PROJECT MANAGEMENT
PROCEDURES AND GUIDELINES MANUAL

FOR

NORTH ORANGE COUNTY
COMMUNITY COLLEGE DISTRICT
Greatness. Achieved.

MEASURE J BOND PROJECT

CYPRESS COLLEGE, FULLERTON COLLEGE,
NORTH ORANGE CONTINUING EDUCATION,
AND ANAHEIM CAMPUS

PROCEDURES AND GUIDELINES MANUAL

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PROCEDURES AND GUIDELINES MANUAL

1.0 Introduction : Program Management Procedures Manual for the Measure J Bond Program

This *Program Management Procedures & Guidelines Manual* is prepared to define the working relationship between the North Orange County Community College District (NOCCCD), the client, and MAAS Companies, the Program Manager, in implementing and managing the Measure J Bond Program entered into by the District on November 1, 2015.

The *Program Management Procedures Manual* is 1) an outline of services to be provided by the Program Manager as set forth in the client agreement and 2) a guideline for implementing and maintaining those services throughout the life of the Bond Program. It addresses the staffing requirements, organizational structure, the roles and responsibilities of the program management staff, and the procedures and guidelines to which both the client and program manager have agreed to abide and be held accountable.

Although activities and functions required to provide client services may be assigned to any member of the team for action, the responsibility for performance and compliance with established procedures and guidelines remains with the senior manager-in-charge as defined in this manual (Refer to 3.0 Organization).

The *Program Management Procedures & Guidelines Manual* sets forth the channels of communications intended to be used by individuals within the organizations of both client and program manager to ensure clarity of direction and effective and efficient transfer of information. The manual is intended to be a living document and, as the program matures and evolves, it will be the responsibility of each party to provide updating information so that 1) effective communications links are maintained and 2) amendments can be made as the circumstances and the direction of the program reflect changing needs in the client's underlying education plan.

The manual will also be used as an orientation tool for new personnel joining the Program Manager's organization as well as any client personnel who may be in need of understanding the procedures and guidelines guiding the program. The normal distribution of the manual will be as follows.

- District Director, Facilities Planning & Construction
- President, Vice President of Administrative Services, Chancellor, Vice Chancellor of Finance and Facilities

Additional copies will be distributed to parties at the written request of the client.

2.0 Background – Measure J Bond Program

2.1 PROGRAM DESCRIPTION

On November 1, 2015, the North Orange County Community College District Board of Trustees received an approval for the Measure J Bond Program for the Anaheim, Fullerton, and Cypress College campuses. Measure J passed by a supermajority (55%) of the voters in the District on November 4, 2014. The bond will provide $574 million for the North Orange County Community College District. Facility renovations will happen on each of the District's three campuses: Fullerton College, Cypress College, Anaheim and the School of Continuing Education (SCE). Visit the NOCCCD Measure J website for district-wide information. The Bond is customized to provide continuing education programs with significant upgrades to technical job training facilities, aging classrooms, and veteran amenities, high-paying jobs in the surrounding area and to attract additional high-tech jobs, including the desire and need for facilities to have the capacity to keep up with the current educational and job-training demands, as well as improvements that call for general health and safety repairs, energy-efficiency enhancements, and other needed facility renovations on each of the District's three campuses.

The Measure J Bond proposed budgets for each of the District's campuses are represented by an estimated total cost. The estimated construction budgets have been outlined for SCE and the Anaheim Campus at $17,007,800, Cypress College at $225,921,200 and Fullerton College at $311,126,400. These estimated total costs represent the major portion of the required $574 million budget necessary to accomplish the work

The North Orange County Community College District has chosen MAAS Companies to act on their behalf as Program Manager and owner's representative for the Bond Project and to work with the administration and staff to implement and complete all projects to be developed under the Bond Project.

The District has also established a Program Management Team (PMT) concept internally which provides for wide spread involvement of members of the district community and an avenue for benefiting from the collective contributions of many stakeholders. The PMT includes Vice Chancellor for Finance & Facilities, Vice Presidents, Administrative Services, Provost for SCE, District Director, Facilities Planning & Construction, Deans and other staff as assigned by the Vice Presidents, Campus Project Managers, the Bond Program Manager, and members of the faculty and staff with direct interest in the projects as they are developed.

The *Program Management Procedures & Guidelines Manual* addresses how the processes must flow in order to most effectively deliver projects within the constraints of time and money while allowing the maximum involvement of stakeholders in a disciplined and timely way utilizing the communications protocols and organizational structure that have been developed. The Manual is described in terms of Structure, Update Processes and Program Management Categories in Section 2.2.

2.2 MANUAL OVERVIEW

2.2.1 Manual Structure:

The manual is organized around Program Management Categories with detailed subsections to provide the user with clear rules and guidelines for decision making and actions. Five different formats have been utilized to display this information:

- Most guidelines are organized and formatted as narrative text with written examples when required for clarity.
- Flow charts have been used to generally describe processes and the movement of information, approvals, and decisions through the life of the program or project. REFER TO SECTION 10.0
- Matrix charts have been included to further define and clarify the roles and responsibilities of each entity or position at each of the major step as defined in the flow charts. REFER TO SECTION 11.0
- Where appropriate sample or example forms have been inserted as Exhibits for the benefit of users. REFER TO SECTIN 13.0
- Glossary – Definitions for Key Terms and Acronyms REFER TO SECTION 12.1

2.2.2 Manual Update Process:

The *Procedures & Guidelines* manual must be reviewed and updated regularly if it is to remain relevant. At least once a year the Program Manager will advise all manual users that a general review and update is in progress and stipulate a time period for receiving suggestions or proposed changes to the manual. The Program Manager will review any such suggestions, advise the client's designated representative of any such suggested changes to be implemented, and issue the necessary amendments. As the initiator and primary user of the manual, the Program Manager shall have the right to make final determination as to any manual revisions subject to established procedures and guidelines and the applicable legal framework.

2.3 Program Management Categories:

Program Management within this Manual is understood as identifying, managing, controlling and monitoring the bond projects from a consolidated, coordinated, and procedural approach. Project Management focuses this application of knowledge, skills, tools and techniques to exceed the client's needs and expectations at the specific project level. REFER TO SECTION 4.0

The Program has been divided into categories that are applicable to all bond funded construction projects. These categories form the basis for the contents of the Manual:

- **Program Administration:** This category has to be in place in order to accommodate subsequent project development categories. It includes developing and managing 1) an **Information Management System** for web based project controls such as Documents, Costs, and Schedules and 2) a web based **Project Management System** accommodating essential functions for financial management, communications and controls. A key Program Administration function is **Review of Contracts,** including Purchasing and District counsel, for professional services and construction and revision for consistency, all contracts, Requests for Proposal, Requests for Qualification, and bidding documents.

  Developing and implementing **Schedule Management Systems** for Program, Project, and Construction to enable 1) Tracking time and cost per activity, 2) Monitoring and review of contractor schedules, and 3) Generation of ongoing progress reports. For **Accounting/Budget Management**, the PM will 1) Manage an accounting system in coordination with the District, developing a project cost tracking system that provides reporting compatible with Banner, 2) Maintain and manage, in coordination with the District, all program and project fund allocations, and 3) Support the District spending plan and annual budget preparation and management.

  Program Administration also includes protocols for Communication and Reporting and support for Labor Compliance (as indicated by any use of State funds) and Outreach Programs.

  Program Management: Applies effective program level management techniques across planning, design and construction of a group of projects, from inception to completion for the purpose of controlling time, cost and quality. The PM leads a Project Delivery Team (PDT) adhering to performance challenges of Communication, Budget and Schedule Conformance, Quality and Innovative performance of service and Professional Accountability. REFER TO SECTION 5.0

- **Design Management:** In coordination with the design professionals and the campus architects, includes Management of Projects from Programming to Construction cycles, with the aim of producing the highest quality design within constraints of schedule and budget. The PM Develops project parameters, establishes consultant selection process, monitors progress of Design Process through successive milestones, supports evaluation of deliverables through Value Engineering, Estimating and Constructability Review, with an eye to entitlement including DSA approval. Design Management also entails evaluating, developing and implementing Design Guidelines (including specifications and standards) to direct building design, landscape, and hardscape on each College campus, towards a consistent application of standards across all projects, including technology infrastructure, building systems and fixture specifications. REFER TO SECTION 6.0

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- **Construction Phase Management:** Includes a range of methods that may be utilized in a competitive construction market to ensure the most efficient and cost effective delivery of a potential project. This requires analysis on a case-by-case basis to determine best fit of delivery method and project type within a current construction market. The Construction Manager (CM), if any, is contractually responsible for all construction activities from start of work to occupancy. The CM, if any, and the MAAS PM will use PROMPT.ed, MS Project and MAAS Budget formats for Cost Control, and computerized critical path scheduling for Schedule controls. Constructability reviews are carried out at three phases of the Design cycle, corresponding to level of detail of design documents. The Construction Manager along with the District's Special Consultant, manages and coordinates with the MAAS PM all facets of project closeout. REFER TO SECTION 7.0

- **Safety Security and Demeanor:** Safety first – safety and security are responsibility of all PDT members. Protocols have been established for badging / parking, substance abuse, dress code and equal opportunity. Disaster Plan Assistance has also been defined in anticipation of natural and human threats. REFER TO SECTION 8.0

- **Quality Assurance Program:** The Program Manager has established a Quality Assurance/Quality Control program with respect to scope, schedule and conformance reviews. Protocols have been developed for Pre-Construction and Construction Cycles. REFER TO SECTION 9.0

2.4 MEASURE J BOND PROGRAM - PROJECTS OVERVIEW

As part of its Measure J Bond Program, the District Director, Facilities Planning & Construction, College Presidents, Vice Presidents of Administrative Services, Chancellor, Vice Chancellor, Finance & Facilities, along with District and Information Systems staff input, evaluated critical facility requirements for the Anaheim, SCE, Cypress, and Fullerton campuses currently located within the District. Each campus was evaluated in regards to classroom size, safety, energy reduction, and information technology. After each independent facility evaluation, specific scopes of work identified the most critical campus facility projects. The following criteria for funding of the Anaheim, SCE, Cypress, and Fullerton campuses were identified.

Repair, Renovate, and/or Replace Obsolete Classrooms, Science Labs, Instructional Facilities, and Infrastructure:

The District's investigations have identified critical need at three priority sites and recommended funding for upgrades to antiquated science labs, lecture halls, technology and instructional equipment to better prepare students for growing fields of study and high-skill careers. Enhancements of classroom space and training centers for future careers, as well as technically-trained workers. Expansion of veterans' facilities and services as well as job-placement centers to train and re-train veterans as they transition into the civilian workforce.

Improve Emergency Access and Evacuation Routes:

To enhance student safety, redesign campus access networks to eliminate dangerous intersections and unsafe conditions, reduce gridlock, improve pedestrian safety, address American with Disabilities Act (ADA) components and increase access for emergency vehicles.

3.0 Organization: Internal Function, Roles & Responsibilities

3.1 OBJECTIVE

This procedure aims to define the roles and responsibilities of the District and MAAS North Orange County Community College (NOCCCD) Program Management Staff. This section of the Program Management Procedure Manual is a guideline for efficient and effective office and project management. Responsibilities and expectations for each position are delineated in order to promote a cohesive and synergetic team.

This Section deals with Internal Organization of the Program Manager. Program Manager is understood as the Program Management staff headed by the Program Manager. Section No. 11.1 provides a Matrix demonstrating the broad range of parties contributing to the NOCCCD Bond Program and is intended to structure dialog about defining roles and responsibilities within an inter-organizational context.

3.2 PROGRAM STAFFING

The staffing of the Program Management team will evolve over time as the Program is implemented. The organization of the team has a clear line of accountability, however is essentially a matrix as contrasted to a more traditional hierarchical structure – this enables flexibility in staffing, through both advancement opportunities for staff dedicated to the Program and expansion of the team where additional expertise is required. Current and projected MAAS Program staff includes:

- Program Manager – Eduardo Escobedo
- Senior Project Manager – Assigned as required
- Project Managers – Assigned as required
- Finance Manager – Karen LeSassier
- Contracts – Assigned as required
- Office Manager – Lucy Gonzalez

3.3 ACCOUNTABILITY, ROLES & RESPONSIBILITIES

Primary roles and responsibilities assigned to each Program staff position. These roles and responsibilities are not exclusive to the position (because of the matrix structure of the team), but establish accountability and authority for each position.

Program Manager:

Reports to MAAS - Vice President of Operations

Roles & Responsibilities:

- Senior member of the on site management team
- Overall planning, organizing, staffing, performance, and management of the program and the team
- Designated primary point of contact for the team
- Accountable for directing all program related interface with the client, the client's governing board, oversight committee, governmental authorities, and the public
- Leading the development and maintenance of the overall program master control documents
- Providing periodic reports and updates to the client

Campus Project Manager:

The Campus Project Manager reports to the Campus Vice President of Administration.

Roles and Responsibilities:

- Effectively manages the product of the Project Design Team, the Construction Managers, for Modernization, New Construction, including Project Designs, Bids/Awards and Construction.
- Reviews and approves all Applications for Payment from contractors, architects, consultants and subcontractors.
- Coordinates with the Program Manager in reporting project status to the District Board of Trustees and key personnel.
- Coordinates FF&E/Standards implementation for A/E & User Teams
- Client satisfaction responsibility

Campus Assistant Project Manager:

The Project Manager reports to the Campus Project Manager

Roles and Responsibilities:

- Coordinates activities of Consulting Architects
- Attends user Group Meeting
- Confirms Design Schedules
- Confirms Cost Estimates
- Conducts field observations for design confirmation, per constructability reviews

MAAS Accounting Manager:

The Finance/Accounting Manager reports to the MAAS VP of Operations
Roles and Responsibilities:

- Supports District Purchasing Director to execute bond related financial responsibilities and obligations assumed by MAAS under the terms set forth in our agreement with the client
- Supports District Accounting Director to compile and manage all cost accounting and reporting functions at both the program and project level, coordinating with Facilities and District Accounts Payable to determine cash-flow needs and timing
- Interface and coordinate with Facilities and the client's purchasing and accounting departments concerning purchases, contracts, pay requests, and record keeping
- Act as in-house administrative officer insuring that all required documentation supporting contracts, purchases, pay requests, labor compliance, bonding, and lien releases is prepared, reviewed by Facilities, and provided to the client in a timely manner
- Work in close concert with Facilities and the client's purchasing and accounting departments and their designated financial service providers to insure that all monthly financial reports are prepared and submitted on time as directed by the client

Document Control:
Document Control will be a function in which all participants coordinate, working in conjunction with vendors and consultants directed by the District to ensure that all project forms, filings, plans, correspondence, billings, and electronic data are labeled and stored for efficient retrieval.

MAAS Office Manager:

The Administrative Support position reports to the Program Manager
Roles and Responsibilities:

- Support the activities of the program manager, the accounting manager**,** and the project manager when requested.
- Manage the master calendar of all program wide meetings involving the client, the MAAS program manager, and the MAAS accounting manager, including all meetings with governing authorities, Chancellor's Staff, Board, Facilities, master planning architect, project management team, and as requested by the Program Manager. Designated point of contact for the client when needed; administrative services for the Program Manager.
- Maintain calendar of all deadlines and milestone dates to advise the assigned party, the program manager, and the MAAS Accounting Manager when such critical dates are at hand. Prepare minutes of meetings as directed by the program manager, preparing required documents and materials for specified meetings, and noticing all required attendees.
- Available to support and assist other administrative personnel when required and available

3.4 ORGANIZATIONAL STRUCTURE

Refer to Section 10.0 for Flow Chart representing the relationship of positions and respective responsibilities. (Appendix A & B)

NOCCCD BOND PROGRAM FUNCTIONAL MATRIX

Add Community Oversight Committee to Program Level Matrix

Add Information Services to Project Level Matrix

4.0 PROGRAM ADMINISTRATION

4.1 Financial Management, Communication and Control

4.1.1 OBJECTIVE

Program Administration aims to establish project cost controls and provide accurate financial data so that both the District and the Program Management Team (PMT) can make informed decisions utilizing the California State Chancellor's Facilities Planning Manual as the framework to develop of District-specific operational plan. The Chancellor's manual stipulates that a "systems" approach to Project Management is key to success, and that each local agency (the District) should develop its own detailed systems, based on the Chancellor's manual.

This objective requires comprehensive estimate validation and cost control services to be provided throughout all phases of project development including planning, design, and construction. The Campus Project Manager (CPM)/MAAS Program Manager (MPM) team will work together to measure the performance of the architects and engineers, specialty consultants, and contractors to ensure that they are meeting the District's budgetary goals. This will include preparation of cash flow projections and reports on budget vs. actual variations and overruns, consistent with the District's preferred format.

The Cost Control System central to this objective will built upon the PROMPT.ed platform in coordination with the District's Banner system. This software will be implemented at the District by the designated Project Controls staff, based upon system specifications and software provided by the Program Manager. Contract directories of contact lists, original contract information, budgets, commitments, and actual costs will be maintained. Change orders, claims, trends, and invoices will be entered into the system to provide a near real-time picture of the financial status of a project. This will enable the Team to summarize information on a project level.

4.1.2 REPORTING

Project Reports: The development of meaningful reports is a key component in the successful management of the Bond Program. Project Reports are needed for day-to-day management and for oversight by the District and the Program Management Team. To produce accurate reports, the program and project management teams will use common reporting and control systems and will follow uniform protocols in coding and inputting project data.

4.1.3. CLAIMS AND DISPUTE RESOLUTION

Public owners must protect themselves from unwarranted litigation by contractors. The PMT will, with guidance and participation of counsel, implement a three pronged strategy to minimize and manage claim liability by:

- *Recommending* contract language to the District that best controls assignment of responsibilities and risks.
- *Recommending* claims instruction for District employees, staff, and other consultants.
- *Assisting* the District in proactively managing their projects with diligent professional oversight and claims avoidance.

Each "Request for Change Order" is a potential claim against the project. The Campus Project Manager and Program Manager member and the Construction Manager (if any) will perform a thorough analysis of each request to determine if the claim has validity:

- Liability or entitlement (is the claimant entitled to compensation)
- Causation (causation is the bridge between the claim event and claim damages)
- Damages (damage calculations vary with the claim type)

Clearly, the most economical form of dispute resolution is dispute prevention through an application of the claims avoidance approach described above.

Campus Project Manager and the Program Manager, along with the Construction Manager (if any), will aggressively pursue resolution of claims before they become disputes.

4.1.4 INTERNAL PROGRAM BUDGET RE-ALLOCATION

Program Management anticipates that the District will revise individual project scopes and that budgets will have to be adjusted to meet the project revisions.

When the District requests a change that affects the cost of an individual project, MAAS's Program Manager will bring it to the attention of the District Director, Facilities Planning & Construction. The District Director, Facilities Planning & Construction will be responsible to coordinate with the District leadership for approving the reallocation. The Program Manager will forward the reallocation request to the Program Manager's Finance Manager (and the designated Project Manager).

Upon approval of the budget adjustment by the Board of Trustees or District, the Program Manager's Accounting Assistant will provide a signed and executed copy to the Campus Project Manager, and District Facilities and Technology staff for uploading to the County web site. A copy will also be provided to MAAS Program Manager who will file in the Project file. The MAAS staff will update the Project Management Software with the reallocation.

4.1.5 REVISED BUDGETS

Project budgets will be revised as required in the contract or at prescribed intervals.

The MAAS Accounting Manager will prepare the budget revision and review it with the Project Manager. Once approved by the Program Manager, the Program Manager will review the budget with the District Director, Facilities Planning and Construction.

Upon approval by the District Director, Facilities Planning and Construction, the revised budget will be returned to the MAAS Accounting Assistant. REFER TO EXHIBIT H Revised Budget Approval Form.

4.1.6 FURNITURE FIXTURES & EQUIPMENT (FF&E) BUDGET

Separate furniture, fixtures, and equipment (FF&E) budgets will be established jointly by the District's Director of Facilities and Planning and Vice President of Administrative Services/Provost/SCE Dean of each campus during initial project planning for each capital construction project, including renovation projects. FF&E budgets may also be developed by the applicable equipment cost guidelines established in the California Community Colleges Chancellor's Office Capital Outlay program for state funded projects.

Definitions

Fixed Equipment (Group 1 equipment): Consists of permanently affixed/installed furniture, fixtures and equipment. Examples include but are not limited to: elevators, bulletin boards, kitchen cabinets, environmental walk-in boxes, building directories, library shelving, drinking fountains, signage, plumbing fixtures, building mechanical systems, chalkboards, backbone telecom/data/systems and electrical systems, fume hoods, fixed electronic equipment, and fixed theater or classroom seating, as well as other fixtures and equipment installed with the intent of permanent use in that location. Fixed Equipment will normally be procured using funds from the construction budget account, and procurement will be included in the construction documents and construction contract. This Group 1 Fixed Equipment will be eligible for procurement from Measure J funds as Constructor Furnished Contractor Installed (CFCI) part of the Direct Construction Costs and will be included in the construction documents and construction contract.

Furniture/Fixtures and Equipment (Group 2 equipment): Moveable furniture, fixtures, or equipment that require no permanent connection to utilities or to the structure. The equipment may require utility outlets, but are plug-in types. Examples include, but are not limited to: moveable or non-fixed theater or classroom seating, electronic equipment, desks, chairs, bookcases, files, waste receptacles, easels, partitions, refrigerators, tables, credenzas, stools, typing stands, computer stands and other furniture, including interior wall/furniture systems. FF&E also includes scientific or technical equipment such as autoclaves, centrifuges, lasers, spectrophotometers, shop equipment/tools, kilns, and microscopes. FF&E (other than computer and network equipment) are capital items that will typically last more than five years before requiring replacement. FF&E will normally be procured using funds from the FF&E budget account. This Group 2 FF&E will require concurrence by District's Director of Facilities and Planning and Vice President of Administrative Services/Provost/SCE Dean of each campus to determine which type and quantities will be eligible for Measure J funding.

Supplies: Supplies are items that are expendable in nature that are consumed or worn out, deteriorate in use, or are easily broken, damaged or lost. Examples include, but are not limited to, typical desk supplies, utensils, cleaning materials, fasteners, scissors, test tubes and keys. Supplies are non-capital items that typically have a service life of five years or less, and generally must be replaced frequently. Examples include small containers, brooms, hand tools or small electric tools. Supplies that need to be purchased in relation to a capital outlay project will not be procured using funds from the capital project budget accounts, and normally will be purchased by the Campus. Supplies that need to be purchased in relation to a capital project will not be procured using Measure J funds, and if required will be purchased by the campus.

Guidelines

1. One common challenge District and campus project planning teams face is that of properly distinguishing between FF&E and supplies. During the Design Development phase the campuses and design teams will properly categorize an item planned for procurement using the definitions above. However, due to the rules and regulations governing state and local capital funds, the final decision regarding the proper designation of an item remains with the District.

2. The District will purchase FF&E of good quality.

3. Budgets established in the initial stage of construction planning may not be adjusted without the concurrence of the District's Director of Facilities and Planning and Vice President of

4. Administrative Services/Provost/SCE Dean of each campus. Adjustments may be dictated by changes to realized expenses in other project budget accounts, or otherwise limited by the availability of project funds.

5. Colors, style of furnishing, etc., will be determined cooperatively for each area by Campus staff members of the project committee, and the District Facilities Planning project staff, utilizing professional planning and design assistance if a design team has been hired for the project.

6. Furnishings and equipment will be primarily of standard design ordinarily selected from catalogs or held in stock by vendors and ordered with the assistance of the District Purchasing Director. However, if the nature of the furnishings or equipment involves special design/customization of a technical nature or requires changes in building construction, the District's Director of Facilities and Planning is to be consulted for specific approval.

7. Costs and Scope of moving FF&E and supplies related to a capital outlay project may be funded by project funds, but must be considered and established at the outset of the planning phase, subject to availability of funds, unless otherwise prohibited by rules or regulations.

Detail of Equipment

1. Detailed equipment lists will be developed during project planning and design phases, often with the assistance of design professionals. The Director of Purchasing or the design professionals may provide estimated costs. All such estimates will include the total cost of ownership (initial cost, annual costs, projected lifespan and disposal cost) for equipment purchased or comparable costs related to leased equipment as part of a capital project. If total estimated costs exceed budget allocations, campus staff will be asked to work with the designers to assign priorities to align projected costs with the designated budget allocation, or the Campus staff will need to seek additional funds from other funding sources. While District staff and design professionals will facilitate development of equipment lists, responsibility for identifying all proposed FF&E, whether new or reused, rests with the campus.

2. FF&E items should be grouped by rooms and identified where applicable with the functional space use or employee position. Each room should be identified by number (as shown on the preliminary plans) and room type (or purpose).

   Examples: Room No. 602, Classroom
   Room No. 603, Office, Division Chairman Room
   No. 604, Physics Laboratory Room No. 605,
   Physics Storeroom

3. All items of equipment to be placed in each room should be shown with an indication of whether the item is to be (a) purchased, (b) included in the construction contract, or (c) transferred from another building or location. For items in category (c), campus staff must indicate building and room number of present location and asset number if applicable.

4. A list should be prepared of all FF&E which will not be reused in the project. Campus staff will indicate room location, asset number, condition and recommended disposition, and will work with Purchasing staff for proper disposition of all items in accordance with the applicable District's policies and procedures.

FF&E Standards

1. The District will work with the Vice President of Administrative Services/Provost/SCE Dean to establish campus FF&E standards which govern typical space furnishings, quality, quantity, and color/style of FF&E. If such standards have been developed, the campuses will enforce the use of the standard. Deviations from the standard must be approved by the campus President or designee and the District's Director of Facilities Planning & Construction, approval may be subject to budget limitations or the availability of funds for other project priorities.

2. If no campus FF&E standard exists, the District and Vice President of Administrative Services/Provost/SCE Dean will work together to identify project standards such that deviations in quality, quantity and style of FF&E in similar project or campus functional spaces are minimized.

4.1.7 PROJECT CONTINGENCIES

PROJECTS' CONTINGENCIES & CAMPUS RESERVE FOR MEASURE J CAPITAL PROJECTS

At the outset of the Capital Improvement Planning in 2014, Facilities Planning and Program Services (FPPS) produced a multi-project/multi-year Capital Improvement plan spanning 20 years. Conceptual estimates were produced outlining the Hard and Soft costs. The project budgets specifically detailed the Hard & Soft costs that included 12% Contingencies to address potential Design, Construction, and Project overruns. At the time escalation was nominal; however, now that many K-12 & Community College Districts have passed successful Bond Initiatives, the K-14 plan reviews at DSA are being delayed, making it another reason for escalation becoming a factor impacting project costs in the coming years. Therefore, the District's Director of Facilities and Planning and Vice President of Administrative Services/Provost/SCE Manager of Administrative Services of each college campus shall establish a minimum of 12% Design/Construction/Project Contingencies for every project funded with partial or complete Measure J funding. In addition, with a minimum of 2% a Campus Reserve will be established. The Project Estimating Worksheets (PEW) shall be completed by the Campus Project Managers to detail the Hard & Soft costs of every project at the conceptual stage and maintained on a monthly basis.

Definitions

Design Contingency (DC): On occasion, initial programming validation merits further review and requires added scope to address the educational requirements. In preparation for scope adjustments requiring additional design and/or engineering not anticipated, every project will establish a minimum of 2% of the conceptual construction estimate as the Design Contingency.

Construction Contingency (CC): Industry standards dictate that construction contingencies be set aside for unforeseen conditions, added Fire/Life/Safety code compliance and field discovered design errors/omissions. Typically for renovations, a 10% -15% contingency should be set aside to address construction conditions that require additional funds to complete the project. In new construction projects, a minimum of 2.5% - 5% must be set aside as a precaution.

Project Contingency (PC): In the event that the above listed contingencies are insufficient to attend to the project needs, this minimum 3% contingency shall be established for purposes of addressing unforeseen or other project issues that may arise impacting the projects' completion.

Campus Reserve (CR): The Campus Reserve is to be established with a minimum of 2% from each planned project. This minimum 2% will be based on the entire Project Budget. This CR will serve to supplement projects that experience higher than normal costs prior or after bids are received. It is anticipated that renovation projects will be the primary candidates to receive supplemental funding from the Campus Reserve. If any funding remains from the DC, CC, or PC at the projects' 90% completion, these funds will be added to the Campus Reserve.

Process

8. Once the Contingencies and Campus Reserves are established, the Vice President of Administrative Services/Provost/SCE Manager of Administrative Services will manage their respective contingencies accordingly. The Campus Project Managers will be responsible to ensure that these contingencies are closely monitored and reported. If any project is anticipated to require supplemental funding from the Campus Reserve, the District's Director of Facilities Planning & Construction must weigh in to determine the merit and amount of the allocation from the Campus Reserve.

9. Prior to any consideration for use of the Campus Reserve, the Vice President of Administrative Services/Provost/SCE Manager of Administrative Services must demonstrate to the District's Director of Facilities Planning & Construction that the Project Contingency will be exhausted by an updated PEW in the EAC cost buckets.

10. Project Budgets as established may not be adjusted without the concurrence of the District's Director of Facilities & Planning and Vice President of Administrative Services/Provost/SCE Manager of Administrative Services of each campus. Adjustments may be dictated by anticipated expenses in other project budget accounts, or otherwise limited by the availability of project funds.

Detail Reporting

5. Project Estimating Worksheets (PEW) shall be completed for every project to identify the initial project budgets at the planning stage. These preliminary project estimates will be considered conceptual cost estimates. Each campus must use the PEW template provided as **Exhibit #1** that provides all Hard and Soft cost details. At the Planning stages and prior to completion of programming validation, each project shall have a PEW on file in Prompt's digital filing folder in each respective project folder.

    - Campus Project Managers shall notify the District's Director of Facilities Planning & Construction and Program Manager upon completion
    - Feedback review will be provided to the Campuses to acknowledge the identified construction estimate listed in the PEW as the Design to budget
    - The Campus Project Managers will monitor and track the project progress through the Construction Document Phase and reflect updates in the cost buckets of the PEPs
    - These initial & updated PEWs will be required to be uploaded into Prompt.ed by the end of each month

6. Prompt.ed will be the Measure J financial system responsible for tracking all expenditures along with all corresponding documentation. The Campus Project Managers (CPMs) will complete the PEW to initially establish Soft & Hard costs for each project, subsequently these same costs can be reflected in the Project Execution Plan (PEP) as noted below. The CPMs will be responsible to download the most recent PEP template and maintain the milestone schedule for each project. The updated PEP must be uploaded a minimum of once a month prior to the 5th of each month.

Detail of Referenced Worksheets

1. PEW – These have been pre-populated with formulae and initial assumptions that require the Campus Project Managers to revise based on campus requirements and/or assumptions. As is noted in the worksheets, industry standards for each of the listed Soft costs are provided to use as a guide. However, the Campus Project Manager can vary percentages from those provided, but if deviating from these listed industry standard percentages, must list the reason(s) why in the Remarks section and/or Notes section.
    a. Project Information – Complete this section in its entirety, particularly the date the PEW was first revised. It is recommended that the Campus Project Manager estimate the "cost buckets" conservatively to set aside sufficient costs for added construction and soft costs. The Estimated Construction Budget is a "hard coded" number that is derived from the original conceptual budgets set in 2014 (currently listed in the Audit & Finance Report), provided by an Architect, or a 3rd party estimator. Alternatively, at the conceptual stage or taking square footage cost from similar type facilities of other California Community College Campuses.
        i. *BUDGET ITEMS* – As noted, once the "hard coded" number is provided the formula populates the Estimate to Complete (ETC) Column
        ii. *CONSTRUCTION HARD COST*
            1. A.1 – This is the number that self-populates in the Estimate to Complete (ETC) and in the Estimate at Completion (EAC) Columns from the Project Information section
            2. A.2 – Although this reads "Partnering" this can be changed to any other topic, but add reason and description in the "Notes"
            3. A.4 – Construction Contingency can be revised based on the type of project and level of comfort with the Design & Construction team
            4. A.5 – This Owner Initiated CO can be left blank if no anticipated changes will be permitted or pre-determined that no likelihood of any scope creep
            5. A.6 – Even if a Commissioning Agent (Cx) is not selected for the project it would be a good place to set-aside some funding in the event there would be interest to bring in a 3rd party to commission a specialized piece of equipment i.e. Theater Sound equipment or System i.e. HVAC
            6. A.7 – Completely up to the campus to set aside funds in this line item budget
            7. A.8 – Move services are essential will likely require a 3rd contract
            8. A.9 – Line item available for "added secondary construction scope" or anything else that may be anticipated
            9. A.10 – In this example the "HazMat/Environmental" is for specialty contractor to remove, campus may seek to track this cost separately in the Schedule of Values (SOV)
            10. A.11 – Essential to establish a Project Contingency as prescribed in this procedure

iii. DESIGN COST

1. B.1 – Programming Architect cost should be tracked here
2. B.2 – Architect of Record (AOR) self-explanatory
3. B.3 – Essential to establish a Design Contingency as prescribed in this procedure
4. B.4 – On occasion a project may not have the opportunity to retain the Contractor early in the Design phase and a 3rd party may be expected to be retained to provide "Design Assist Services"
5. B.5 - An Open cost line item
6. B.6 – GeoTech services may be listed on this cost line item
7. B.7 – An Open cost line item

iv. OTHER SOFT COSTS

1. C.1 – Program Management services are being tracked at the District level so this cost line item can be left at 0%
2. C.2 - Pre-Construction Management services will be tracked at this project level when a CM is anticipated to be retained to provide Design assistance, scheduling, and estimating, services
3. C.3 – This cost line item is for CM fees when using CM Multi-prime or CM Advocacy delivery method
4. C.4 – This cost line item is reserved for either Owner furnished Contractor Installed (OFCI) or Owner furnished Owner installed (OFOI) FF&E
5. C.5 – Self explanatory
6. C.6 – Self explanatory
7. C.7 – On occasion tracking the Master Planning/EIR costs may be tracked on a project by project basis; currently being tracked separately
8. C.8 – This cost line item is reserved if the District plans to purchase Builder's Risk separately this can also be part of OCIP

2. PEP – The PEP templates are provided in Prompt.ed within each respective project Folder. With input from the Cypress campus, it became apparent that the current PEP needed to be completely revised. This new revision will result in a more efficient process to establish the initial project budgets, with the use of the PEW to track/monitor the milestone schedule as the projects progress through the various design/review/construction and post-construction phases. The PEP worksheet now consists of 3 Tabs, namely Milestone Schedule, Project Budget & Bar Graph Schedule **(Exhibit #2)**. Note, that completing the Project Information in the Milestone Schedule tab auto-populates the Project Budget tab and the approved Project Budget. It is important to include the Initiation Date at the outset of completing this tab and then each month thereafter the corresponding "updated date". While populating the dates on the Milestone Schedule tab the Bar Graph schedule will auto-populate with the corresponding color legend provided. The Project Budget tab will reflect the approved Project Budget and the CPM's will have the task of populating the Budget Details from the Project Estimate Worksheet (PEW) as the project is still in the planning phase.

   To illustrate the use of this PEP, the SEM building was used to populate the tabs and milestones with the information obtained to date, and the Budgeted cells for the AOR & CM are based on the actual encumbrances established. As you will notice, these amounts are different from the PEW shown in **Exhibit #1** due to this PEW being completed by utilizing previous assumptions and percentages rather than hard-coded amounts. Upon completion of the PEP by the CPM's and uploaded into the project folders, MAAS will enter the expenditures each month to provide the CPM's an update of the expenditures as downloaded from Banner through Prompt.

Currently, these are standalone worksheets, and will require the downloading & uploading similar to the PEWs. MAAS is currently working on incorporating these updates within Prompt after further input is received from the CPM's on these worksheets before they are programmed into Prompt, which is anticipated to be Spring 2017.

4.0 PROGRAM ADMINISTRATION
4.2 Contracts, Purchase Orders & Expenditures

4.2.1 OBJECTIVE

The objective is to define administration of Bond Program expenditures, regardless of type, in accordance with mandated auditing and bond funding source requirements. All costs associated with this program must be accounted for adhering to the Bond Agreement, the Bond Approved Budget, as well as Federal, State and Local guidelines pertaining to the use of Public Funds in construction.

4.2.2 CONTRACTS & PURCHASE ORDERS

Contracts and/or Purchase Orders will be assigned and initiated through NOCCCD Purchasing at the request or direction of MAAS. Payment terms negotiated between NOCCCD and a Consultant/Vendor will be adhered to, as practicable, to eliminate payment delays or liability issues. Documents that engage the service of any Contractor, Subcontractor, Vendor or Consultant, where it relates to the spending or committing of Bond Program funds, must be reviewed and approved by the authorized MAAS Program Manager, prior to being submitted for final approval by NOCCCD. No contracts or agreements may be executed without the express knowledge of the Program Manager and NOCCCD. Upon approval by the Program Manager, all contracts and/or agreements will be forwarded, for final approval, to NOCCCD, Attn: District Director, Facilities Planning & Construction

The following authorized signatures will be required on all purchase orders in addition to all requests for purchase order and/or change orders:

- Eduardo Escobedo – MAAS Companies - Advisor
- Rick Williams – District Director, Facilities Planning & Construction – Notifier
- Vice Chancellor for Finance & Facilities - Authorizer

Contracts, purchase orders and/or agreements will not be valid unless signed by the above listed Program Representatives, submitted for approval on the appropriate Request for Purchase Order (EXHIBIT B) and Request for Change Order (EXHIBIT C).

4.2.3 ACCOUNTS PAYABLE & BILLINGS

All invoices relating to payment for services rendered on behalf of the Bond Program must be received in the MAAS office. They will be reviewed and approved as outlined below, before being processed for payment by NOCCCD. Every invoice must be submitted with a Control Form (Exhibit A). The Control Form will drive the approval and payment process and authorize NOCCCD Accounting to proceed with payment. Each Control Form requires signatures for approval. The following are authorized to approve Consultant/Vendor invoices:

- Eduardo Escobedo – MAAS Companies - Advisor
- Rick Williams – District Director, Facilities Planning & Construction – Notifier
- Vice Chancellor for Finance & Facilities - Authorizer

When invoices are received in the MAAS office, they will be shared with the Campus Project Manager (CPM), and will be reviewed for completion of work, costs analysis and documentation per the Invoice/Pay Application Document Checklist (EXHIBIT E) by MAAS and by the CPM. MAAS must approve or reject all invoices. Invoices that are approved by MAAS will be forwarded to the Program Manager for review and approval. The Program Manager must approve or reject all invoices.

Upon approval by the Program Manager and the Campus Project Manager, invoices are forwarded to the District Director, Facilities Planning & Construction for review and approval and then forwarded to the District accounting staff for payment. The District Director, Facilities Planning & Construction must approve or reject all invoices within 2 business days from receipt of invoice from MAAS. At no time should it take more than 7 days to approve or reject any invoice from a Consultant or Vendor.

Invoices ***not*** approved by MAAS will be returned to Consultant/Vendor with instructions from MAAS to correct or amend before resubmission (EXHIBIT D).

Invoices that have been approved by MAAS, but ***not*** approved by NOCCCD, will be returned to MAAS with explanation for rejection and instruction on steps needed to complete the invoice conforming to NOCCCD requirements. Invoices are not considered approved and ready for payment until the Consultant/Vendor Invoice Approval Control Form (Exhibit A) has been signed by all authorized representatives. REFER TO FLOW CART 10.6 Invoice Tracking Flow Diagram.

4.2.4 INVOICE PROCESSING

All invoices are to be directed to:
North Orange County Community College District
C/o MAAS Companies
Attention: Karen LeSassier
1830-B W. Romneya Drive
Anaheim, CA 92801

All invoices must include the Project Number, Agreement Number, or the Purchase Order Number.

When the invoices are received in the MAAS Program Management office (by any method), they will be stamped with the incoming correspondence date stamp. The Finance Manager will then review with the Program Manager for accuracy sign off prior to processing.

4.0 PROGRAM ADMINISTRATION
4.3 Bond Web Site Maintenance

4.3.1 OBJECTIVE

Update of a dedicated website is essential over the life span of a large scale, publicly funded education capital program. This procedure defines ongoing Bond Program website maintenance.

All data associated with this program must be accounted for in accordance within the NOCCCD Bond Program Agreement, Program approved scopes, budgets, financials and/or general bond language and schedule updates.

4.3.2 SCOPE

All documents received and authorized which are pertaining to the Scope and/or General Bond Language shall be compiled into a web presentation by MAAS, appropriately filed in the master filing system, distributed to all directive committees, and approved and accepted by NOCCCD District Director, Facilities Planning & Construction who will coordinate review by other district parties.

4.3.3 PROGRAM BUDGETS

All documents received and authorized which are pertaining to Program Budgets shall be compiled by MAAS into a web presentation, appropriately filed in the master filing system, distributed to all directive committees, and approved and accepted by District Director, Facilities Planning & Construction .

4.3.4 FINANCIAL DISCLOSURE

All documents received and authorized as pertaining to the disclosure of financial information shall be compiled by MAAS into a web presentation, appropriately filed in the master filing system, distributed to all directive committees, and approved and accepted by NOCCCD District Director, Facilities Planning & Construction.

The following key representatives shall forward data directly to the Program Manager for website updates:

- Construction Manager (if any)
- District Director, Facilities Planning and Construction

4.3.5 PROCESS FOR WEBSITE UPDATES

All data to be incorporated into the Bond Website will be input the last Wednesday of every month. Data should be received one week prior to input for review. Any information received after cutoff will be submitted the following month. Any exceptions to this procedure should be approved by the District Director, Facilities Planning & Construction.

Formats will be modified as required as they relate to headers, logos, font, style layout, special images and characters, color, directories, and legends.

Static images, language (scope, etc.), matrixes, schedules, meeting minutes, agendas and key contacts will be updated monthly as necessary.

Email data, bulletin boards, bid notifications, state agency links, MAAS link and all other approved web links will be updated and/or modified as necessary.

4.3.6 EXECUTION

Hard copies of the modified and/or added data, as mentioned above, will be printed as they will be shown on the bond web site, and approved by the following:

- Program Manager
- District Director, Facilities Planning & Construction

The link to each of the pages through the Program Manager will be linked by the NOCCCD IT department.

4.0 PROGRAM ADMINISTRATION
4.4 Document Control - DRAFT

4.4.1 Objective

Document control is a critical part of the centralized database used to facilitate all program-wide project related costs, communications and controls. The objective of Document Control procedures and guidelines is to establish necessary protocols, coding and logs governing incoming and outgoing correspondence, technical documents and reports over the duration of the program.

4.4.2 Document Control System

MAAS builds document controls around PROMPT.ed, a client-server based Windows Based System (WBS) application that has been web-enabled. PROMPT.ed supports status tracking and control of all elements in the project management cycle.

All components are inter-related for efficiency and control. The application has a flexible 20 character cost code definition field which allows users to build and manipulate complex cost reporting requirements. Through a combination of forms, logs and reports to integrate gathering and reporting data, the software has extensive custom report writing capabilities and the ability to add custom data fields to tailor a workflow process to a particular need.

All project related data is generated through the system and stored in the database, making the data instantly available for searching and updating. The system also has a customizable Project Center to alert the users of items due and past due. It also displays project analytical data. Access to components within the database can be restricted at the project, module or document type level. Read/Write permission can also be applied on a more general basis.

4.4.3 Document Management Procedures

The project team will use a document scanning and indexing application provided to the District by ARC as a scanning program for drawing documents, as well as OneNote filing system for small format documents. All project files are stored and retrieved electronically through or over the web. Scanned images on the Document Control file on the server by ARC, who will index each entry, utilizing coding relating to the client's WBS.

Similar to an outline, Prolog consists of different levels of detail by subject starting with the Project name and drilling down to the project folders and modules. The intent of the distribution of detail on various levels is to simplify activities into small, manageable modules that can be easily monitored. Refer to Exhibit F Document Control Process Flow.

4.4.3.1 ARC Coding:

ARC is used by the project team members to label each document with a code. The document for filing will be stamped to show the date, file code, and vault access (The vault is the folder posted on the web. This section on the stamp is for the internal processor to know where to put the document on the web). The file code represents a file in which the document will be kept for the project's duration. It is the responsibility of

the Project Manager (PM) to ensure that all documents are properly coded, dated and filed. In addition to the above coding and filing duties, the PM has specific handling responsibilities for each document depending on the document type.

After the document is properly coded, it is scanned and indexed. During indexing, the document is also run through optical character recognition (OCR). Both the image and text file are linked to the Prolog database and stored on a SQL server. This allows all documents or project files to be retrieved electronically. Because the documents are "OCR'd", the ability to text search for relevant documents and build a history is a powerful tool.

Additional features of the software allow printing, faxing and e-mailing of retrieved documents. Documents are easily archived to CD-ROM or flash drive to facilitate project closeout, and are easily imported into a client's enterprise system.

The folder structures containing the documents are flexible and all file formats are industry standard. Image Tool also has the ability to annotate and markup documents. Another powerful feature is that the documents can be instantaneously published to a website behind secure password protected vaults. This allows project participants access to project files, regardless of location, simply by using the Internet and browser software. There is an upload feature built in to work within the Citrix or thin-client arena. All project files are scanned locally at the project site and batch processed. These files are uploaded via Citrix to EIS Pro's central server where they are indexed, OCR'd, and if necessary, published to the web.

4.4.3.2 All Bond-related Incoming Correspondence:
All incoming (to PM) correspondence, other than a letter, must include a cover letter or transmittal. When a document is received from an outside entity, the document is copied for the intended party and stamped COPY. The document is for the recipient's information and use. The original document is stamped ORIGINAL and the document is marked using the Prolog stamp in the upper right hand corner of the document. The document will be scanned and filed in the project database.

4.4.3.3 All Bond-related Outgoing Correspondence:
If the correspondence is other than a letter, the correspondence must be accompanied by a Cover Letter or Transmittal. The Administrative Assistant will then make a copy of the transmittal and all back-up documents. The original will then be forwarded to the intended recipient and the copy(s) will be scanned into the project database.

4.4.3.4 Meeting Minutes Processing Procedures:

<u>Project Management Team (PMT)</u>

1. The PM may record meetings or designate the Administrative Assistant to do so.
2. The meeting minutes are to be completed in Word and issued as pdf.
3. Upon completion of the typed "draft" minutes by the Administrative Assistant, the minutes must be provided to the PM for review and comment.
4. After changes and modifications are made, a final scanned copy is placed on One Note and in the project file. As appropriate, they are distributed to all attendees.

Regular Meetings – Owner/User and Other Meetings

1. All meetings will be recorded via meeting minutes.
2. The meeting minute's computer file is located on the server.
3. Upon completion of input, "draft" minutes are to be sent to the attendees for review and comment.
4. After changes and modifications are made, a final copy is placed on One Note, scanned for file, and distributed to attendees.

4.4.3.5 Drawing Control:
Document control ensures that record drawings are kept current throughout the construction phase of the project and are completed and filed after completion of the project. The Project Manager (PM) shall be responsible for ensuring that the Contractor is adequately maintaining record drawings that accurately reflect field conditions. The PM shall also be responsible for ensuring that the record drawings are submitted in accordance with the requirements of the specifications.

The PM and the Project Engineer shall review the specifications and become thoroughly familiar with the requirements for record drawings.

The drawing, once reviewed by the PM, will be given to the Administrative Assistant. The drawing will be date-stamped on EACH page and returned to the PM for his keeping.

4.4.3.6 Control Logs:
The purpose of Project Control Logs is to establish a common tracking system for the project team, allowing easy reference and retrieval of construction related documents.

There are eight (8) document types that will be tracked during the construction life of the project. These reports are:

A. Submittals
B. Requests for Information- RFI
C. Bulletins
D. Potential Change Orders - PCO
E. Change Order Request- COR
F. Change Orders- CO
G. Notice of Non-Compliance/ NNC
H. Inspector of Record Daily Reports

The CM is responsible for all project control logs. The specific responsibility for the delivery and maintenance of logs is defined below.

The CM's Administrative Assistant will publish the Change Order Log as needed, and provide and maintain the RFI Log, and Submittal Log. Log documentation and reports will be maintained and available throughout each construction project for regular review by the PMT.

4.4.3.7 Control Log Definitions:

Submittal Log: The submittal log tracks the approval process of Submittals from the Contractor to the Architect, Architect/Contractor to Owner, Architect/Owner back to the Contractor.

Request for Information (RFI) Log: This log provides information such as who asked the question, when the question was asked, who answered the question and when the answer was given to the Contractor.

Bulletin Log: Any change to the contract documents as a response to an RFI requires the formality of a Bulletin documenting and detailing that change to the documents.

Potential Change Order (PCO) Log: This log provides tracking of notifications from the contractor/subcontractor letting the District know that some condition in the work or response to an RFI may trigger a requested for a change order from the contractor/subcontractor.

Change Order Request (COR): This log follows the change order process from issue of an RFI, to a Contractor's request for a change order, through negotiations with the Contractor, and may finally result in a change order.

Change Orders (CO): The Change Order log tracks the processing of a change to the Contract once negotiation for a Contractor's change proposal has been received and approved.

Notice of Non-Compliance (NNC) Logs: These are listings of all deficiency notices generated by the Inspector of Record during the project until they have been corrected by the Contractor and accepted by the Architect/Engineer, Inspector of Record, and PM.

Inspector of Record Daily Reports: The IOR will generate and submit to the Campus PM and the Program Manager a daily report for each day that there is construction activity on site.

4.0 PROGRAM ADMINISTRATION
4.5 Labor Compliance

4.5.1 OBJECTIVE

All State funded construction projects under the Bond Program must conform to Federal and State Labor Law requirements and the District's Labor Compliance Program (LCP). The aim of the following Labor Compliance Procedures and Guidelines is to ensure these Labor Law and LCP provisions are adhered to throughout the Construction Cycle when any State funding is used to supplement the bond funds.

4.5.2 LABOR COMPLIANCE IMPLEMENTATION

4.5.2.1. Review language in Division 0 and Division 1 during preparation of information for bidders to ensure Labor Compliance language is included and that there are no conflicts among the divisions. (This applies to any project with an NTP after April 1, 2015.)

4.5.2.2. Conduct Mandatory Pre-construction Conference with contractor and all listed subcontractors in the contractor's bid documents. (In the case of multiple-prime contracts, this could be one conference for all contractors and subcontractors). Request that the person filling out the certified payroll for the contractor attend the pre-construction conference or conduct a separate session for the contractor(s)'/subcontractor(s)' staff on completing certified payroll documents. (Labor Compliance Manager will conduct meeting.)

4.0 PROGRAM ADMINISTRATION
4.6 Communication and Reporting

4.6.1 OBJECTIVE

Communication is essential in maintaining stability, vision and cohesiveness. The MAAS Program Manager will openly and succinctly communicate status, direction, and change among Project Team Members with a "need to know".

4.6.2 MONTHLY BOARD AND QUARTERLY CITIZENS OVERSIGHT COMMITTEE (COC) REPORT

The Program Manager (PM) will prepare the monthly report with the in cooperation with the Campus Project Manager and the MAAS Finance Manager for the Board of Trustees. The Monthly Report will include:

- Individual Project Updates
- Overall Project Schedule
- 3 Month Look Ahead Schedule
- Budget vs. Actual Expenditures
- Costs Incurred
- Major Issues/Resolutions
- Progress photos of the construction

The Program Manager will distribute a copy to the District Director, Facilities Planning & Construction, the Board of Trustees and Board. As directed, the Program Manager will provide an electronic copy to specific individuals and will post information on the Bond website. The report will also be formatted into a PowerPoint presentation for projection at the Meeting of the Board of Trustees and quarterly COC.

4.6.3 DAILY CONSTRUCTION REPORTS

The Construction Manager, if any, (CM) will fill out daily reports in the form prescribed by the Program Manager. The CM will update the Prolog database with the daily report. The information will be available on at regular meetings for Program staff to review.

In addition, the DSA Inspector of Record for each project shall provide a daily report identifying information as outlined in the IOR Daily Report template.

4.6.4 PROGRESS PHOTOS

The Campus Project Manager (CPM) will be responsible for taking progress photos:

1. at key areas within the project site
2. at milestone start and finish
3. to document change order proposals or claims

The Program Manager will provide the progress photos in the monthly report to be viewed by the District Director, Facilities Planning & Construction, and the Board of Report.

4.6.5 OWNERS MEETING MINUTES

The Program Manager will prepare minutes from the bi-weekly design phase owner's project meetings. The Program Manager will provide copies of the minutes to the District Director, Facilities Planning & Construction, all attendees, and other key personnel, as directed.

During the pre-construction and construction phases of work, the Construction Manager (CM), if any, will prepare minutes from the bi-weekly design phase project meeting. The CM will provide electronic and hard copies of the minutes to all meeting attendees and other key personnel, as directed.

4.6.6 BI-WEEKLY MEETINGS

MAAS will, in concert with the Campus Project Managers, conduct a Bi-Weekly Program Management Team Meeting (PMT) every other Tuesday in the District Office. The purpose of these meetings will be to address overall Program activities and concerns. Meeting attendees will be limited to NOCCCD, MAAS, CM, Master Architects and other key performance-related personnel as directed by MAAS and the District.

Program Manager will ensure PMT minutes are recorded and that copies of the minutes are sent to attendees within 8 days of the meeting (If meeting is on Tuesday, minutes will be sent by following Wednesday). See Section 4.4.3.4 *Minutes Processing Procedures* for specifics.

4.6.7 DAY TO DAY VERBAL AND WRITTEN COMMUNICATIONS

Informal communication between MAAS Staff and the District staff will take place on a daily basis. The day-to-day communication may be in the form of e-mail, phone conversations, and face-to-face communication. MAAS Staff shall at all times utilize a spiral notebook and will take notes of all conversations, noting pertinent information in writing.

Informal communication which impacts the scope, schedule, or cost of the project will be shared with the core team members. This could take the form of an agenda item in the Program Management Team (PMT) Meeting or electronic mail (e-mail) distributed to the core group who attend the owner's meetings. The parties involved in the conversation should agree, first, that the communication will impact the scope, schedule, and cost, and agree on the time and method of communication. The goal is for the entire staff to be "kept in the loop".

Informal communication which will not impact the scope, schedule, or cost of the project, will be shared with the core team members at the discretion of the parties involved in the communication.
It is anticipated that, in the case of an e-mail, the parties involved in the e-mail will keep copies of the communication and need not forward it to others.

5.0 Program Management

5.1 OBJECTIVE

The primary purpose of Program Management is for the application of effective management techniques to planning, design and construction of a group of projects from inception to completion for the purpose of controlling time, cost and quality. The intent is providing the District with a discipline and comprehensive management system specifically created to promote the successful execution of bond funded capital projects.

5.2 PROGRAM MANAGER

The mission of MAAS is to keep the best interests of District the priority in our daily and long term performance, and this is our overarching role as Program Manager. Program Management is understood to be the MAAS organization delivering expertise, under the leadership of our Program Manager.

The Bond Program's physical and educational improvements are critical to the future of the District and each college. This program provides a once-in-a-lifetime opportunity to support post high school and 4 year institution preparation and education for the area, to participate in an exciting planning, design and construction program that totally upgrades the existing college campuses.

MAAS emphasizes to all Project Delivery Team participants (PDT) the following performance challenges:

- Open, frequent, and timely communication
- Program conformance (scope of work)
- Schedule conformance
- Budget conformance
- Quality and innovative performance of service
- Professional accountability

As professional service members of the PDT, all are expected to embrace the NOCCCD and MAAS mission of excellence and professionalism in all endeavors. The following sections present guidelines that will assist PDT members in the successful delivery of their expertise.

5.3 APPROVALS AND COMMUNICATION

To expedite the approval process and to assist the PDT organizations in expediting and conforming to project schedules, the Program Managers will encourage and facilitate NOCCCD approvals as required by their charter and management procedures and guidelines. In order to achieve the necessary approvals in a timely manner, it is the responsibility of the organization to provide the appropriate levels of accuracy regarding:

- Program and building area conformance
- Budget and estimate format conformance
- Recognition of District directives and/or their negative impact upon the project's scope, schedule, and budget
- Complete and coordinated documents
- Required revisions and/or inclusion-mitigation of agency check and back check comments
- Accurate financial back-up information as appropriate

Approvals, at various levels, will be required for all of the following:

- Deviation from project/ program building area
- Deviation from agreed upon project schedule
- Deviation from project budget
- Commencement of next phase of work
- Deviation from pre-approved submittals

All such approvals will be issued in writing by the Program Manager, once obtained from the District. From time to time, the PDT organizations will be required to present their work, and to achieve the necessary approvals. Various levels of approval will be required for items or functions. In general, these levels of approval are progressive, occurring in the following order:

- **Level One:**
  PDT Organization (scope, schedule, budget)
  Campus President, Vice President Admin Services, Director of Facilities, Campus Project Manager
  Primary User Groups (Faculty, Staff, Students)
  Agency (as required) – (County, City, State)

- **Level Two:**
  Purchasing Director (NOCCCD)
  District Director of Facilities, Planning & Construction (NOCCCD)
  Vice Chancellor of Finance & Facilities (NOCCCD)
  District Director of Fiscal Affairs (NOCCCD)
  District Director of Information System (NOCCCD)

- **Level Three:**
  Board of Trustees (NOCCCD)

6.0 Design Management

6.1 OBJECTIVE

Design Management aims to realize projects at the highest level of quality, within established budgets and schedules, through the use of systematic management tools across all phases of the design cycle.

6.2 PROJECTS

The NOCCCD bond projects are developed based upon educational and physical need, and all are extremely time and budget sensitive. The type of project varies from engineering systems and infrastructure improvements to modular villages, modernizations, and new building additions and buildings.

For those architects, engineers, consultants, and contractors that have obtained participation in the PDT through a rigorous qualification and selection process, NOCCCD Bond program present an outstanding opportunity to provide innovative design and construction services which, if successful, will bring community pride and recognition.

Complementing the Measure J Bond Program requirements and the District's design standards are additional factors and directives that PDT members must accept and implement in the delivery of their professional services:

- The PDT is relationship-driven with emphasis placed upon problem solving and timely, open, and direct communication. A true team approach!
- Differentiation between "need" and "want" as essential in the final designs.
- Communication that is respectful and supportive of District faculty and staff.
- Acceptance of the project's scope, budget, and schedule.
- Strong adherence to the project's program and accuracy and reality in its development and implementation.
- Introduction of new ideas and concepts while meeting standards and design criteria.
- Working within design and palette guidelines.
- Designs that mitigate the sun and temperature extremes.
- Professional responsibility and accountability for services; "doing what you say you will do when you said you will do it!"

6.3 SELECTION PROCESS

The selection of Architects, Engineers, Primary Consultants, Construction Managers, Contractors, and Sub-Contractors, will conform to all California Public Contract Code requirements and laws as well as District guidelines. In general, the process entails the following steps for procurement of professional services:

1. Determination of project need within general scope, schedule, and budget parameters by project
2. A request for qualifications (RFQ) that determines selection criteria such as experience, qualifications. Pricing negotiated with the successful candidate and is not part of the selection process.
3. Solicitation is by means of local media, trade organizations, and the RFQ.
4. Receipt and evaluation of RFQ responses by a selection committee comprised of NOCCCD executives, faculty, and end users, who select two to six firms for personal interviews. This selection is based upon preset ranking criteria against the RFQ submittals.
5. Scheduling of Interviews and presentations received by the selected respondents.

6. A short list may be made for additional interviews.
7. Selection by committee consensus.
8. Pricing/Fee negotiations with a single firm selected on qualifications.
9. Execution of a contract with detailed scope of services.
10. Work commencement.

6.4 DESIGN PROCESS

A project that is planned well results in a project that ends well!

It is the MAAS responsibility to oversee and to manage the design process to the benefit of the District and its educational programs. Each phase must culminate in an approval from the District and campus and any relevant regulatory agency, and must present a design that is within the project budget.

It is critical that a project have a well-planned PROGRAM with supporting budget and schedule. Time is money and the District projects must not be delayed due to non-performance, poor planning or unfounded mid-stream scope or program changes.

The design professional translates the District's requirements and offers creative solutions that meet design guidelines. Each phase of work must have District approval and must be within budget before the next phase commences. All disciplines represented by the Design team will be expected to integrate their specialty into a project solution.

The design process and tasks to be accomplished by the Architect/Engineer (A/E) are illustrated, by phase, in the following management plan.

PROGRAM PHASE – An information gathering phase, culminating in a written document that defines, in detail, the requirements of the project in size, form, function, adjacency, amenity, budget and appearance; also included in this information gathering is survey and documentation of the existing condition, including all engineering disciplines.

SCHEMATIC DESIGN PHASE – A loose graphic depiction illustrating proposed design solutions in the form of floor plans and elevations defining the Program in architectural form; all engineering disciplines provide information in this phase of work.

DESIGN DEVELOPMENT PHASE – Upon approval of a design concept, a further definition of the design in the form of more detailed plans and elevations, illustrating the manner in which function, amenity, code compliance and appearance will be achieved; this phase includes the introduction of proposals for materials, assemblies, finishes, fittings and furnishing layout; all engineering disciplines provide further definition of their work in this phase.

CONSTRUCTION DOCUMENTS PHASE – The final detailed description of every element of the construction requirements of the project, addressing materials, assemblies, code definition, including coordinated drawings and specifications interfacing architectural, structural, mechanical, electrical, technology, civil, landscape, food service, acoustic, threat force and other specialty disciplines.

DSA APPROVAL PHASE – Review and approval of the construction documents by regulatory agencies is required; an initial review will elicit comments; the design team will make corrections as necessary to obtain final approval.

Section: 6.0 *continued*

BIDDING AND AWARD PHASE – Upon final approval by all eighteen (18) regulatory agencies having oversight of the District's projects, the Construction Manager will assemble bid packages for advertising and soliciting bids from prime trade contractors.

CONSTRUCTION PHASE – Upon execution of trade contracts for the project, construction will commence under the direction of the Construction Manager.

DSA CLOSE-OUT PHASE – Closure with certification is absolutely required from DSA; the CM, the trade contractors, the Inspector of Record and the project professionals shall be responsible to initiate and carry out the close-out phases under the monitoring of the Program and Project Manager.

The overall design process from inception to completion will include:

- Cost Estimates
- Constructability reviews
- Program validation
- Way finding
- Landscaping
- Sustainability and energy conservation where reasonable
- Technology Systems
- Environmental compatibility
- Schedule validation

The Design team must work in partnership with the District using established procedure to ensure project completion on time and within budget.

6.5 PROJECT DELIVERY TEAM

The Project Delivery Team (PDT) consists of all architects, contractors, sub-contractors, and specialty consultants who enter into a formal contractual relationship with the District.

6.6 PROGRAM OF WORK

The Program of Work delineates the Design, Construction, and Specification standards that all PDT members will use and defines

- Scope
- Schedule
- Budget

Work will not commence without a member's full understanding and acceptance of the Program of Work. Deviation from the project's scope, schedule, or budget requires prior written authorization of the Program Manager and the College or District. (REFER TO 5.X).

6.7 DOCUMENTS AND REPORTING

All primary PDT members will fully document their activities and progress on a timely (at a minimum, monthly) basis to the Program Manager. This reporting will be by means of:

- Meeting minutes
- Monthly reports
- Verbal Presentations

6.8 APPROVALS

The Design team must plan adequate time for thorough preparation of drawings and NOCCCD and agency approval of them. REFER TO SECTION 5.3

6.9 SCHEDULE CONFORMANCE

The Design team will prepare a detailed design schedule, allowing time for approval of all phases of work, including approval by engineering consultants, prior to commencing with next phase. Format will be electronic.

The Design team will adhere to the master project schedule.

6.10 BUDGET CONFORMANCE

The Design teams will prepare and/or review CSI format cost estimates at all phases of the work. Once budget is confirmed, building area must be maintained. Design revisions will be made to meet project budgets. A project budget will be maintained by the Program Manager.

6.11 DELIVERABLES

Timely completion and accurate coordination of documents can facilitate entitlement, produce more reliable bids and drastically reduce construction change orders. The design team will conduct ongoing constructability reviews and incorporate them into the final documents.

7.0 Project Specific Management Plan

7. 1 OBJECTIVE

The purpose of a comprehensive Construction Management method is to ensure that Projects planned, designed and entitled during pre-construction cycles will be successfully realized during construction cycles of each project.

8.0 SAFETY, SECURITY, AND DEMEANOR

8.1 OBJECTIVE

Safety First - Safety and security is the responsibility of all PDT members, their objective is to ensure these critical functions over the duration of the program. Accordingly, all PDT participants, in coordination with the District and Campus Safety and Security Departments, will support the District Safety Program and its rules and regulations at all times on school campuses.

8.2 SAFETY AND SECURITY

All members of the PDT will be cognizant and supportive of their own organization's safety plans and/or procedure directives. They will also support and adhere to the District's Safety and Security programs and directives. The District's Safety and Security program and directives will be provided to the PDT members before starting work.

Construction Managers and/or Prime Contractors are required to provide detailed safety plans for their projects and sub-contractors. These will be enforced by the Contractor. Hard hats, appropriate clothing, eye protection, and foot wear, as required, will be donned before entering a construction zone.

Security is critical to the District and its Program Managers. The following are basic requirements of all PDT members and their crews:

- Identification badge to be worn at all times while on campus.
- Names and contact information of primary project participants
- Emergency contact personnel

It is the responsibility of all PDT members to be aware of any and all safety or security improprieties at all times. PDT members will immediately report safety or security improprieties to a Program Manager.

8.3 BADGES/PARKING

At the peak of design and construction, more than 300 new faces may be on campus. Contractors and Construction Managers will wear company identification clothing. Contractors will provide appropriate identification for their construction workers, visitors and staff will be required to have parking permits and will park in designated areas as directed by the Program Manager. All parking permits will be monitored by the campus security. If off-site overflow parking is required, such arrangements will be made on a case by case basis per project in coordination with the District, the College and MAAS.

8.4 SUBSTANCE ABUSE

The school campus, as well as all project sites, will be smoke, drug and alcohol free at all times. Each PDT organization will police their personnel.

Contractors and/or sub-contractors will provide random drug testing at their own expense. A positive drug or alcohol result will require permanent dismissal from the project and project site.

8.5 DRESS AND DEMEANOR

While on District business, all PDT members will be appropriately attired.

PDT members will not use abusive language while on campus. Socializing with students is prohibited. All construction areas will be free of graffiti and objectionable graphics. Personal radios or other entertainment devices will be strictly prohibited on school sites.

8.6 EQUAL OPPORTUNITY

All PDT members will support equal opportunity employment and exhibit professional comportment toward others at all times.

8.7 DISASTER PLAN ASSISTANCE

Preparedness is required in anticipation of a crisis such as a terrorist threat or earthquake.

In the event of a crisis, Senior Management, Program Managers and PDT Organizations may be called upon to assist the District. The following topics will be addressed at the discretion of the District and amended to this document:

- Disaster Definition – number of casualties and/or type of incident (i.e. fire, flood, explosion, seismic event, or riot)
- Disaster response teams and means of notification
- Disaster alarms
- Triage Areas
- Utility shut downs
- Communications
- Emergency operations center
- Planning drills
- Medical response teams
- Evacuation routes
- First aid stations
- Media protocols
- Bomb threats
- Sit – Ins
- Hostage situations
- Safety awareness program

9.0 Quality Assurance / Quality Control

9.1 OBJECTIVE

The purpose of a quality assurance / quality control program is to set out requirements of superior value (quality), demonstrating these requirements, and assuring they are met by controlling processes for achieving agreed requirements.

9.2 PROGRAM

The Program Manager will establish a quality assurance / quality control program that encourages all members to consistently participate in scope, schedule, and budget conformance reviews.

9.3 DESIGN MANAGEMENT

Design Management will adhere to the District's design standards. The Program Manager will conduct aggressive pre-construction reviews, focusing upon ease of construction, compatibility of materials, and completion and coordination of documents. The PM will schedule project professionals and CM to perform cost estimates at key milestones. The reviews will be based upon existing checklists.

9.4 CONSTRUCTION

Construction Manager or General Contractor will provide thorough, day to day oversight and coordination of construction and will ensure compliance with the safety program.

Construction Management will closely coordinate and communicate with the appropriate campus faculty to minimize negative impact on education. Construction Management will develop strategies to minimize noise, dust, and vibration and will coordinate staging, and construction and delivery traffic, to enable campus access and activities.

Construction Management will develop and enforce proactive procedures for managing and processing contractors' Submittals, Requests for Information, Requests for Clarification, Change Order Proposals, and Payment Applications. Claims mitigation and schedule conformance will be of primary concern and timely responses will be generated.

The Program Manager will support the CM to monitor that the contractors are in compliance with the procedures and guidelines, are manning the projects adequately, are performing in accordance with approved schedules, are delivering the quality that is specified, and that problems are identified early enough to ensure an efficient and effective remedy.

9.5 REPORTING

Regular reporting will be made monthly to the District on construction schedule and budget conformance.

9.6 OCCUPANCY

Pre occupancy plans will be developed early in the delivery process and submitted for District approval.