



General Services Department

Delivery of Unplanned Capital Projects and Facilities Related Project Work

Policy and Procedure

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General Services Department

Type:	Policy and Procedure
Name:	Delivery of Unplanned Capital Projects and Facilities Related Project Work
Issuance Date:	November 4, 2016
Revision Date:	December 24, 2019
Purpose:	<p>The purpose of this policy and procedure is to formalize the delivery of public works construction of capital projects and facilities related project work that has not been included in the adopted Public Improvement Fund (PIF) Program fiscal year budget adopted by the Board of Supervisors and are, therefore, unplanned projects.</p> <p><u>NOTE:</u> As part of the annual budget preparation process, Facility-Related Budget Requests may be submitted by County Departments for services or projects. It is expected that most proposed projects should be submitted and considered during the annual budget preparation process and are <u>planned</u> projects.</p> <p>The General Services Department and County Departments have a shared, vested interest in making sure Public Construction Project work (as defined herein) have clear and complete scopes of work, stay on schedule, and are completed within the established fiscal parameters. County Departments must be as invested and committed as the General Services Department for the most efficient and cost effective project development process and overall project delivery. County Departments must participate in project cost control. The General Services Department shall collaborate with County Departments to pursue the delivery of the maximum possible projects within available funding.</p>
Scope:	This policy is limited in scope to include only facilities related Public Construction Project work that is not included in the adopted PIF Program fiscal year budget approved by the Board of Supervisors.
Associated Documents	<ul style="list-style-type: none"> - Unplanned Public Construction Project Work Proposal Form - Cost Estimate Request Form - Memorandum of Understanding(MOU) Template - Public Project Departmental Full Delegation Delivery Certification Form

The General Services Department is responsible for overseeing and managing the County's facility assets. The Capital Projects Administration provides leadership and support for capital improvement projects, major repairs, and renovations most which are defined as "Public Construction Projects", as defined herein. The Facilities Maintenance Division provides ongoing preventive maintenance and repairs.

It is the intent of the General Services Department to ensure that Public Construction Projects are delivered legally, safely and professionally, using cost effective methodologies, and in a manner that is consistent with County standards, policies, and procedures. The procedures which follow are built upon and reflect the General Services Department's Vision and Mission which are:

- Vision – To be valued as a trusted partner, delivering exceptional and reliable services for our customers and the community.
- Mission – To provide sound stewardship of county resources; to provide extraordinary customer service; to plan, organize, and deliver projects and services that support our customers' needs, interests, and priorities; to minimize property damage and personal injury from emergencies; to develop and maintain clean and safe parks.

In addition, the Capital Projects Administration's Vision and Mission are:

- Vision – Manage the design and construction of all capital projects in a professional, open, and ethical manner while resolute to exceed the expectations of our County customers and their clientele.
- Mission – Provide support for our customers for the planning, design, construction, and preservation of San Joaquin County's facilities and infrastructure through leadership in project management; collaborative, comprehensive, and transparent planning; excellence in technical expertise and sustainable design; and quality construction based on strategic, operational, functional, and financial goals, professionalism, and reliability.

Finally, the Facilities Management Division's Vision and Mission are:

- Vision – Deliver exceptional and reliable facilities and property management services for County departments as a collaborative and valued partner.
- Mission – Provide facility-related services, including building maintenance, minor construction/re-construction, janitorial services and real property management for County owned and leased facilities so they will meet user needs and provide safe, functional, healthy, and aesthetic environments in a sensible, cost-effective manner.

EXECUTIVE SUMMARY

It is expected that most County Departments submit Facility-Related Budget Requests to the General Services Department as part of the annual budget development process.

Unplanned Project Delivery Methods:

- Amended Public Improvement Fund (PIF) Program
- Traditional
- Strategically Assigned
- Full Delegation

Project Delivery Method Selection Factors:

- Work Type Classification
- Permits
- Project Estimate
- Project Solicitation Type
- County Department Training
- Hazardous Materials
- Information Systems and Telecommunications Technology
- Impact on the General Services Department
- Urgency
- Funding
- Property Rights

Unplanned projects proposed by requesting County Departments cannot supersede or take precedence over the General Services Department work program and workload approved by the Board of Supervisors

1. Public Construction Project Definition

The following citations shall be used to define Public Construction Projects, hereinafter, "Public Projects":

- California Uniform Public Construction Cost Accounting Act (CUPCCA), Article 1 Section 22002 (c):

"Public project" means any of the following: (1) Construction, reconstruction, erection, alteration, renovations, improvement, demolition, and repair work involving any publicly owned, leased, or operated facility. (2) Painting or repainting of any publicly owned, leased, or operated facility.

- California Labor Code Section 1720 (a)(1):

Construction, alteration, demolition, installation, or repair work done under contract and paid for in whole or in part out of public funds [which] includes work performed during the design and preconstruction phases of construction, including, but not limited to, inspection and land surveying work. For purposes of this paragraph, "installation" includes, but is not limited to, the assembly and disassembly of freestanding and affixed modular office systems.

- California Public Contract Code Section 20128.5 [Job Order Contracting (JOC) Program]:

Notwithstanding any other provisions of this article, the board of supervisors may award individual annual contracts, none of which shall exceed three million dollars (\$3,000,000), adjusted annually to reflect the percentage change in the California Consumer Price Index (added for reference; through 2019 is approximately \$4,700,000), for repair, remodeling, or other repetitive work to be done according to unit prices. No annual contracts may be awarded for any new construction. The contracts shall be awarded to the lowest responsible bidder and shall be based on plans and specifications for typical work. No project shall be performed under the contract except by order of the board of supervisors, or an officer acting pursuant to Section 20145. For purposes of this section, "unit price" means the amount paid for a single unit of an item of work, and "typical work" means a work description applicable universally or applicable to a large number of individual projects, as distinguished from work specifically described with respect to an individual project. For purposes of this section, "repair, remodeling, or other repetitive work to be done according to unit prices" shall not include design or contract drawings.

2. General Policy Statements

In the delivery of Public Projects, the following shall apply:

- 2.1. All applicable federal, state, and local laws, regulations, and ordinances shall be followed. (County Departments shall seek consultation from County Counsel.)
- 2.2. All provisions of County business standards, policies, and procedures related to governmental accounting and financial reporting for fixed assets shall be followed. (County Departments shall seek consultation from the County Auditor-Controller's Office.)
- 2.3. All provisions of the California Building Code in effect shall be followed. When deemed necessary by the planning jurisdiction and/or local agency having jurisdiction, permits shall be obtained and without wavier of fee.
- 2.4. All provisions of the California Environmental Quality Act (CEQA) and, if federal funding is involved, the National Environmental Policy Act (NEPA) shall be followed.

- 2.5. All provisions of the Federal Americans with Disabilities Act and Title 24 of the California Code of Regulations regarding accessibility shall be followed. Any questions regarding requirements shall be addressed by a California Licensed Professional Engineer and/or a California Licensed Certified Access Specialists (CASPs).
- 2.6. All provisions of County business standards, policies, and procedures related to Safety, Accident Prevention, and Reporting shall be followed. (County Departments shall seek consultation from County Risk Management.)
- 2.7. All provisions of California Code of Regulations in effect for environmental health standards for the management, handling, and disposal of hazardous materials and waste shall be followed. (County Departments shall seek consultation from County Counsel and Risk Management.)
- 2.8. All provisions of the California Uniform Public Construction Cost Accounting Act (CUPCCAA) shall be followed including, but not limited to proper solicitation based on project cost estimates. (County Departments shall seek consultation from County Purchasing and Support Services.)
- 2.9. All provisions of the California Public Contract Code and the General Services Department Job Order Contracting (JOC) Program Procedures Manual shall be followed. (County Departments shall seek consultation from the General Services Department.)
- 2.10. All provisions of California Labor Code shall be followed including, but not limited to, the payment of prevailing wage as required; and the use of construction contractors and subcontractors licensed in California and registered with the Department of Industrial Relations at the time of submitting a bid, cost proposal, performing services or work, etc.
- 2.11. All provisions of County business standards, policies, and procedures related to vendor insurance and bonding (payment and performance) for all services and/or materials shall be followed. (County Departments shall seek consultation from County Counsel, Risk Management, and/or Purchasing and Support Services.)
- 2.12. The appropriate provisions of a County issued credit card (Cal-Card or equivalent) requirements shall be followed. (County Departments shall seek consultation from County Purchasing and Support Services.)
- 2.13. The appropriate provisions of the County's information systems and telecommunications technology requirements shall be followed. (County Departments shall seek consultation from County Information Systems Division.)
- 2.14. County Department staff assigned to manage the delivery of Public Projects shall be appropriately trained and shall not work "out of class" without the prior written

approval of the County Human Resources Division. (County Departments shall seek consultation from County Human Resources Division.)

2.15. All unplanned Public Projects, public works construction of capital projects and facilities related project work, shall be performed under the provision of this policy.

3. Unplanned Public Project Delivery Methods

Management of Public Projects can be achieved using one of the following Project Delivery Methods:

3.1. Amended Public Improvement Fund (PIF) Program

- 3.1.1 Proposed Public Project is submitted by the County Department to the General Services Department; and the General Services Department considers for inclusion in the PIF Program as a new project to be managed by the General Services Department.
- 3.1.2 Requires Board of Supervisors approval and budgetary adjustments from the benefitting County Department to PIF Program budgets to establish a new project in the fiscal year PIF Program budget adopted by the Board of Supervisors.
- 3.1.3 All General Services Department and Public Project costs will be charged to the project in the PIF Program budget including, but not limited to, General Services Department staff time including other direct charges and indirect overhead for project administration, consultants, engineers, permit fees, construction contractor(s), and special inspections.
- 3.1.4 Requesting County Department costs will not be charged to the project in the PIF Program budget.

3.2. Traditional

- 3.2.1. Proposed Public Project is managed by the General Services Department.
- 3.2.2. Requires budgetary confirmation of existing project funding in the benefitting County Department's budget for all General Services Department and Public Project costs including, but not limited to, General Services Department staff time including other direct charges and indirect overhead for project administration, consultants, engineers, permit fees, construction contractor(s), and special inspections.
- 3.2.3. The County Department will be responsible for direct payment to vendors for all services and/or materials related to the project. Purchase Orders or other payment vehicles are directly entered into and paid by the County Department for consultants, engineers, permit fees, construction contractor(s), and special inspections, etc. (except as required for the JOC Program as noted in Section 4.1.3 below).

- 3.2.4. General Services Department costs will be directly charged to the County Department through a Service & Stores Transfer to be processed for monthly payment.

3.3. Strategically Assigned

- 3.3.1. Proposed Public Project is submitted by the County Department to the General Services Department and approved by General Services Department; and requires specifically documented coordination between the County Department requesting the work and the General Services Department.
- 3.3.2. Project management tasks will be strategically assigned to the General Services and the requesting County department. A Memorandum of Understanding (MOU) is used to define the roles and responsibilities of both the General Services Department and the County Department.
- 3.3.3. The County Department will be responsible for direct payment to vendors for all services and/or materials related to the project. Purchase Orders or other payment vehicles are directly entered into and paid by the County Department for consultants, engineers, permit fees, construction contractor(s), and special inspections, etc. (except as required for the JOC Program as noted in Section 4.1.3 below).
- 3.3.4. General Services Department costs will be directly charged to the County Department through a Service & Stores Transfer to be processed for monthly payment.

3.4. Full Delegation

- 3.4.1. Proposed Public Project is submitted by the County Department to the General Services Department and is approved by General Services Department (See 3.4.5.); and may require very minimal coordination with the General Services Department.
- 3.4.2. Public Project is managed entirely by the County Department requesting that the work be completed.
- 3.4.3. The County Department will be responsible for direct payment to vendors for all services and/or materials related to the project. Purchase Orders or other payment vehicles are directly entered into and paid by the County Department for consultants, engineers, permit fees, construction contractor(s), and special inspections, etc. (except as required for the JOC Program as noted in Section 4.1.3 below).
- 3.4.4. General Services Department costs in the coordination of the Public Project will be directly charged to the County Department through a Service & Stores Transfer to be processed for monthly payment.
- 3.4.5. The County Department shall submit the Full Delegation Delivery Certification Form to the General Services Department to evaluate for approval. Once the Public Project is completed by the County Department,

the General Services Department may evaluate the accuracy of the Certification for compliance.

4. Project Delivery Method Selection Considerations

When determining the most appropriate Public Project Delivery Method, the components below are to be considered. The components shall apply to proposed projects and work in County owned facilities and in non-County owned facilities when the proposed project or work includes the use of County funds.

4.1. Work Type Classification

If considered as the only factor for use in determining the project delivery method to use, the key components to consider include:

- 4.1.1. Routine Work – Routine work shall be considered the following: minor facility repair, minor re-construction, minor existing space refurbishment and/or reconfiguration, and leased property management assistance. Routine work proposed by County Departments shall be submitted by the County Departments to the General Services Department for approval. Depending upon project complexity, existing General Services Department workload and capacity, etc., the General Services Department will evaluate the project for the required project delivery method. In general, but without a pre-commitment, routine work will likely be considered as utilizing the Strategically Assigned or Full Delegation project delivery methods as defined above
- 4.1.2. California Uniform Public Construction Cost Accounting Act (CUPCCAA) – California Code identifies Public Project work to be something that is not routine in nature. CUPCCAA work proposed by County Departments related to County owned facilities and in non-County owned facilities when the proposed project or work includes the use of County funds shall be submitted by the County Department to the General Services for approval. Depending upon project complexity, existing General Services Department workload and capacity, etc., the General Services Department will evaluate the project for the required project delivery method. In general, but without a pre-commitment, CUPCCAA work will likely be considered as utilizing the Strategically Assigned or Full Delegation project delivery methods as defined above.
- 4.1.3. Job Order Contracting (JOC) Program – California Code identifies Public Project work to be "repair, remodeling, or other repetitive work to be done according to unit prices." The JOC Program is an annual program that is administered by Capital Projects Administration and only the Director of General Services and Assistant Director are authorized by the Board of Supervisors to approve Job Orders under Job Order Contracts with multiple B General Building Contractors. In general, the JOC Program allows the General Services Department and other County Departments to

complete projects in a cost-effective, timely, and collaborative manner. JOC Program work proposed by County Departments in County owned facilities and in non-County owned facilities when the proposed project or work includes the use of County funds shall be submitted by the County Department to the General Services for approval. Depending upon project complexity, existing General Services Department workload and capacity, etc., the General Services Department will evaluate the project for the required project delivery method. In general, but without a pre-commitment, JOC Program work will likely be considered as utilizing the Strategically Assigned or Full Delegation project delivery methods as defined above. However in all cases, Capital Projects Administration shall administer and process the Job Orders related to the project. It must be clearly understood by County Departments that the JOC Program is approved by the Board of Supervisors and only authorizes the General Services Department to execute contractual obligations related to the JOC Program. Accordingly, only the General Services Department may execute the Purchase Orders or associated Change Orders (payment vehicles) related to the JOC Program. Therefore, if proposed project funding resides in a County Department's budget, the County Department will be required to provide the General Services Department with the County Department's Fund Number, Department Number, and Account Number for the proposed project funding to allow the General Services Department to execute the JOC Program Purchase Orders and Change Orders.

4.1.4. Major Repair and Maintenance Work – Major repair and maintenance work proposed by County Departments shall be submitted by the County Departments to the General Services Department for approval. Depending upon project complexity, existing General Services Department workload and capacity, etc., the General Services Department will evaluate the project for the required project delivery method. In general, but without a pre-commitment, major repair and maintenance work will likely be considered as utilizing the Traditional or Strategically Assigned project delivery methods as defined above.

4.1.5. Capital Work – New construction and major capital improvements shall be considered, in general, projects that are in excess of \$100,000. There may be unique projects with special conditions under \$100,000 that may be considered as Capital Work. These projects are not routine and are generally a facility modification that adds value to the facility. Please note, there may be certain proposed CUPCAA projects, JOC Program Projects, or Major Repair and Maintenance Work projects that may be considered as capital work. Capital Work proposed by County Departments shall be submitted by the County Departments to the General Services Department for approval. Depending upon project complexity, existing General Services Department workload and capacity, etc., the General Services Department will evaluate the project for the required project delivery method. In general, but without a pre-

commitment, capital work will likely be considered as utilizing the Amended Public Improvement Fund (PIF) Program or Traditional Delivery Methods as defined above.

- 4.1.6. Department Requested Work (Service Requests) – County Department requested work are non-routine, non-capital and, for the purposes of this policy, are to be funded with County Department funds. County Department requested work proposed by County Departments shall be submitted by the County Departments to the General Services Department for approval. Depending upon project complexity, existing General Services Department workload and capacity, etc., the General Services Department will evaluate the project for the required project delivery method. In general, but without a pre-commitment, major repair and maintenance work will likely be considered as utilizing the Traditional project delivery methods as defined above.

4.2. Permits

If considered as the only factor for use in determining the project delivery method, the requirement to obtain permits and the jurisdiction (City or County) that will issue the permit are both key considerations. The following defines which project delivery methods may be used:

- 4.2.1. If permits are not required, then any project delivery method can be utilized.
- 4.2.2. If permits are required and the property is owned by the County, then any project delivery method can be utilized.
- 4.2.3. If permits are required and the property is not owned by the County, then only the Traditional or Strategically Assigned project delivery methods can be utilized.

4.3. Project Estimate

The estimated cost of a project typically indicates the level of complexity of a project's scope of work. If considered as the only factor for use in determining the project delivery method, the project estimate is a key consideration. Public Projects with an estimated cost, [all project costs including, but not limited to, construction contractor labor and materials; furniture, fixtures and equipment (FF&E); design and engineering; permitting fees; County project and construction administration; and a minimum ten percent (10%) project contingency]:

- 4.3.1. Less than \$100,000 may utilize any project delivery method. However, there may be unique projects with special conditions under \$100,000 that may need to be considered for specific methods of project delivery.
- 4.3.2. Equal to or greater than \$100,000 may only utilize the Amended PIF Program, Traditional, or Strategically Assigned methods of project delivery.

4.4 Project Solicitation Type

The complexity of a project typically indicates the solicitations required to obtain necessary services. If considered as the only factor for use in determining the project delivery methods, the solicitation of project professional services (including, but not limited to, project management services, architectural and engineering services, construction management services, special testing and inspections services) and/or project construction contracts are key considerations. Each project is unique. However, the solicitations required to obtain the necessary services may prompt a preference or a requirement for one project delivery method versus another project delivery method. For reference only, the currently available project solicitation methods are described below.

- 4.4.1 Project Professional Services (as described above)
 - 4.4.1.1. For total services less than \$100,000, professional services may be solicited and professional service agreements executed by the County Purchasing and Support Services Department.
 - 4.4.1.2. For total services greater than \$100,000, professional services may be solicited and professional service agreements awarded only with Board of Supervisors approval. For extremely complex projects and/or anticipated high value professional service agreements, Board of Supervisors approval may also be required to authorize the solicitations for services.
 - 4.4.1.3. The Board of Supervisors may contract for special services as authorized by California Government Code Section 31000. (County Departments shall seek consultation from County Counsel.)
- 4.4.2 Project Construction Contracts
 - 4.4.2.1. For equipment, materials, supplies, goods, etc. (no labor costs) for equal to or less than \$5,000, proposals may be solicited by County Departments and contracts executed by the County Purchasing and Support Services Department.
 - 4.4.2.2. For equipment, materials, supplies, goods, etc. (no labor costs) greater than \$5,000, typically a minimum of three proposals must be solicited by County Departments and contracts executed by the County Purchasing and Support Services Department.
 - 4.4.2.3. For total construction contract less than \$10,000 (not to exceed \$6,500 for labor and \$3,500 for materials including sales tax), proposals may be solicited by County Departments and contracts executed by the County Purchasing and Support Services Department.
 - 4.4.2.4. For total construction contracts less than \$45,000, CUPCCAA allows for negotiated contracts to be solicited and contracts executed by the County Purchasing and Support Services.
 - 4.4.2.5. For total construction contracts less than \$175,000, CUPCCAA allows for an informal bidding process for contracts to be solicited

and contracts executed by the County Purchasing and Support Services.

- 4.4.2.6. For total construction contracts greater than \$175,000, all County Departments shall use the Formal Bidding Process as specified in California Public Contract Code Section 22032; and requires a) the Board of Supervisors to approve the project's Plans, Specifications, and Working Details and to authorize the solicitation for contracts; and b) the Board of Supervisors approval to award the construction contract.
- 4.4.2.7. The JOC Program is an annual program that solicits and places under contract multiple construction contractors for as-needed construction work, or individual Job Orders, that are processed and issued through the General Services Department. Other than to total contract maximum limit of each JOC contract, typically between \$2.0 million with the ability to increase to a higher limit, there is no limit as to the maximum contract value of any individual Job Order.
- 4.4.3. Purchase Orders – County Purchase Orders are the duly processed and executed “payment vehicles” for professional service agreements and/or construction contracts; i.e. a process for agreements/contract and then a process for payment vehicles/Purchase Orders. Purchase Orders must be fully executed to allow a Notice to Proceed to be issued for any work to be performed. (County Departments shall seek consultation from County Purchasing and Support Services.)
- 4.4.4. Change Orders – California Public Contract Code authorizes changes or additions in the work being performed under construction contracts. (County Departments shall seek consultation from County Counsel.)
 - 4.4.4.1. Any change or addition shall not exceed \$5,000 when the total amount of the original contract does not exceed \$50,000.
 - 4.4.4.2. Any change or addition shall not exceed 10% when the total amount of the original contract exceeds \$50,000 but does not exceed \$250,000.
 - 4.4.4.3. For contract whose original contract amount exceeds \$250,000, any change or addition shall not exceed \$25,000 plus 5% of the amount of the original contract in excess of \$250,000. In no event shall any change or addition exceed \$210,000.
 - 4.4.4.4. The Board of Supervisors may authorize, at the time of construction contract award with a 4/5ths vote, change or additional amounts different than those authorized by California Public Contract Code.

4.5. County Department Training

This factor, alone, is not adequate for making the determination regarding what project delivery method may be utilized, however the relative training of the County Department staff compared to the actual tasks required in a particular project, such as engineering,

environmental clearance, construction contract procurement method, construction contract negotiation, construction management, trades and safety related efforts, are important considerations. (County Departments shall seek consultation from County Human Resources Division.)

4.6. Hazardous Material

If considered as the only factor for use in determining the project delivery method, is a key consideration. The following define which project delivery methods may be used:

- 4.6.1. Facilities with written documentation or evidence of a clear environment that do not contain hazardous material can utilize any project delivery method.
- 4.6.2. Facilities with known hazardous material or facilities that have not been analyzed shall only utilize the Amended PIF Program, Traditional, or Strategically Assigned project delivery methods. (County Departments shall seek consultation from County Counsel and Risk Management.)

4.7. Information Systems and Telecommunications Technology

If considered as the only factor for use in determining the project delivery methods, information and telecommunications technology (IS/Communication) components (including, but not limited to, the addition/removal/relocation of data lines and/or telephone lines, ports, equipment, or building management systems) of the project are a key factor. The definitions below identify which project delivery methods may be used. (County Departments shall seek consultation from County Information Systems Division.)

- 4.7.1. Public Projects that include IS/Communication components only can be completed by a County Department utilizing any project delivery method.
- 4.7.2. Public Projects that include IS/Communication components and any other type of work including, but not limited to, electrical, carpentry, or FF&E installation can only be completed utilizing the Amended PIF Program and Traditional methods, unless the County Department has its own assigned Information Technology (IT) staff. County Departments with assigned IT staff may utilize the Strategically Assigned or Full Delegation project delivery methods.

4.8. Impact on the General Services Department

If considered as the only factor for use in determining the project delivery method, the impact of a project on the workload of the General Services Department must be considered. The type of tasks the General Services Department may be required to provide must be evaluated against the workload of the pertinent General Services Department staff. For projects to utilize the Amended PIF Program, Traditional, or Strategically Assigned project delivery methods, the General Services Department must

have sufficient resources to allocate for project coordination. Otherwise, the project may not be approved.

- 4.8.1. Capital Projects Administration receives No Net County Cost contribution. Accordingly, all costs for Capital Projects Administration including, but not limited to, staff time, other direct charges, and indirect overhead must be directly recovered from the PIF Program or County Departments. Capital Projects Administration is required to work on projects in the PIF Program fiscal year budget approved by the Board of Supervisors which may also include approved planned projects for County Departments. Unplanned projects proposed by County Departments cannot supersede or take precedence over the PIF Program approved by the Board of Supervisors and associated Capital Projects Administration workload.
- 4.8.2. The Facilities Management Division receives partial Net County Cost contribution for dedicated purposes. The Facilities Management is driven by its primary mandate which is preventative maintenance and repairs. Accordingly, all material and vendor charges associated with these discretionary projects are funded by the requesting County Department. In addition, Facilities Management labor costs for these discretionary projects are funded by the requesting County Department that is a non-General Fund Department or is a General Fund Department that has access to non-General Funds. Unplanned projects proposed by County Departments cannot supersede or take precedence over the Facilities Management workload approved by the Board of Supervisors.
- 4.8.3. When a County Department proposes an unplanned project, the County Department shall prepare and submit to the General Services Department an Unplanned Public Construction Project Work Proposal Form. Within a reasonable period of time after receipt of the Form, the General Services Department shall provide one (1) hour of consultation and one (1) hour for a site visit without a charge to the County Department.
- 4.8.4. Subsequently, the County Department shall reimburse the General Services Department for their efforts related to the proposed unplanned project including, but not limited to, staff time, other direct charges, and indirect overhead. The General Services Department shall document their time and efforts and shall be reimbursed by the County Department through a Service and Stores Transfer.
- 4.8.5. As soon as reasonably convenient for both parties and/or when an anticipated or preferred project delivery method has been selected, a preliminary budget for the efforts to be provided by the General Services Department shall be established and mutually agreed upon by both parties. If the preliminary budget approaches eighty percent (80%) expended and is forecasted to be exceeded, the General Services Department and the County Department shall mutually agree regarding how to proceed, i.e. increased budget, reduced efforts, etc. The General Services Department shall document their time and efforts and shall be

reimbursed by the County Department through a Service and Stores Transfer.

4.9. Urgency

This factor, alone, is not adequate for making the determination regarding what project delivery method will be utilized. However, it is incumbent upon the County Department proposing the project to clearly articulate to the General Services Department all details, specifics, impacts, constraints, opportunities, etc. that may be related to time and/or schedules.

4.10. Funding

This factor, alone, is not adequate for making the determination regarding what project delivery method that may be utilized. Budgets can be adjusted to accommodate the appropriate method and existing funds should be held in the County Department's budget proposing the unplanned project. If funds do not exist in the County Department's budget proposing the unplanned project, the County Department should consider deferring the proposed project until the following fiscal year and submit a Facility-Related Budget Request as part of the annual budget preparation process.

4.11. Property Rights

This factor, alone, is not adequate for making the determination regarding what project delivery method to utilize. The following define which project delivery methods may be used:

- 4.11.1. Projects involving property owned by the County may utilize any project delivery method.
- 4.11.2. Projects involving property not owned by the County may utilize the Amended PIF Program, Traditional, or Strategically Assigned project delivery methods.

4.12. Maintenance

In all cases, the General Services Department should be made aware of how particular facilities related work may affect ongoing maintenance and be allowed to make recommendations that will minimize ongoing maintenance costs prior to the work being performed. Projects that can significantly impact the ability of the General Services Department to provide ongoing maintenance are best handled using the Amended PIF Program, Traditional, or Strategically Assigned project delivery methods.

5. Delivery Method Assignment Procedures

- 5.1. County Departments may request the assistance of the General Services Department to prepare an unplanned project budget estimate. The County

Department shall fill out and submit a Cost Estimate Request Form (CERF) with their Unplanned Public Construction Project Work Proposal Form. The County Department shall reimburse the General Services Department for their efforts related to assistance in the preparation of an unplanned project budget estimate. The General Service Department assistance for a project budget estimate is not included in the one hour of consultation and one hour for site visit noted in Section 4.8.3 above.

- 5.2. County Departments may at any time request the General Services Department to complete any discretionary facilities related work; Service Requests. These requests from County Departments are separate and different from Work Order Requests (associated with routine maintenance and repairs) and capital improvement projects (facility modification that generally add value to the facility). Upon receipt of a Service Request, the General Services will enter a work order into the TMA System and inform the requesting County Department of any planned completion date based on the defined criticality of the work to be completed. However as previously noted, the Facilities Management is driven by its primary mandate which is preventative maintenance and repairs.
- 5.3. County Departments that require a project to be completed sooner than can be accommodated by the General Services Department and that desires to utilize either the Strategically Assigned Task or Full Delegation project delivery methods may request a meeting with General Services Department at any time.
- 5.4. The General Services Department shall meet with the requesting County Department head, or an authorized designee assigned in writing by the County Department head, to evaluate the proposed project and all factors defined in Section 4 above to determine the most appropriate project delivery method. The procedure for each delivery method is as follows:
 - 5.4.1. Amended PIF Program
 - 5.4.1.1. A Board package will prepared and submitted by the General Services Department, with the cooperation and coordination of the County Department, recommending to include the proposed project in the PIF Program as a new project to be managed by the General Services Department. NOTE: Approval of the recommendation by the Board of Supervisors shall not be assumed.
 - 5.4.2. Traditional Delivery Method
 - 5.4.2.1. Project development status will be updated as required and the project will proceed as scheduled.
 - 5.4.3. Strategically Assigned Delivery Method
 - 5.4.3.1. General Services and the requesting County Department will negotiate and execute a Memorandum of Understanding (MOU) defining the roles and responsibilities of both the General Services Department and the requesting County Department

relative to the project's work efforts. Once the MOU is executed the project will proceed as scheduled.

5.4.4. Full Delegation Delivery Method

5.4.4.1. The requesting County Department will submit the Full Delegation Delivery Method Certification to the General Services Department for approval. Once the Certification is reviewed and approved by the General Services Department, the County Department will proceed with the project.

5.4.4.2. Upon completion of the project, the County Department shall provide to the General Services Department a copy of all "as built" drawings and reports, contracts, warranty materials, operating and maintenance manuals, and notices relating to the work for inclusion by the General Services Department into facility records. The County Department shall record a Notice of Acceptance and Completion with the County Recorder Clerk's Office. The General Services Department may evaluate the project for compliance with the Full Delegation Delivery Method Certification originally provided by the requesting County Department.

5.5. County Departments may aggrieve any decision made by the General Services Department with the Director of the General Services Department.

Prepared by: General Services Department

Date prepared: November 4, 2016



UNPLANNED PUBLIC CONSTRUCTION PROJECT WORK PROPOSAL FORM

Department Name

Click here to enter text.

Department Head

Click here to enter text.

(Department Head or
Designee)

E-mail

Click here to enter text.

Phone

Click here to enter text.

Facility Name

Click here to enter text.

Facility Location

Click here to enter text.

Schedule/Timeline

Click here to enter text.

Type of Work Requested (*check all that apply*)

- Construction**
- Major Facility Repair**
- Space Refurbishment**
- Space Reconfiguration**
- Space Planning**
- Property Management**

See Attachment "A" for additional information related to type of project or service requested.

A. DESCRIBE IN DETAIL AND PROVIDE SPECIFICS FOR THE PROJECT OR SERVICE REQUESTED:



UNPLANNED PUBLIC CONSTRUCTION PROJECT WORK PROPOSAL FORM

B. WHAT BUSINESS NEED WILL THIS PROJECT ADDRESS?

C. WHAT ARE THE PROJECT BENEFITS?

D. WHAT IS THE IMPACT IF THE PROJECT IS NOT APPROVED?

E. WHAT IS THE ESTIMATED COST? *(Please attach supporting documents)*

F. WHAT IS YOUR ESTIMATE FOR OPERATING COST INCREASE/DECREASE AS A RESULT OF THIS PROJECT? *(Please attach supporting documents)*



UNPLANNED PUBLIC CONSTRUCTION PROJECT WORK PROPOSAL FORM

G. WHAT SOURCE OF FUNDING IS AVAILABLE OTHER THAN GENERAL FUND REVENUES?

H. PROVIDE DOCUMENTATION THAT EXISTING FUNDS BEEN SECURED. IF NOT, WHAT IS THE STATUS?

I. ARE THERE ANY NON-PROJECT RELATED OBSTACLE FOR THIS PROJECT? EXPLAIN.

DEPARTMENT HEAD APPROVAL:

Click here to enter text.

DATE:

Click here to enter text.

***Please return this Form completely filled out to Marcia Cunningham,
mcunningham@sjgov.org, at the General Services Department***



UNPLANNED PUBLIC CONSTRUCTION PROJECT WORK PROPOSAL FORM

Attachment "A"

Type of Work Requested: Please check the type of project or service requested. Check multiple boxes if more than one type applies. See descriptions below.

- **Construction:** Major construction projects are complex and take a considerable amount of planning and coordination. They require programming to identify needs, budgeting, design development, completion of construction documents, bidding, construction, and transition into the new facility. Many of these types of projects will be multi-year efforts.
- **Major Facility Repair:** This category includes major repairs to existing buildings such as re-roofing, major structural repairs, replacement of mechanical systems, re-surfacing of parking lots, etc.
- **Space Refurbishment/Reconfiguration:** Space refurbishment is not considered maintenance. Projects may include replacement of items for reasons other than failure or wear, upgrades, replacement of mechanical or electrical systems for other than failure, new security systems, windows, new cabinets, new walls, major wiring for data or telephone systems, new flooring, painting, etc. Space reconfiguration may include moving and relocating the above items in order to re-purpose the space. These projects do not include major construction such as moving walls and doors.
- **Space Planning:** If your Department will require more space for service areas, offices or for storage, please request this service. Please include a complete description of the types of work and/or services to be performed in the new space. Provide specific information on the type and the amount of new space required. Other helpful information may include number of new hires anticipated in the next fiscal year or type and amount of items to be stored.
- **Property Management:** Please indicate any changes in your Department's anticipated need for leased space. Describe your requirements for assistance with establishing new leases and/or renegotiation, modification, or extension of an existing lease. Please include a complete description of the types of work and/or services to be performed in the leased space.

COST ESTIMATE REQUEST FORM

General Services Department

General Services Dep. Use Only

DEPARTMENT: _____
 COST CENTER: _____
 Department Head: _____
 Telephone: _____
 E-mail address: _____
 Facility Address: _____
 Fiscal Year: _____
 Source of Funding: _____
 Schedule/Timeline: _____

G.S. # _____	Acct # _____
WO # _____	Status _____
Type: _____	_____
ISD Support? Yes _____ No _____	
Date rec'd by GSD _____	
Returned to Dept. for: _____	

Date returned to Dept. _____	
Date returned to GSD _____	
Date accepted: _____	

Date issued: _____	
Facility Name: _____	
Estimator: _____	

INSTRUCTIONS:

1. Department Head or Authorized Designee must approve and sign form prior to sending to General Services.
- Submit to General Services for all unplanned Capital Projects and Facilities Related Projects including new construction and land acquisition, and property leases.
- Attach any outside cost estimates or proposals¹, sketches, drawings or other information that you may have.
- A copy of a validated estimate must be included in the Budget package submitted to the Administrator.

Has a Request for this modification been submitted previously? _____ When? _____

Department name of project: _____

1. Under no circumstances shall the department make any oral and/or written commitment to execute a contract with any vendor and/or service provider that has provided an outside cost estimate or proposal.

***** Note: Fill out Sheet 2 Checklist below, before completing the Project Description *****

Project description (Provide specific al information such as area, length, width and height, etc. Attach additional information if needed):

Project justification (attach additional information if needed):

Department Head/Authorized Designee Print Name: _____

Department Head/Authorized Designee Signature: _____ Date: _____

(Department Head Signature)

Project total estimate: \$ _____ (See attached "Computation of Estimate" for detail)

Note: Budget estimates are based on conceptual designs derived from the descriptions provided by requestors. Actual costs can vary significantly, depending on the scope of work defined, by future requestor input and final architectural/engineering design, material and labor rate changes, Building Code changes, project location, and unknown site conditions revealed during design and construction. Estimates are based on the assumption contractors paying prevailing wage will execute the work.

General Services Comments:

General Services Department Signature: _____ Date: _____

COST ESTIMATE REQUEST FORM - Checklist

To assist General Services Department with the scope of project, please review this list and check any items you think may be added, modified, removed or repaired as a result of this work.

Yes No

Building square footage added?	<input type="checkbox"/>	<input type="checkbox"/>
More staff added?	<input type="checkbox"/>	<input type="checkbox"/>

Facility operating hours _____ Hrs per Day _____

Provide quantities as appropriate; i.e., 1, 2, 3, etc.

	Add	Modify	Remove	Repair
Computer system				
Telephone system				
Electrical system				
Lighting				
Light switches				
Outlets				
Service				
Heating and cooling sys.				
Fire Protection system				
Bathrooms				
ADA bathrooms				
Plumbing				
Sewer system				
Water supply				
Gas supply				
Kitchen				
Refrigerator				
Sink				
Office partitions				
Paint				
Interior				
Exterior				
Flooring				
Interior walls				
Interior doors				
Ceiling				
Exterior walls				
Exterior doors				
Windows				
Stairs				
Elevators				
Sidewalks				
Driveways				
Parking Lots				
Re-surface				
Number of stalls				
ADA stalls				

	Add	Modify	Remove	Repair
Landscaping				
Shrubs and trees				
Turf				
Irrigation system				
Fence				
Roof				
Gutters				
Storm drain				
ADA access				
Security System				
Other: _____				
Other: _____				
Other: _____				
Other: _____				
Other: _____				
Other: _____				
Other: _____				
Other: _____				
Other: _____				
Other: _____				
Other: _____				

Capital Improvement Program (CIP)

Is this project requested for inclusion in the PIF? If so, provide year_. Is this a request to modify any projects currently in the PIF? If so, provide details below:

Public Project Strategically Assigned Task Delivery
MEMORANDUM OF UNDERSTANDING

Title of Memorandum of Understanding (MOU):

(Descriptive project name; facility and type of service or work)

County Department Contact Information:

Name: Phone: Email:

County Department On-Site Project Manager Contact Information:

Name: Phone: Email:

General Services Department Assigned Project Manager:

Name: Phone: Email:

General Services Department Assigned Project Manager:

Total Project Cost Estimate: Anticipated to be [dollar number in writing (dollar number)].

Term of MOU:

Term begins: Term Ends:
Work may begin upon

Recitals,

Now, therefore be it agreed between the parties to this MOU to be subject to the provisions of the Terms and Conditions attached hereto, Attachment I – General Terms and Conditions, including written narrative, plan documents and sample photographs; Attachment II - Scope of Work; and Attachment III – County Department Responsibilities and General Services Department Responsibilities.

Party	Printed	Signed	Dated
Department Authorized Signatory			
Department On-Site Project Manager			
GSD Authorized Signatory			
GSD Project Manager			

Attachment I – General Terms and Conditions

1. This project has been approved by the General Services Department under the terms of this MOU.
2. Changes to this MOU and/or the design and construction of this project shall be agreed upon by the County Department and General Services Department and be in writing in advance of any changes and/or modifications.
3. General Services Department retains the right to require changes to the design, materials or workmanship, to conform to County business standards, policies, and procedures; and any local agency having jurisdiction requirements, if appropriate.
4. Unless otherwise agreed upon, there shall be one (1) General Contractor selected for all phases of construction.
5. Construction shall not begin until the Notice to Proceed has been issued by the General Services Department. Such Notice to Proceed shall not be issued until the General Services Department Project Manager has evidence of necessary items including, but not limited to:
 - a. Complete and proper certification for CEQA and/or NEPA clearance, if required;
 - b. Building Department Permit and/or other local agency having jurisdiction approvals secured, if required;
 - c. Clear Hazardous Materials Report, if required;
 - d. Complete and proper certification of construction contractor California license, Department of Industrial Relations registration, insurance and bonding from the Contractor;
 - e. Clear Hazardous Material Report, if required;
 - f. Solicitations for services and/or materials are in conformance with County standards, policies, and procedures;
 - g. Contractor payment vehicles (Purchase Orders) are executed; and,
 - h. Landlord approval, if required.
6. The work shall be completed in accordance with the County's Safety, Accident Prevention and Reporting policies, procedures, and guidelines.

The balance of this page is left blank intentionally.

Attachment II – Scope of Work

Scope of Project:

The Scope of this project is:

The anticipated Schedule of this Project is:

The breakdown/detail of the Total Project Cost Estimate is:

Attachment III – Departmental Responsibilities

Departmental Responsibilities:

EXAMPLE ONLY. i.e., each project will be unique to the mutually agreed upon terms and conditions related to the specific project.

1. Managing the architectural and engineering services during design and engineering and managing the construction contractor during construction.
2. Procuring architectural and engineering services and construction contractor.
3. Securing Project's permit(s) and environmental clearance regulatory approvals.
4. Processing direct payment to vendors for all services and/or materials related to the project. Purchase Orders or other payment vehicles are directly entered into and paid by the County Department for consultants, engineers, permit fees, construction contractor(s), and special inspections, etc. At this time, the Total Project Costs are anticipated to be [dollar number in writing (dollar number)].
5. Processing direct payment to the General Services Department for all costs in the coordination of the Project to be charged through a Service & Stores Transfer and processed for monthly payment. At this time, the Total General Service Department is anticipated to be [dollar number in writing (dollar number)].
6. Observing the project progress at a minimum of once a day during construction activities taking notes of events and pictures of progress. (Additional site visits may be required due to project complexity and scope.)
7. Coordinating with the landlord.
8. Coordinating with the County Purchasing and Support Services Department, Information Systems Division, and County Counsel.
9. Preparing and presenting all project-related matters, as required, to the Board of Supervisors including, but not limited to, the following: Project Establishment, Environmental Clearance, Approval of Plans and Specifications and Authorization to Advertise for Bids, and Contract Award.
10. Preparing construction documents (Requests for Proposals/Bids, Plans & Specifications, Working Details, etc.) for solicitation.
11. Coordinating with the County Purchasing and Support Services Department for contractor solicitation.
12. Bringing all Requests for Information, Change Order Requests, etc. to the attention of the General Services Department project manager for review, approval, and document control.
13. Upon completion of the project, scheduling a final field inspection by the General Services Department project manager.
14. Once final inspection and completion is approved by the General Services Department project manager, providing the General Services Department with final project close-out documentation containing, but not limited to, the following items:
 - a. Copies of all "as built" drawings and reports, contracts, warranty materials, Operating and maintenance manuals, and notices relating to the work for inclusion by the General Services Department into facility records.
 - b. Copies of all insurance, payment and performance bonds, permits, and hazardous material documentation; and landlord approvals, if appropriate.
 - c. Field reports and photos recorded by the County Department.

General Services Department Responsibilities:

EXAMPLE ONLY. i.e., each project will be unique to the mutually agreed upon terms and conditions related to the specific project.

1. Reviewing the proposed scope of work for architectural and engineering services. Upon request by the County Department, providing referrals for architectural and engineering firms.
2. Reviewing Hazardous Material documentation provided by the County Department.
3. Reviewing the project documents prior to submittal for environmental clearance and permits.
4. Reviewing any special conditions, special inspections, special reports, etc. that may be required related for permits by the local building department or local agency having jurisdiction.
5. Reviewing any landlord requirements.
6. Reviewing construction contract documentation prior to solicitation.
7. Evaluating construction contractor's bids or proposals.
8. Reviewing Requests for Information, Change Orders, etc.
9. Conducting indiscriminate field construction review.
10. Participating in a final field construction inspection.
11. Approving the project as complete.
12. Recording a Notice of Acceptance and Completion for the project with the Assessor-Recorder-County Clerk's Office and providing a copy to the County Department.
13. Reviewing project close-out documentation.



General Services Dep. Use Only

Date Rec/d by GSD:	
Fund:	
Department:	
Account:	
Returned to Dep. For:	
Date Full Delegation Issued:	
Signed:	
Printed:	

Public Project Departmental Full Delegation Delivery Certification Form

County Department:
 Project Name:
 Project Address:
 Project Description:
 Date Submitted:

Project Manager:
 Total Project Budget Estimate:

Safety

Staff and Job-Site	On-Site Staff have been trained on maintaining a safe job site.	Yes <input checked="" type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Contractor Program	The construction contractors Safety Program has been reviewed.	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Hazardous Material	Staff has been trained on Hazardous Material identification.	Yes <input type="radio"/> No <input type="radio"/> N/A <input checked="" type="radio"/>
Hazardous Material	A clear Hazardous Material report is On-Site.	Yes <input checked="" type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments: adding comments		

General Services Department Maintenance

Service Request.	Work Order # <u>1234568</u>
Department Comments: adding more comments	

Solicitation for Professional Consultant Services

Project Manager certified in solicitation and the estimate for professional services is less than \$100,000.	Yes <input checked="" type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments:	

Solicitation for Construction Contractor

Project Manager certified in solicitation and the estimate for the total construction contract is less than \$100,000.	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments:	

Insurance and Bonding

Contractor complies with insurance requirements and bonding (payment and performance) or Risk Management has approved.	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments:	

Information Systems Division

The County Network Infrastructure is not modified in any way, or Information Systems Division has approved the project.	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments:	

Purchasing and Support Services

Coordination by the County Department with the Purchasing and Support Services is an obligation for all agreements and contracts and associated Purchase Orders.	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments:	

County Counsel

Coordination by the County Department with County Counsel is an obligation for all agreements and contracts.	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments:	

County Risk Management

Coordination by the County Department with Risk Management is an obligation for Safety, Accident Prevention, and Reporting.	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments:	

Permits or Regulatory Approvals

Permits or regulatory approvals are not necessary for this type of work.	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments:	

ADA/Accessibility

The project does not require ADA/Accessibility consideration.	Yes <input type="radio"/> No <input type="radio"/> N/A <input checked="" type="radio"/>
Department Comments:	

Real Property Rights

County owned facility or the department has written approval from property owner.	Yes <input type="radio"/> No <input checked="" type="radio"/> N/A <input type="radio"/>
Department Comments:	

Prevailing Wage and Department of Industrial Relations (DIR) Certification

Prevailing Wage and DIR Certification (only construction contracts) is a contractual obligation in all contracts for the project.	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments:	

Worker Class

Project Manager is not working out of class	Yes <input type="radio"/> No <input type="radio"/> N/A <input type="radio"/>
Department Comments:	

County Department Head Signature

Date

Printed Name