

AGENCY COMPLIANCE  
PROGRAM  
CASH  
90-DAY LETTERS  
2009091101 0909

## SEPTEMBER WORKSHOP

SEPTEMBER 25, 2009



# OBTAINING DSA CLOSE-OUT FOR OLD PROJECTS

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## Why Close Old Projects?

- Scary Letter from DSA on 10/31/08
- DSA released Project Certification Guide  
(DGS - DSA - Project Certification Guide - 10/22/08)
- New DSA Policy for 90-Day Letters  
(DGS - DSA- Policy 09-04 - Effective 9/1/09)
- New work involving uncertified projects cannot be approved by DSA until the issue of certification is resolved  
(DGS - DSA - Interpretation of Regulations Document - IR A-20 - Revised 8/6/09 - Page 1)

## Scary Letter from DSA

- DSA requested District Superintendents to inform School Board members of their liability for uncertified buildings
- Letter informed the School District that DSA will not approve future projects affecting uncertified construction
- Project closeout captured the attention of many stakeholders

## Project Certification Guide

- DSA Letter provided a link to the new Project Certification Guide
- A step by step comprehensive document providing 81 pages of how to certify a project with DSA
- Even those who have never worked on a DSA project should be able to navigate the process
- Available on DSA's web site under Publications

## New DSA Policy 09-04

No fee required for a one-time project re-opening request that is received within 9 months from the date the DSA 90 day letter expires. After 9 months from the expiration of the DSA 90 day letter (or any 2nd or subsequent re-opening request) the re-opening fee is based on the project construction cost as follows:

Projects less than \$5 million:	\$500 re-opening fee
Projects between \$5 million and \$50 million:	\$750 re-opening fee
Projects greater that \$50 million:	\$1000 re-opening fee

Re-opening fee for all projects closed without certification on or after January 1, 2009 shall be in accordance with this policy.

Re-opening fee for Projects closed without certification prior to January 1, 2009 shall be \$150. This fee is in effect until January 1, 2010.

After January 1, 2010 the re-opening fee shall be in accordance with this policy for all projects regardless of date closed.

## New Work Involving Uncertified Projects

- Determine which DSA numbers will be affected
- Confirm existing construction is in good standing or certified by DSA well in advance of your DSA submittal for new work
  - Be prepared for the non-compliant project
  - Timely certification is not always possible

## New Work Involving Uncertified Projects (cont.)

- Verify project status with DSA
- Investigate closed, void or open projects
- Collect documents
- Develop plan of action
- Start closeout process

## Which DSA Numbers will be Affected by New Work

- For numbers opened after 1998
  - Check the Project Tracker on DSA's web site
- For numbers opened before 1998
  - Request a copy of the District List from the local DSA Regional Office
- Request a copy of the record set from DSA archives

## Be Prepared for the Non-Compliant Project

- Provide approved plans if record set is missing
- Complete construction or resolve deficiencies
- Secure DSA approval for changes to approved plans and deferred approval work
- Hire new Project Inspector or Design Professionals
- Develop a program of test and inspection to be approved by DSA
- Hire Laboratory to perform tests and inspections

## Guidelines for Timely Certification

- Project has DSA approved plans (approval of Plans letter issued)
- Archived plans and documents are available for review
- All construction is complete per the approved plans
- All revisions, addenda, deferred approvals have been approved by DSA

## Guidelines for Timely Certification (cont.)

- All field change documents and change orders have been approved by DSA
- All deficiencies have been resolved
- Project inspector and design professionals are on board and willing to sign 100% verified reports
- All required tests and inspections have been performed and necessary reports are available
- All DSA fees have been paid

## Determine DSA Status

- For projects opened after 1998
  - Check the Project Tracker on DSA's web site
    - If the Project Tracker is unclear or you question the findings, you can request help from Project Services and/or request to see DSA archives
- For projects opened before 1998
  - Request a copy of the History Card
    - If the History Card is unclear or you question the findings, you can request to see DSA archives

## Investigate Closed, Void, or Open Projects

- Create a file for collected documents
- Review District and DSA archives
- Collect any documents that may help resolve deficiencies
- Refer to the project Certification Guide for resolutions and strategies to help navigate the road blocks

## Typical Documents to Collect

- DSA Application for Approval of Plans (DSA-1)
- Amendments to DSA Application
- Approval of Plans Letter
- Structural Test & Inspection List (DSA-103)
- Change in Delegation of Responsibility (DSA-108)
- Contract Information forms (DSA-102)

## Typical Documents to Collect (cont.)

- Inspector Qualification Records (DSA-5 & DSA-5A)
- DSA Transmittals (DSA-143)
- Any document showing evidence of DSA approval
- Any document showing resolution of a deficiency
- Revisions, addenda, deferred approvals
- Preliminary change orders, field change documents, change orders

## Typical Documents to Collect (cont.)

- Project Inspector semi-monthly reports
- DSA field trip notes
- Test and inspection reports and affidavits from laboratories and special inspectors
- In plant test and inspection reports (i.e. relocatables, bleachers, elevators)
- Notice of completion

## Typical Documents to Collect (cont.)

- Verified reports from design professionals, inspectors and contractors (DSA-6A/E & DSA-6)
- Invoices and checks
- 60-Day or 90-Day letters
- Documents required list
- Close of file without certification letter
- Certification and close of file letter

## Develop Plan of Action

- Review documents required list on Project Tracker, 90-Day letter or Close Without Certification Letter
- Interview or meet with the project team members and district personnel
- Get names, addresses, phone numbers, and email addresses for key people:
  - Architects, Engineers, Construction Managers, Prime Contractors, Project Inspectors, Assistant Inspectors, Special Inspectors and Laboratories

## Develop Plan of Action (cont.)

- Verify all revisions, addenda, deferred approvals, PCO's/FCD's, and change orders are approved by DSA (must be approved before submitting closeout documents)
- Verify all construction is complete per approved plans
- Verify all professionals will sign 100% verified reports
- Collect missing documents from project team

## Develop Plan of Action (cont.)

- Review structural test and inspection list and verify all required tests were performed
- Review field trip notes and confirm if all noted deficiencies have been resolved
- Determine construction status if work is not complete
- Refer to the Project Certification Guide for resolutions and strategies to help navigate the road blocks

## Start Closeout Process

- Meet with DSA if necessary
- Delegate responsibility if necessary
- Resolve deficiencies & secure DSA approvals
- Generate and send out for signature any missing documents required for certification
- Obtain a copy of final invoice from DSA
- Determine the further fees and request checks

## Start Closeout Process (cont.)

- Submit all missing documents to DSA in one package
  - Include transmittal listing all documents enclosed
  - Request project to be re-opened for examination
  - Include 90-Day or Close Without Certification Letter
  - Include separate checks for further fees and fee to re-open the project (see Policy 09-04)

## WHAT DO YOU DO WHEN YOU HAVE DONE EVERYTHING?

### What do you do when you have done everything?

- All efforts to collect the required documents have failed
  - ▣ Refer to IRA-2 “Certificate of Compliance without Receipt of all Documents”
  - ▣ Architect/Structural Engineer can propose a method to satisfy the requirements

## Certificate of Compliance Without Receipt of All Documents (IR A-2)

- Procedure may not be initiated until all efforts to obtain the required documents have failed
- Alternate documents may be utilized
- Must be requested by school district
- Requires DSA approval

## Propose a Method to Satisfy the Requirements

- Scheduled meeting with DSA. Bring set of DSA approved plans and all documents collected
- Some methods to consider:
  - Exposure of portions of the construction for inspection of concealed spaces
  - Re-inspection of portions of exposed work
  - Performance testing of materials and/or major components or assemblies

# HOW TO AVOID A MESSY CLOSE-OUT

## How to Avoid a Messy Close-Out

- Understand the DSA approved documents
- Document control
- Project tracking
- Field tips

## DSA Approved Documents

- Keep your eye on the goal:  
“All work is complete per the approved plans”
- What are the approved plans?
  - Original plans and specifications
  - Revisions and addenda
  - Deferred approvals
  - Field change documents (aka PCO's/FCD's)
  - Change orders

## DSA Approved Documents (cont.)

- The above documents must be approved by DSA and all work performed must be in compliance with the approved documents before project closeout
- Keeping this in mind throughout the DSA process will ensure the project is on track for timely certification

## Document Control

- Someone should be designated as the gate keeper for all things related to DSA
- All documents related to DSA should be collected and kept together in one place for that project.
- Documents must be gathered and signed by responsible parties before those persons are no longer available
- Backup copies of all documents must be kept until project certification

## Project Tracking

- **During Design**
  - Research status of existing DSA numbers, schedule collaborative process or preliminary meetings
- **Before Submittal to DSA**
  - Request checks for plan review fee, complete DSA-1, DSA-103 and DSA-3 forms
- **During Plan Review**
  - Monitor plan review and receipt of comments

## Project Tracking (cont.)

- **Before Back Check**
  - Address all comments and  
Schedule before 6 month void rule
- **After Plan Approval**
  - Receive Approval of Plans Letter,  
monitor approval of revisions and addenda,  
start construction before 4-year void rule
- **Before Construction Begins**
  - Invite DSA to pre-construction meeting,  
review test and inspection program,  
submit DSA-102 and DSA-5 forms

## Project Tracking (cont.)

- **During Construction**
  - Monitor semi-monthly reports
  - Monitor test and inspection reports
  - Resolve field trip notes and other deficiencies
  - Secure DSA approval on deferred approvals
  - Secure DSA approval on field change documents  
and change orders

## Project Tracking (cont.)

- After construction is complete
  - Collect Verified Reports and other closeout documents:
    - DSA-6A/E - Architect & Engineers
    - DSA-6 - Inspectors (Project, Assistants, In Plant, Special)
    - DSA-6 – Contractors (all prime contractors)
    - DSA-291, DSA-292, DSA-293 - Labs
    - All other required test and inspection reports
    - Notice of Completion from District (all prime contractors)
  - Request invoice from DSA

## Project Tracking (cont.)

- Submittal of closeout documents
  - Address all missing items on 90-day letter and include letter in closeout package
  - Submit closeout docs to DSA in one package
  - Include transmittal listing all documents enclosed
  - Include separate checks for further fee and/or fee to reopen project for examination (see Policy 09-04)
- Receive certification and close of file letter
  - Send copies to everyone!

# Project Tracking Database

Opportunities

Save | New | Delete Opportunity | Print | Email | View | Help

DSA 0X-000000 - Sample School Project Name - 3000000000

General | Team | Companies/Contacts | Activities | DSA | Leads Tracking | Location | Files | Marketing Campaigns | Project Codes


DSA Short Name: Sample School Project Name

**DSA Info**

DSA File #	00-XX	Back Check Appointment	9/25/07
OPSC/CDE/DSA Tracking #	00000-XX	Plans Stamped Out	9/30/07
Preliminary Conference		Plan Approval Letter Rec'd	9/30/07
Rec'd Application Request Form		Plan Approval Letter Exp	9/30/09
OPSC Deadline for Approval of Plans Letter		Estimated Construction Start	7/25/08
Estimated Submittal		Estimated Construction Completion	11/25/09
Plans Submitted	1/28/07	Actual Construction Start	10/30/08
Intake Comments Rec'd		Actual Construction Completion	
Deadline for Intake Comments		90-Day Letter Rec'd	
Over-the-Counter Appointment		90-Day Letter Exp	
Plans Accepted by DSA	2/25/07	Void	
High Performance Approved		Cancelled	
Soils/Geotechnical Report Approved		Closed with Certification	
All Comments Rec'd	5/25/07	Closed w/o Certification	
		Closed w/o Certification Code	

**Fees & Costs**

Original Estimated Cost	500000.00	Additional Fee	
Filing Fee	29900.00	Additional Fee Paid	
Filing Fee Check Date	1/10/07	Total Contracted Amount	520000.00
Amended Estimated Cost		Total Change Order Amount	23500.00
Amended Filing Fee		Total Construction Cost Plus all CO's	522350.00
Amended Filing Fee Paid Date		Final Fee Amount	
Revision Review Fee		Final Fee Paid	
Revision Review Fee Paid		Cost & Fee Comments	

September Workshop 

# Project Tracking Database (cont.)

Opportunities

Dashboard | Search | Options | Help

Save | New | Delete Opportunity | Print | Email | View | Help

DSA 0X-000000 - Sample School Project Name - 3000000000

General | Team | Companies/Contacts | Activities | DSA | Leads Tracking | Location | Files | Marketing Campaigns | Project Codes | Proposals

**Scope Description**

Increment # 1 | This project has only one increment.

**Application Amendments**

Description	Date Submitted
Amendment Letter revising scope of work	9/25/07
Delegation of Responsibility for Electrical Engineer	9/25/07

**Architect & Engineers of Record**


Name	Role	Company	License
Architect's Name	Architect in Responsible Charge	HDR_Architects	C-00000
Engineer's Name	Electrical Engineer		
Engineer's Name	Structural Engineer		
Engineer's Name	Mechanical Engineer		
Engineer's Name	Geotechnical Engineer		

**Required Documents**

Document Description	In File	Date Submitted	Date Approved
Approval of Plans Letter	<input checked="" type="checkbox"/>		9/30/07
Structural Test & Inspection List	<input checked="" type="checkbox"/>		9/30/07
Contract Information form	<input checked="" type="checkbox"/>	10/15/08	
Project Inspector Qualification Record	<input checked="" type="checkbox"/>	10/15/08	11/15/08
Notice of Completion	<input type="checkbox"/>		

**DSA Plan Check Comments**

Discipline	Date Received	Backcheck Deadline	Checker's Name	Phone #	Sent to
ISS	9/25/07	11/25/07	Plan Review Engineer		
ACS	9/30/07	11/30/07	Plan Review Engineer		
PLS	9/25/07	11/25/07	Plan Review Engineer		
GED	4/25/07				
Energy	4/30/07				

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# Project Tracking Database (cont.)

Opportunities

Save | New | Delete Opportunity | Print | Email | View | Help

DSA 0X-00000X - Sample School Project Name - 3000000000

General | Team | Companies/Contacts | Activities | DSA | Leads Tracking | Location | Files | Marketing Campaigns | Project Codes | Proposals

Revisions/Addenda Status

Description	Date Submitted	Date Comments Rec'd	Date Approved	Comments
Addendum #1	5/10/08		8/10/08	

Laboratory of Record

Testing Lab Name	Qualification	LEA #	Expires
Lab's Name	Material & Solo	123	8/7/12

Required Test & Inspection Reports (SSA-103-1)


T&I Description	Lab Name	Inspector Name	Report Rec'd	To DSA	Comments
In Plant Fabrication Inspection			2/25/09	2/25/09	Beachers
Shop Welding Inspection					
Masonry Inspection					
Batch Plant Inspection					
Field Welding Inspection					

Inspector Qualification Status

Class Required	Inspector's Name	Class Submitted	Type	Form	Date Submitted	Date Approved	Out for Signature
1	Inspector's Name	1	Project	DSA-5	10/15/08	11/15/08	
	Inspector's Name	N/A	Field Welding	DSA-5	11/20/08	11/20/08	
	Inspector's Name	N/A	Other	D55	11/10/08	11/20/08	

Construction Status/Semi-Monthly Reports

Phase Description	Start Date	End Date	Percent Complete
Semi-Monthly Report #1, no deviations	11/1/08	11/15/08	3.00
Semi-Monthly Report #2, no deviations	11/15/08	11/30/08	3.00
Semi-Monthly Report #3, no deviations	12/1/08	12/15/08	8.00
Semi-Monthly Report #4, no deviations	12/15/08	12/31/08	7.00
Semi-Monthly Report #5, no deviations	1/1/09	1/15/09	35.00

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# Project Tracking Database (cont.)

Opportunities

Save | New | Delete Opportunity | Print | Email | View | Help

DSA 0X-00000X - Sample School Project Name - 3000000000

General | Team | Companies/Contacts | Activities | DSA | Leads Tracking | Location | Files | Marketing Campaigns | Project Codes | Proposals

Contractor Information

Phase #	Bid Category	Name	Address	Contract Amount	Phone Number	102	MOC	DSAS
N/A	General	Contractor's Name		\$200000.00		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
				Total	\$200000.00			

Deferred Approvals

Description	Date Submitted	Date Cmnts Rec'd	Date Approved	Comments
Elevator Guide Rails	1/10/08		3/10/08	

Preliminary Change Orders/Field Change Documents


PCO/PCD #	Date Issued	Date Submitted	Date Cmnts Rec'd	Date Approved	Description	Comments
PCD 1	11/15/08	11/15/08	11/30/08			
PCD 2	11/15/08	11/15/08	11/30/08			
PCD 3	11/30/08	11/30/08	12/1/08			
PCD 4	12/1/09	11/30/08	2/15/09			

Change Orders

CO #	Contractor	Contractor 2	Date Submitted	Date Cmnts Rec'd	Date Approved	Cost	Comments
1	Contractor's Name		2/15/09	5/15/09		20500.00	
2	Contractor's Name		3/15/09	6/15/09		5500.00	
3	Contractor's Name		4/15/09	7/15/09		7500.00	
4	Contractor's Name		5/15/09				
						Total	23500.00

DSA District Field Engineer Information

Engineer's Name	Office Phone	Cell Phone	Days in Office	Days in Field	Date on Project	Date off Project	Comments
Field Engineer's Name							

September Workshop 

# Project Tracking Database (cont.)

Opportunities

Save | New | Delete Opportunity | Print | Email | View | Help

Dashboard | Search | Options | Help

DSA 0X-000000 - Sample School Project Name - 3000000000

Find

General | Team | Companies/Contacts | Activities | DSA | Leads Tracking | Location | Files | Marketing Campaigns | Project Codes | Proposals

Field Trip Notes

Date Issued	FTN #	Deficiency	Resolution
11/30/08	1	Phone	
1/15/09	2	Item 2 - SCBP Gussel Plates (Bldg D) not fabricated correctly - proposed fix to be submitted to DSA for review	FCD #4 (approve)

History Record

Entry #	Date	Initials	Description
1	12/1/06	nm	Rec'd application request from project manager
2	12/2/06	nm	Prepared draft application and gave to project manager for review
3	12/3/06	nm	Rec'd comments back from PM and made requested changes to application
4	12/4/06	nm	Sent letter to district requesting check for \$29,800.00 enclosed DSA application for their signature
5	1/4/07	nm	Rec'd check for plan review fees and signed application back from the District

Previous Application #'s Assoc w/this Site

Previous App #	Previous App Scope	Previous App Status	Previous App Doc in File	Previous App Comments

# Project Tracking Database (cont.)

Opportunities

Save | New | Delete Opportunity | Print | Email | View | Help

Dashboard | Search | Options | Help

DSA 0X-000000 - Sample School Project Name - 3000000000

General | Team | Companies/Contacts | Activities | DSA | Leads Tracking | Location | Files | Marketing Campaigns | Project Codes | Proposals

Activities

Completed	Type	Subject	Start Date	Priority	Owner	Notes
<input type="checkbox"/>	Task	DSA 0X-000000 - Sample School Project Name - 3000000000	10/19/09 7:00 AM	Medium	Martin, Nancy	need change order #4 approved by DSA

Activities -- Webpage Dialog

Detail | Attendees | Contacts | Leads | Recurrence

Subject: DSA 0X-000000 - Sample School Project Name - 3000000000

Location:  Private:

Type: Task Priority: Medium Completed:

Company:

Primary Contact:  Bus. #

Opportunity: DSA 0X-000000 - Sample School Project Name - 3000000000

Project:

Marketing Campaign:

Primary Lead:  Bus. #

Activity Owner: Martin, Nancy

Created By: Martin, Nancy

Start time: 10/19/09 7:00 AM All day event:

End time: 10/19/09 Show time as: Busy

Reminder:  Remind me: 15 Minutes before

Notes: need change order #4 approved by DSA (submitted 5/15/09)

Create Follow-up Activity | OK | Cancel | Help

# FIELD TIPS FOR SUCCESSFUL PROJECT CERTIFICATION

## Field Tips

1. Invite the DSA District Field Engineer to pre-construction meeting. Review DSA process and verify the testing program as shown on the Structural Test & Inspection list (form DSA-103). Keep T&I list at the job site.
2. Secure DSA approval of the Project Inspector prior to start of Construction. Get verbal approval from DSA for all Class 1 Projects. Process and submit Inspector Qualification Record (form DSA-5) to DSA.
3. Verify testing lab is DSA approved Lab prior to signing the contract (check DSA web site).
4. File Contract Information (form DSA-102) for each Contractor and Construction Manager with DSA prior to start of construction. Confirm all work as approved is being built; if not, show portions on the DSA-102.

## Field Tips (cont.)

5. Confirm Inspector's job site files are properly maintained (see Appendix A or IR A-8).
6. Obtain form DSA-5 from Special Inspectors before inspection is performed (i.e. in-plant fabrication, welding, masonry).
7. Secure DSA approval of any deferred approval items before installation of that work. Submit three sets to DSA for review. Address all DSA comments and include all DSA comments with the revised submittal to DSA. Keep a copy of DSA's check set and your revised submittal.
8. Review Project Inspector's semi-monthly reports. Address and resolve deficiencies noted in the report.

## Field Tips (cont.)

9. Review Field Trip Notes issued by DSA's District Field Engineer. Address and resolve deficiencies as quickly as possible. Have DSA Field Engineer sign off the resolved deficiencies on the next Field Trip Note.
10. Monitor test and inspection program to ensure all required test and inspections are satisfactorily completed per the approved plans.
11. Secure DSA approval for all changes to the approved plans. Use DSA's Field Change Document (FCD) approval process for code regulated changes during construction (see IR A-6). DSA approved FCD's that change the contract amount must be incorporated into a formal Change Order.
12. Encourage owner to generate and approve formal Change Orders monthly. Submit two sets of the Change Order to DSA for review and approval.

## Field Tips (cont.)

13. Walk the job site weekly and prepare Construction Field Reports noting all deficiencies.
14. Have Contractor retention payments contingent upon resolution of deficiencies and receipt of Verified Reports.
15. Notify DSA of any changes in responsibility, scope of work, or construction status.
16. Close out your project in a timely manner to insure all required documents can be signed, collected and submitted to DSA.
17. Keep backup copies of all documents until DSA certifies the project.

## Appendix A

### Inspector's Job Site File (IR A-8)

1. DSA Approved Plans & Specifications
2. DSA Approved Revisions & Addenda
3. Test and Inspection List (DSA-103)
4. Building Codes: Title 24 (Parts 1, 2, 3, 4, 5 & 6)
5. Daily Log
6. Construction Schedule
7. DSA Approved Deferred Approval Documents
8. DSA Approved Field Change Documents
9. DSA Approved Change Orders

## Appendix A (cont.)

### Inspector's Job Site File (IR A-8)

10. Copies of Shop drawings, samples, and submittals
11. Request for Information (RFI's)
12. Directives from Architect
13. Test & Inspection Reports
14. Semi-Monthly Reports
15. Deviation Notices & Resolutions
16. DSA Field Trip Notes
17. As-Builts

Thank you