# **GENERAL GUIDE TO KEY FORM SUBMITTALS**

( Please refer to the notes and abbreviations below. )

														3/17/2025
General Project Classification:	Capital								Non-Cap	PPEA		ESCO		
Funding Process:	Pool					Non-Pool		non cap		Capital	Non-Cap	Capital	Non-Cap	
Construction Procurement Method:	DBB	JOC	CM	DB	DBB	JOC	CM	DB	ALL	Capital	Non cap	Capital	iton cup	
		N	D, G	D	С	N	C, D, G	C, D		D, H	D	F, H	F	Refer to Note
For this purpose, use Capital Outlay Form #:	-		-	-	-	-		•	-	-	-	•	-	
Request Approval to Initiate Project or Adjust	CO-2	CO-2	CO-2	CO-2	CO-2	CO-2	CO-2	CO-2		CO-2		CO-2		Α
Document Award of A/E Contract Schematic Design Phase:	CO-3	CO-3	CO-3		CO-3	CO-3	CO-3					CO-3		l
Request Design Document Approval	CO-4	CO-4	CO-4		CO-4	CO-4	CO-4							М
Document Budget Development	CR-2	CR-3	CR-2	CR-2										К
Preliminary Design Phase:			ı		ı	1								I
Request Design Document Approval	CO-5	CO-5	CO-5		CO-5	CO-5	CO-5							М
Document Budget Development	CR-2	CR-2	CR-2	CR-2										К
			1		ı	I							1	I
Request Approval of Working Drawings	CO-6	CO-6	CO-6		CO-6	CO-6	CO-6							Α
Request Approval to Award Construction Contract	CO-8	CO-8	CO-8	CO-8	CO-8	CO-8	CO-8	CO-8				CO-8		Α
				1					CO-11/					1
Construction Change Order Approval	CO-11	CO-11 JOC	CO-11	CO-11	CO-11	CO-11 JOC	CO-11	CO-11	CO-11 JOC	CO-11	CO-11	CO-11	CO-11	L
Construction Change Order Justification	CO-11a	CO-11a JOC	CO-11a	CO-11a	CO-11a	CO-11a JOC	CO-11a	CO-11a	CO-11a/ CO-11a JOC	CO-11a		CO-11a	CO-11a	L
A/E Change Order Approval/Justification	CO-11ae	CO-11ae	CO-11ae		CO-11ae	CO-11ae	CO-11ae			CO-11ae		CO-11ae		L
														-
Schedule of Values/Application for Payment	CO-12	CO-12	CO-12	CO-12	CO-12	CO-12	CO-12	CO-12		CO-12		CO-12		В
Document Project Completion	CO-14	CO-14	CO-14	CO-14	CO-14	CO-14	CO-14	CO-14		CO-14		CO-14		J
For this purpose, use Building Official Form #:														
Apply for Building Permit	CO-17	CO-17	CO-17	CO-17	CO-17	CO-17	CO-17	CO-17	CO-17	CO-17	CO-17	CO-17	CO-17	E
Apply for a Certificate of Use & Occpancy	CO-13.3	CO-13.3	CO-13.3	CO-13.3	CO-13.3	CO-13.3	CO-13.3	CO-13.3	CO-13.3	CO-13.3	CO-13.3			ı
Request Closeout of Building Permit	CO-13.4	CO-13.4	CO-13.4	CO-13.4	CO-13.4	CO-13.4	CO-13.4	CO-13.4	CO-13.4	CO-13.4	CO-13.4	CO-13.4	CO-13.4	J
Request Beneficial Occupancy	CO-13.5	CO-13.5	CO-13.5	CO-13.5	CO-13.5	CO-13.5	CO-13.5	CO-13.5	CO-13.5	CO-13.5	CO-13.5	CO-13.5	CO-13.5	
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#### 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 Coordinate with DMME for building permit determination by DEB.
- **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 or ESCO 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 fiscal 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 the Governor's Designee, then only submit an informational copy of the agency-approved Change Order (without backup) to DEB and modifications to the approved Permit Documents to DEB for review to ensure VCC compliance.
- M CO-4 and CO-5 forms are not required from Tier 2 agencies, if project has no state supported funds.
- N Projects procured utilizing Job Order Contracting are subject to the statutory limits in §2.2-4303.2 which limits the maximum Job Order amount (including change orders).

## ABBREVIATIONS USED

- A/E = Architect/Engineer.
- CM = Construction Management.
- DB = Design-Build.
- DBB = Design-Bid-Build.
- DEB = Division of Engineering & Buildings.
- DMME = Department of Mines, Minerals and Energy.
- ESCO = Energy Service Company or Energy Service Contract.
- JOC = Job Order Contracting.
- 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, Virginia Military Institute, and Norfolk State University.
- 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 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, George Mason University, 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.