and compliance with ADA codes on all capital outlay projects and assists as liaison with DSA.

UNIVERSITY POLICE
Works closely with Facilities Management in issues relating to the building security and surveillance. Reviews safety of site and roadway impacts to campus by capital projects.

PARKING & TRANSPORTATION
Works closely with Facilities Management in issues of campus parking, roads and walkways, service areas, and parking permits.
Project Managers

- Manage the day-to-day design and construction activities of capital outlay projects.
- Supervise and coordinates the work of professional consultants, contractors, and vendors.
- Implement campus standards to ensure the quality of all work performed.
- Monitor project compliance with scope, budget and schedule.
- Review all contract invoices and approves change-orders up to $15,000.

Project Inspectors (Contracted)

- Ensure the quality of all construction on campus, conformance with approved construction documents and compliance with state building codes.
- Reviews construction documents for completeness and quality control.

PHYSICAL PLANT

Physical Plant works closely with Design & Construction to ensure the maintenance and operational aspects of capital outlay projects and assists in developing campus standards and reviews construction documents and construction work. Physical Plant also manages certain Capital Projects including Utility Infrastructure, Capital Renewal, and campus funded projects.

FINANCIAL SERVICES

Financial Services has significant roles and responsibilities in the capital operation plan. They work closely with Facilities Management on a continuous basis and are responsible for providing the following support for the capital projects:

Budget

- Verifies funding source, and establishes project funds via a budget allocation or budget transfers
- Transfers project administrative fees

Contracts & Procurement (C&P)

- Manages Bidding Process
  - Develops Notices to Bidders
  - Places advertisement for bids
  - Assembles “boilerplate” for project manual including general and special conditions, bid forms, DVBE documents and required certifications
  - Receives final construction documents from consultants and sends to printer for distribution to bidders
  - Attends pre-bid meeting
  - Issues addenda during the bid period
  - Conducts public bid opening
CAMPUS INFORMATION TECHNOLOGY
Works closely with Facilities Management in issues for telecommunications and data design and installation on capital projects.

CAMPUS OPERATIONAL PLAN

The campus uses the processes outlined below during the multiple phases of management for major capital projects. This plan incorporates the campus’s current practices, procedures and controls. This plan primarily addresses major architectural projects. It would be impossible to address every possible project type and the procedural differences and nuances between them. Not all projects follow every step which follows. However, Facilities Management will ensure that the appropriate steps are followed per SUAM for each project.

Project Programming / Planning Phase
A project need is brought to the attention of Facilities Management via discussions, memoranda, Project Request Form or Service Request. A preliminary project description and justification may be provided by the client or is developed collaboratively between Facilities Management staff and the client. The request is reviewed by Facilities Management to see if existing space or planned projects can address the need.

Facilities Management and the client review the need to further detail the project and to start defining what specific functions can be included in the project. The project is then approved to proceed by the appropriate Vice President(s). A building committee is appointed that represents the appropriate campus constituencies for the project.

The building committee is typically comprised of campus end users (clients), key members of the faculty, Facilities Management (including the Associate Vice President), Director of Design & Construction, the Facility Planner, Project Manager, and related technical offices such as Physical Plant, Environmental Health & Instructional Safety, and Disabled Student Services.

The building committee is involved throughout the project, beginning with the finalization of the project program and continuing through the selection of the design professional, the review and approval of the design process, and periodically monitoring the progress of the construction. This is accomplished through frequent project meetings, participation in the final project walk-through, and acceptance of the project.

The building committee and Facilities Management collaborate to develop a first draft of the Capital Outlay Budget Change Proposal (COBCP) (Exhibit D). The COBCP document includes: a project description; the project justification; appropriate room descriptions; discussions relating to the impact on enrollment; utility and communications impacts; and secondary effects. The COBCP also includes budget documentation that is discussed in the next section.
Facilities Management consults various campus groups prior to the inclusion of a project in the campus's Draft Five-Year Capital Outlay Program. Following approval by the President, this is submitted to CPDC in accordance with the “call letter”. Facilities Management seeks review and approval by other campus constituencies as necessary, depending upon the type of project.

Between the submittal of the Draft and Final Five-Year Capital Outlay Program, further campus consultation and program detailing continues. The Final Five-Year Capital Outlay Program is submitted to the Governor and Legislature for approval.

Feasibility Study
A feasibility study is required by CPDC on all major capital projects. This study helps define the program scope with conceptual design solutions and confirms the project budget by way of a preliminary cost estimate for the proposed capital project.

Facilities Management initiates the feasibility study by first hiring a design or engineering consultant to prepare the study in collaboration with the building committee. A feasibility study includes detailed site analysis and conceptual design solutions based upon the approved program requirements. A completed feasibility study provides realistic design solutions and budgets before beginning a formal design process.

Project Budget
As part of the needs assessment, Facilities Management develops a project budget (Capital Outlay Estimate Form CPDC 2-7) (Exhibit E) on all major capital projects. As a preliminary method of developing a project budget, the existing Cost Guide format is a useful tool. If all or part of the project is not covered by existing cost guide formulae, or if unique circumstances are encountered, Facilities Management may contract with cost estimators, planning consultants, soils/seismic/structural engineers, and/or specialized designers to assist in budget development on an as-needed basis. The use of a Feasibility Study helps define and confirm a realistic project budget. Project budget consideration is completed no later than the submittal of the Final Five-Year Capital Outlay Program.

Group II Equipment
Facilities Planning works closely with the building committee, Physical Plant, and occupants to develop and coordinate a list of proposed Group II equipment for the project. CPDC reviews and approves the final list and budget for project Group II equipment.

California State Environmental Quality Act - CEQA
All projects must meet the requirements of CEQA (California State Environmental Quality Act). All CEQA documentation is completed in the schematic design phase of the project. The Facility Planner has overall responsibility of managing the CEQA compliance on projects.
Exempt Projects

- The Office of Design & Construction will prepare a CEQA Notice of Exemption (Exhibit F) for all campus projects that are exempt under one of the following exemptions: 1) Statutory and 2) Categorical.

Non-Exempt Projects

- The Facility Planner will determine the extent of environmental documentation required for non-exempt projects and process an Environmental Impact Report (EIR) or Negative Declaration for all campus capital projects.

Project Sustainability

Executive Order No. 987 – Policy Statement on Sustainable Building Practices for California State University dated August 2, 2006 by Chancellor Reed implements a new policy on project sustainability. Beginning in 2006/07 fiscal year all major capital new building and renovation projects shall be designed and constructed to meet equivalent LEED (Leadership in Energy and Environmental Design) “Certified” as established by U.S. Green Building Council and shall strive to achieve the equivalent to LEED “Silver” within the project budget constraints. Projects may also be reviewed by the CSU equivalent Sustainability Measurement System in lieu of LEED. The campus will self certify project sustainability but may elect to seek formal certification of LEED by USGBC. CSUF desires to meet or exceed these policy expectations.

RESPONSIBILITIES OF THE OFFICE OF DESIGN & CONSTRUCTION

Design Management

After the project has been programmed, budgeted, and funded, the first step in the design process is the selection and contracting of the project consultant.

Consultant Selection

D&C takes the lead on consultant selection and prepares a Request for Qualifications (RFQ) that outlines the scope of the project and professional services needed for the project. The RFQ is sent to consultants deemed appropriate for the project from the CPDC list of approved consultants. The RFQ typically includes a proposed CPDC Standard Architect/Engineering service agreement utilizing the CPDC standard General Conditions, CSU CAD Standards and campus Special Conditions. The proposed agreement includes a fee established using the CPDC fee schedule guidelines applicable to the specific project type. The building committee interviews the responsive consultants before making a final selection. SUAM guidelines are followed throughout the design consultant selection process.

Design Consultant Contracts

D&C and C&P use standard CPDC service agreements for all consulting services including architecture, engineering, geotechnical testing and inspection, surveying, plan check and constructability review, hazardous materials abatement, seismic peer review, HVAC peer review, and project commissioning. Standard CPDC “Master Enabling Agreements” are
used to streamline the contract process with certain project consultants and vendors. D&C negotiates fees for the required consulting services and/or utilizing fee schedules negotiated by CPDC when available, and prepares the necessary contracts and forwards through C&P for execution. At the completion of each phase of the contract D&C will issue an Authorization to Proceed (Exhibit G) to authorize the consultant to proceed to the next phase of design service.

**Construction Contracts**

D&C will establish the method of Project Delivery for all major capital projects with concurrence from CPDC. There are three types of project delivery which may be used on Major Capital Projects including: CM @ Risk; and Design-Build or Modified Design-Build, and traditional Design, Bid, Build. Portions of construction may also be delivered by Job Order Contracting (JOC) for work under $400,000.

**DESIGN PHASES**

**Schematic Phase**

After the fully executed contracts have been issued to the design consultant and other related consultants, D&C initiates the schematic design phase by holding a series of design meetings with the consultants, building committee, users and related campus technical departments (Environmental Health & Instructional Safety, Physical Plant, Disabled Student Services and Public Safety). During these meetings, design concepts, budgets and schedules are developed, presented, and reviewed. The schematic design is reviewed and approved by Presidents Advisory Board (PAB) and also reviewed by CPDC. Major capital project schematics that affect the campus appearance and environment are presented to the Board of Trustees (BOT) for final approval. Approval for other projects has been delegated to the Assistant Vice Chancellor for CPDC.

**Preliminary Design Phase**

During the Preliminary Design Phase, D&C coordinates the more technical related aspects of the design with the consultants and solicits the involvement of other concerned and related campus departments such as Environmental Health and Instructional Safety, Physical Plant, Disabled Student Services, and Public Safety. The State Fire Marshal (SFM) and Division of the State Architect (DSA) review the preliminary plans. The Architect / Engineer team prepares a life cycle cost analysis, and the project budget and schedule are updated.

Once all requirements of the campus and state agencies have been incorporated into the Preliminary Design Phase, D&C confirms the scope of the project, and verifies the construction budget through the consultant's cost estimates and receives the necessary approvals from CPDC. The consultant is then authorized to begin the Construction Documents Phase.
Construction Documents Phase

The Construction Documents Phase continues in a manner similar to the Preliminary Design Phase. The building committee periodically meets with the consultant to review on-going work and approves the more detailed aspects of the project’s design. This includes review and approval of colors and material selections for the project, as well as special products or equipment. The Construction Document Phase completes the necessary bidding documents including plans, specifications, color and material boards, and final cost estimate. Deductive and/or additive alternates may be included in the construction documents bid set. A final cost estimate, schedule and life cycle cost estimate are presented to the building committee for review and approval.

Plan Reviews during Design Phase

A. Mandatory Reviews and Proposals
For major architectural projects, the following reviews are required by CPDC per SUAM. For other project types, the required reviews and approvals will be secured. This will not necessarily include all of those discussed below. In any case, the design consultant is responsible for submitting plans for the following reviews / approvals. The design consultant is required to make corrections as noted and also submit for back check and make all corrections to satisfy the requirements for final approval with appropriate agency stamp and wet signature.

1. State Fire Marshal (SFM) - review and approval (stamp signature) is required for fire life safety on all capital projects. Drawings for review are submitted to the SFM located in Monrovia. SFM review fees are funded by CPDC. The campus also has an assigned SFM who can review and approve minor capital projects and inspect all major capital projects for compliance to current fire codes.

2. Department of State Architect (DSA) - review and approval is required for ADA / Access Compliance. Drawings for review are submitted to the DSA San Diego Office. Review fees are paid by the design consultant and are reimbursed expenses under the agreement. Major and minor capital projects should obtain a schematic review and must receive a final construction document approval with stamp, date and signature.

3. HVAC Peer Review – review and approval is required for HVAC design on projects by selected list of CPDC approved consultants. Schematic and construction document review and approval is required. The University contracts for these services through a CPDC MEA. Approval is by letter from HVAC peer review consultant.

4. Seismic Peer Review – review and approval is required for structural design and seismic compliance by selected list of CPDC approved consultants. Schematic and construction document require review and approval. The University contracts for these services through a CPDC MEA. Approval is by letter from the peer review consultant.
5. **Code Review** – review and approval is required for compliance to appropriate building codes in the State of California by selected list of CPDC approved consultants. Schematic and construction document require review and approval. The University contracts for these services through a CPDC MEA. Approval is by letter from the code review consultant.

6. **Design Team** – the architect and its consultants shall carefully coordinate, review and approve all construction documents for adherence to professional standards. The architect and its consultants shall stamp, date and sign all drawings per their appropriate disciplines. This review and approval is part of the architect’s contract agreement with the university.

7. **Commissioning** – all major capital projects over $6M and having significant HVAC and electrical systems shall be commissioned as required by CPDC. The University contracts for these services through a CPDC MEA. The university assigns the Physical Plant Commissioning Manager to coordinate the work of the commissioning process.

8. **Orange County Health Department** – Any major or minor capital project which is programmed and designed to provide for food service and/or food preparation shall be reviewed and approved by the County Health Department. Approval is by stamp, date, and signature of the Health Department. The design consultant is responsible for coordinating and funding this review and approval through reimbursed expenses.

10. **CPDC** – all major capital projects shall be reviewed and approved in the schematic design phase by CPDC. The university coordinates this review and the design consultant is responsible to provide the required design submittals for schematic review. The design consultant is also responsible to incorporate CPDC design review comments in the final schematic design. CPDC also requires submittals for all phases of the design agreement including final review and approval by CPDC of the construction for approval to Advertise and Bid.

11. **Board of Trustees (BOT)** – all major capital projects which significantly change the existing campus master plan need prior review and approval by the BOT. CPDC approved schematic design documents are submitted for BOT review and approval.

B. **Campus Elected Review and Approvals**

1. **Constructability Review** – is optional as deemed necessary by the university. This review checks the construction documents for coordination, completeness and buildability. The university contracts this service through a CPDC MEA. CPDC provides a selected list of code plan check consultants. Review and approval by the consultant is by letter.

2. **Campus Technical Review** – is provided by various departments within the university as appropriate for the scope of the project. Campus technical reviews may be performed by Physical Plant, Parking, University Police, EH&IS, IT, and Disabled Student Services, and the University client / user.
3. Special Conditions, Campus Design Standards, and Proprietary Specifications -
D&C works closely with the design consultant to incorporate any Special Conditions into the
construction contract pertinent to the project and includes campus Division I requirements
applicable to the project and required by the campus. D&C also verifies that campus design
standards and specifications are incorporated into the construction documents.

Once the design consultant receives final approvals from SFM, DSA and other plan
reviewers, and the final cost estimates and schedule are approved, the construction
documents are considered complete and are ready to bid. D&C works with the consultant to
define allowances and additive and/or deductive alternates and submits them to CPDC for
review. The design consultant will prepare a Life Cycle Cost Estimate per CPDC
requirements. This Life Cycle Cost Estimate helps us evaluate long-term maintenance and
utility costs. Then at that point, the Campus Building Official issues the Campus Building
Permit (Exhibit H), and approval to bid the project is secured from CPDC which includes a
revised 2-7 Project Budget Form and a Statement of Finances (Exhibit I).

Pre-Bid Construction Contract Phase
D&C works closely with C&P to develop and manage all bidding of construction contract
documents. The campus uses standard construction agreements developed by CPDC. These
include both general and special conditions for construction agreements. D&C develops its
own special conditions as applicable to each specific project.

Prior to bid the design consultant prepares all the construction documents required for the
project except the Contract General Conditions, Campus Special Conditions and the Notice to
Bidders. D&C and C&P work closely to coordinate and complete those documents. D&C
selects the appropriate method for determining the low bid per SUAM, determines the
construction schedule, and defines potential liquidated damages. C&P determines special
requirements applying to bidders, including bonds, insurance and DVBE regulations, and
advertises the project to bidders.

Bidding Phase
Typically D&C and C&P hold a pre-bid meeting including job walks for contractors for
information and clarification. During the bidding period, the design consultant is responsible
for responding to questions from bidders and preparing addenda as required with the approval
of D&C. C&P coordinates all addenda prepared by the consultant during the bidding process,
and conducts a public bid opening to determine the lowest responsible bidder.

C&P and D&C review all bid submittals to ensure that the low bid is valid and all
requirements of the bid are met. Upon concurrence with CPDC including a revised 2-7 Project
Budget and a revised Statement of Finances, C&P awards the bid. C&P, Office of General
Counsel, and the low bidder sign all required contract documents. After the contract is signed
and all required bonds and insurance requirements are sent to C&P, and D&C issues the Notice
to Proceed (Exhibit J) to the Contractor. At that point, the contractor is authorized to begin
construction on the project according to the Notice to Proceed date.
CONSTRUCTION PHASE

Construction Management
D&C manages the construction process, and works closely with the building committee, related campus departments and governing state agencies throughout the project.

During construction, the project manager, the project inspector, the consulting project architect or engineer, and the contractor’s team meet together on a regular basis to review the progress of the project. The project manager and consulting architect conduct these meetings. The typical agenda includes monitoring construction progress by reviewing the short and long-term project schedules, reviewing the status of action items, deliverables, submittals, RFI, cost request bulletins, and pending change orders. The project manager monitors the budget by keeping a log of all pending construction change order requests, and verifying the availability of contingency funds to pay the costs.

Both the project manager and the inspector monitor the work on a daily basis. The inspector keeps a daily log of activity on the project site and alerts the campus and the A/E team to potential problems on the site. They communicate with the contractor on a daily basis to help resolve questions or conflicts, arrange inspections and punch lists, and work with the consulting architect and contractor to ensure that all corrective work is completed prior to building acceptance.

Throughout the construction process the project manager and consultant review and approve applications for payments and process potential change orders. The Director of Design and Construction acting as “Project Administrator” and “Construction Administrator” gives final approval of payments. The Project Manager, Associate Director and Director continuously monitor current and projected expenses to ensure the project stays within budget.

Record Drawings
Accurate record documents are extremely important to the campus. The Inspector of Record (IOR) monitors the “as built” construction documents to ensure that all changes are accurately recorded when all work is completed and the punch list is done. CAD drawings are reviewed for compliance to drawing standards and CAD requirements. Contract retention is held for both the Architect and Contractor until the record drawings are satisfactory completed.

Project Close-Out
The project closeout process includes the coordination of operation and maintenance manuals and training Physical Plant staff on the building’s operation. When the project is fully completed, D&C files a Notice of Completion (Exhibit K). During this time C&P verifies that all preliminary Notices and Stop Notices are resolved, and only then is the Contractor paid retention. Facilities Management may assist and help coordinate the move in of the building occupants. The Project Manager works closely with the building users and Physical
Plant to ensure that the contractor completes all corrective work within the typical one-year warranty period of the project.

**RISK MANAGEMENT**

The campus is responsible for all claims against its construction projects. Careful management of the design process, including completion of comprehensive constructability plan reviews, helps to minimize construction claims. Liquidated damages clauses are included in all contracts, and may be used by the campus to negotiate delay claims by the contractor.

In keeping with our philosophy of resolving claims during the project, every attempt is made to resolve the claims between the Project Manager, Architect/Engineer and the Contractor. If the project team cannot resolve the claims, then the Director of Design & Construction reviews it. Should a satisfactory solution still not be reached, the matter will be referred to the Associate Vice President for Facilities Management for resolution.

In the event that a claims issue is not resolved during the course of the project, as stated above, a formal claims process would be initiated, as indicated in the Contract General Conditions (Article 7.01, Contractor’s Claims Review Board), in strict observance of the policies and procedures of the State University Administrative Manual, (Sec. 9833, Claims Against the Contract). The AVP will notify the Chief of Construction Management in CPDC for recommendation/appointment of experienced individuals from CPDC or other campuses in the formation of a neutral review board. If the claims issue is governed by the construction claims “risk pool” for state funded projects, the Construction Engineer would chair the Claims Review Board. Hearings would be held promptly and rulings would be issued in accordance with the established guidelines of the claims review board. The rulings would exhaust the Contractor’s contractual and administrative remedies with the Trustees.

Should the Contractor choose to pursue the matter further, the contractor may avail himself to any remedies as prescribed in the Government Code and file a formal claim, in accordance with Government Code 915, with the State Board of Control.

The campus participates in the CSU system “risk pool” for all state-funded major capital projects. The risk pool provides funding to the campus against construction claims that exceed the project budget.

**BUILDER’S RISK INSURANCE**

The campus will provide builder’s risk insurance for the term of the construction in lieu of the General Contractor. The campus will obtain this insurance through the Chancellor’s Office. Builder’s Risk Insurance costs already included in the contractor’s bid will be subtracted from the construction bid. The campus can provide an “allowance” for policy
deductible expenses. Should the General Contractor include an allowance for deductible expenses which is not used, any such allowance shall be deemed project savings and will be returned to the University.

PROJECT FUNDING

Funding for major capital projects is confirmed when the Notice of Allocation Order (Exhibit L) document is received at the campus. This funding is based upon an approved CPDC 2-7 budget. Financial Services (Budget) establishes a project fund per the allocation order. D&C receives a project fund authorizing the Director of Design & Construction, and Associate Vice President, Facilities Management to serve as “responsible persons” and “authorized signatures” on the project budget.

PROJECT BUDGET MANAGEMENT

A major capital project is identified by a project budget of $400,000 or more. D&C is responsible for management of the project budget of all capital outlay projects. This involves continuous coordination between D&C and various units of Financial Services:

- Budget verifies funding source, and establishes project fund via budget allocation
- Contracts & Procurement issues contracts, and processes contract change-orders
- Accounts Receivable reconciles fund transactions/balances and transfers project administrative fees
- Accounts Payable processes and reconciles invoice payment transactions after review and approval by D&C

PROJECT ACCOUNTING RESPONSIBILITIES

D&C is responsible for the day-to-day project financial management of the project funds that includes the following responsibilities:

- Conducts continuous analysis of all project financial data and monitors project funds utilizing internal on-line spreadsheets and the campus Common Management System (CMS) to update all financial transactions (allocations, budget transfers, encumbrances, and expenditures) recorded against project funds.

- Coordinates directly with Financial Services to ensure capital outlay funds are utilized (encumbered and/or spent) by fund expiration dates.

- Initiates requests and makes recommendations to Financial Services regarding project fund expenditures, contract change-orders, and budget transfers. Coordinates directly with Financial Services to maintain a check-and-balance of the project budget to resolve
any accounting discrepancies that ensures accurate fund balances utilizing internal records and CMS.

- Reviews and approves all project contract invoices.

- Reviews all contract change orders to ensure adherence to budget allocations prior to approval. Monitors the status of contract change-orders submitted to C&P to ensure funds are encumbered in a timely manner.

- Coordinates and updates on-line management of project financial data to keep Project Managers apprised of current-to-date project fund transactions and balances. Maintains hard copy file management for reference and CPDC reporting requirements.

- Conducts continuous assessment of internal departmental operating procedures for processing all financial transactions (project requests, contracts, change orders, invoices, work-orders, and budget transfers) related to capital outlay projects to ensure efficient and streamline operations.

- Prepares monthly Cash Flow Analysis Reports, Quarterly, Year-end and Post-Audit reports for Major Capital Outlay allocations to meet CPDC reporting requirements.

**PROJECT ADMINISTRATIVE FEES**

Prior to receiving delegated authority D&C had a minimal staff of general funded positions with a small operating budget to primarily manage the Minor Capital Outlay Program. In response to the delegation of the Major Capital Outlay Management Authority to the campus, additional skilled professional staff was necessary to effectively manage the new program. In order to fund these additional positions and expenses, the Chancellor's Office includes funding through a management fee line item in each capital project budget (Capital Outlay Estimate Form CPDC 2-7, Contract Management Services). With this funding D&C has the authority and ability to hire staff and project professionals including Project Managers, project support staff, CAD resources and also has the capability to fund project related expenses and equipment. Funding for these resources is essential to the success of the management of the campus capital outlay program, and critical to sustaining the overall operations of D&C.

The project administrative fees are established and mandated by the CSU on the Capital Outlay Estimate Form (CPDC 2-7) under the Contract Management Services. The amount on is calculated at 7% of the total construction budget. This line item provides funding for the following capital outlay project support:

- CPDC Administrative Fee of 1.85% on state funded projects and .75% on non-state funded projects. (This fee is automatically deducted by CPDC from the project fund.)
- Project inspection.
- Project and construction management services.
- Bid advertisement expenses.
- Project document printing.
- Project support for D&C including operational expenses, travel, materials and equipment.
- Salary funding for D&C staff employees.

FUND TRANSFER REQUEST FOR PROJECT ADMINISTRATIVE FEES

D&C initiates an Administrative Fee Transfer Request (Exhibit M) to Financial Services to transfer the Project Administrative Fee from the project fund to the D&C trust fund and/or general fund to pay project related staff, expenses and equipment. The Director of Design & Construction and Associate V.P. of Facilities Management approve the Fund Transfer Request. The transfer is typically requested in two phases: 50% at the end of the design phase and 50% at the end of construction. The last transfer is typically held until the project is fully complete during the close out process.

CONTRACT EXTRA SERVICES & CHANGE ORDERS

Consultant Contracts
D&C will submit an “Extra Service Authorization” letter (Exhibit N) to the Consultant outlining the extra services and fee amount. The Consultant will sign and return the letter to D&C. The “Extra Service Authorization Request” (Exhibit O) is prepared by D&C and the signed authorization letter is attached and submitted to Financial Services. Budget will verify that there is sufficient funding for the extra services, and C&P will encumber the extra service fee under the Consultant’s agreement.

Construction Contracts
The “Contract Change Order” Form (Exhibit P) is used to process contractor change orders. The Architect/Engineer is responsible for preparing the document. The “Contract Change Order” is signed by the appropriate parties, and submitted to Financial Services. Budget will verify that there is sufficient funding for the change order and C&P will encumber the change order amount under the Contractor’s agreement.

SIGNING AUTHORITY

In response to the Chancellor’s Office audit on the Student Recreation Center project on April 17, 2009, the signing authority for construction change orders and field instructions have been revised as of May 1, 2009 to the following:

The Project Manager shall review contract change order for conformance to the approved change proposals(s) and review all attached back-up for completeness and conformance to the contract specifications. The Project Manager shall sign all change orders. If there are
multiple change items on a single change order, the Project Manager may be the final
signature on the change order only if the absolute value of each separate item listed on the
change order does not exceed $15,000. If one or more of the items exceeds the Project
Manager’s signature authority, regardless whether the total amount of the change order
exceeds $15,000, the Project Manager must secure a signature from someone with a higher
level of signature authority, (i.e. the Director of Design & Construction or the Associate Vice
President of Facilities Management). The Project Manager’s signature signifies that he/she
has complied with all policies and procedures in the processing of this change order.

The Director of Design and Construction shall sign all change orders which exceed the
Project Manager’s signature authority. However, the same restriction on the Project
Manager’s signature authority applies to the Director, in that he/she may be the final
signature on a change order only if the absolute value of each separate item listed on the
change order does not exceed $75,000.

The Associate Vice President of Facilities Management shall sign all change orders which
exceed the Director of Design and Construction’s signature authority. However, the same
restriction on the Director’s signature authority applies to the Associate Vice President, in
that he/she may be the final signature on a change order only if the absolute value of each
separate item listed on the change order does not exceed $125,000.

The Vice President of Administration & Finance shall sign all change orders which exceed
the Associate Vice President’s signature authority and shall consult with the President if the
absolute value of any separate change item listed on the change order exceeds $200,000.

PRELIMINARY NOTICES & STOP NOTICES

C&P is responsible to process and verify that all Preliminary Notices and Stop Notices are
handled per State law. This action must be completed and resolved prior to the Contractor
being paid retention. The Preliminary Notice is required on public works to establish stop
notice rights for the sub-contractor. The Stop Notice is a written notice from a sub-contractor
or supplier to an awarding authority to withhold monies from the general contractor which
are otherwise due and payable. To be valid, the Stop Notice must be received within 30 days
following recordation of the Notice of Completion. Upon receipt of a Stop Notice the
University, C&P shall withhold from the prime contractor money due or to become due in an
amount sufficient to cover the amount claimed on the stop notice, plus 25% of the claimed
amount for anticipated cost of litigation.
CONTRACTOR ESCROW ACCOUNTS
Contractors may execute an escrow agreement with the University and the State Treasurer to deposit funds into an escrow account maintained by the State Treasurer. The contractor receives periodic release of the minimum retention from their contract that is otherwise held until completion of the project. The escrow deposits are released to the contractor in whole or in part when the project is complete, if there are no Stop Notices or other claims against the deposits.

CONTRACT CLOSE-OUT & PROJECT SAVINGS

At the conclusion of every project, D&C will submit a “Contract Close-Out” letter (Exhibit Q) to any Consultants that have a remaining balance in their contract. The Consultant will sign and return the letter to confirm that there are no outstanding services that have not been invoiced. D&C will request C&P to disencumber any open commitments (contracts with balances remaining).

After all open commitments have been paid; D&C will request Financial Services to closeout the project fund and any project savings in the project fund may be used as follows:

In accordance with SUAM Section IV 9036 any unencumbered state funds remaining in the project budget will be identified as project savings. In consultation with the CPDC program manager the Associate Vice President, Facilities Management will determine the use of these funds as follows:

- Funding for new minor capital outlay projects
- Planning Studies
- Hazardous Material Removal

Project savings not encumbered and/or spent within the specified time limits will revert.
CALIFORNIA STATE UNIVERSITY, FULLERTON
MINOR CAPITAL OUTLAY, CAMPUS,
FOUNDATION AND/OR AUXILIARY FUNDED PROJECTS
APPENDIX

CAMPUS OPERATIONAL PLAN

The campus uses a very similar process as outlined in the Operational Plan for Delegation of Capital Outlay Management Authority during the multiple phases of management for Minor Capital Outlay and Campus Funded projects. This plan incorporates the campus’s current practices, procedures and controls.

The responsibilities of the Office of Design & Construction are the same as outlined in the Operational Plan for Delegation of Capital Outlay Management Authority through the design, bidding, construction, and project closeout phases. D&C follows SUAM requirements, and policies and procedures initiated by CPDC.

FOUNDATION AND/OR AUXILIARY PROJECTS

AB 1986 has amended Education Code and Public Contract Code and requires that any construction project located on California State University property and funded in whole or in any part by public funds, is subject to California State University, Contract Law, and that this project shall be under the sole and direct control of the Trustees. Control of the project’s management will be by Facilities Management as specified within this Delegation of Capital Outlay Management Authority.

For each Foundation and/or Auxiliary project, D&C will execute a Memorandum of Understanding (MOU) (Exhibit T) with a Foundation and/or Auxiliary defining D&C role on the project, and identifying the responsibilities delegated to the Auxiliary. The MOU will be executed by the officer(s) of the Foundation and/or Auxiliary organization, Vice-President of Administration and Finance, Director of Design & Construction, and Associate Vice President of Facilities Management.

*Foundation and/or Auxiliary Projects Funded in Whole or Part by Public Funds and/or non-public funds (Subject to AB 1986 Requirements)*

D&C will be responsible for managing all aspects of projects developed by the Foundation and/or Auxiliary organizations and funded by public funds and/or non public funds. For these projects, D&C responsibilities will include programming, budgeting, and managing the design, bidding and construction phases of the project. D&C will follow same procedures as outlined for state funded projects in sections three through six of this Delegation Plan. The project will be designed to CSU requirements and will be in compliance with California
Building Codes and CSU’s Executive orders, including seismic, energy, sustainability, fire marshal and access requirements.

The project will also be in compliance with SUAM requirements for competitive bidding, prevailing wages, small business advantage, DVBE advantage, and sole-sourcing.

The Foundation and/or Auxiliary shall indemnify and hold harmless the State of California, the Trustees, and the University and its employees against any claims by the Architect and/or the Contractor.

PROJECT FUNDING

Minor Capital Outlay Projects
These projects are funded on an annual basis and delegated through the Chancellor’s Office, CPDC. They are defined as projects costing $400,000 or less. The campus submits an annual Minor Capital Outlay Priority List to the Chancellor’s Office for review and approval. Funding for Minor Capital Outlay Projects is confirmed when the Notice of Allocation Order document is received at the campus.

Campus Funded Projects
Projects funded by campus academic departments, Parking, Housing, Foundation and/or Auxiliary utilizing various funding sources. These projects are initiated by various campus departments and vary in size and complexity. The project requestor prepares a Project Request Form (Exhibit R) in order to begin the project. Work on a campus-funded project cannot begin until the Project Request Form has been completed and approved by all parties, and a project fund is established with approved budget.

Project Request Form
Is used to initiate and approve campus-funded projects including Foundation and Auxiliary projects. This form can also be used by campus departments to request a potential minor capital outlay project. The Project Request Form describes the proposed project, identifies and confirms the source of funds, upon VP’s signature authorizes Financial Services (Budget) to transfer funds and establish a project fund with Director, Design & Construction and Associate Vice President, Facilities Management to serve as the “responsible persons” & “authorized signatures” on the entire project budget.

Foundation and/or Auxiliary Projects
Projects funded by non-state funding sources must also prepare a Project Request Form. In addition, a “Trust Fund Agreement” form must be completed. D&C will complete the form, and route for signatures. Work on a Foundation / Auxiliary project cannot begin until the Project Request Form and Trust Fund Agreement are completed and approved by all parties.
**Project Budget**

D&C works closely with the project requestor to establish a budget estimate based on the scope of work and available funding for the proposed project. The “Estimate of Probable Project Costs” (Exhibit S) is attached to the Project Request form.

The project requestor must approve any changes to the original scope of work that will require additional project funding. A revised project budget must be completed with a budget transfer to move the additional funding to the project fund. The requestor must have the additional funds approved by the individual with fund signing authority. Once D&C has confirmed with Financial Services (Budget) that the additional funds have been transferred to the project fund, D&C can proceed with change-order work.

**Job Order Contracting (JOC)**

Depending on the scope and nature of the individual project, D&C and Physical Plant may elect to streamline the bid and award process for construction services on minor capital outlay and campus funded projects by use of the JOC program. The Job Order Contracting (JOC) program allows the campus to award the construction contract to a general contractor based upon pre-bid unit costs rather than soliciting lump sum bids. This procedure shortens the schedule for many of our minor interior renovation projects and assists in meeting the client’s expectations and deadlines.

**PROJECT BUDGET MANAGEMENT**

The Office of Design & Construction is responsible for management of the project budget of all minor capital outlay and campus-funded projects requiring architectural design or engineering. D&C requests Financial Services (Budget) to establish a project fund authorizing Director D&C and Associate V.P. of FM to serve as “responsible persons” and “authorized signatures” on the entire project budget. D&C manages the project, develops contracts and approves change-orders with Procurement encumbering funds on project related work and approves invoices for payment through Financial Services (Accounts Payable). This process is similar as outlined in the Project Budget Management Section of the Operation Plan for Delegation of Capital Outlay Management Authority.

**PROJECT ACCOUNTING RESPONSIBILITIES**

Design & Construction adheres to the same day-to-day project accounting responsibilities as outlined in the Project Budget Management Section of the Operation Plan for Delegation of Capital Outlay Management Authority.
PROJECT ADMINISTRATIVE FEES

Similar to the Project Administrative Fees outlined in the Operational Plan for Delegation of Capital Outlay Management Authority, these fees provide funding for the Office of Design & Construction to hire professional staff for project management and to fund project related expenses and equipment.

Minor Capital Outlay Projects
The Project Administrative Fee is 5% of the total allocation amount as approved by CPDC.

Campus Funded Projects
The Project Administrative Fee is 10% of the total project budget amount as indicated on the project budget estimate.

Campus Feasibility Studies
The Project Administrative Fee is 15% of the total consultant contract amount of the feasibility study.

Foundation / Auxiliary Funded Projects
The Project Administrative Fee is negotiable based on project size, but a minimum of 6% of the total project budget amount as indicated on the project budget estimate.

FUND TRANSFER REQUEST FOR PROJECT ADMINISTRATIVE FEES

Design & Construction initiates a Fund Transfer Request to Financial Services to transfer the Project Administrative Fee for minor capital outlay, campus, foundation, and auxiliary projects. The Project Budget Estimate Form includes this fee. The Director of Design & Construction and Associate V.P. of Facilities Management approve the Fund Transfer Request.

CONTRACT EXTRA SERVICES & CHANGE-ORDERS

Consultant Contracts
D&C adheres to the same procedures and forms as outlined in the Campus Operation Plan for Delegation of Capital Outlay Management Authority.

Construction Contracts
D&C adheres to the same procedures and forms as outlined in the Campus Operation Plan for Delegation of Capital Outlay Management Authority.
PROJECT SAVINGS

Minor Capital Projects
Remaining unspent funds from the approved MCO project list are used for other minor capital outlay projects as approved by CPDC.

Campus Funded & Foundation / Auxiliary Projects
Remaining unspent funds from the project are returned to the campus client (Project Requestor) from project fund to the client’s fund at the completion of the project. D&C initiates this request via fund transfer to Financial Services (Budget).
CALIFORNIA STATE UNIVERSITY, FULLERTON

DELEGATION OF CAPITAL OUTLAY MANAGEMENT AUTHORITY

EXHIBITS

EXHIBIT A  DELEGATION OF CAPITAL OUTLAY MANAGEMENT AUTHORITY
EXECUTIVE ORDER NO. 672

EXHIBIT B  LIST OF DELEGATED MAJOR CAPITAL OUTLAY PROJECTS

EXHIBIT C  DIVISION AND DEPARTMENTAL ORGANIZATIONAL CHARTS

EXHIBIT D  CAPITAL OUTLAY BUDGET CHANGE PROPOSAL (COBCP)

EXHIBIT E  CAPITAL OUTLAY ESTIMATE (CPDC 2-7) FORM

EXHIBIT F  CEQA NOTICE OF EXEMPTION FORM

EXHIBIT G  AUTHORIZATION TO PROCEED TO NEXT PHASE DESIGN SERVICES

EXHIBIT H  BUILDING PERMIT – CONSTRUCTION AUTHORIZATION FORM

EXHIBIT I  STATEMENT OF FINANCES

EXHIBIT J  NOTICE TO PROCEED FORM

EXHIBIT K  NOTICE OF COMPLETION FORM

EXHIBIT L  NOTICE OF ALLOCATION ORDER – CAPITAL OUTLAY FUNDS

EXHIBIT M  PROJECT ADMINISTRATIVE FEE – FUND TRANSFER REQUEST FORM

EXHIBIT N  EXTRA SERVICE AUTHORIZATION LETTER

EXHIBIT O  EXTRA SERVICE AUTHORIZATION REQUEST

EXHIBIT P  CONSTRUCTION CONTRACT CHANGE ORDER

EXHIBIT Q  CONTRACT CLOSE-OUT LETTER

MINOR, CAMPUS & AUXILIARY FUNDED PROJECTS:

EXHIBIT R  PROJECT REQUEST FORM

EXHIBIT S  ESTIMATE OF PROBABLE PROJECT COSTS FORM

EXHIBIT T  MEMORANDUM OF UNDERSTANDING – FOR AUXILIARY PROJECTS
WHOLLY OR PARTIALLY FUNDED WITH STATE AND/OR NON-STATE FUNDS
Date: July 25, 1997

To: Presidents

From: Barry Munir
Chancellor

Subject: Delegation of Capital Outlay Management Authority and Responsibility
Executive Order No. 672

Attached is a copy of Executive Order No. 672 which delegates authority to you to assume responsibility for the management of all state and nonstate funded capital outlay projects.

Implementation procedures will be included in the next revision to SUAM which will be completed shortly.

It is your responsibility as president to implement Executive Order No. 672 where applicable and to maintain the campus repository and index for all Executive Orders.

BM:rp

Attachments

Distribution: Vice Presidents, Administration and Finance
Executive Deans
Vice Chancellors
PPD Staff
THE CALIFORNIA STATE UNIVERSITY
Office of the Chancellor
400 Golden Shore
Long Beach, California 90802-4275
(562) 985-2800

Executive Order No. 672

Executive Order No.: 672
Title: Delegation of Capital Outlay Management Authority and Responsibility
Effective Date: July 25, 1997
Supersedes: No Prior Executive Order; Facilities Planning (FP) 66-28

This Executive Order is issued pursuant to authority of Sections 1, 2, and 4(d) of Chapter III of the Standing Orders of the Board of Trustees, and delegates the following authority to campus presidents.

I. Authority

Effective immediately, each campus president is delegated authority to directly manage the capital outlay process from project design through construction and occupancy for state and nonstate funded capital outlay projects approved by the Board of Trustees.

This delegated authority is issued subject to campus compliance with the capital outlay certification procedure established as an element of the CSU Capital Outlay Restructuring Process, and with the provisions contained in Attachment A, Delegation of Capital Outlay Management Authority, which by this reference is made a part of this Executive Order.

II. Responsibility

The campus president is responsible for ensuring that:

A. The authority delegated herein is exercised in compliance with all applicable statutes, regulations, and policies of the Board of Trustees.

B. The process for management of the campus capital projects is consistent with the provisions of the State University Administrative Manual (SUAM).

C. Appropriate internal controls and processes on the campus are in place to ensure that responsibilities are carried out in a manner consistent with the campus management plan submitted with the request for delegation.
III. Accountability

A. The campus shall provide to the senior vice chancellor, business and finance, a quarterly status report on capital outlay progress including established performance criteria and financial expenditure information. The reports shall be used to satisfy internal and annual state reporting requirements on the CSU managed capital outlay program. The form and content requirements of these reports will be issued by the senior vice chancellor, business and finance.

B. The campus shall provide capital outlay project expenditure projections in a machine-readable format at intervals as required by the senior vice chancellor, business and finance.

C. The campus shall submit compliance certification letters regarding scope, budget and schedule to the senior director of physical planning and development at the completion of each drawing phase for all projects.

D. In support of the maintenance of the certification process, the campus shall submit to a post project review to be conducted by the Department of Physical Planning and Development in the Office of the Chancellor.

E. The campus shall maintain financial accountability for each project including participation in the Construction Claims/Augmentations Reserve program.

F. Authority delegated by this Executive Order may be revoked in whole or in part if in the judgment of the chancellor, the campus has not complied substantially with provisions of this Executive Order.

Barry Munitz, Chancellor

Dated: July 25, 1997
# Delegated Major Capital Outlay Projects

<table>
<thead>
<tr>
<th>Completed Projects</th>
<th>Completion Date</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Library Seismic Upgrade - Phase II</td>
<td>Mar-99</td>
<td>$3,153,000</td>
</tr>
<tr>
<td>Langsdorf Hall Seismic Upgrade</td>
<td>Aug-01</td>
<td>$3,923,000</td>
</tr>
<tr>
<td>Humanities Seismic Upgrade</td>
<td>Dec-02</td>
<td>$1,353,000</td>
</tr>
<tr>
<td>Health Center Addition</td>
<td>Dec-02</td>
<td>$2,285,659</td>
</tr>
<tr>
<td>Student Housing Expansion</td>
<td>Feb-03</td>
<td>$23,404,279</td>
</tr>
<tr>
<td>KHS Addition</td>
<td>Jul-03</td>
<td>$18,681,000</td>
</tr>
<tr>
<td>Nutwood Parking Structure</td>
<td>Aug-04</td>
<td>$18,000,000</td>
</tr>
<tr>
<td>Performing Arts Center</td>
<td>Jun-05</td>
<td>$43,500,000</td>
</tr>
<tr>
<td>Arboretum Visitor Center</td>
<td>Jan-06</td>
<td>$2,883,391</td>
</tr>
<tr>
<td>Telecommunications Infrastructure</td>
<td>Feb-06</td>
<td>$6,814,000</td>
</tr>
<tr>
<td>State College Parking Structure</td>
<td>May-06</td>
<td>$20,555,171</td>
</tr>
<tr>
<td>Fire Life Safety</td>
<td>Nov-06</td>
<td>$9,649,000</td>
</tr>
<tr>
<td>Student Recreation Center</td>
<td>Apr-08</td>
<td>$40,608,000</td>
</tr>
<tr>
<td>College of Business</td>
<td>Jun-08</td>
<td>$84,160,000</td>
</tr>
<tr>
<td>University Police Building</td>
<td>Aug-09</td>
<td>$6,369,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td><strong>$285,338,500</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Current Projects</th>
<th>Phase</th>
<th>Completion Date</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Parking Structure #4</td>
<td>Construction</td>
<td>Jul-10</td>
<td>$24,213,000</td>
</tr>
<tr>
<td>Children’s Center</td>
<td>Construction</td>
<td>Oct-10</td>
<td>$9,173,000</td>
</tr>
<tr>
<td>Student Housing Phase III</td>
<td>Construction</td>
<td>Jul-11</td>
<td>$134,947,000</td>
</tr>
<tr>
<td>Tri-Generation Plant</td>
<td>Construction</td>
<td>Jan-10</td>
<td>$16,000,000</td>
</tr>
<tr>
<td>HVAC Renovations</td>
<td>Various</td>
<td>various</td>
<td>$16,432,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td><strong>$200,765,000</strong></td>
</tr>
</tbody>
</table>

Updated: 03-2010
California State University  
Capital Planning, Design and Construction  
COBCP Project Description  
Capital Outlay Program xxxx/xxxx  
(Form CPDC 1-4)

Campus: <Campus name should be underlined>  
Project: <Project title should be underlined>

SUMMARY OF PROPOSAL: (provide a brief description of project)

A. PURPOSE OF PROJECT: (problem, program need, infrastructure deficiency – please provide detailed information to support the project)  
<Start Here>

B. RELATIONSHIP TO STRATEGIC PLAN (relevance of problem/need to mission and goals)  
<Start Here>

C. PROJECT DATA
   1. Background  
      <Start Here>

   2. Detailed scope description  
      <Start Here>

   3. Proposed project schedule  
      <Start Here>

D. ALTERNATIVES: (secondary effect for each, describe what is the alternative and secondary effect and provide a brief summary of scope, cost and funding source, program benefits, facility management benefits and, impact on support budget)  
<Start Here>

E. RECOMMENDED SOLUTION:
   1. Which alternative and why?  
      <Start Here>

   2. Basis for cost information.  
      <Start Here>

   3. Factors/benefits recommended other than the least expensive alternative.  
      <Start Here>

      <Start Here>

   5. Identify and explain any project risks.  
      <Start Here>

   6. List requested interdepartmental coordination and/or special project approval (including mandatory reviews and approvals, e.g. technology proposals).

      Fire Marshal, Division of State Architect Plan Check Firm, CSU Seismic Review Board, etc.

Campus Initials – Name of Project  

Page 1 of 1  
8/1/04
<table>
<thead>
<tr>
<th>BUILDING</th>
<th>STATE</th>
<th>NONSTATE</th>
<th>STATE</th>
<th>NONSTATE</th>
<th>TOTAL</th>
<th>$/sq.ft.</th>
</tr>
</thead>
<tbody>
<tr>
<td>A10 Foundations</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A20 Basement Construction</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A SUBSTRUCTURE</td>
<td>$</td>
<td>$</td>
<td>0</td>
<td>0</td>
<td>$</td>
<td>0</td>
</tr>
<tr>
<td>B10 Superstructure (vertical, floor, &amp; roof)</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B20 Exterior enclosure</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B30 Roofing</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B SHELL</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C10 Interior Construction</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C20 Stairways</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C30 Interior Finish</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C INTERIORS</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D10 Conveying Systems</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D20 Plumbing Systems</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D30 HVAC Systems</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D40 Fire Protection Systems</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D50 Electrical Systems</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D50n Telecom</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D SERVICES</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>E10 Group I Equipment</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>E20 Furnishings (i.e. Group I casework)</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>E EQUIPMENT &amp; FURNISHINGS</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F10 Special Construction</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F20 Selective Demolition (excluding hazardous removal)</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F20n Hazardous Material Removal</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F SPECIAL CONSTRUCTION &amp; DEMOLITION</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1. TOTAL BUILDING</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>G1020 Site Prep &amp; Site Improvements</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>G2040 Utilities (Civil, Mechanical, Electrical &amp; Telecomm.)</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>G3050 Landscaping Budget (general fee inc. in Fa. &amp; 5b)</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>G50 Other Site Construction</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. TOTAL SITEWORK</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. TOTAL BUILDING AND SITEWORK</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Escalation to Start of Construction</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. TOTAL GMAX</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. 2/10 GENERAL CONDITIONS/CM OVERHEAD &amp; PROFIT</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. TOTAL CONSTRUCTION (items 3 &amp; 4)</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Fees &amp; Contingency (basic services)</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a. Architect and CM Services During PW</td>
<td>#DIV/0!</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Architect and CM Services During Construction</td>
<td>#DIV/0!</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>c. Contract Management Services</td>
<td>#DIV/0!</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>d. CM Contingency</td>
<td>#DIV/0!</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>e. Total Fees &amp; Contingency</td>
<td>#DIV/0!</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. TOTAL CONSTRUCTION COST, FEES &amp; CONTINGENCY (items 5 &amp; 6a)</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Required Additional Services During PW Phase</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Required Additional Services During Construction</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. TOTAL PROJECT COST EXCLUDING GROUP II EQUIPMENT</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. Group II Equipment</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14. GRAND TOTAL</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Project Funds</th>
<th>State</th>
<th>Nonstate</th>
<th>State</th>
<th>Nonstate</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Chapter</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>b. Chapter</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15 Additional Funds Required (Item 14 minus Items 14a &amp; 14b)</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16 Project Fund Schedule</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Received prior to 2005/2007</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Requested for 2006/2007</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Requested after 2006/2007</td>
<td>$</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Eliyahu F. San Juan, Assistant Vice Chancellor
Capital Planning, Design and Construction
The California State University
CEQA - NOTICE OF EXEMPTION

To: Office of Planning and Research  
1400 Tenth Street, Room 121  
Sacramento, CA 95814

From: California State University, Fullerton  
P.O. Box 6806  
Fullerton, CA 92834-6806

Project No:

Project Name:

Campus: California State University, Fullerton

Project Location: Orange County

Description of Project:

Name of Public Agency Approving Project: The Trustees of the California State University

Exempt Status: (check one)

☐ Ministerial (Sec. 21080(b)(1); 15268)
☐ Declared Emergency (Sec. 21080(b)(3); 15269(a))
☐ Emergency Project (Sec. 21080(b)(4); 15269(b)(c))
☐ Categorical Exemption: Title 14; Section 15300 et seq. Class (Insert Class)
☐ Statutory Exemptions: State code number: (Insert Code Number)
☐ No possibility of physical impact (14 Cal. Code of Regs. 15061(b)(3))

Reasons why project is exempt:

Lead Agency
Contact Person: _______________________________ Date: ________________

(Insert Name, Title)

Date Stamped for filing at OPR:

Project File
CEQA File
CSUF Facility Planner
CPDC David Rosso

DC-P01* (02/07)
(Date)

(Name)
(Company)
(Address)
(City, State, Zip)

Re: Initial Authorization to Proceed – Schematic Design Phase
(Project Number), (Project Name)
Agreement No. (Number)

Dear (Name):

You are hereby authorized to proceed with the Schematic Design Phase for this project. The approved Schematic Design fee is $\text{(amount)}$.

In accordance with the terms and conditions of the signed Agreement and all attachments therein, completed documents per the attached Deliverable Checklist for the Schematic Phase shall be submitted within (number) calendar days from receipt of this letter.

Sincerely,

(Insert Name, Title)

Attachment: Basic Services Deliverables Checklist for Schematic Phase

Project File
Budget File

DC-A01* (02/10)
CAPITAL PROJECTS BUILDING PERMIT

PROJECT NAME:  
PROJECT MANAGER:  
SQUARE FOOTAGE:  
TYPE OF PROJECT:  
PROJECT NO.  
ACCOUNT:  
CLIENT:  
CONSTRUCTION ESTIMATE:  $

PROJECT DESCRIPTION: (total of 3 lines available which includes this line)

This section is to be completed prior to the completion of the Schematic Design Phase.

APPROVALS

<table>
<thead>
<tr>
<th>Approval</th>
<th>REQUIRED</th>
<th>RECOMMENDED</th>
<th>N/A</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEQA</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPDC</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>BOT Approval</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Fire Marshall</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Seismic Review Board</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HVAC Peer Review</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>DSA – Access Compliance</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Code Plan Check</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Constructability Review</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Submitted By:  
(Insert Name), Project Manager  
Date

Reviewed By:  
(Insert Name, Title)  
Date

Concurred By:  
Jay Bond, Associate V.P. for Facilities Management  
Date: ______________________

ACTUAL APPROVALS

<table>
<thead>
<tr>
<th>Approval</th>
<th>DATE</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEQA</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CPDC</td>
<td></td>
<td></td>
</tr>
<tr>
<td>BOT Approval</td>
<td></td>
<td></td>
</tr>
<tr>
<td>State Fire Marshall</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Seismic Review Board</td>
<td></td>
<td></td>
</tr>
<tr>
<td>HVAC Peer Review</td>
<td></td>
<td></td>
</tr>
<tr>
<td>DSA – Access Compliance</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Code Plan Check</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Constructability Review</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The required reviews have each been secured on the date indicated above.

(Insert Name), Project Manager  
Date  
(Insert Name) Title  
Date

PROJECT APPROVED FOR BID

The above-named project has been reviewed and found in conformance with the applicable codes and standards by those authorities having jurisdiction established by statute and university policy. If noted above that particular outside reviews are determined to be inapplicable, I have determined through direct review and personal knowledge that the project is in compliance with all governing codes and standards.

Jay Bond, Associate V.P. for Facilities Management  
Campus Deputy Building Official  
Date

Project File
Inspector
CPDC Planner
DC-B02 (2/10)
# Statement of Finances

California State University, Fullerton

( ) Prior to ( ) After Receipt of Bids

Public Contract Code: 10720

## Project No:

**Project Name:**

**Architect/Engineer:**

<table>
<thead>
<tr>
<th>2-7 Line</th>
<th>Prior To Bid Amount</th>
<th>After Bid Amount</th>
<th>Account Item</th>
<th>Account Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Project Architect / Engineer Fees</td>
<td>607022</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Project Architect / Engineer Extra Services</td>
<td>607023</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Plan Checks</td>
<td>607021</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Peer Review / Constructability</td>
<td>607021</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Testing</td>
<td>607033</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Inspection, Construction Mgt</td>
<td>607032</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Advertising</td>
<td>607033</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Printing and Reproduction</td>
<td>607033</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Miscellaneous Costs</td>
<td>607033</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Construction Contract</td>
<td>607031</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>HazMat Removal / Surveys / Monitoring</td>
<td>607033</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Administrative Fees - CPDC_%</td>
<td>607032</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Administrative Fees - Campus_%</td>
<td>607032</td>
</tr>
<tr>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>Risk Claim Fee</td>
<td>607033</td>
</tr>
</tbody>
</table>

**Subtotal - Project Costs:**

**$0.00**

## Equipment

<table>
<thead>
<tr>
<th>Prior To Bid Amount</th>
<th>After Bid Amount</th>
<th>Account Item</th>
<th>Account Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0.00</td>
<td>$0.00</td>
<td>Group II Equipment</td>
<td></td>
</tr>
</tbody>
</table>

**Subtotal - Equipment:**

**$0.00**

## Miscellaneous

<table>
<thead>
<tr>
<th>Prior To Bid Amount</th>
<th>After Bid Amount</th>
<th>Account Item</th>
<th>Account Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0.00</td>
<td>$0.00</td>
<td>Project Contingency_%</td>
<td></td>
</tr>
</tbody>
</table>

**Subtotal - Miscellaneous:**

**$0.00**

**Total Project Cost at ENR:**

**$0.00**

### Funding Data

<table>
<thead>
<tr>
<th>Year</th>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I certify this as the Trustee-filed Statement of Finances ( ) Prior to ( ) After Receipt of Bids for the subject project

(Insert Name, Title)

Date

Project File

Budget File

DC-B07* (02/10) CPDC 701.01 (12/07)
NOTICE TO PROCEED

Date:  (Insert Date)
Contractor:  (Name)
            (Address – 2 Lines)

            Contract No.:
            Project No.:
            Project:
            Contract Amount:  ($ - Figure Amount)

In accordance with the provisions of the Contract General Conditions, you are hereby notified to commence work on the subject contract on or before (insert date) and are to fully complete the work within (number of days) consecutive calendar days in accordance with your contract completion date of (insert date).

The contract provides for assessment of (insert written amount) ($) as liquidated damages for each consecutive calendar day that is required to finish the work after the contract completion date.

(Insert Name, Title)

Project File
Budget File
Contracts & Procurement
DC-C03A* (12/09) CPDC 702.16 (10/06)
NOTICE OF COMPLETION

Notice pursuant to Section 3093 of the Civil Code must be filed within 10 days after completion.

The Trustees of the California State University, owners in fee on behalf of the State of California, address listed above, pursuant to Section 66606 of the Education Code, certify that the following contract work has been accepted as complete on [Insert complete date; Month, Day, Year] on the campus of California State University, Fullerton.

Contract No:  
Project Title:  
Architect / Engineer:  
Address of A / E:  

Name of Contractor:  
Address of Contractor:  

The contract was completed on a California State University Campus within or near the City of Fullerton, County of Orange, California, and the work is described as follows:

Signed:  
[Insert Name], Project Manager  
Date:  

Verification

I am a representative of the Board of Trustees of the California State University, the owner of the aforementioned property described in this Notice, and I am authorized to make this verification for and on its behalf. I have read the foregoing Notice of Completion, and know the contents thereof, and certify on that ground that the facts stated on the foregoing document are true and correct.

Executed on the _____ day of ________________, 20____, at ____________________________, California.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

THE TRUSTEES OF THE CALIFORNIA STATE UNIVERSITY

Construction Administrator

Project File / Original  
Budget File  
Contractor  
Contracts & Procurement  
CPDC  

DC-PC09A (12/09) – CPDC 702.02 (10/06)
Notice of Allocation Order
Capital Outlay Funds

This is notice that an allocation order has been issued to the State Controller's Office increasing or decreasing agency appropriations as indicated below. The use of these funds is delegated to authorized agency officers by the Trustees of the California State University, subject to the provisions of Executive Order 648, *Delegation of Fiscal Authority and Responsibility*. If you have any questions regarding this allocation order, please contact the CSU Budget Administration Office at (562) 951-4618.

<table>
<thead>
<tr>
<th>Agency_Name</th>
<th>FULLERTON</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency_code</td>
<td>6710</td>
</tr>
<tr>
<td>AO_No</td>
<td>04-019</td>
</tr>
<tr>
<td>RAO_No</td>
<td>04_6041_FU003</td>
</tr>
<tr>
<td>Enc_date</td>
<td>06/30/2006</td>
</tr>
<tr>
<td>CSU_proj_no</td>
<td>00003</td>
</tr>
<tr>
<td>Proj_name</td>
<td>FU-College of Business and Economics</td>
</tr>
<tr>
<td>Requester</td>
<td>Roshni Thomas</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>State_Fund</th>
<th>Purpose</th>
<th>Year_of_Acc</th>
<th>CSU_fund</th>
<th>Ref_Item</th>
<th>Pgm</th>
<th>El</th>
<th>Com</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>6041002</td>
<td>Funding for preliminary plans, working drawings, and construction for the College of Business and Economics project. Notify Sherri Newcomb-Hill, Jay W. Bond, Roshni Thomas, and Nancy Freelander-Paice.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>2004</td>
<td>320</td>
<td>302</td>
<td>06</td>
<td>62</td>
<td>095</td>
<td>47,417,000</td>
</tr>
</tbody>
</table>

NOTE: Cash will be available on 09/30 after PMIA loan approval

8/25/2004
Date: Date
To: Financial Services
     Accounting & Financial Reporting
From:

Subject: Project Administrative Fee – Transfer Request

Please transfer the project administrative fee as indicated below to the Office of Design & Construction for project management:

Project Name: 

Administrative Fee: $ 

Source of Funds: Insert CMS Chart-field

Transfer Funds to: 660804 / TCPM1 / 10083
     Project Admin. Fee Trust Fund

Reference attached Expenditure Transfer / Journal Entry Form. Please contact me if you have any questions.

Thank you.

Approved by: ___________________________ Date
                Jay W. Bond, Associate Vice President
                Facilities Management

Rev. 05/10
Budget File
Extra Service Authorization Letter

Date

Service Provider's Name
Company Name
Address
City, State Zip

Project Name & No.
Agreement No. xxxx
Extra Service Authorization #_

As an extra service to this agreement, you are hereby authorized to perform (insert data). The purpose of this work is (insert data).

The work shall include the following:

Insert scope of work description and include a description of required deliverables

This work shall be performed in accordance with all of the terms and conditions of this agreement. Total payment for this work shall be a lump sum of $______ (_______ thousand and _______ dollars) in accordance with your proposal dated ___ /___ . Payment shall be in arrears for work performed to the satisfaction of the Trustees. ______ calendar days shall be added to the _________ phase of basic services to accomplish this work.

Sincerely,

Jay Bond
Associate Vice President
Facilities Management

Concurrence /Acceptance by ____________________________________

Print Name / Title

Signature: ____________________________________ Date: ____________

A signature of concurrence is required in order to proceed with this extra service authorization
Please return original to the Office of Design & Construction at the address listed below

Attachment: Fee Schedule
DC-D13 Rev. (07/09)

cc: Project File
Budget File

P.O. BOX 6806, FULLERTON, CA 92834-6806 TELEPHONE (657) 278-2352 / FAX (657) 278-3408
EXTRA SERVICE AUTHORIZATION REQUEST

PROJECT NAME: 
A&E / SERVICE PROVIDER'S NAME: 
AGREEMENT NO: 

PROJECT NO: 
DATE: 
AUTHORIZATION NO: 

INCREASE AMOUNT ENCUMBERED $ 
ORIGINAL AMOUNT ENCUMBERED $ 
PRIOR CHANGES TO AGREEMENT $ 
REVISED TOTAL AMOUNT OF AGREEMENT $ 

REQUESTED BY: ___________________________ 
(Insert Requestor Name) 
(Insert Requestor Title) 
Office of Requestor Title 

APPROVED BY: ___________________________ 
Jay Bond 
Assoc. Vice President 
Facilities Management 

FINANCIAL SERVICES: 
BUDGET ___________________________ 
DATE ___________________________ 
CONTRACTS & PROCUREMENT 
DATE ___________________________ 

CMS CHARTFIELD - ENCUMBER:

<table>
<thead>
<tr>
<th>Account</th>
<th>Fund</th>
<th>Dept</th>
<th>Program</th>
<th>Class</th>
<th>Project</th>
<th>Amount</th>
<th>Line</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Attachments: Extra Service Authorization Letter Fee Schedule

Project File
Budget File
DC-D12 (07/09)
STANDARD CONTRACT CHANGE ORDER NO.:

PROJECT:  
CONTRACTOR:  
CONSULTANT:  
PROJECT NO:  
CONTRACT NO:  
BID NO:  
DATE:  

Note: Consultant to give complete description of work. The documents supporting this Change Order, including any drawings and estimates of cost, are referenced hereon and made a part of hereof. Reference Change Proposal Number, Cost Request Bulletin Number, Field Instruction Number, Change Order Request Number, and any other documents as applicable. A copy of each shall be attached to the Trustees’ copy of this Change Order.

<table>
<thead>
<tr>
<th>COR #</th>
<th>CP #</th>
<th>CRB #</th>
<th>FI #</th>
<th>DESCRIPTION</th>
<th>EXTRA</th>
<th>CREDIT</th>
<th>DAYS EXT.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$0.00</td>
<td>$0.00</td>
<td>0</td>
</tr>
</tbody>
</table>

Execution of this Change Order represents full and final settlement of all direct, indirect, delay, and impact costs for the scope of services identified hereon unless noted otherwise.

Revised Contract Completion:  
Original Contract Amount:  
Prior Change Orders to Date:  
Net Change this Change Order: $0.00  
Revised Contract Amount: $0.00

RECOMMENDATIONS AND APPROVALS
The undersigned hereby agrees to the above described amendment of the contract. All signatures must be signed in ink.

CONSULTANT

Legal firm name of Consultant

Signature  Title  Date

CONTRACTOR

Legal firm name of Contractor

Signature  Title  Date

UNIVERSITY APPROVALS

Project Manager (Up to $15,000)  Date

Director, Design & Construction (Up to $75,000)  Date

Associate V.P., Facilities Management (Up to $125,000)  Date

Vice President, Administration (Up to $200,000)  Date

Over $200,000 in consultation with President

FINANCIAL SERVICES

Certified:  Budget  Date

Contracts & Procurement  Date

CMS CHARTFIELD - ENCUMBER CHANGE ORDER:

Account  Fund  Dept  Program  Class  Project  Amount  Line

Attachment: Contractor's COR

Copies:  [ ] Contractor  [ ] Consultant  [ ] Budget  [ ] Project  [ ] Inspector

DC10A* (12/09) CPDC 703.04 (08/07)

P.O. BOX 6806, FULLERTON, CA 92834-6806  TELEPHONE (657) 278-2352 / FAX (657) 278-3408
(Insert Date)

(Company Name)
(Consultant’s Name)
(Address)
(City, State, Zip)

Dear (Insert Name):

RE: Contract Close Out

The Office of Design and Construction, California State University, Fullerton has completed the below project. After review of your contract for services related this project, our records indicate that all services have been completed and payments have been processed for all invoices submitted.

Project No.:
Project:
Contract No.:

In order for us to formally close-out your contract, please sign below that you are in concurrence with this information, and return this document to the Office of Design and Construction within 15 days of receipt of this letter.

Please contact me at (714) 278- (xxxx) should you not concur with the above information. If this letter is not returned within 15 days or we have not heard from you, we will proceed to close out your contract.

Sincerely,

(Insert Name, Title)

In concurrence:

_________________________________  _______________________
Consultant’s Name                  Date

Budget File
DC-FC01 (12/09)
CALIFORNIA STATE UNIVERSITY, FULLERTON
Office of Design & Construction

PROJECT REQUEST FORM

I. PROJECT REQUESTOR (Complete Sections I through V)
Name ____________________________________________ Date ____________

Title ____________________________________________ Extension ____________

Department ______________________________________ Location ____________

Contact Person (other than above) ______________________________ Extension ____________

Email: ____________________________________________

II. PROPOSED PROJECT (Describe project scope, need, location and attach other necessary information)

_____________________________________________________________________
_____________________________________________________________________
_____________________________________________________________________

III. PROPOSED USE (will the proposed project change the current use of space? _ No _ Yes (please describe)

_____________________________________________________________________

IV. SOURCE OF FUNDS (Indicate the CMS chart-field and amount in order to establish a new project fund / budget)

Transfer from: Account _________ Dept. _________ Fund _________ Amount _________

Transfer from: Account _________ Dept. _________ Fund _________ Amount _________

Department general funds are limited to $100,000 maximum for use on capital outlay project

☐ Request for project to be placed on Minor Capital Project List (under $400,000) for possible future funding

V. PROJECT & FUNDING APPROVING SIGNATURES (must include authorized signature on above fund(s)

Requestor ____________________________________________ Date ____________

Dean / Director ____________________________________________ Date ____________

Division Head / Designee ______________________________________ Date ____________

VI. OFFICE OF DESIGN & CONSTRUCTION REVIEW & APPROVAL

Estimated funding to begin the project $______________ Complete the project: $______________

Director, Office of Design & Construction ______________________________________ Date ____________

VII. AVP – FINANCE / BUDGET

AVP / Budget Approval ______________________________________ Date ____________

Upon completion of the project – any remaining funds in the project fund will be returned to the project requestor’s fund.

Project File
DC-P02 (03/10)
ESTIMATE OF PROBABLE PROJECT COSTS

PROJECT:

<table>
<thead>
<tr>
<th>Description</th>
<th>Estimated Project Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Feasibility Study</td>
<td>$0.00</td>
</tr>
<tr>
<td>Architect / Engineer</td>
<td></td>
</tr>
<tr>
<td>Service Provider's Fees</td>
<td>$0.00</td>
</tr>
<tr>
<td>Agency Approval Fees</td>
<td></td>
</tr>
<tr>
<td>SFM &amp; DSA Fees</td>
<td>$0.00</td>
</tr>
<tr>
<td>Code / Constructibility Review</td>
<td>$0.00</td>
</tr>
<tr>
<td>Required Peer Reviews</td>
<td>$0.00</td>
</tr>
<tr>
<td>Survey &amp; Soils Testing</td>
<td>$0.00</td>
</tr>
<tr>
<td>Other Service Providers</td>
<td>$0.00</td>
</tr>
<tr>
<td>CAD Services</td>
<td>$0.00</td>
</tr>
<tr>
<td>Project Construction Costs</td>
<td></td>
</tr>
<tr>
<td>Contractor</td>
<td>$0.00</td>
</tr>
<tr>
<td>Gordian Fee - JOC projects only</td>
<td>(1.5% of JOC Contractor Cost)</td>
</tr>
<tr>
<td>Project Contingency</td>
<td>(10% of Construction Total)</td>
</tr>
<tr>
<td>Inspection Services</td>
<td>($55 x ___ hours)</td>
</tr>
<tr>
<td>Physical Plant Support / Work-Order</td>
<td>(Indicate NTE $ Amount)</td>
</tr>
<tr>
<td>Project Management Fee</td>
<td>(5% of total project cost)</td>
</tr>
</tbody>
</table>

Total Estimated Budget $0.00

The above is a preliminary estimate of probable project costs in order to begin the proposed project.
Memorandum of Understanding
for Auxiliary projects wholly or partially funded with State and/or Non-State Funds

Management of Design, Construction & Funding for
Services on Foundation and/or Auxiliary Project
Project No. ___

Campus [FOUNDATION AND/OR AUXILIARY] will allocate funding in the amount of $[BUDGET] for establishing the [FOUNDATION AND/OR AUXILIARY PROJECT]. Campus Office of Design and Construction (D&C) will assume responsibility for the management of the Project. The Project will be managed by D&C under the Delegation of Capital Outlay Authority Agreement between (Campus) and the CSU Office of the Chancellor. D&C will work closely with designated Foundation and/or Auxiliary staff to keep all team members apprised of the design and construction status, actual and projected contingency expenditures and overall financial status of the project. CPDC Form 1-4 (Project Description) and CPDC Form 2-7 (Capital Outlay Estimate) is attached to this MOU for reference.

D&C responsibilities covered under this MOU include:

- Manage the design process and ensure that the project goals are met within the allocated project budget.
- Set up project names and chart fields within the (Campus) financial accounting system.
- Monitor and reconcile project costs.
- Prepare project status reports. Conduct meetings with Foundation and/or Auxiliary staff to review significant project issues.
- Prepare, issue, and monitor all project requisitions, contracts, purchase orders and contract change documents.
- Advise Foundation and/or Auxiliary staff of the contracting strategies most beneficial for the project. Manage all bidding and procurement activities.
- Manage project invoicing and payment process. Review all invoices for accuracy and forward those to Foundation and/or Auxiliary in a prompt manner. Monitor cash disbursements.
- Prepare and forward required Capital Outlay project reports to Chancellor’s Office Staff.

D&C will utilize in-house staff to provide design and construction management services for this project. D&C will bill 6% of the project construction cost as a reimbursement for services provided by D&C, including labor and other miscellaneous project-related costs, including document reproduction, travel mileage, office supplies, phone charges, etc. Project management fees will be billed quarterly.

D&C will provide construction support services, as needed, to support the contractor’s construction activities. There services may include, but not limited to, utility shut-offs, minor demolition and repairs, fencing, locksmith services, and landscaping. D&C will bill for actual costs for services provided.

The Campus Building Official will oversee plan-check reviews, issue a construction permit and conduct construction inspections to ensure compliance with plans and specifications. Fees for plan-checking and inspection services are in addition to the Project Management fees and will be billed separately.
The Foundation and/or Auxiliary shall indemnify and hold harmless the State of California, the Trustees, and the University and its employees against any claims by the Architect and/or the Contractor.

**Executed by:**

Foundation and/or Auxiliary Organization
Name, Title

Director, Office of Design and Construction

Associate Vice President, Facilities Management

Vice President for Administration and Finance/CFO

**Attachments**
CPDC Form 1-4 (Project Description)
CPCD Form 2-7 (Capital Outlay Estimate, Non-State Project)