STANDARD INFORMATION REQUIRED WHEN REQUESTING PWB OR DOF ACTION **6845**
(New 5/98)

PWB and DOF information needs related to capital outlay projects are very similar. Both require an action request called the DF-14D, *Request for Approval to Proceed or Encumber Funds*, as well as standardized project cost and history information. This chapter refers to that common block of information as "standard fiscal reporting requirements." In addition, PWB requires an agenda package made up of a specifically-formatted agenda item, a briefing document, and additional information depending upon the type of proposed board item.

This section describes the standard reporting requirements used by both PWB and DOF, and the PWB agenda package.

Standard fiscal reporting requirements: When submitting a request for an action or approval by either PWB or DOF, the department must provide completed versions of the following standard reporting forms. (Only one set of standard reporting forms is required if submitting a request for multiple actions on the same project.)

1. **DF-14D, Request for Approval to Proceed or Encumber Funds:** The DF-14D, shown in 6845 Illustration 1 of this section, is the official request document which identifies the project and the requested action, and serves as the official, signed certification by the department related to scope, cost and CEQA compliance. For projects managed by DGS, the "Project Manager" signature is the DGS project manager, otherwise it is the department's project manager. The "Department Director or Designee" signature is the department requesting the action (submitting the DF 14D). DOF's signature on the returned DF-14D is evidence of PWB/DOF approval of the request. Any conditions of approval will be noted on the document.

2. **Project Cost, Funding and Schedule Summary:** This summary, shown in 6845 Illustration 2 of this section, is a chronological history of costs, funding and schedules. Each submittal requires a new column with the most recent totals and dates. The cost summary is provided in the same manner as in the project's COBCP. A section is provided to detail construction costs. The funding data includes all approved appropriations and executive orders, changes included in this request, and future funding requirements. "Total funding" must equal "total costs". The schedule reflects the same events as those in the initial budget package. The first column must reflect the project as initially approved. Additional columns reflect the project at the time of the submittal of the requested action.

3. **Project Cost Detail Worksheet:** The department must provide cost information in sufficient detail to communicate and support the request. The level of detail should be consistent with the budget package detail displayed in 6828 Illustration 2. The total costs must tie to the Project Cost, Funding and Schedule Summary, 6845 Illustration 2.

PWB agenda package:

1. **Who submits an agenda package:** The project manager—either DGS or the client department if it is authorized to act as project manager—submits the agenda item. However, if DGS submits the agenda item, the client department is nonetheless responsible for the accuracy of program information and for providing all required supporting documents to DGS in a timely manner.

2. **What comprises the agenda package:**

   a. *An agenda item,* which is the legal action the client department is asking the board to take.

   b. *A briefing document,* which is used as part of the staff analysis for the board agenda. Briefing documents must include all the information described in the following text and in general should fit on one page.

   c. *All pertinent backup material*. Different types of agenda items have different information requirements. See the various sections on site selection and acquisition, preliminary plans, construction, bond items, augmentations, and project scope.

   d. *A draft 20-day notification letter* for items which must be noticed to the Legislature (scope changes and certain augmentations). See Section 6861 for augmentations and Section 6863 for scope changes. Examples of notification letters to the Legislature are available from the DOF Capital Outlay Unit.

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STANDARD INFORMATION REQUIRED WHEN REQUESTING PWB OR DOF ACTION **6845** (Cont. 1)
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3. **Format for agenda items:** Departments must use a specific format for each type of agenda item. Because there are a number of possible board actions, formats are not included in this chapter. Obtain format guidelines from the DOF Capital Outlay unit and use only those guidelines when preparing agenda items for PWB action.

4. **How to submit agenda packages:** For all agenda items and briefing documents, provide both an electronic copy on disk as well as a hard copy. The rest of the agenda package is submitted only in hard copy.

5. **When to submit agenda packages**: See "key monthly time-frames" in Section 6844.

Briefing document for agenda packages: As noted in the preceding text, a board briefing document must accompany each agenda package requesting a board action. This information is used in the staff analysis for the board meeting. Present information in the following format:

1. Project title, matching agenda item.
2. Project authority (all phases).
3. Purpose of project and nature of proposed action:
   a. For preliminary plan approvals:
      (1) Square footage by program use, and
      (2) Number and type of buildings and landscaping etc.
   b. For site selection approvals:
      (1) Estimated dollar amount,
      (2) Acreage, and
      (3) Ultimate purpose.
   c. For reversions, the reason for the reversion and the fund source reverted monies will be returned to (Section 6862 describes types of reversions).
4. Statement of scope and cost:
   a. Identify any legislatively-imposed restrictions on the project;
   b. If the project is within scope and cost, a statement of consistency is adequate;
   c. If the scope has changed, provide a brief description of change, its necessity and the date that the request for JLBC notification was submitted;
   d. If the cost has changed, cite the dollar amount of the change. For increases, also provide the percentage of increase based on the legislatively approved cost for that phase. (Section 6861 provides instructions for computing augmentations.) If the increase exceeds 10 percent, provide the date that the request for JLBC notification was submitted to DOF; and
   e. Identify any previously approved augmentations and the total cumulative costs in both dollars and percentages.
5. Depending upon the type of item, certify that funds are available. If the fund is managed by another department, provide a certification from that department that funds are available. If the appropriation is not project-specific, the department should declare that use of these funds for this project is consistent with the department's expenditure plan for the appropriation. Fund certification is not required for funds managed by DOF (e.g., the General Fund, Public Resources Account, etc.).
6. For construction projects, departmental certification per Section 6850 that CEQA requirements have been met.

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STANDARD INFORMATION REQUIRED WHEN REQUESTING PWB OR DOF ACTION **6845** (Cont. 2)
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7. For site selections and acquisitions, departmental certification per Section 6849 that:
   a. CEQA has been complied with, including date final review period will be completed. (Provide a copy of the dated State Clearinghouse document.)
   b. Implied dedication has been considered in the property value.
   c. If necessary, a relocation study has been prepared and adequate funds are available for relocation costs.
8. Project identification code (Section 6839).
9. Summary of the construction/implementation schedule.
10. Identify and discuss any other risks, concerns, controversy or other information that the board may need to make a fully informed decision.

Examples of briefing documents are available from the DOF Capital Outlay unit.

Page 6845 ILLUSTRATION 1

REQUEST FOR APPROVAL TO PROCEED OR ENCUMBER FUNDS

The Department of _____ hereby requests PWB / DOF action related to the following project:

1. Project ID: _____ Project Title: _____

2. Requested PWB/DOF Action Date: _____ Date of last approval: _____

3. Requested Action: (all reporting requirements related to this request as defined in SAM, are attached)
   ____ Site Acquisition - Section 6848 (an agenda package has been submitted to DGS)
   ____ Approve Preliminary Plans - Section 6851
   ____ Approve Working Drawings - Section 6852
   ____ Approve Proceed to Bid - Section 6852
   ____ Approve Construction Contract Award - Section 6853
   ____ Request for Augmentation / Reversion - Section 6861, 6862
   ____ Approve Scope Change - Section 6863
   ____ Other, Specify:_____

4. Project Completion Reporting: (reporting requirements as defined in Section 6856 are attached)
   ____ Project Occupancy
   ____ Project Completion
   ____ Project Close-out

5. Project Certifications:
   CEQA Compliance: (reporting requirements as defined in Section 6850 are attached)
   ____ This project meets CEQA compliance requirements.
   ____ The action requested does not invalidate the CEQA compliance.
   ____ The action requested mandated a review of the CEQA compliance.
   Scope Changes: (reporting requirements as defined in Section 6863 are attached)
   ____ Project scope has not changed from that as defined in the previous reporting.
   ____ A change in project scope is necessary in order to proceed with the project.
   Costs/Funding/Schedule Changes: (reporting requirements as defined in Section 6861 are attached)
   ____ Costs, funding, and schedules have not changed from that as defined in the previous reporting.
   ____ Changes in cost, funding and/or schedules are necessary in order to proceed with the project.

I hereby certify that the preceding text is accurate and that the necessary reporting requirements as defined in SAM are included with this request.

_____ _____

Project Manager Department Director/Designee

Date: _____ Date: _____

RESULTING ACTION

____ The following action(s) are approved. Authority is granted to proceed when funding authority permits.
____ The following must be addressed prior to granting approval of all actions: _____

_____

_____

_____ Date: _____

Department of Finance DF 14D (rev 12/97)

Capital Outlay Cost, Funding and Schedule Summary

Organization Code: _____ **Department:** _____
Project ID Code: _____ **Project Title:** _____

This form provides a chronological history of the project. The initial column reflects the detail related to implementing the Budget Act or authorizing legislation. Subsequent columns reflect all reportable project phases listed in the schedule section below plus additional reporting for mid-phase scope/funding changes.

Requested Action:

	_____	_____	_____	_____	_____	_____
PWB/DOF Action Date:	_____	_____	_____	_____	_____	_____

COSTS - Display new totals for each category.

Study						
Acquisition						
Preliminary Plans						
Working Drawings						
Total Construction						
Equipment Phase (Group 2)						
Other						
Total Costs		-	-	-	-	-

Construction Detail - Must tie to total construction costs above.

Contract						
Contingency						
A&E Costs						
Group 2 Equipment						
Agency Retained						
Total Construction		-	-	-	-	-

FUNDING DATA - Include all funding provided. For reversions and augmentations indicate EO number.

Chapter / Item			Must tie to Total Costs, above			
97-3680-301-0516						
_____						
_____						
_____						
Change Requested						
Future Funding						
Total Funding		-	-	-	-	-

SCHEDULE - Include all project dates (MM/DD/YYYY).

Study Completion						
Acquisition Completion						
Start Preliminary Plans						
Preliminary Plan Approval						
Approval to Proceed to Bid						
Contract Award Approval						
Project Completion						