



## AUDIT CHECKLISTS

COLBI provides these checklists for your use in preparing for the OPSC audit. These are typically requested items that are best gathered during the project as the events occur.



Copy the checklists from these pages, and place them as an index in a binder. Insert appropriate numbered tabs in the binder.



As the listed documents are prepared or received for a project, place them in the binder behind the appropriate tab.



Date and initial the index to indicate that item is received.

The audit process is still evolving and additional documents may be required, other documents may be eliminated from the typical review. From time to time these documents may need revision. Contact Colbi for updated versions.

*Caution: These lists are intended as assistance in preparing for audit and are not an exhaustive list of all required documents!*

### EMINENT DOMAIN – RELOCATION

PROJECT NAME: \_\_\_\_\_

OPSC NUMBER: \_\_\_\_\_

CATEGORY	ITEM	DOC DATE	TAB	INITIAL
Eminent Domain	Relocation Contracts		<b>1</b>	
Eminent Domain	Relocation Legal Contracts		<b>2</b>	
Eminent Domain	Relocation Appraisal Reports		<b>3</b>	
Eminent Domain	Relocation Court Documents		<b>4</b>	
Eminent Domain	Relocation Invoices		<b>5</b>	
Eminent Domain	Relocation Legal Billing		<b>6</b>	
Eminent Domain	Relocation Opinions		<b>7</b>	

Include each of the documents for each property, as applicable.

## NEW CONSTRUCTION PROJECT CHECKLIST

PROJECT NAME: \_\_\_\_\_

OPSC NUMBER: \_\_\_\_\_

CATEGORY	ITEM	DOC DATE	TAB	INITIAL
Site	CDE Site Approval Letter		<b>1</b>	
Site	CEQA Compliance Board Action		<b>2</b>	
Site	DTSC No Further Action Letter		<b>3</b>	
Site	Acquisition Escrow Statement (for each parcel)		<b>4</b>	
Planning	Architect Qualification Appraisal & Agreement		<b>5</b>	
Planning	Construction Mgr Qualification Appraisal & Agr		<b>6</b>	
Planning	Surveyor Qualification Appraisal & Agreement		<b>7</b>	
Planning	Engineer Qualification Appraisal & Agreement		<b>8</b>	
Planning	CDE Plan Approval Letter		<b>9</b>	
Planning	Local Plan Approval (Review & Comment)		<b>10</b>	
Planning	Final Architect Billing		<b>11</b>	
Planning	DSA Number and Plan Approval Letter Date		<b>12</b>	
Construction	Bid Announcement & Summary Matrix		<b>13</b>	
Construction	Notice to Proceed		<b>14</b>	
Construction	LCP Plan & DIR Approval (if required)		<b>15</b>	
Construction	Contract for Inspection		<b>16</b>	
Construction	Contract for Testing		<b>17</b>	
Construction	Contract for Geotech/Environmental Work		<b>18</b>	
Construction	Construction Contract with Board Award		<b>19</b>	
Construction	Contract Addenda with Board Approval		<b>20</b>	
Construction	Change Orders with DSA Stamps (or Arch Letter)		<b>21</b>	
Construction	Final Construction Billing		<b>22</b>	
Construction	Notice of Completion		<b>23</b>	
Internal Controls	Flow Charts		<b>24</b>	
Internal Controls	Fraud Policy		<b>25</b>	
Calc	Comparison of 50-04 to CR count on plans		<b>26</b>	
Calc	Comparison of 50-05 to Occupancy Date		<b>27</b>	
Calc	Comparison of 50-06 to Hard Costs (60% Rule)		<b>28</b>	
SACS System	RRMA 3% Verification		<b>29</b>	

## MODERNIZATION PROJECT CHECKLIST

PROJECT NAME: \_\_\_\_\_

OPSC NUMBER: \_\_\_\_\_

CATEGORY	ITEM	DOC DATE	TAB	INITIAL
Site	CDE Site Approval Letter		1	
Site	CEQA Compliance Board Action		2	
Site	DTSC No Further Action Letter		3	
Planning	Architect Qualification Appraisal & Agreement		4	
Planning	Construction Mgr Qualification Appraisal & Agr		5	
Planning	Surveyor Qualification Appraisal & Agreement		6	
Planning	Engineer Qualification Appraisal & Agreement		7	
Planning	CDE Plan Approval Letter		8	
Planning	Local Plan Approval (Review & Comment)		9	
Planning	Final Architect Billing		10	
Planning	DSA Number and Plan Approval Letter Date		11	
Construction	Bid Announcement & Summary Matrix		12	
Construction	Notice to Proceed		13	
Construction	LCP Plan & DIR Approval (if required)		14	
Construction	Contract for Inspection		15	
Construction	Contract for Testing		16	
Construction	Contract for Geotech/Environmental Work		17	
Construction	Construction Contract with Board Award		18	
Construction	Contract Addenda with Board Approval		19	
Construction	Change Orders with DSA Stamps (or Arch Letter)		20	
Construction	Final Construction Billing		21	
Construction	Notice of Completion		22	
Internal Controls	Flow Charts		23	
Internal Controls	Fraud Policy		24	
Calc	Zero New Square Footage Verification		25	
Calc	Comparison of 50-05 to Occupancy Date		26	
Calc	Comparison of 50-06 to Hard Costs (60% Rule)		27	
SACS System	RRMA 3% Verification		28	

# Account-Ability

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Are you ready for audit?

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