CAPSTAT

Training

September 11, 2012

https://capstat.northcarolina.edu
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CAPSTAT Overview
September 11, 2012

CAPSTAT (the UNC capital project status system) was launched in response to the passage of Senate Bill 862 in 1997. That legislation “downloaded” construction projects under $500,000 entirely to the University, eliminating oversight by the State Construction Office on those projects. The legislation was passed based on the premise that projects could move more rapidly from being authorized to being occupied without State Construction’s involvement, but with no less quality or greater expense. As passed, the legislation included a requirement for the Office of State Budget and Management and the State Building Commission to analyze the University’s performance under the provision, including the time to complete projects among other aspects, and provide a report to the General Assembly by April 15, 2001. The content of that report would determine whether the change would continue or the legislation would “sunset.”

At the time of the bill’s passage, capital project records such as construction award letters were maintained in paper files, but there was no central repository that would answer the questions required for the report that would ultimately determine the future of the download provision. CAPSTAT was originally conceived of as a vehicle to gather and report the necessary data to address this requirement.

As such, the system focused on collecting historical information on each project with particular attention to the many milestone dates that would signal the pace of projects toward completion. These dates included items such as the initial authorization date of the project, designer selection date, the date the designer’s contract was executed, the dates design submissions were approved to move to the next design phase, contract award date, notice-to-proceed date, and project completion date. Because there was some concern that the University might be able to move projects faster at the expense of higher design fees and/or increased change order activity, both of these items were also tracked.

The experiment proved successful and the download provision was extended. It has since been further expanded to the $2M level (SB914, effective 1/1/2002). At the same time, the need for additional improvements to the process and for information from the system were being recognized.

Another pinch-point affecting the timely processing of projects involved processing fund transfer requests. To move funds from one capital improvement project to another had required a written request through channels to the State Budget Office and their written approval in return before funds could actually be transferred. In the hard-copy world, this process typically took 2 weeks and could often extend much longer. The CAPSTAT system was viewed as a prospective vehicle for automating this activity and in 2001-2002 this function was added to the system. With this change, institutions could electronically initiate a fund transfer that was then routed for approval through the various levels with final approval available in a matter of days. With the implementation of the electronic fund transfer process, the system also became the mechanism that State Budget relied upon to determine if funds were available in order to permit construction contract awards.

While CAPSTAT had allowed searches and displayed information on screen, data had not been available in any form that supported further processing. The information
being collected within the system would be much more useful if it could only be accessed and manipulated. At the same time that the fund transfer function was added, more expansive reporting capabilities were provided. Making the data more useful to the end-users who were charged with entering it was a step toward ensuring more consistent, reliable data entry and greater value to users.

Over time, legislative changes also resulted in changes to CAPSTAT. The system was modified to support the reporting requirements of the Bond Program, such as the identification of projects where bond funding was being used, whether originally or through a transfer action, or the identification of the intended start date of bond projects since some of them were intentionally delayed because they were part of a series of sequential activities. This field was necessary to prevent all of these projects from appearing as “late” because they remained unstarted 60 days or more after authorization. With the completion of the bond program, this field is no longer applicable.

The passage of Senate Bill 914, which required active solicitation of historically underutilized businesses (HUB) and reporting on their participation generated additional change to the system, as it became effective 1/1/2002. The system was modified to permit this reporting, including the establishment of a database of contractors identified by minority type to allow contract awards with subcontractors to be entered into the system. This function was added during calendar year 2002 and was operating approximately one year prior to the establishment of the State of North Carolina’s HUBSCO system, which was subsequently installed to collect similar data statewide. In July 2009, CAPSTAT was further modified to address the need for tracking HUB certification status.

With its data reporting capabilities, CAPSTAT is now being used to meet many reporting needs related to capital projects. Regularly scheduled designer reports to the State Building Commission, quarterly HUB participation reporting, and ad hoc requests from the Board of Governors, legislature/Fiscal Research Office, the press, or others are often addressed using data from the system. The institutions that enter the data are now benefitting from those efforts as they use the system for their own needs, such as monitoring HUB participation or checking designer ratings for firms being considered for work.

During the course of time, the CAPSTAT system has undergone some technical changes in addition to these changes in content. Technical changes have included a transition to new servers, load balancing to improve response time, and changes in the basic program platform. The latest change was a platform conversion in March 2010. Current plans are for CAPSTAT to be phased out within two years with its functionality replaced in a combined system based on the State Construction Office’s current “InterScope” system.
CAPSTAT Definitions and Hints
September 11, 2012

CAPSTAT’s address: https://capstat.northcarolina.edu

DEFINITIONS

Project: In CAPSTAT, a project is a capital improvement code-item number, description, and budget as appropriately authorized by the relevant State entities (UNC Board of Governors, legislature, State Budget Office). A project may involve the construction or renovation of a single building, repairs to numerous buildings as in “Repairs and Renovations” funding, or construction projects involving various phases. Data reported at the project level focuses on the budget, including the sources and amounts of funding authorized for the project.

Sub-project: Any work requiring contracted design and construction. Every project must have at least one sub-project in order to report milestone events. A project and sub-project may be synonymous, as is often the case where a project involves the construction or renovation of a single building. A project may also involve numerous sub-projects as is often the case where “Repairs and Renovations” funding is involved or in utility work involving multiple phases. Data associated with a subproject focuses on the activities related to the performance of the project, including milestone dates, contract amounts, HUB participation, change orders, designer performance ratings, etc.

There are a limited number of exceptions where a project may never have a sub-project established. This occurs when all of the project’s funds are transferred out to another project or if the only funds expended are under the “Funds Otherwise Allocated” category.

Sub-project number: Each subproject must be assigned a number in order to be entered into CAPSTAT. Subproject numbers are user-generated and may be up to ten alphabetical/numerical characters in length, shorter if desired. Some institutions choose to develop numbering schemes incorporating some logic. Duplicate sub-project numbers are not allowed under the same project. For example, Code 49675 Item 320 can’t have two projects numbered 1000 but there could be one under this Code/Item and another under a different Code/Item number. If projects are to be sorted in numerical order, leading zeros must be entered as in 001, 002, or sorting will be 1, 10, 2, …., etc.

Funds Otherwise Allocated: This category is used to account for costs that are not incurred directly as a result of a contracted-design sub-project. Costs to be reported in this category include: 1) testing, 2) purchases, 3) force account work, 4) contracted construction performed as a result of an in-house design, 5) or any other non-design, non-construction costs. Costs are to be reported in this category as they are committed through a purchase order or work order. Many institutions maintain spreadsheets or other documentation identifying the costs reported here as a single lump sum. However, CAPSTAT incorporates a spreadsheet function that will support the individual listing of items and amounts if the preference is to itemize within the system instead.
Note that these costs are reported at the “Project” level and cannot be associated with individual subprojects.

**Uncommitted Funds**: This is simply the remaining balance under a project Code/Item after deducting the subproject budgets and funds otherwise allocated and appropriately reflects the balances that are not yet engaged out of the Code/Item’s balance available.

The sum of all of a project’s sub-project budgets, the project remainder, funds otherwise allocated, and uncommitted funds should equal the project’s budget.

**Milestones**: Key events in the life of every sub-project that are used to monitor its progress. Included are:

- **% Complete**: This is the campus’s best estimate of the sub-project’s completion. It is often reported in weekly or monthly construction progress meetings and should be recorded appropriately. If a sub-project is advanced planning only, the % complete reflects the progress of this design work. Note that there are separate percentages for design and construction activities. Although the designer may have construction administration requirements that continue his work during the construction phase, a project that is in construction should have design reflected as 100% complete.

- **Authorized**: This is the date the project was authorized by the relevant State agency. This is entered by the UNC-General Administration when the Code/Item is established.

- **Date Selected**: This is the date the designer was selected. For a formal selection, it is the date the selection was **approved by the institution’s Board of Trustees**. For the selection of a designer under an open-ended contract, it is the date the firm was selected from the institution’s designer list.

- **Design Agreement**: This is the date the design contract is executed. For a formal selection, this is the date that reflects when BOTH parties have signed, so it is the latest signature date. For an open-ended contract designer, it is the date the purchase order was issued consistent with a letter agreement defining scope.

- **Schematic, Design Development, and Working Drawings**: The dates reflected for completion of these design phases are the dates the design is approved by all (therefore the last) review agencies and therefore released to proceed to the next stage. For example, if the Department of Insurance approves SD’s on 1/15, but State Construction approval is received on 1/25, the date reflected in CAPSTAT is 1/25.

- **Construction Award**: The date of the award letter, whether the contract is awarded at the institution, UNC-General Administration, or the State Construction Office. This is not the date the construction bids are opened, nor is
it the date the recommendation is submitted for approvals. Construction award is the date shown on the award letter. The subsequent construction contract may NOT bear a date earlier than the date of the award letter.

**Notice to Proceed:** The official contract start date per the designer’s letter notifying the contractor(s) of award and start date. This notice establishes the beginning date for each contract and the required completion date. This notice may only be issued AFTER contracts are awarded.

**Completion Date:** This is the actual completion date of the project; the date that the project is substantially complete and accepted for occupancy. This date does not necessarily reflect the completion of all close-out items, such as delivery of as-built drawings and completion of evaluations of designers and contractors, but is effective completion. CAPSTAT compares this date to what would be the contractual completion date based on the number of days required by contract (recorded under “Original Contract Days” and “Revised (with CO’s)” if appropriate) to determine if the completion was on schedule, late, or early.

**HINTS**

**CAPSTAT Home Page:** Periodically review the content of the home page, even if you do not have a need to make data entries. This site is used to post information of interest and it’s a good idea to visit occasionally for current events information. Reminders are posted of monthly deadlines for CAPSTAT and Primavera system entries. Please share information of interest with others within your institution as may be appropriate.

**Feedback:** This is a direct way to provide notice of any problems you may be experiencing or any suggestions for improvements. Don’t hesitate to make and submit an entry for any concern. These entries are currently routed simultaneously to the programmers and to UNC-General Administration (Miriam Tripp) to be reviewed and addressed.

**Budget Adjustments:** Requests to adjust project budgets should be made via the “Funds” tab in CAPSTAT. Following the initiation of a change and its approval at the campus level, the request is automatically routed to UNC-General Administration (Terry Feravich) and subsequently to the State Budget Office for approvals. The appropriate Budget Office representative or other designee at the institution must process a BD-606 to ensure that the State’s Financial Reporting System (FRS) also reflects the change.

**Establishing a New Code/Item:** A new project Code/Item can not be established using the fund transfer function, but requires the completion and submission of a CI-1 form through the appropriate budget approval processes (Capital Project Orientation manual contains this information).

**Login:** The CAPSTAT system is available for viewing by anyone who has the URL or who gets to it from the UNC-General Administration web site. But, you must have a
security level that permits editing and be logged in as an editor in order to make entries for your particular institution. You must also be logged in to view secure areas of the system, such as change order or HUB participation details. Fund transfers and query capability require authority levels within CAPSTAT that permit this access.

**Contract Awards:** ALWAYS check CAPSTAT to ensure that the project budget against which you are making an award is sufficient for your recommendation. Project amounts, sub-project amounts, and design amounts should all agree between what is reflected in CAPSTAT and what is listed in the award letter as submitted. Awards will not be processed for amounts that exceed the budgets reflected in CAPSTAT. If budget adjustments are necessary before making the award, they must be processed first.

**Change Orders:** When entering change order information for a multi-prime project where all trades are being permitted the same increase in number of days for a particular reason such as a rain delay, it is important to select one change order to carry the increase in days and report the others as “0” days. If all are reported with the number of days increase, the totals will be added to the entire contract duration, incorrectly extending the number of days allowable by contract with the change orders added.

**Capturing the Information:** It’s always easiest to capture information as documents are processed, rather than trying to chase it down afterwards. To the extent possible, CAPSTAT entry information should be captured from the source documents (designer selection and contract letters, plan approval letters, construction contract award and notice to proceed letters, etc.) as they are processed through the campus. The incoming/outgoing mail is often a reliable capture point.

**Updating Schedule:** At a minimum, CAPSTAT data is expected to be current as of the second Friday of every month. Data is being drawn from the system for reporting to the State Building Commission, Board of Governors, and others upon request, making it critical that the correct, current information be available.

**CONTACTS WILLING TO SHARE INFORMATION/ADVICE**

Karen Geer, UNC-Chapel Hill, 919-962-9043, geer@fac.unc.edu

Donna Lewis, ECU, 252-328-6858, lewisd@ecu.edu

Jeanine Rose, UNC-General Administration, 919-962-4608, jrose@northcarolina.edu

Miriam Tripp, UNC-General Administration, 919-933-6392 (8 am to noon, Monday – Friday), mdtripp@northcarolina.edu

Add your own list from class contacts or elsewhere:
<table>
<thead>
<tr>
<th>ActionCode - Item</th>
<th>Project Title</th>
<th>Winston-Salem State University</th>
<th>Cur. Funds</th>
<th>Funds Adj.</th>
<th>Auth. Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>View 40032 - 301</td>
<td>Diggs Gallery Environmental Systems Renovations</td>
<td>$326,500</td>
<td>$298,000</td>
<td>Aug 25, 2000</td>
<td></td>
</tr>
<tr>
<td>View 40032 - 302</td>
<td>Campus Tennis Courts</td>
<td>$367,300</td>
<td>$352,900</td>
<td>Sep 18, 2000</td>
<td></td>
</tr>
<tr>
<td>View 40032 - 303</td>
<td>Atkins House Relocation and Renovation</td>
<td>$500,000</td>
<td>$450,000</td>
<td>Feb 20, 2001</td>
<td></td>
</tr>
<tr>
<td>View 40032 - 320</td>
<td>2000 Repairs and Renovation</td>
<td>$1,483,802</td>
<td>$324,202</td>
<td>Aug 16, 2000</td>
<td></td>
</tr>
<tr>
<td>View 40082 - 306</td>
<td>Replace Underground Steam and Hot Water Piping</td>
<td>$0</td>
<td>($1,249,500)</td>
<td>Dec 8, 2000</td>
<td></td>
</tr>
<tr>
<td>View 40132 - 301</td>
<td>Renovations to Residence Halls</td>
<td>$344,348</td>
<td>$344,348</td>
<td>Nov 26, 2001</td>
<td></td>
</tr>
<tr>
<td>View 40332 - 320</td>
<td>2003 Repairs and Renovations</td>
<td>$15,053</td>
<td>$15,053</td>
<td>Nov 4, 2003</td>
<td></td>
</tr>
<tr>
<td>View 40397 - 301</td>
<td>Hill Hall Roof Replacement to Prevent Water Infiltration</td>
<td>$160,739</td>
<td>$160,739</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 302</td>
<td>Heating Plant Roof Replacement to Prevent Water Infiltration</td>
<td>$47,590</td>
<td>$47,590</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 303</td>
<td>Miscellaneous Roof Repairs to Prevent Water Infiltration, Campus Buildings</td>
<td>$0</td>
<td>$0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 304</td>
<td>Blair Hall Window Replacement</td>
<td>$0</td>
<td>$0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 305</td>
<td>Eller Hall Window Replacement</td>
<td>$125,615</td>
<td>$125,615</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 306</td>
<td>KR Williams Auditorium Balcony Structural Repairs for Safety</td>
<td>$145,450</td>
<td>$145,450</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 307</td>
<td>Structural Studies - Parking Lot Embankment, Thompson Ctr., Steam Plant Stack, Chancellor's Residence</td>
<td>$19,895</td>
<td>$19,895</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 308</td>
<td>Window &amp; Wall Waterproofing - Hall Patterson Brick Lintel/Window, Coltrane Foundation, Thompson Ctr. Window Glazing, Eller Hall Tuck Point &amp; Waterproofing</td>
<td>$169,446</td>
<td>$169,446</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 309</td>
<td>Old Chancellor's Residence Waterproofing</td>
<td>$0</td>
<td>$0</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 310</td>
<td>Construct Catwalk to Fuel Tanks to Provide Safe Access for Fuel Measurement &amp; Spill Containment Compliance</td>
<td>$203,898</td>
<td>$203,898</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 311</td>
<td>Heating Plant Window Replacement to Stop Water Infiltration</td>
<td>$67,754</td>
<td>$67,754</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 312</td>
<td>Miscellaneous Fire Safety Code Compliance, Campus-wide Based on DOI Inspection Report</td>
<td>$37,483</td>
<td>$37,483</td>
<td></td>
<td></td>
</tr>
<tr>
<td>View 40397 - 313</td>
<td>Primary Electrical Cable Replacement &amp; Substation Fencing</td>
<td>$93,023</td>
<td>$93,023</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Sample Search – Not logged in, Institution WSSU, All fiscal years, Active projects

"Logged in" search results similar except "Edit" is selection choice instead of "View"
Projects

Search Projects | Edit Funds Otherwise Allocated | Add a SubProject | Edit Bond Distributions

Project Details

40530-303: Parking Facilities Improvements
Appalachian State University

Authorized: FY 2005
State Project ID:

Last updated: Aug 24, 2009
Status: Active

Back to Project List

Funding Sources and any budget adjustments:

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sep 22, 2005 - 2005 Session</td>
<td>$2,500,000</td>
</tr>
<tr>
<td>May 3, 2007 - Increase in Authority</td>
<td>$750,000</td>
</tr>
<tr>
<td>Dec 11, 2008 - Increase in Authority</td>
<td>$68,783</td>
</tr>
<tr>
<td>Mar 31, 2009 - Increase in Authority</td>
<td>$550,000</td>
</tr>
</tbody>
</table>

Total Funds Originally Budgeted: $0
Total Funds Currently Budgeted: $3,868,783

Subprojects and their Current Funds Allocations

<table>
<thead>
<tr>
<th>Subproject</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>100 Parking Facilities Improvements</td>
<td>$2,999,702</td>
</tr>
<tr>
<td>200 Parking Deck Repairs Phase 1</td>
<td>$16,347</td>
</tr>
<tr>
<td>300 Parking Deck Repairs-Phase 2</td>
<td>$131,345</td>
</tr>
<tr>
<td>400 Holmes Convocation Center Parking Lot Expansion</td>
<td>$500,505</td>
</tr>
</tbody>
</table>

SubProjects' Total Budgets: $3,647,899

Project Remainder: $220,884
Funds Otherwise Allocated: $148,223
Uncommitted Funds: $72,661

Sample Search for a specific project
Can access by selecting from list after a project search or
Enter code/item number, then search, to access directly

https://capstat.northcarolina.edu/LoadProjectAction.php?projectsKey=2567

9/11/2012
Institution: Appalachian State University
Project: 40530-303 Parking Facilities Improvements
SubProject: 400 Holmes Convocation Center Parking Lot Expansion

* Subject to SCQ oversite? NO

Dollars: Project's Funding Sources: $0
Revised (thru Budget Adj's): $3,868,783

* SubProject's Budget: $500,505
  - Design Fee: $15,700
  - Orig Award Amount: $393,737 (HUB)
  - Change Orders: $75,019
    = Remainder: $16,049

Designer: Site Solutions
Open Ended Design? YES

Days: Original Contract Days: 80
Revised (with CO's): 108

Milestones: Design % Comp: 100% (between 0 & 100)
Authorized: Design Development: 01/14/09
Scheduled Start: 07/01/08
Date Selected: 07/15/08
Construction % Comp: 50% (between 0 & 100)
Design Agreement: 07/29/08
Schematic: 08/15/08

Phone: 704.521.9880
Designer's Rating: 4.8 (between 0.0 and 5.0)

Actual (Complete - NTP Date): 116
Actual vs. Contract (w/CO's): 107.41%

Change Orders:

<table>
<thead>
<tr>
<th>Date</th>
<th>Number</th>
<th>Title</th>
<th>Amount</th>
<th>Days</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 29, 2009</td>
<td>1</td>
<td>Soil Nail Wall Faux Rock Finish</td>
<td>$65,736</td>
<td>0</td>
</tr>
<tr>
<td>Sep 8, 2009</td>
<td>2</td>
<td>Misc. Changes</td>
<td>$9,283</td>
<td>28</td>
</tr>
</tbody>
</table>

Total Change Orders: $75,019 28
Contractor: J.W. Hampton
Contractor's Rating: 4.8 (between 0.0 and 5.0)
Notes:

Contact: Allison Kemp-Sullivan
Email: kempad@appstate.edu
Phone: 828.262.6622

Sample Subproject details, selected from list on project screen
All details of design and construction contract, HUB participation, milestone dates, etc. are entered using this screen
SubProjects

Search SubProjects | Power Search | Add a SubProject

Edit SubProject Details

Institution: Winston-Salem State University
Project: 40732-320 2007 Repairs and Renovations

SubProject: [bottom]

* SubProject Number:
  * Title:

* Subject to SCO oversite? Yes No

* Are the funds for this subproject from different fiscal years? Yes No

Dollars: [bottom]

Project's Funding Sources: $0
Revised (thru Budget Adj's): $1,273,934

* SubProject's Budget: $0
  - Design Fee: $0
  - Orig Award Amount: $0
  - Change Orders: $0
  = Remainder: $0

Total Budget for this Project: $732,717
Total Awarded for this Project: $491,410

Designer: [bottom]

Designer:
Open Ended Design? Yes No
Designer's Rating: (between 0.0 and 5.0)

Days: [bottom]

Original Contract Days:
Revised (with CO's): 0

Actual (Complete - NTP Date):
Actual vs. Contract %

Milestones: [bottom]

*Note: red milestones indicate "design select" or "design agreement" dates past the target of 60 days. Also, please enter dates in 'mm/dd/yyyy' format.

Design % Comp: % (between 0 & 100)
  Authorized: 12/12/07
  Scheduled Start:
  Date Selected:
  Design Agreement:
  Schematic:

Construction % Comp: % (between 0 & 100)
  Design Development:
  Working Drawings:
  Construction Award:
  Notice to Proceed:
  Completion Date:

CampusRemarks: [bottom]

https://capstat.northcarolina.edu/editor/LoadSubProjectAction.php?projectsKey=2875

9/11/2012
Campus Remarks:

**Change Orders:**

<table>
<thead>
<tr>
<th>Date</th>
<th>Number</th>
<th>Title</th>
<th>Amount</th>
<th>Days</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Total Change Orders:</td>
<td>$0</td>
<td>0</td>
</tr>
</tbody>
</table>

**Contractor Info:**

* Contractor: *(Populated from the Dollars section - Orig Award Amount)*

Contractor's Rating: *(between 0.0 and 5.0)*

Notes:

**Contact:**

Contact:

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Sample of a blank “Add a Subproject” screen
Subproject number, title, budget all determined by campus
Dates and dollar amounts are actuals, reported as they occur
### Single-Prime

Institution: Winston-Salem State University  
Project: 40397-310 Construct Catwalk to Fuel Tanks to Provide Safe Access for Fuel Measurement & Spill Containment Compliance  
SubProject: 0090 Construct Catwalk to Fuel Tanks & Provide Spill Containment Comp  
Contract Type: Single-Prime  
Total Award Amount: **$186,395** (= Orig Award Amount: $166,280 [edit] + Change Orders: $20,115 [edit])

<table>
<thead>
<tr>
<th>Contract Award [add/edit]</th>
<th>Trade</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rival Construction, Inc</td>
<td>Div 01-General Contractor</td>
<td>$186,395</td>
</tr>
<tr>
<td></td>
<td>(Additional) Minority Participation [add/edit]</td>
<td></td>
</tr>
<tr>
<td>Target Concrete Walls *</td>
<td>Div 03-Concrete-Structural Concrete</td>
<td>$11,660</td>
</tr>
</tbody>
</table>

Sample HUB entry screen reflecting current entries and blanks for additions. This screen is accessed via clicking on the blue “Create/Edit” next to “Orig Award Amt” on the “Edit Subproject Details” screen. The prime or CM should always be the first item listed as the lead contractor on the project with HUB firms listed below.
Projects

Search Projects | Add a Project

Include force account work and contracted construction designed in-house (they are not sub-projects). These items along with contingency items, purchases, testing and other non-design and non-construction costs should be reflected here.

Project: 40530-303 Parking Facilities Improvements
Institution: Appalachian State University
Fiscal Year: 2005
Authorized:
Last Updated: 08/24/09

<table>
<thead>
<tr>
<th>Row</th>
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<td>Soils Testing</td>
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<td>Preliminary Soils Evaluation</td>
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<td>PP Work Orders</td>
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<td>15</td>
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</table>

Total Funds Otherwise Allocated: $148,223

Sample “Funds Otherwise Allocated” screen
Report related costs other than design, construction, change orders
May be individual entries or reference to campus spreadsheets
Entries should be actuals
May use numbering conventions to relate costs to subprojects, system does not track by subproject
# Contacts

**Search Contacts | Add a Contact**

## Contact List

<table>
<thead>
<tr>
<th>Action</th>
<th>Name</th>
<th>Institution</th>
<th>Email</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Edit</td>
<td>Allison Kemp-Sullivan</td>
<td>Appalachian State University</td>
<td><a href="mailto:kempad@appstate.edu">kempad@appstate.edu</a></td>
<td>828.262.6622</td>
</tr>
<tr>
<td>Edit</td>
<td>Carole Acquesta</td>
<td>Appalachian State University</td>
<td><a href="mailto:acquestace@appstate.edu">acquestace@appstate.edu</a></td>
<td>828.262.4961</td>
</tr>
<tr>
<td>Edit</td>
<td>David Sweet</td>
<td>Appalachian State University</td>
<td><a href="mailto:sweetdm@appstate.edu">sweetdm@appstate.edu</a></td>
<td>828.262.6623</td>
</tr>
<tr>
<td>Edit</td>
<td>Debra Murphy</td>
<td>Appalachian State University</td>
<td><a href="mailto:murphyda@appstate.edu">murphyda@appstate.edu</a></td>
<td>828.262.7195</td>
</tr>
<tr>
<td>Edit</td>
<td>Diane Pitts</td>
<td>Appalachian State University</td>
<td><a href="mailto:pittdj@appstate.edu">pittdj@appstate.edu</a></td>
<td>828.262.6433</td>
</tr>
<tr>
<td>Edit</td>
<td>Gregory Lovins</td>
<td>Appalachian State University</td>
<td><a href="mailto:lovinsgm@appstate.edu">lovinsgm@appstate.edu</a></td>
<td>828.262.2030</td>
</tr>
<tr>
<td>Edit</td>
<td>Jeff Pierce</td>
<td>Appalachian State University</td>
<td><a href="mailto:piercewj@appstate.edu">piercewj@appstate.edu</a></td>
<td>828.262.6579</td>
</tr>
<tr>
<td>Edit</td>
<td>Michael O'Connor</td>
<td>Appalachian State University</td>
<td><a href="mailto:oconnormj@appstate.edu">oconnormj@appstate.edu</a></td>
<td>828.262.3190</td>
</tr>
<tr>
<td>Edit</td>
<td>W. K. Ingram</td>
<td>Appalachian State University</td>
<td><a href="mailto:ingramwx@appstate.edu">ingramwx@appstate.edu</a></td>
<td>828.262.6622</td>
</tr>
</tbody>
</table>

Sample Contacts Search

Can find peer contact information by institution or name
<table>
<thead>
<tr>
<th>Action</th>
<th>Name</th>
<th>Type</th>
<th>Status</th>
<th>Minority</th>
<th>City</th>
<th>Phone</th>
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<td>Brown-Smith RDL Inc. (7/09)</td>
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<td>Baltimore</td>
<td>410.918.2299</td>
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<tr>
<td>Edit</td>
<td>Bulia Smith Design Engineering</td>
<td>Designer</td>
<td>Active</td>
<td></td>
<td>Charlotte</td>
<td>704.333.3122</td>
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<td>CC Smith Construction Inc (7/09)</td>
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<td>Active</td>
<td>African American</td>
<td>Charlotte</td>
<td>704.890.1909</td>
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<td>CLS Cox Locksmith LLC (7/09)</td>
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<td>Knightdale</td>
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<td>Dunbar &amp; Smith, Inc.</td>
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<td>High Point</td>
<td>336.841.3497</td>
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<td>Edit</td>
<td>Hagersmith Design, PA (7/09)</td>
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<td>Raleigh</td>
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<td>Ayden</td>
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<td>Waxhaw</td>
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<td>Rocky Mount</td>
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<td>McKnight Smith Ward Griffin Engineers (7/09)</td>
<td>Contractor</td>
<td>Active</td>
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<td>Charlotte</td>
<td>704.527.2112</td>
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<td>Active</td>
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<td>Asheville</td>
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<td>Active</td>
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<td>Greenvile</td>
<td>864.242.2033</td>
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<td>Ramsey Burgin Smith Associates (7/09)</td>
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<td>Edit</td>
<td>Signsmith Inc</td>
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<td>Active</td>
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<td>Greenville</td>
<td>252.752.4321</td>
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<td>Skinner Smith Construction, Inc. (7/09)</td>
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<td>Active</td>
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<td>Wilmington</td>
<td>910.343.4902</td>
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<td>Contractor</td>
<td>Active</td>
<td>African American</td>
<td>Greensboro</td>
<td>336.275.1051</td>
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<td>Smith Caulking &amp; Waterproofing (7/09)</td>
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<td>Active</td>
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<td>Edit</td>
<td>Smith Insulation, Inc. (7/09)</td>
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<td>Louisburg</td>
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</tbody>
</table>

Sample 3rd Party Search
Information on designers, contractors, and suppliers, HUB certification status
Can check exact name for use in reporting applications, verify appearance for drop-down menus
Additions needed are requested to UNC-GA by e-mail (see CAPSTAT home page)

**Funds:** Functions performed under the “Funds” tab include transferring money between existing Code/Item numbers, increasing authority/funding on existing projects, and releasing unneeded authority on existing projects. Establishing a new project Code/Item cannot be done with this function.

The funds functions may only be administered by those individuals with specific rights defined in the CAPSTAT system. Each institution must have one (or more) individuals authorized to initiate fund transfers and one (or more) authorized to approve these transactions. Someone at the campus level must also be designated to process the budget documents (BD-606) required to update the State’s Financial Reporting System (FRS) in line with the CAPSTAT revisions that have been processed. It is also possible to identify individuals at the campus who will be “informed” of any such transactions via e-mails automatically generated from the CAPSTAT system.

Transactions must be approved at each level (the institution, UNC-GA, and State Budget). The status of approvals may be determined under the “Review Fund Transfer Requests” function.

Transactions necessary to ensure available funds for contract awards should be processed prior to submitting award requests. Both State Construction and State Budget use CAPSTAT to determine if sufficient budget exists for award and will not authorize award if the funds available in the system are not consistent with the recommendations of the award letter.
Sample "Add Fund Transfer" screen, following selection of the institution and fund source
FUND SOURCE MUST BE IDENTIFIED – Fund categories must be kept separate so it is critical to
select the correct fund source from the drop down menu
Include a succinct explanation that includes a description of why the transfer is being requested
and where cash coming from (for example Housing receipts, Facilities and Administration
overhead, etc.)
## Funds

Add Fund Transfer Requests | Review Fund Transfer Requests

### Fund Transfer Search Results

Displaying rows 1 through 3 (of the 3 total).

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<thead>
<tr>
<th>Status</th>
<th>Initiated Date</th>
<th>Initiator</th>
<th>Transaction</th>
<th>Amount</th>
<th>Institution</th>
<th>Office of Pres.</th>
<th>OSBM</th>
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<tbody>
<tr>
<td>Pending</td>
<td>Jun 26, 2012</td>
<td>UNC-CH- AA</td>
<td>fund source: Receipts Supported to: 40623-324 Energy Services Studies</td>
<td>$1,000,000</td>
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<tr>
<td>Pending</td>
<td>Sep 10, 2012</td>
<td>ASU Carole Acquesta</td>
<td>Increase in Authority fund source: Receipts Supported to: 41230-306 College of Education Staging Lot Repairs</td>
<td>$325,000</td>
<td>Sep 10, 2012</td>
<td>Gregory Lovins</td>
<td>Sep 11, 2012 Terrance Feravich</td>
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</tbody>
</table>

Sample “Review Fund Transfer Requests”
Provides information on where a transaction is in the process so that appropriate follow-up action can be taken
Requires proper authority for access, not public information

https://capstat.northcarolina.edu/editor/fundTransferSearchAction.php

9/11/2012
SubProjects

Search SubProjects | Power Search | Add a SubProject

SubProject Power Search

Power Search can search more fields than the regular search including: Project Completions, Project Past Dues, Designer References from other schools, Subproject Title Keyword

Institution: UNC General Administration
Project Fiscal Year: All
Project Code:
Project Item:
Subproject Number:

Subproject Title:
Designer: All
% Complete: > % (you can see only open projects by specifying < 100 %)
Design Select: All Past Due Current
Design Agreement: All Past Due Current
SubProject Budget: All Overbudget Within Budget (ie, Budget - Design Fee - Award Amount - Change Orders)

Format Report for: Printing Screen Display
Report Display: List Milestones
Status: Active

Search

Sample “Power Search” blank, complete parameters to obtain various information
Use query function (Reporting) for broader range of info and to be able to download data to Excel

https://capstat.northcarolina.edu/subProjectSearch.php?searchType=POWER

9/11/2012
Sample Query By Example (QBE) list
Reports developed and saved by an individual, campus, or publicly for everyone are listed and may be used either as is (click on “Run”) or may be edited to suit
Click “Create New Custom Report” to develop a report, selecting the data fields, specifying the order, and identifying any parameters to apply in the selection of data
It is easier to start too broad and then narrow the desired population
Click on “Export to Excel” to export results into a spreadsheet for further work

https://capstat.northcarolina.edu/qbe/loadQbes.php
## Reporting

Custom report result

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<thead>
<tr>
<th>Institution Name</th>
<th>Project Code Item</th>
<th>Project Title</th>
<th>Sub Title</th>
<th>Sub Budget Amount</th>
<th>Designer Name</th>
<th>Design Fee</th>
<th>Design Selected Date</th>
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<tr>
<td>Appalachian State University</td>
<td>41030-306</td>
<td>Beasley Broadcast Studio</td>
<td>Beasley Broadcast Studio Expansion</td>
<td>$3,355,391</td>
<td>WHN Architects, PA</td>
<td>0</td>
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<tr>
<td>Appalachian State University</td>
<td>41130-301</td>
<td>Winkler Residence Hall Renovation</td>
<td>Winkler Residence Hall Renovation College of Education Annex</td>
<td>$14,805,000</td>
<td>Pearce Brinkley Cease and Lee (7/09)</td>
<td>1497168</td>
<td>06/16/2011</td>
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<tr>
<td>Appalachian State University</td>
<td>40772-301</td>
<td>College of Education Building</td>
<td>College of Education Building</td>
<td>$2,320,000</td>
<td>LS3P Associates, Ltd</td>
<td>180000</td>
<td>09/27/2010</td>
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<td>East Carolina University</td>
<td>41136-308</td>
<td>Belk Residence Hall Demolition and Replacement</td>
<td>Belk Residence Hall Demolition and Replacement</td>
<td>$40,000,000</td>
<td>Ratio Architects</td>
<td>259700</td>
<td>02/27/2012</td>
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<tr>
<td>NC A&amp;T University</td>
<td>41037-301</td>
<td>Aggie Stadium Press Box Renovation and Expansion</td>
<td>Olympic Stadium Press Box Addition</td>
<td>$4,580,324</td>
<td>Clark Nexsen (7/09)</td>
<td>347324</td>
<td>07/09/2010</td>
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<tr>
<td>NC State University</td>
<td>41024-312</td>
<td>Lee and Sullivan Residence Halls Room Renovation</td>
<td>Lee &amp; Sullivan Renovation of Dorm Rooms Yarbrough Chiller Plant Capacity Expansion</td>
<td>$2,268,319</td>
<td>Roughton Nickelson DeLuca (7/09)</td>
<td>414334</td>
<td>05/03/2011</td>
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<td>NC State University</td>
<td>40624-315</td>
<td>Chiller and Boiler Capacity Expansion</td>
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<td>$2,138,350</td>
<td>United Engineering Group, Inc. (7/09)</td>
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<td>Centennial Campus Tenant Upfits</td>
<td>Centennial Campus Tenant Upfits</td>
<td>$2,144,641</td>
<td>Jenkins Peer Architects, PA</td>
<td>305056</td>
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<tr>
<td>UNC at Chapel Hill Academic Affairs</td>
<td>41123-304</td>
<td>Research Building at</td>
<td>Research Building at</td>
<td>$6,000,000</td>
<td>Leers</td>
<td>525170</td>
<td>09/21/2011</td>
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https://capstat.northcarolina.edu/qbe/qbeSelectCriteriaAction.php
Data Sources for CAPSTAT Entries

Designer Selection info from Board of Trustees agendas/minutes
Letter Agreements/Purchase Orders for Open-ended designer selections
Design Contracts and Amendments
Design Phase Approval Letters from SCO
Designer’s Notice-to-Proceed Letters
Construction Award Letters
Construction Change Orders
HUB Affidavits
Construction Payment Applications
Work Orders
Purchase Orders
Small payment process documentation
Project Managers