

**GENERAL FUNDS FINANCED (GFF) PROJECTS
SUBMITTAL GUIDELINES
(April 2014)**

The guidelines provide information regarding submittals for approval and ongoing reporting related to General Funds Financed (GFF) projects; those approved under the provisions of Assembly Bill 94. Capital Planning at the University of California Office of the President (UCOP) will review GFF projects at various stages; preliminary plans, working drawings, contract awards, for approval, authorization to proceed to the next phase, and/or release of funds. Capital Planning will also coordinate information for ongoing compliance reporting as required by the State.

GFF is a unique funding strategy resulting from State efforts to support the mission of the University with limited resources. A significant element of this funding mechanism shifts some review and approval responsibilities from the State to UCOP. The University relies heavily on ongoing resources from the State and benefits from maintaining a positive working relationship. Therefore it is important that UC make every effort to address State concerns and regulations in the course of project development, approvals, and delivery.

These guidelines provide a broad overview of the submittals for approval and the fund release process. It is anticipated, however, that there will be questions as campuses apply these guidelines on individual projects. Please feel free to call the UCOP Planner designated for your campus with any questions.

A) SUBMITTALS TO UCOP - CAPITAL PLANNING

UCOP will review and approve materials for the preliminary plans (P), working drawings (W), and contract awards (C) phases, as applicable, on GFF projects. The following pages contain Checklists and detailed explanations for submittals. All documents for review, except project drawings, should be sent via email to mailto:CRM-state_process@ucop.edu. Please contact your Planner to discuss transmission of drawings.

Regardless of the source of preliminary plan (P) funding, a submittal to UCOP is required for approval of preliminary plans for all capital projects that have any funding under GFF for any phase of a project. For example, if funds are allocated only for a portion of the "C" phase, but not "P" or "W", preliminary plans must still be approved by the UCOP prior to requesting approval of the working drawings and release of the construction funds. All augmentations must be with non-state funds. Approval of augmentations and scope changes will be done through the standard process.

TIMING

Submissions are made to UCOP on a continuing basis; anticipated ones should be noted on the Look-Ahead list. Once the complete submittal is received by UCOP, approval usually is communicated to the campus within two weeks. UCOP will make every effort to avoid project delays in performing this review and release of funds action, but may be dependent on work flow. This review can be concurrent with design and agency review.

Projects under this funding mechanism also may have different deadlines for encumbrance and liquidation of funds. Please contact UCOP for details.

B) ONGOING COMPLIANCE REPORTING

GFF projects require specific annual reporting to the State, including an Annual Progress Report: the provisions of GFF require scope, schedule, and funding updates on projects. Additionally, quarterly status reports and private activity reporting will continue to be required as part of UC's accountability obligations to the State. UCOP will request information from the campus on an as-needed basis.

C) POST CONSTRUCTION AND PROJECT CLOSE OUT

Post- Construction CIBs shall be submitted to UCOP within 60 days of the filing of the Notice of Completion. Post-Construction CIBs should display the last approved budget, the post-project budget, and any variances using the standard format available at:

http://www.ucop.edu/capital-planning/files/documents/GFF_cibtemplate.xlsm

Submit CIBs to both: CRM-state_process@ucop.edu and to Trish Dolan at Patricia.Dolan@ucop.edu.

Campuses are also required to comply with other existing University policies, including accounting close-out procedures. Records of those close-out documents should be maintained and be available for review. Please see the following links for accounting related close-out instructions. For the Accounting Manual:

<http://policy.ucop.edu/manuals/accounting-manual.html> and more specific sections 415-3 and 415-71:

<http://policy.ucop.edu/doc/3410286/AM-P415-3> and <http://policy.ucop.edu/doc/3410296/AM-P415-71>.

CHECKLISTS AND SUBMITTAL COMPONENTS

The following pages contain checklists - for your use - for the Preliminary Plans, Working Drawings, and Contract Award phase submittals, along with links to **item-specific detailed guidelines** later in this document and to available **templates**. Please refer to the checklist to see what items are required for each approval phase.

PRELIMINARY PLAN SUBMITTAL CHECKLIST				
		ITEM and/or LINK	REQUIREMENTS (Details below)	DATE SUBMITTED
<input type="checkbox"/>	1	Cover Letter	1 signed original or pdf (details)	
<input type="checkbox"/>	2	Request for Approval to Proceed or Encumber Funds FORM 14D	1 signed original or pdf (details)	
<input type="checkbox"/>	3	Capital Outlay Cost Funding and Schedule Summary	1 original (details)	
<input type="checkbox"/>	4	Project Description - <i>if changed from PPG</i>	1 copy (details)	
<input type="checkbox"/>	5	Preliminary Construction Cost Estimate (100% DD) dated	1 copy (including summary sheet) (details)	
<input type="checkbox"/>	6	Cost Plan Workbook	1 copy (details)	
<input type="checkbox"/>	7	Area Reconciliation	1 copy (for projects including building space) (details)	
<input type="checkbox"/>	8	Project Schedule	1 signed original or pdf (details)	
<input type="checkbox"/>	9	Capital Improvement Budget	1 signed original or pdf (details)	
<input type="checkbox"/>	10	Preliminary Plans	1 set (details)	
<input type="checkbox"/>	11	Outline Specifications	1 set (details)	
<input type="checkbox"/>	12	Drawdown Schedule	1 Copy (details)	

WORKING DRAWING APPROVAL SUBMITTAL CHECKLIST				
		ITEM and/or LINK	REQUIREMENTS (Details below)	DATE SUBMITTED
<input type="checkbox"/>	1	Cover Letter	1 signed original or pdf (details)	
<input type="checkbox"/>	2	Request for Approval to Proceed or Encumber Funds FORM 14D	1 signed original or pdf (details)	
<input type="checkbox"/>	3	Capital Outlay Cost Funding and Schedule Summary	1 original (details)	
<input type="checkbox"/>	4	Project Description - <i>if changed from PPG</i>	1 copy (details)	
<input type="checkbox"/>	5	Construction Cost Estimate (100% CD) dated	1 copy (including summary sheet) (details)	
<input type="checkbox"/>	6	Cost Plan Workbook	1 copy (details)	
<input type="checkbox"/>	7	Cost Model for Construction Documents (for projects with multiple bid packages only)	1 copy (details)	
<input type="checkbox"/>	8	Area Reconciliation dated	1 copy (for projects including building space) (details)	
<input type="checkbox"/>	9	Project Schedule	1 signed original or pdf (details)	
<input type="checkbox"/>	10	Capital Improvement Budget	1 signed original or pdf (details)	
<input type="checkbox"/>	11	Working Drawings	1 set (details)	
<input type="checkbox"/>	12	Final Specifications	1 set (details)	
<input type="checkbox"/>	13	Updated Drawdown Schedule	1 Copy (details)	

CONTRACT AWARD APPROVAL SUBMITTAL CHECKLIST				
		ITEM and/or LINK	REQUIREMENTS (Details below)	DATE SUBMITTED
<input type="checkbox"/>	1	Cover Letter	1 signed original or pdf (details)	
<input type="checkbox"/>	2	Request for Approval to Proceed or Encumber Funds FORM 14D	1 signed original or pdf (details)	
<input type="checkbox"/>	3	Capital Outlay Cost Funding and Schedule Summary	1 original (details)	
<input type="checkbox"/>	4	Bid Tabulation	1 signed original or pdf (details)	
<input type="checkbox"/>	5	Cost Model for Construction Documents (for projects with multiple bid packages only)	1 copy (details)	
<input type="checkbox"/>	6	Project Schedule	1 signed original or pdf (details)	
<input type="checkbox"/>	7	Capital Improvement Budget	1 signed original or pdf (details)	
<input type="checkbox"/>	8	Updated Drawdown Schedule	1 Copy (details)	

SUBMITTAL COMPONENTS

COVER LETTER

Required elements include the following:

- Identify and explain any significant deviations from last approved PPG or submittal with regard to scope, cost, funding or schedule. In addition describe and explain other items that could be controversial that we should be aware of regarding Scope, Siting, Utilities, Programmed Uses, Area Reconciliation, Design, Budget, Contracting Method, etc.
- Explain the reasons for the deviations.
- List items in the cover letter that are being transmitted in the submittal and the date of each document.
- List any work to be bid separately or performed by campus workforce. Include the estimated cost of the work and be sure that these amounts are included in the Summary of the Cost Estimate and the CIB.
- For the working drawing submittal, list any bid alternates to be included with their estimated cost.

Address the letter to your campus planner and send via email to CRM-state_process@ucop.edu :

University of California - Office of the President
1111 Franklin St., 6th Floor
Oakland, CA 94607-5200

REQUEST FOR APPROVAL TO PROCEED OR ENCUMBER FUNDS (14D)

[\(template\)](#)

- Include project CFIS number (i.e. 99.01.155 – Please contact your planner for this number).
- Full project title as it appears in the most recent *Capital Financial Plan(CFP)* (<http://www.ucop.edu/capital-planning/resources/index.html>).
- Date of requested action and date of last action
- Check all items that apply.
- If any changes in cost, funding or schedule are proposed, check the last line of item 5 on form 14D. The corresponding word should be made bold and underlined. Follow this line with a one line description of the change.
- Form should be signed and dated by authorized campus representative.

CAPITAL OUTLAY COST, FUNDING AND SCHEDULE SUMMARY

[\(template\)](#)

- Include project CFIS number (i.e. 99.01.155)
- Full project title as it appears in the *CFP*.
- All information on this form must be consistent with the other documents being submitted; particularly the cost estimate, the CIB, and the schedule.

PROJECT DESCRIPTION

Keep it simple and concise (one-half to one page). Include the following information:

- Full project title as it appears in the CFP.
- Total gross and assignable square footage (Be sure that this is consistent with the CIB, Area Reconciliation and Cost Estimate)
- Departments and/or programs being housed with the associated asf as described in the approved PPG
- Types of spaces as identified in the approved PPG (i.e. classrooms, teaching laboratories, research laboratories, faculty and/or administrative offices, support space)
- A simple and brief physical description of the design solution (Stories, type of construction and proposed materials)
- Location

Suggestions:

- Repeating the PPG justification is not necessary; the project has already been justified and funded.
- Refer to the project's description in the CFP for simplicity in format.
- Discuss any significant changes in scope, budget or schedule with Capital Planning staff to determine if those changes should be addressed in the description.

COST ESTIMATE

Provided by the executive architect/engineer or cost consultant and based upon the plans being submitted. The detailed estimate will be the basis for the required Cost Plan Workbook.

- Identify the CCCI used for the estimate. Make sure the CCCI matches the last approved CIB.
- Both preliminary plans and working drawings estimates should not rely on "lump sum" or "allowance" categorical estimates. Normal detailed takeoffs are expected for estimate items.
- Cost estimate should not display an allowance specifically for design contingency. While it may be prudent to have a design contingency during preliminary plans in normal industry practice, the only identified contingency acceptable to the Legislature is designated in the CIB Line 9 "Contingency" for change orders during construction.
- Construction costs should be escalated for inflation during construction (typically to midpoint), based on the current project schedule.
- Cost estimate should show separate lines for general contractor overhead and profit:
If mechanical and/or electrical consultants are providing their own cost estimate, check for consistency to the items listed above.
- Do not report \$/sf by Specifications Division on the summary of the cost estimate. This information should be included only in the Cost Plan Workbook.
- Review the estimate for items outside of scope or that are ineligible for State funding and make appropriate modifications as needed before sending to OP.
- Include a separate summary sheet for cost estimates of alternates. Estimated costs should be identified in cover letter.

COST PLAN WORKBOOK

[\(template\)](#)

The Cost Plan Workbook is derived in large part from the detailed Cost Estimate. It provides a summary and breakdown of the major component categories, unit costs with and without contractor markups, separate contracts to be bid or performed by the campus, and escalation assumptions. The workbook consists of five sheets:

- UC Component Cost Summary (costs with and without markups)
- Cost Plan Summary (costs with markups)
- Cost Plan Summary for P or W Submittal (costs without markups)
- Cost Conversion to CIB Format (prime contract costs and separate campus-bid or campus-performed contracts as they track to the CIB Lines 0, 1, 2, 4)
- Area and Control Quantities

Suggestions:

- Confirm that the costs, budget year and CCCI Index as indicated are consistent throughout the workbook and with the Cost Estimate, CIB, and Capital Outlay Summary.

COST MODEL FOR CONSTRUCTION FUNDS

[\(template\)](#)

The Cost Model for Construction Funds is required for projects with multiple bid packages. It provides a breakout of estimated pre-bid construction costs and actual construction costs by bid package.

BID TABULATION

[\(template\)](#)

A signed Bid Tabulation form for lump sum, CM/GC or design build projects must be included in the Contract Award submittal. In addition to pricing of base bids and alternates, it should include:

- Full project title as it appears in the Regents' budget)
- Project CFIS number (i.e. 99.01.155).
- Bid opening date
- Duration of bid hold
- Contract award period
- Approved pre-bid estimate

AREA RECONCILIATION

An area reconciliation table is required for projects which involve assignable building space.

- The preliminary plan submittal should include a table that lists the areas (space type, and total asf per space type) of the project as approved in the PPG or latest amended PPG and the area allocations as currently designed and presented in the submittal. Do not use the DPP numbers.
- The working drawing submittal compares the areas of the project as presented in the preliminary plan submittal, or as authorized in subsequent legislation, to the area presented in the current submittal. The reconciliation should indicate a breakdown by category of room

or function (space type) within each major user group/section, using a list of categories and rooms that is consistent with earlier submittals and the PPG.

- Be sure these numbers correspond with the project's description, the CIB, and the cost estimate. Note any deviations from the last approved submittal in the transmittal/cover letter with a complete explanation.

PROJECT SCHEDULE **([template](#) ; [Guidelines](#))**

Update the schedule to reflect current information.

- Date on the schedule should reflect the date of the current submission, even if no other changes are required.
- Schedule is a commitment between the University and the State.
- The format and phases/steps identified in the schedule are as defined in the "Guidelines for Preparation of the Project Schedule."

Do not indicate internal campus processes on the Project Schedule.

CAPITAL IMPROVEMENT BUDGET (CIB) **([template](#), [Guidelines – Overall](#), [Guidelines – C: Costs](#))**

Update last approved CIB to reflect current submittal:

- Funding Schedule
 - All "prefunded" amounts remain at the actual dollar figure as funded (i.e. don't increase to reflect new CCCI/EPI).
 - Current fiscal year request and all future funding requests are calculated at the CCCI/EPI of the current fiscal year as shown on the CIB.
- Construction Costs
 - Construction costs are to be based on the consultant's detailed cost estimate, plus any work bid separately or by campus workforce that has not been included in the consultant's cost estimate. Examples: Separate grading contract, telecommunications, asbestos abatement, air balance, direct purchase, etc.
 - Present these additional costs and their distribution to CIB lines in a Cost Plan Workbook based on the consultant's detailed cost estimate.
 - Round to the nearest thousand dollar.
- Status of Project
 - List current status of project, e.g.:
 - Completion of Preliminary Plans
 - Completion of Working Drawings
 - Award of Construction Contract
- Analytical Data
 - The top line is for the asf per PPG from the latest approved PPG or PPG Amendment, and include the date of that document in parentheses on the left hand side adjacent to ASF/PPG.
 - The second line is for the current submittal's asf. Be sure the asf matches the asf of the project description and the area reconciliation.
 - Under unit costs, the construction cost per asf and gsf is based on Line 1 Building only.

- Even if no other changes to the CIB are required, the date should be revised to reflect that the CIB is based on the cost estimate provided with the submittal.

DRAWING SETS (PRELIMINARY PLANS and WORKING DRAWINGS)

The drawings should fully describe the project and include all disciplines as applicable (Civil, Architectural, Structural, Electrical, Mechanical, Plumbing, Laboratory, Landscape). Design must conform to the scope and budget delineated in the PPG. Room designations should be consistent with the list defined in the PPG and/or preliminary plans. The design presented should be a cost-effective solution.

Preliminary plans are design development level documents and should include all disciplines which are related to the project. Working drawings submittal shall be the final bid document set.

The campuses may discuss with their Capital Planner the best practice for submitting the drawings; depending on the specifics of a project, drawings either in electronic form or in hard copy may be more appropriate. If submitted in electronic form, your OP contact will provide you with instructions for uploading the document(s).

Suggestions:

- Review the documents for elements that have been revised or deleted as part of value engineering and be sure there are no conflicts with the PPG. Otherwise this must be considered and reviewed as a scope change.
- The date indicated on the drawings should be identical to the date of the drawings used to prepare the cost estimate.
- Indicate the submission status in the title block, i.e. preliminary plans or working drawings.
- Review the drawings to ensure that the consultant has not indicated a percentage of completion; plans are to be complete and final for that phase.
- Check for consistency with “Recommendations for Description of State Scope” included below.
- Working Drawings shall have the State Fire Marshal and the Office of the State Architect stamp and signature.

OUTLINE OR FINAL SPECIFICATIONS

The specifications should be consistent with the drawings and cost estimate, covering all aspects of the project. Submittal may be accepted digitally and method of delivery should be discussed with your Campus Planner.

- Include the Instructions to Bidders and the related boiler plate language. This material provides information needed by bond counsel (State) for Revenue Bond funded projects.
- Include all alternates in working drawings submittal.
- Working drawings specifications shall have the State Fire Marshal and Office of Division of the State Architect stamp and signature.

DRAWDOWN SCHEDULE(S)

Please provide a drawdown schedule or updated drawdown schedule, depending on submittal phase.

RECOMMENDATIONS FOR DESCRIPTION OF STATE SCOPE

The State, because of budget limitations, only approves projects and items within projects that are demonstrably cost effective in providing the spaces and support for approved program uses. The following items have, in the past, caused the State to question the appropriateness of allocating State funds for these items. Review all submitted documents for the following items and modify the description or the design as necessary. If the campus wishes to include special items of these types in the construction of the project, it should consider doing so with campus funds.

- Water Features
- Large box trees (over 24" box). The typical tree size approved by the State is 5-gallon.
- Excessive landscape area
- Landscaped pedestrian malls
- Excessive quantity or high cost landscape furnishings or bollards
- High-cost interior or exterior finishes (i.e. wood paneling, decorative metal ceilings, copper roof)
- High-cost applied facade treatments (i.e. premium quality limestone, and other extraneous high cost materials or features applied for aesthetic affect only)
- Unit kitchens or residential kitchen equipment and use of terms such as lounge, kitchen and coffee rooms in State-supportable program space.
- Elaborate skylights and atria
- Free standing canopies/arcades/towers (attached "arcade" should be called "exterior covered walkway")
- Balconies, terraces or roof top planters
- Visiting Scholar or Emeritus offices
- Commons (Use of label "Lobby" or "Interaction Area" ok if the space was programmed as such)
- Trellis (If function can be described as a sunscreen for shading/energy conservation purposes, call it a sunscreen)
- Use of term "extra" for finishes or type of configuration in the cost estimate (just name the finish and \$/sf)
- High-cost hand/guard rails (i.e. glass and/or stainless steel)
- High-cost storefront/window system (i.e. teak, mahogany)
- Use of the terms "custom" or "premium" or "architectural" for fixtures, finishes, or type of configuration in the cost estimate (just name the fixture, finish or configuration followed by the unit cost, the quantity and the total line cost).
- Pedestrian bridges
- Special high cost pavements not required by the function of the program
- Do not include any Group 2&3 Equipment (any equipment that is not physically attached, hardwired, ducted, plumbed, or permanently made a part of the building, e.g., free standing tables)