

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

DETAILED REQUIREMENTS

The following pages provide additional detail on how to prepare/completed the various submittal components. It also important to review the [general overview document](#) that outlines what is required for each phase of a State project. Any questions regarding the forms or the information required on them should be directed to the UCOP Capital Program office.

COVER LETTER

The intent of the cover letter is to assist the UCOP State Capital Program Office in the review of the material and in the preparation of the submittal to the DOF. Relying on UCOP to "discover" changes or potential issues regarding the submittal is not beneficial to the campus objective of a timely and successful State approval action.

- 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 which 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 in the cover letter any bid alternates to be included with their estimated cost.

Address the letter:

Alix Wills, Architect
Plan Review Specialist
State Capital Program Implementation
University of California - Office of the President
1111 Franklin St., 10th Floor
Oakland, CA 94607-5200

cc: Director Larry Aull (without attachments)

REQUEST FOR APPROVAL TO PROCEED OR ENCUMBER FUNDS

("Standard" - [template](#), example; "Streamlined" – [template](#), example)

This required form has been in use by DOF since June of 1998. A modified version is used for "Streamlined" project phases, which reflects UCOP rather than State action.

- Include project CFIS number (i.e. 99.01.155 – found in Fund Transfer Letters, and the Capital Project Database).
- Full project title as it appears in the Regents' budget.
- Date of requested DOF or SPWB 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. 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.
- For "streamlined" project phases use the appropriately modified form which has UCOP approval signature line at the bottom of the form.

CAPITAL OUTLAY COST, FUNDING AND SCHEDULE SUMMARY

([template](#), example)

This form has been required by DOF since June of 1998.

- Include project CFIS number (i.e. 99.01.155 – found in Fund Transfer Letters, and the Capital Project Database).
- Full project title as it appears in the Regents' budget.
- 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 short, simple and concise (one-half to one page). Include the following information:

- Correct project name (as listed in the Regents Budget).
- Total current 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 on campus

Suggestions:

- Do not repeat the PPG justification; the project has already been justified and funded.
- Do not glorify the physical or aesthetic attributes of the design solution.
- Refer to the project's description in the Regents Budget for simplicity in format.
- Discuss any significant changes in scope, budget or schedule with Office of the President 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. If it is different from the CCCI of the CIB which is being submitted, adjust the estimate to the CCCI of the 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 using the 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 "Red Flag Items/Verbiage" 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/example](#))**

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, example](#))**

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

BID TABULATION **([template, example](#))**

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:

- Correct project name (as listed 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. Do not include an additional column indicating the difference between the two columns (PPG vs. Preliminary Plans).
- 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 so that UCOP can effectively explain the deviation if questioned during State review of the submittal.

PROJECT SCHEDULE

("Standard" - [template](#), example; "Streamlined" – [template](#), example; [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 should be realistic as it is a commitment between the University and the State. The start and completion dates for each phase are included in the supplemental language of the State Budget Act in which the appropriation was made.
- The format and phases/steps identified in the schedule are as defined in the Guidelines for Preparation of the Project Schedule.
- Revenue Bond funded projects
 - Allow approximately six weeks for SPWB approval after the completion of working drawings. The Bid and Award period should be approximately three to four months long, depending on the length of the bid, to include enough time to submit the bids and request DOF concurrence to award the construction contract.
 - Include during the Working Drawings and/or Agency Review time periods (prior to DOF/SPWB Review) actions by The Regents, UC General Counsel, DOF and State Treasurer for the Leases (Site and Facility, or Equipment) and Construction (or Equipment) Agreement required for a Revenue Bond-funded project. The campus must submit a Regents Item for the Approval of the Leases and Agreement for the Regents meeting approximately two months prior to when the SPWB action is planned. The campus must also submit to General Counsel, with a cc to Assistant Director Patricia Romero (patricia.romero@ucop.edu), a copy of the Legal Description for the property and a Boundary Survey (legal size format please). The Leases and Agreement must be signed by The Regents prior the SPWB taking action.

Do not indicate internal campus processes on the Project Schedule.

CAPITAL IMPROVEMENT BUDGET (CIB)

([template](#), example, [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, 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 \$1,000
- 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 ogf is based on Line 1 Construction 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)

Plans should be submitted as half-size sheets and should fully describe the project and include all disciplines as applicable (Civil, Architectural, Structural, Electrical, Mechanical, Plumbing, Laboratory, Landscape). Preliminary plans are design development level documents and should include all disciplines which are related to the project.

The working drawings submittal shall be the final bid document set.

- 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.

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.
- The date indicated on the drawings should be identical to the date of the drawings used to prepare the cost estimate.
- Review the landscape drawings for differences in sizes and materials from that indicated in 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 "Red Flag Items/Verbiage" also apply here.
- 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.

- Check for "canned" specifications that include items that are not part of the project.
- Include the Instructions to Bidders and the related Boiler Plate. 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 the State Architect stamp and signature.

RED FLAG ITEMS or VERBIAGE

(Unless specifically identified in the approved PPG to meet program needs)

The State, because of budget limitations, funds only projects and items in 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 costs associated with these items. In some cases these costs have been disallowed and deducted from the project. Review all submitted documents for the following items and modify the description or the design as necessary avoid raising concerns about appropriate use of State funds. If the campus wishes to include special items of the types listed 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)

*University of California Office of the President – Budget Office
State Public Works Board and Department of Finance Submittal Guidelines
Detailed Requirements*

- 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)