

APPENDIX Q: DF14D APPROVAL LETTER

STATE OF CALIFORNIA

ELOY ORTIZ OAKLEY, CHANCELLOR

**CALIFORNIA COMMUNITY COLLEGES
CHANCELLOR'S OFFICE**

1102 Q STREET
SACRAMENTO, CA 95811-6549
(916) 445-8752
<http://www.cccco.edu>



PRELIMINARY PLANS FUNDS APPROPRIATION AND
RELEASE OF PRELIMINARY PLANS FUNDING ONLY

July xx, 201x

First Last Name, Vice President Operations or Director of Facilities

ABC College

Walt Reno Avenue

Rogaski, California 9XXXX

Site: ABC College

Project Name: Fine Arts Complex

CFIS Number: 40.XX.XXX

DOF Project ID: 0001234

Dear Vice President Last Name:

Funds for the above project have been appropriated from the 2016 California Community College Capital Outlay Bond Fund in fiscal year 2017-18 in the amount of \$945,000 for Preliminary Plans.

What We Have Now

Attached is a form DF 14D releasing the preliminary plans funds for district use. Subject to local actions, this authorizes the district to expend funds for preliminary plans only for this project and to submit reimbursement claims for these funds. Please note that any claims for preliminary plans prior to the latest signature date on this DF 14D (July 24, 2017) cannot be reimbursed.

What the District Does Next

Prior to releasing working drawings (construction drawings) funds, **the preliminary plans for this project must be approved by the State Public Works Board (SPWB)**. The approval must be received prior to the end of fiscal year 2017-18 (June 30, 2018). The project's schedule calls for the preliminary plans to be approved no later than June 30, 2018. To help accomplish this and to avoid delay in the funding of future phases, the preliminary plans package should be submitted to the Chancellor's Office no later than **January 15, 2018** (if there are no changes in scope and/or costs) to meet the March or April SPWB meeting, and it must consist of the following:

1. Completed preliminary plans, half-size is preferred (including 2 11" x 17" copies of the site plan, elevation and floor plans) and specifications;
2. JCAF 32 - updated cost summary and project schedule, if necessary;
3. Architect's estimate (cost details, i.e. Quantities and Unit Costs which tie to the JCAF 32);
4. JCAF 31 – Analysis of Building Space Use and WSCH
 - * If there are space changes, contrast FPP to preliminary plans, i.e. a side-by-side comparison with justification for change from FPP.
5. Final CEQA determination stamped by the State Clearinghouse—**all CEQA waiting periods must be completed before the preliminary plans can be approved by the SPWB**. Please note that filing only with the county is not adequate for state funded projects.
6. Design recommendations by IOU/POU called for approval of preliminary plans.
7. District letter requesting the approval of preliminary plans and release of working drawings (sample attached). This letter must certify that the project is:
 - a. Within scope as approved by the Legislature
 - b. Within cost as approved by the Legislature
 - c. The CEQA requirements have been met
 - d. That community college districts are local entities and the State does not have title to their real property, hence districts acknowledge that they have full responsibility for clearing due diligence issues for general obligation bond projects

If the project is not within scope and/or cost, please discuss the changes with the Chancellor's Office in advance of submitting your preliminary plans package, and allow an additional eight to twelve weeks for processing for SPWB approval.

When the preliminary plans have been approved and working drawings funds have been released, we will advise the district via another signed DF 14D that provides for these actions. The district must not commence with working drawings prior to receipt of the signed DF 14D.

The Whole Picture

The DF 14D form documents the official actions taken by the Chancellor's Office and the Department of Finance. These documents are important and copies should be kept with the project file and with your accounting/claims department. Costs incurred for any project phase prior to the latest signature date on the appropriate DF 14D will not be reimbursed. DF 14Ds are required for the following actions:

- encumbrance and release of preliminary plans funds
- approval of preliminary plans
- encumbrance and release of working drawings funds
- authority to proceed to bid and/or rebid
- encumbrance and release of construction funds providing the authority to award bid
- encumbrance and release of Group II equipment funds, once construction is at least 50% complete according to the inspector of record's report
- approval of scope and/or cost changes at any stage (if necessary)
- augmentation/reversion of funds (Chancellor's Office/Department of Finance initiated action)

Quarterly Reports

The State Administrative Manual (SAM) Section 6864 requires each California Community College District with an active capital outlay appropriation to submit a quarterly report. In addition to the SAM requirement for quarterly reporting, the passage of Prop 1D in 2006 and Prop 51 in 2016 carried with them a requirement for more project transparency.

Quarterly reports are due by the 15th of the month following the closure of the fiscal year quarter, i.e. Jan 15, April 15, July 15 and October 15. If quarterly reports are not submitted on time, the district potentially risks: 1) delayed authorization to release additional state funds for a project; and/or 2) suspension of pending or future claims submitted for reimbursement.

Please see FP 10-07 and FP 16-11 for additional guidance and policy. Districts are required to submit quarterly reports on a project until the project has been completely closed out (phase 2 of project close out).

We are here to help

We look forward to a project that is completed under budget, within scope and on schedule. If you have any questions, please contact me at XXXXX@cccco.edu or (916) 123-4567.

Sincerely,

Specialist/PA2
Facilities Planning

cc: First Last Name, Associate Superintendent/Vice President, Administrative Services

PRELIMINARY PLANS PACKAGE SAMPLE LETTER

Chancellor's Office Specialist
California Community Colleges
Chancellor's Office
1102 Q Street, 6th Floor
Sacramento, California 95811

Dear _____:

XXX Community College District is requesting approval of preliminary plans and release of working drawings for the XXX Project at XXX College. Enclosed are the following:

- _____ Preliminary Plans (including 2 11" x 17" copies of the site plan, elevation, and floor plans) and Specifications
- _____ JCAF 32 — Cost Estimate Summary and Anticipated Project Schedule
- _____ Quantities and Unit Costs Supporting the JCAF 32 (architect's cost estimate)
- _____ Final "Notice of Determination" *stamped by the State Clearinghouse*
- _____ Design recommendations by IOU/POU called for approval of preliminary plans
- _____ JCAF 31 — Analysis of Building Space Use and WSCH (space array)

I certify the following:

- The scope and costs of the project are consistent with the project as approved by the Legislature in the 20XX-XX budget;
- CEQA requirements for this project have been met; and
- Community college districts are local entities and the State does not have title to their real property and XXX CCD acknowledges that XXX CCD has full responsibility for clearing due diligence issues for general obligation bond projects.

Authorized Signatory