

GENERAL GUIDE TO KEY FORM SUBMITTALS

(Please refer to the notes and abbreviations on the next page.)

12/9/2019

General Project Classification:

Funding Process:

Construction Procurement Method:

Capital						Non-Cap	PPEA	ESCO
Pool			Non-Pool			n/a	n/a	n/a
DBB	CM	DB	DBB	CM	DB	n/a	n/a	n/a

	D, G	D	C	C, D, G	C, D		D, H	F
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**Refer to
Note**

For this purpose, use Capital Outlay Form #:

Request Approval to Initiate Project or Adjust

Document Award of A/E Contract

Schematic Design Phase:

Request Design Document Approval

Document Budget Development

Preliminary Design Phase:

Request Design Document Approval

Document Budget Development

Request Approval of Working Drawings

Request Approval to Award Construction Contract

Construction Change Order Approval

Construction Change Order Justification

A/E Change Order Approval/Justification

Schedule of Values/Application for Payment

Document Project Completion

For this purpose, use Building Official Form #:

Apply for Building Permit

Apply for a Certificate of Use & Occupancy

Request Closeout of Building Permit

Request Beneficial Occupancy

CO-2	CO-2	CO-2	CO-2	CO-2	CO-2		CO-2	
CO-3	CO-3		CO-3	CO-3				

CO-4			CO-4					
CR-2	CR-2	CR-2						

CO-5			CO-5					
CR-2	CR-2	CR-2						

CO-6			CO-6					
CO-8	CO-8	CO-8	CO-8	CO-8	CO-8			

CO-11	CO-11	CO-11	CO-11	CO-11	CO-11			
CO-11a	CO-11a	CO-11a	CO-11a	CO-11a	CO-11a			
CO-11ae	CO-11ae		CO-11ae	CO-11ae				

CO-12	CO-12	CO-12	CO-12	CO-12	CO-12			
CO-14	CO-14	CO-14	CO-14	CO-14	CO-14		CO-14	

CO-17								
CO-13.3								
CO-13.4								
CO-13.5								

A

M

K

M

K

A

A

L

L

L

B

E

I

J

NOTES

- A** CO-2, 6 and 8 forms are required as identified in the chart above for approval by DEB and/or DPB.
- B** Submit only copies of the project's final Schedules of Values to DEB.
- C** **For non-pool projects which have any State funding, Tier 2 Capital** institutions shall submit the following forms:
CO- 2, 6, 8, 11, 12, and 14. (The regular process for DEB approval of Building Official forms still applies.)
For non-pool projects which have any State funding, Tier 3 institutions shall submit the following CO forms:
CO-2, 8, and 14. (When Tier 3 authority is exercised, Building Official forms are processed by agency, with no copy to DEB.)
- D** **For CM, DB, and PPEA project with "early release packages"**, submit preliminary design documents for the complete project to DEB for review and approval to establish code compliance. (Cost estimates, fuel studies, HVAC system analyses, and checklists that are not required to determine VUSBC compliance may be excluded.)
Submit working drawings to DEB for review and approval for the specific scope of work being permitted (foundation, structure, etc.) to obtain partial Building Permit.
- E** After the CO-17 is issued, changes in the Work required pursuant to the VUSBC, shall be submitted to DEB. (N/A when Tier 3 authority is exercised.)
- F** Follow the ESCO contract instructions for the submission of Technical Energy Audits for DEB review
- G** For Construction Management at Risk projects:
For Early Release Packages:
A Guaranteed Maximum Price (GMP) must be provided for the scope of the work being awarded to obtain approval of a CO-8, and if the project is a Pool Project, either a GMP based upon working drawings for the full project or an approved "Appendix C submittal" must be provided to obtain approval of the CO-8.
For the entire project:
A Guaranteed Maximum Price (GMP) based upon working drawings for the full project must be provided to obtain approval of a CO-8.
- H** CO-2 and CO-14 forms are not required if there is no State funding of a PPEA project.
- I** CO-13.3 shall be submitted to DEB for new buildings, building additions or renovations involving change of use or occupancy. (N/A when Tier 3 authority is exercised.)
- J** CO-13.4 shall be submitted to DEB to close out the Building Permit for projects where the CO-13.3 does not apply. (N/A when Tier 3 authority is exercised.)
- K** For pool-funded projects the CR-2 form is required for DEB Cost Review at the Schematic Design Phase. This form must be updated and resubmitted at Preliminary Design to reflect updated information from the current design.
- L** If Change Order exceeds the limits requiring approval by the Governor's Designee, submit Change Order and appropriate back up to DEB. If Change Order does not require approval by DGS/DEB, acting as the Governor's Designee, then only submit an informational copy of the agency-approved Change Order (without backup) to DEB.
- M** CO-4 and CO-5 forms are not required from Tier 2 agencies, if project has no state supported funds.

ABBREVIATIONS USED

- A/E = Architect/Engineer.**
- CM = Construction Management.**
- DB = Design-Build.**
- DBB = Design-Bid-Build.**
- DEB = Division of Engineering & Buildings.**
- ESCO = Energy Performance Contracts.**
- Tier 2 = Higher Education Capital Outlay (HECO) - Tier 2.** Agencies who are currently eligible to exercise this special authority include:
Longwood University, Old Dominion University, Radford University, University of Mary Washington, and Virginia Military Institute.
- Tier 2 Capital = Higher Education Capital Outlay (HECO) - Tier 2 - Capital.** Agencies who are currently eligible to exercise this special capital outlay authority include:
Christopher Newport University, George Mason University, and the Virginia Community College System.
- Tier 3 = Higher Education Capital Outlay (HECO) - Tier 3.** Agencies who are currently eligible to exercise this special capital outlay and building official authority include:
College of William & Mary, James Madison University, University of Virginia, Virginia Commonwealth University, and Virginia Tech.
- Non-Cap = a non-capital project subject to DEB review.**
- PPEA = Public-Private Educational Facilities and Infrastructure Act of 2002.**