

STATE PUBLIC WORKS BOARD and DEPT. of FINANCE
SUBMITTAL GUIDELINES for State Funded Capital Projects
(Updated January 2008)

The purpose of the following guidelines is to provide information to campus project managers regarding preparation of documentation for submittals of preliminary plans, working drawings, contract awards, and related items to the State Public Works Board (SPWB) or Department of Finance (DOF) for approval, authorization to proceed to the next phase, and/or release of funds.

A project manager typically views a project as the process of bringing together all of the various resources and people required to construct a building on a particular location. The State has a much different perspective, focused on the commitments made in achieving that appropriation, and the confirmation that those commitments and related State requirements have been met in the process of reviewing and approving submittals and the release of public funds. For the project manager, understanding the logic of the State perspective and the constraints it places on the project as a whole can mean the difference between an easy project or a disaster. UCOP State Capital Program staff have the responsibility of facilitating and bridging the gap between these two very different views of a project.

The University and the campuses need the resources from the State on a continuing basis and are dependent on the support of State staff securing and implementing State appropriations. Therefore it stands to reason that we should make every effort to understand the logic of the State funding process and see that State concerns and regulations are addressed in both spirit and in detail in the course of project development and delivery. In this way the University and the campuses can benefit from the continuing maintenance of a positive working relationship with the State.

These guidelines attempt to give a broad non-technical overview of the submittal approval and fund release process and to provide specific operational direction to project managers, making the process as clear and straightforward as possible. However, it is likely that there will be questions as project managers apply these guidelines in their individual projects. Please feel free to call the UCOP Capital Plan Review Coordinator (_____, 510.987.0776) or Plan Review Specialist (Alix Wills, 510.987.0949, email: alix.wills@ucop.edu) when questions first arise so that assistance can be provided in a timely manner.

SUBMITTALS TO THE SPWB

Not all project submittals go to the SPWB. A submittal to State Public Works Board (SPWB) is required for:

- Approval of preliminary plans for all capital projects that have State funds allocated for any phase of a project, unless the budget appropriation provides explicit exemption. Even if State funds are only allocated for a portion of the "C" phase, but not "P" or "W", preliminary plans must still be approved by the SPWB prior to requesting Department of Finance (DOF) approval of the working drawings and release of the construction funds unless explicitly exempt.
- Authorization of agreements required if the State funds are provided through Lease Revenue Bonds. This includes a resolution for the sale of SPWB Lease Revenue Bonds; approval of a Site Lease, Facility Lease, Construction Agreement, and Equipment Lease and Equipment Agreement as applicable; and approval of interim funding for all Revenue Bond funded projects. These authorization requests typically are submitted at the completion of working drawings unless working drawings are also funded with Revenue Bonds. DOF reviews and approves the working drawings concurrent to the action taken above by the SPWB.
- Approval of an Augmentation (based on bids) or a Recognized Anticipated Deficit (anticipated augmentation to a project, prior to bid) which results in a request for added State funds over 10% of the project cost or over \$50,000, whichever is less, up to 20% of the statutory limit, subsequent to notification by 20-day letter of the Joint Legislative Budget Committee. Also note that due to funding limitations augmentation requests are made only on an exception basis.

The SPWB meets on a monthly basis. The campus will submit the required materials to UCOP for review and preparation of the formal submittal. The submittal will be forwarded to DOF for action and their inclusion in the agenda for the SPWB meeting. Each year, in December, State Capital Program Development staff at UCOP prepare and distribute a [SPWB meeting calendar](#) with deadlines for submission to OP relative to each meeting. Because of the lead times associated with these meetings, it is important to carefully consider them in the overall project schedule.

SUBMITTALS TO DOF

A submittal to Department of Finance (DOF) is required for:

- Approval of construction contract bidding documents (working drawings) and authorization to proceed to bid.
- Approval to bid the project in separate packages, whether concurrently or sequentially. This approval is usually requested at the working drawing submission.
- Approval of alternates to be included in the bid package. This is done concurrently with the working drawing submission.
- Approval to award the construction contract and release the construction funds, based on submittal of bid tabulations.
- Approval of an Augmentation (based on bids) or a Recognized Anticipated Deficit (anticipated augmentation to a project, prior to bid) which results in a request for added State funds when under 10% of the project cost or under \$50,000, whichever is less. Note: This authority was delegated to the DOF by the SPWB and is subject to review each year. Due to funding limitations, augmentation requests are made only on an exception basis.
- Approval to combine the bids for projects funded by separate appropriations, requested at the working drawings submission. Note: This was delegated to the DOF by the SPWB and is subject to review each year.
- Approval to bid a non-State funded project with a State funded project, requested at the time of the approval of working drawings.

Submissions to DOF are made by UCOP on a continuing basis. Once the required documents have been received and reviewed by UCOP the submission is forwarded to DOF for action. Depending on DOF workload, approval is usually returned to UCOP within one to two weeks. UCOP staff notifies the project manager and forwards the signed approval form. Transfers of funds follow by separate correspondence.

STREAMLINED PROCESSING

The Budget Act appropriation for a specific project phase of work may include provisions that, based on agreement with the Department of Finance and Legislature, effectively delegate responsibility for review and approval of the documents of that phase to UCOP. These projects are referred to as "streamlined" projects, although it is more accurate to say that the particular phase at issue has been approved for streamlined processing.

The UCOP State Capital Program Office will make every effort to avoid delay to the project in performing this review and release of funds action. This review will be done concurrently with design and agency review when possible.

All submissions from the campus to UCOP for streamlined approval should contain all the same components as a submission to DOF.

Streamlined appropriations also have different deadlines for encumbrance and liquidation of funds. The constraints specific to each appropriation are communicated by the UCOP State Capital Program Office to the campus following the passage of the budget act. It should be noted that streamlined processing typically is authorized by the State on the basis of campus and University commitments for accelerated delivery or other aspects regarded as beneficial to the State. It is important to meet those commitments to support continuance of the program. Quarterly status reports will continue to be made to the State, and a formal detailed report is required each year.

The following pages list the required submittal components for the basic phases of a capital project. A general description of review criteria for each submittal type also is included. For additional detail on how to prepare/complete the various submittal components, please refer to the “[detailed requirements](#)” document.

REQUIRED SUBMITTAL COMPONENTS

PRELIMINARY PLANS

1. Cover Letter, 1 signed original or pdf
2. Request for Approval to Proceed or Encumber Funds, 1 signed original or pdf
(“Standard” – [template, example](#); “Streamlined” – [template, example](#))
3. Capital Outlay Cost, Funding and Schedule Summary, 1 original
([template, example](#))
4. Project Description, dated, 1 copy
5. Preliminary Construction Cost Estimate (100% DD), dated, 1 copy (including summary sheet)
6. Cost Plan Workbook, 1 copy
([template/example](#))
7. Cost Model for Construction Documents (for projects with multiple bid packages only), dated, 1 copy
([template, example](#))
8. Area Reconciliation, dated, 1 copy (for projects including building space)
9. Project Schedule, dated, 1 signed original or pdf
(“Standard” – [template, example](#); “Streamlined” – [template, example](#))
10. Capital Improvement Budget, 1 signed original or pdf
([template, example](#))
11. Preliminary Plans, 1 set
12. Outline Specifications, 1 set

BID PACKAGE (WORKING DRAWINGS)

1. Cover Letter, 1 signed original or pdf
2. Request for Approval to Proceed or Encumber Funds, 1 signed original or pdf
(“Standard” – [template, example](#); “Streamlined” – [template, example](#))
3. Capital Outlay Cost, Funding and Schedule Summary, 1 original
([template, example](#))
4. Project Description, dated, 1 copy
5. Preliminary Construction Cost Estimate (100% CD), dated, 1 copy (including summary sheet)
6. Cost Plan Workbook, 1 copy
([template/example](#))
7. Cost Model for Construction Documents (for projects with multiple bid packages only), dated, 1 copy
([template, example](#))
8. Area Reconciliation, dated, 1 copy (for projects including building space)
9. Project Schedule, dated, 1 signed original or pdf
(“Standard” – [template, example](#); “Streamlined” – [template, example](#))
10. Capital Improvement Budget, 1 signed original or pdf
([template, example](#))
11. Working Drawings, 1 set
12. Final Specifications, 1 set

CONTRACT AWARD

1. Cover Letter, 1 signed original or pdf
2. Request for Approval to Proceed or Encumber Funds, 1 signed original or pdf
(“Standard” – [template, example](#); “Streamlined” – [template, example](#))
3. Capital Outlay Cost, Funding and Schedule Summary, 1 original
([template, example](#))
4. Bid Tabulation, dated, 1 signed original or pdf
([template, example](#))
5. Project Schedule, dated, 1 signed original or pdf
(“Standard” – [template, example](#); “Streamlined” – [template, example](#))
6. Capital Improvement Budget, 1 signed original or pdf
([template, example](#))
7. Drawdown Schedule, 1 copy (needed only at contract award submittal)

SUBMITTAL FORMAT

For Preliminary Plans and for Bid Package, clip items 1 through 10 together in order. Outline specifications should be bound separately. Half size drawings should be submitted if they are legible and easily read. For Contract Award, clip all items together in order.

Identify the project title (as titled in the Regents Budget and the Budget Act) in the head of the cover letter.

Submittal is reviewed at OP and DOF for:

- Conformity to approved scope and cost defined in the approved PPG and the supplemental language of the Budget Act (or approved PPG Amendment).
 - Specific items reviewed include:
 - Approved ASF and OGSF
 - Approved programs and space allocations
 - Approved project amenities
 - Approved cost and its allocation within the budget
- Any variances from the approved scope, cost, funding and schedule should be noted and explained fully in the cover letter.
- Conformity to agreements and policies of the University and State. Ask the question: Is the project clearly the most cost effective design solution that will meet the requirements of the approved PPG?
- Accuracy and Consistency
 - Cost index of estimate (or estimate summary) matches cost index of approved CIB associated with the phase of the project which is being submitted.
 - Consistent asf and ogsf throughout the submittal, i.e. project description, CIB, area reconciliation, cost estimate, cost plan workbook, and drawings.
 - Consistent costs throughout submittal, i.e. cost estimate, cost plan workbook, capital outlay summary, and CIB.
 - Consistent quantities and qualities of materials indicated in the plans, specifications and cost estimate

For additional detail on how to prepare/complete the various submittal components, please refer to the “[detailed requirements](#)” document.