



CRM DSA Closeout Protocol

January 13, 2020

DSA Closeout Protocol

- I. Current CRM positions
 1. Project Managers (PM)
 - i. **Richard (Senior PM)**
 - ii. **Ed**
 2. Assistant Project Managers (APM)
 - i. **Amy**
 - ii. **Linda**
 3. Project Coordinators (PC)
 - i. **Charis**
 - ii. **Brandy (Senior PC)**
 4. Project Financial Controller (PFC)
 - i. **Rochell**
- II. O&M
 1. Description
 - i. Operations and Maintenance Manuals.
 2. Who is responsible?
 - i. Requested by APM when retention is requested and should be received prior to final payment to the contractor/vendor.
 - ii. Should be included on the pre-punchlist.
- III. Warranties
 1. Description:
 - i. Warranty for work as set forth in the specs, which can be more than the year stated in the contract and include vendors in addition to awarded contracts.
 2. Who is responsible?
 - i. Requested by APM when retention is requested and should be received prior to final payment to the contractor/vendor.
 - ii. Should be included on the pre-punchlist.
- IV. Keys
 1. Description:
 - i. Construction keys received from door hardware vendor.
 - ii. Final keys received from locksmith after change from construction keys to final.
 - iii. Return of construction keys should be noted by APM.
 2. Who is responsible? Construction keys should be signed for by District Employees, Contractors, Inspectors – anyone who receives a key from CRM should sign for it.
 3. At completion of project, the remaining keys and/or keys after changeout by locksmith should be noted as to number of keys and signed for by District employee. Responsibility should be at the discretion of the PM.
 - i. PM
 - ii. APM
- V. Training



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1. Training on the operation of equipment installed as part of the project.
 - i. Can include, but is not limited to, kitchen equipment, HVAC operations, outlet operations, fire alarm and fire suppression system operation, etc.
 - ii. Training is conducted by a manufacturer representative, contractor, or someone certified in the operation of equipment.
 - iii. Specs and/or contract may include certain number of hours to be included in training.
 2. Who is responsible?
 - i. PM – Training should be coordinated by the PM or PC as to when it is most convenient to the District and least impactful to the students and staff, but with a defined timeline included. Confirm that training is part of the contract and/or specs.
 - ii. Contractor – Scheduling of training and coordination of different reps to be onsite (if applicable) should be the responsibility of the contractor, within the time frame that is convenient to the District.
- VI. As-Builts (Record Drawings)
1. Who is responsible? As part of the preconstruction, one set of plans should be designated as the as-builts and be available to contractors, inspectors and CRM in the job trailer. Responsibility should be at the discretion of the PM.
 - i. PM
 - ii. APM
 - iii. Contractor – Responsible for accurately recording work on As-Builts and supplying a true and accurate copy to the District when retention is requested and must be received prior to final payment.
 - iv. PM is responsible to follow-through to ensure As-Builts are comprehensive and completed by all applicable contractors
- VII. Punchlist
1. Description: Live document showing corrections and completions to the project by individual contractor (this is an extension of the Pre-Punchlist).
 2. Who is responsible?
 - i. APM: As part of preconstruction, a pre-punch list should be developed using the standard CRM form.
 - ii. PM: Addition of completion and/or corrections to work prior to retention payment and sign off as to being complete and/or corrected.
 - iii. Contractor: All punchlist items are to be completed by contractor prior to retention payment.
 - iv. Design Team and Project Inspector: Participates in the formal punchlist procedure and are invited to the punch walk in order to identify incomplete or incorrect work prior to sign-off. Formal invitation must be provided.
 3. Punchlist Completion:
 - i. Description: The complete punchlist is part of the formal documents of the project. Completion of the individual contract items and receipt of all required submissions (warranty/O&M/training) are noted prior to retention payment.
 - ii. This is a follow-up and follow-through with, and from, the Pre-Punchlist
 4. Who is responsible?
 - i. PM
- VIII. Fully Executed Contract (FEC)
1. Description: The FEC is composed of all contract documents:
 - i. Section 1 – Notice to Contractors
 - ii. Section 2 – Information for Bidders



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- iii. Section 3 – Bid Forms (completed as submitted on bid day, or as submitted as part of negotiated bid which would not include completed bid bond.)
 - iv. Section 4 – Agreement (completed and signed by both contractor and District. A copy of the duly signed Agreement is sent after board approval, but is included again in the FEC.)
 - v. Section 5 & 6 – Performance and Payment Bond (true and correct copies of original bonds submitted to District.)
 - vi. Section 7 – General Conditions
 - vii. Section 8 – Special Conditions
 - viii. Section 9 – Specifications
 - ix. Section 10 – Certifications (as received from the contractor after the Notice of Award has been sent and prior to the Notice to Proceed.)
 - 1) All pages/certs/forms/documents must be included – this must be monitored and confirmed
 - 2. As part of closeout, the FEC is compiled from all the above previously received sections and transmitted to the contractor with a transmittal email. (See attached example.)
 - 3. Who is responsible?
 - i. PC
 - ii. APM
- IX. Conditional Release on Final Payment
- 1. Description: Submitted by the contractor, as a release on all claims for payment up through a specific date – the date payment was received and processed by the contractor.
 - 2. Who is responsible?
 - i. PFC
- X. Retention Paid
- 1. Description: The amount (5%) of the contract held from payment until all items required under the contract have been completed and submitted.
 - 2. Who is responsible?
 - i. PFC
- XI. Unconditional Release on Final Payment Received (After Retention Paid)
- 1. Submitted by the contractor, confirming that the contractor has received the final payment on the contract.
 - 2. Who is responsible?
 - i. PFC
- XII. Notice of Completion
- 1. A legal notice recorded by the District that all work on the project has been completed and accepted by the District.
 - i. Final Draft for Signature
 - 1) Who is responsible?
 - i). PC
 - ii). APM
 - ii. Final – To Board
 - 1) Who is responsible?
 - i). PC
 - iii. Recording Fee
 - 1) No recording fee for public works project. Specific language included on face of Notice of Completion.
 - iv. Recordation:
 - 1) Who is responsible?



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- i). PC
- XIII. DSA 6C
 - 1. Description: Final Verified Report by Contractor

The DSA 6C is drafted by DSA number of the project, not by the District unless the DSA number encompasses the District. Specific information on the form to include the District, School site name, DSA number, contract name and contractor license number and bid package. All information must be completed, including listing any and all DSA 152 card numbers listed for the contractor.

DSA 6C Form should be saved in Closeout Folder, arranged by, Contractor and Bid Package Number as draft.
 - 2. Who is responsible?
 - i. PC - After drafting, the DSA 6C is sent to the contractor for signature and return. If not returned in a reasonable amount of time 5-7 days, resend.
 - ii. APM
 - 1) Retrieve draft DSA 6C and send to the contractor for signature and return with a transmittal email. (See attached example.). If not returned in a reasonable amount of time, 5-7 days, resend.
 - iii. Contractor
- XIV. DSA 6C – Final Loaded to DSA Box
 - 1. Who is responsible?
 - i. PC
- XV. DSA 152 Card Number
 - 1. Description: Project Inspection Card issued by the Project Inspector and loaded onto DSA Box.
 - 2. Who is responsible?
 - i. Project Inspector
- XVI. DSA 6AE – Final Verified Report
 - 1. Description: Architect / Engineer Verified Report
 - 2. Who is responsible?
 - i. Architect / Engineer
- XVII. DSA 6PI
 - 1. Description: Project Inspector Report
 - 2. Who is responsible?
 - i. Project Inspector
- XVIII. DSA 102-IC
 - 1. Description: Construction Start Notice

Completed at the start of the project and any time a change is made to the project that has DSA oversight, i.e., inspector change, additional contracts awarded, etc.
 - 2. Who is responsible?
 - i. PC
 - ii. Architect
- XIX. DSA 108
 - 1. Description: Notification of change in responsibility

This is completed whenever there is a change to the inspector.
 - 2. Who is responsible?
 - i. PC
 - ii. Architect
 - iii. Inspector
- XX. Misc. Lab Reports



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1. Who is responsible?
 - i. Lab
- XXI. Geo Tech Reports
 1. Who is responsible?
 - i. Geo Tech
- XXII. DSA 168
 1. Description: Statement of Final Actual Project Cost
 2. Who is responsible?
 - i. PC
 - ii. PFC
 - iii. Kevin
- XXIII. Re-Exam Fee Due
 1. Description: A project that is in-use, occupied or otherwise 'complete' has a certain number of days in which to complete the certification process or pay a \$500 fee for reexamination by DSA.
 2. Who is responsible?
 - i. PC
 - ii. District – The District Superintendent receives notice directly from DSA regarding the status of the project completion.
 - iii. Kevin
- XXIV. Final Fee Recon by DSA
 1. Who is responsible?
 - i. PC
 - ii. PFC
 - iii. Kevin



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FEC TRANSMITTAL EMAIL EXAMPLE

Good morning, [Insert Contractor here]:

As part of the close out process for [Insert District here], please find attached your copy of the Fully Executed Contract for [Insert Bid Package here].

- This document contains the bid and contract sections which were previously submitted by [Insert Contractor here], including all bonds and certifications.
- The Agreement (Section 4) previously been sent to you, signed by both [Insert Contractor here] and the District Superintendent, is included in this document.

If you have any questions, please do not hesitate to contact me.



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DSA 6C TRANSMITTAL EMAIL EXAMPLE

Good morning, [Insert Contractor here]:

We are completing the reconciliation portion of the closeout of [Insert District here] construction project and will be sending retentions to the District for their approval.

Before retentions are released, please complete the attached DSA Form 6 C. Please sign and date where indicated and return the document to me at your early convenience.

If you need any assistance in the completion of the DSA Form 6 C, please contact me and I will assist you in any way that I can.