AB 203 REPORT

The Feasibility of Using a Common Application or Application Software for the Public School Construction Programs Administered by the California Departments of Education and General Services

SUMMARY OF CONTENTS

Chapter 837, Statutes of 2017 (Assembly Bill 203-O'Donnell) created California *Education Code (EC)* Section 17254, which requires the California Department of Education (CDE) and the California Department of General Services' (DGS) Division of the State Architect (DSA) and the Office of Public School Construction (OPSC) to report on:

(1) *The feasibility of using one application, or using a common application number, for all three entities.*

(2) *If those entities determine that both of the actions described in paragraph (1) are not feasible, how to otherwise reduce duplicative information being required of their applicants.*

(3) *The feasibility of using common software for the submission of multiple applications and architectural plans.*

This report is a collaborative product by the three individual agencies involved to respond to these requirements and provide background on these respective programs.

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EXECUTIVE SUMMARY

Introduction

AB 203 expresses the Legislature's intent to identify ways to streamline the school construction process and for the three primary state agencies involved in the School Facility Program (SFP) to work together to restructure the funding application process to remove duplicative information submittals presently required of applicants. Based on the February 2017 Assembly Education Committee informational hearing on streamlining school construction and school facilities funding, the author of AB 203 states that "the hearing highlighted several common themes. Speakers talked about the need to provide technical assistance to small school districts, and expressed frustration over how long it takes to receive state agency approvals and the amount of duplicative information required by each agency."

As further stated in the September 2017 Assembly Education Committee Analysis of the bill, "school districts have long complained of a lack of coordination between the major state agencies involved in school construction and funding. Each requires a separate application that requests similar information to be provided."

One approach proposed by stakeholders to resolve these concerns is to implement the use of a single application and/or a single application number across all three state agencies. This report examines potential solutions such as this, and discusses current efforts state agencies are making to streamline application processes.

In preparing this report, CDE, DSA, and OPSC reviewed the work that began in 2010, when a Program Review Expert Workgroup was formed to identify short-term, intermediate, and long-term improvements throughout the school design and construction process. The workgroup consisted of state agencies, local educational agencies (LEA), and other school construction experts.

Roles of the Three State Agencies

To access state bond funds from the SFP, California LEAs must undertake a multi-step process that involves the following entities:

1. **CDE**: Reviews projects for safety and educational appropriateness;

2. **DSA**: Consults for most projects to ensure structural safety, fire and life safety, and access compliance; and,

3. **OPSC**: Processes the grant application for the SFP and generally requires a prior approval from CDE and DSA before an LEA can apply for the SFP.

Note: DSA and OPSC are entities that operate within the DGS. OPSC supports the day-to-day operations for the State Allocation Board (SAB). The SFP is administered by the SAB.

The Feasibility of One Application and/or Common Application Number

The use of a single application is feasible, but not practical. The school construction process at the local level is multi-faceted and none of, some of, or all three state agencies may be involved in the LEA's projects. State-agency involvement is dependent upon the LEA's needs. Examples of the varying ways state agencies may or may not become involved include:

- CDE must receive an application if state funding is sought; however, LEAs have the option to submit any or all plans for review.
- DSA must receive an application for all school construction projects unless an LEA meets certain exemptions in statute.
- OPSC only receives applications if the LEA is seeking state funding.

A single application number, on the other hand, is feasible if it is administered at the local level. The three agencies collaborated on developing a common tracking number, which is refered to as the Project Tracking Number (PTN), and OPSC implemented the Project Tracking Number Generator Web page to allow LEAs to create a PTN common tracking number system to track their construction projects. The use of a single PTN across all agencies is feasible, but is dependent on LEAs defining the scope of the project early in the process.

Reduction of Duplicative Information

Among the three agencies, there are 84 pages spanning 16 forms that contain instructions relevant to each agency's approval process. A single, combined application with every question based on a statutory or regulatory requirement could be created. However, the usefulness of such an application is debatable, since any of the state agencies may serve as the first point of entry into the state review process and the lack of a 1:1:1 relationship between projects submitted to each of the agencies negates the ability of a single, combined application to capture all project information. As discussed further in this report, the information gathered from each agency is largely specific to each agency's statutory and regulatory requirements and is project-specific; there is very little duplicative information outside of the submitting LEAs' identifying information.

In a concerted effort to promote cross-agency collaboration, CDE initiated meetings with DSA and OPSC in 2017 to discuss topics such as using common technology and targeting assistance to small school districts. While the three agencies agreed to jointly host small school district workshops, which have been very well attended, at that time there was no decision to pursue common technology. Since then, DSA and OPSC, under the leadership of DGS, have been working on developing and implementing an independent automated forms submission system. Once operational, this system will eliminate the need for applicants to provide duplicative information requested by DSA and OPSC. The CDE is also in the planning stages of a new technology project that will

improve processing and reduce data redundancies. However, even though these efforts will reduce some time for applicants and improve data reliability, the majority of application information remains specific to each respective agency.

Feasibility of Using Common Software

As noted earlier in this report, the creation of a common software system for the submission of applications and architectural plans is achievable. However, the procurement, development, and maintenance of a complex system would result in costly changes for the state and are unlikely to save significant time or effort for applicants.

Assistance for Small Districts

In addition to the potential collaborative changes, newly implemented strategies to assist small school districts with technical assistance relating to school construction and the funding of school facilities have proven feasible and expanded implementation is underway. Twenty-three joint agency workshops featuring OPSC, DSA, and CDE have been held around the state, with emphasis on regions that have many small districts. These workshops have reached 2,000 LEA staff members, design and construction professionals, and specialists involved with the school construction process, and additional workshops will be scheduled.

Conclusion

Based on feedback from LEAs and other users, clients are interested in being able to track their projects at every step of the approval and funding process. The school construction process at the local level is multi-faceted and none of, some of, or all three state agencies may be involved in the LEA’s projects to varying degrees. State-agency involvement is dependent on the LEA’s needs.

While the creation of a combined, technology-based application linking required information across all three state agencies is technically feasible, it would require significant state effort and investment to achieve. However, the use of a combined application number is feasible through the use of the existing Project Tracking Number. If LEAs define their projects early, have minimal scope changes, and track locally, the use of the existing Project Tracking Number system could meet LEA needs for application tracking purposes.

Each agency is making continued efforts to streamline internal processes, better collaborate with one another, and work with LEAs directly. This is a more feasible approach, allowing the agencies to align resources more specifically with the needs of LEAs. This process, which has been emphasized since 2010, has resulted in numerous success stories and demonstrates the level of commitment that each agency has invested in collaboration with the LEAs. These efforts have markedly improved over the

past two years, as evidenced by the increased collaborative outreach between the three agencies.

I. BACKGROUND

State School Facility Program

Senate Bill 50 (Greene) was chaptered into law on August 27, 1998, establishing the SFP. The SFP continues to evolve through legislative and regulatory changes. AB 16 (2002) included funding for charter school facilities, critically overcrowded schools, and joint-use projects. The passage of Proposition 55 in March 2004 provided additional funding for the construction and renovation of K–12 school facilities and higher education facilities, as well as funding to assist LEAs in alleviating overcrowding. AB 127 was signed into law in May 2006 and was approved by the voters in November 2006 as Proposition 1D. In addition to providing funding for LEAs to repair and modernize older facilities, accommodate future enrollment growth, and for the charter school program, new programs were established under the SFP. These programs relieve overcrowding; improve seismic safety of facilities; build, modernize, and equip Career Technical Education (CTE) facilities; and add high-performance attributes to new and existing facilities. Most recently, California voters passed Proposition 51 in November 2016, which was the result of a voter initiative and provides additional funding to continue the New Construction, Modernization, Career Technical Education Facilities Program (CTEFP), and Charter School Facilities programs.

The two major funding types are “new construction” and “modernization.” The new construction grant provides funding on a 50/50 state and local match basis. The modernization grant provides funding on a 60/40 state and local match basis. SFP funding is provided in the form of per-pupil grants, with supplemental grants for site development, site acquisition, and other project-specific costs when an application meets the eligibility requirements. In most cases, the application can be processed and presented for SAB approval to obtain funding, regardless of project size. In earlier programs, the total grants for a project were given in multiple phases or increments.

The SFP provides independence and flexibility to LEAs to determine the scope of new construction or modernization projects. In return, the SFP requires the LEA to accept more responsibility for the outcome of the project. All state grants are considered to be a full and final apportionment by the SAB. For the most part, cost overruns, legal disputes, and other unanticipated costs are the responsibility of the LEA.

In most cases, savings resulting from the LEA’s efficient management of some projects (with the exception of CTE, charter schools, and financial hardship) accrue to the LEA alone. Savings and interest may be used by the LEA for any other capital outlay project in the LEA.

To assure the State that LEAs are providing educationally appropriate and safe facilities to students, California *EC* Section 17070.50 requires that LEAs obtain CDE approval of their project's plans prior to submitting a funding application to the OPSC to ensure that the plans are educationally appropriate and safe, as defined by *California Code of Regulations* (*CCR*), Title 5, sections 14030, 14031, and 14033.

Plan approval by DSA is required prior to construction of virtually all public school construction projects. *EC* Section 17072.30 requires that LEAs obtain DSA approval of their project's plans and specifications prior to submitting a funding application to the OPSC. The DSA approval ensures that the plans and specifications are in compliance with California's requirements for structural safety, fire and life safety, and accessibility.

II. STATE AGENCY ROLES IN SCHOOL FACILITY PROGRAM APPROVAL PROCESS

California Department of Education

CDE approves new school sites as well as school construction and modernization projects funded in full or in part by state bond funds. LEAs seeking SFP funding must have CDE approval. The standards used by CDE for approval are in *CCR*, Title 5, Section 14001 et seq. LEAs using only local funding may obtain CDE approval, though it is not required. However, LEAs must obtain CDE approval for state funds. Even if CDE approval is not sought, the district's board must still find that all statutory and Title 5 regulatory requirements have been met.

Division of the State Architect

DSA provides design and construction oversight for California's K-12 schools and community colleges. DSA reviews plans for structural safety, access compliance, and fire and life safety approval.

Public school construction in California is governed by *EC* Section 17280, known as the Field Act, which was a result of legislation following the devastating 1933 Long Beach earthquake. Since the enactment of the Field Act and DSA's required review of project plans and construction oversight, there has never been a loss of life, serious injury, or major structural failure at a California K-12 public school or community college due to a seismic event.

DSA further develops and enforces public school construction standards in Title 24 of the *California Building Code*, and also adopts specific policies and procedures to ensure the safety of public school construction.

Office of Public School Construction

Funding applications under the SFP are processed by OPSC as staff to the SAB. OPSC reviews and determines eligibility for state grants, checks substantial compliance, performs compliance reviews of the project closeout, processes fund releases and Grant Agreements, and performs related administrative responsibilities. OPSC manages multiple programs, including New Construction, Modernization, Charter School Facilities, Career Technical Education Facilities, Facility Hardship, Financial Hardship, Seismic Mitigation, and others.

Other State Agencies

This report is focused on the interactions of the three primary agencies, but it is instructive to also provide a brief summary of some of the other agencies that may be involved in a project to better understand the context of the processes occurring prior to the submission of a SFP application.

- Department of Toxic Substances Control: Required by the *EC* to evaluate proposed school sites, and large new construction projects, and may require cleanup or remediation if potentially toxic substances are suspected or identified.
- State Water Resources Control Board: Sets standards for landscape irrigation use and management of stormwater runoff.
- California Geologic Survey: Determines whether potential school sites or construction of new school buildings will occur on an earthquake fault or within a seismic hazard zone or an area with known soil conditions, such as liquefaction or expansive potential.
- California Department of Transportation, Division of Aeronautics: Required to perform a safety assessment of any proposed school site or property expansion to an existing school site that is within two nautical miles of an airport runway.
- California Coastal Commission: Ensures that school projects in the Coastal Zone comply with the state Coastal Act or an approved Local Coastal Plan.
- Department of Industrial Relations: Monitors and enforces prevailing wage requirements on public works projects that receive state bond funding.
- Various other state agencies may also have roles in specific issues, depending on the project.

III. FEASIBILITY OF STREAMLINING STATE SCHOOL FACILITY PROCESS

i. FEASIBILITY OF ONE APPLICATION AND/OR COMMON APPLICATION NUMBER

Issue

Based on feedback from LEAs and other users, the agencies understand that the desire for a single application number is due to clients being interested in the ability to track their projects at every step of the State's approval and funding process.

However, many school facility projects are done in phases or with multiple funding sources, which require multiple applications. The use of one application and a common application number is feasible, but often not practical. The school construction process at the local level is multi-faceted and the three state agencies may be involved to varying degrees in a LEA's project(s). State-agency involvement is dependent on the LEA's needs. Examples of the various ways state agencies may or may not become involved include:

- OPSC only receives applications if the LEA is seeking state funding.
- CDE must review an application if state funding is sought; however, LEAs have the option to submit any or all plans for review.
- DSA reviews all projects irrespective of funding except for defined exempt projects.

Considerations – Single Application Number

A common application number could increase accountability by more consistently identifying projects. Additionally, a common number could provide a more complete record of all school facility projects by also tracking projects withdrawn during review, projects exempt from one or more review steps, and temporary projects that require approval.

1. In preparation of this report, CDE, DSA, and OPSC reviewed the work started in 2010 when a Program Review Expert Workgroup was formed to identify short term, intermediate, and long-term improvements throughout the school design and construction process. The workgroup consisted of state agencies, LEAs, and other school construction experts. LEA representation included small, medium, and large school districts; northern, central, and southern California school districts; and suburban, rural, and urban school districts, as well as charters and county offices of education. The workgroup was unable to determine a methodology for creating a common application number at the state agency level; however, a proposed solution

was the suggestion of a requirement that LEAs use the existing Project Tracking Number (PTN) on all applications.

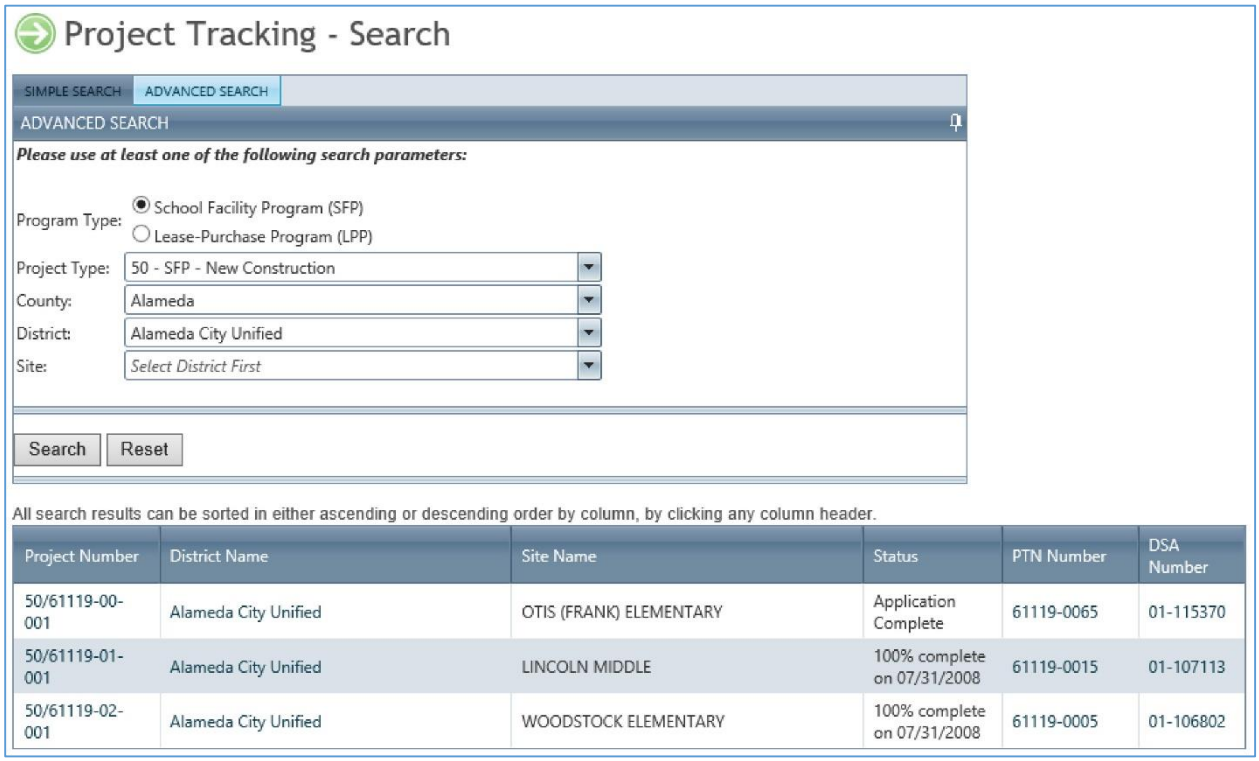
See Attachment A for a copy of the workgroup's report and the DGS/CDE Memorandum of Understanding (MOU) to address the review of projects for the SFP.

2. It was determined that expanded use of the existing PTN system developed by the three agencies could be beneficial to LEAs and serve as a common number. The PTN is a five-digit district code followed by a sequential number that can be established as soon as a school construction project concept is initiated. If LEAs used the PTN to define their project, the three state agencies can tie state agency application numbers to the PTN. Used as designed, the PTN can serve as a tracking tool. It should be noted, that the PTN may not be beneficial to all LEAs because an LEA may choose to combine PTNs in various scenarios illustrated on Attachment B. Staff turnover, the passage of time between submittals of applications to the agencies, and any changes to the project at the local level may limit the integrity and value of the PTN.

   In 2014, OPSC updated their online Project Tracking System to link a single PTN, a single OPSC Application Number, and a single DSA Number. In a 1:1:1 (OPSC:CDE:DSA) relationship, the PTN works. However, the ability to track based on the PTN is lost when multiple sets of DSA plans are combined or multiple OPSC funding sources are used, as illustrated on Attachment B.

   The graphic below (Figure 1) contains two screenshots of the PTN Project Tracking system search function and resulting output.

Figure 1



Link to Accessible Version of Figure 1

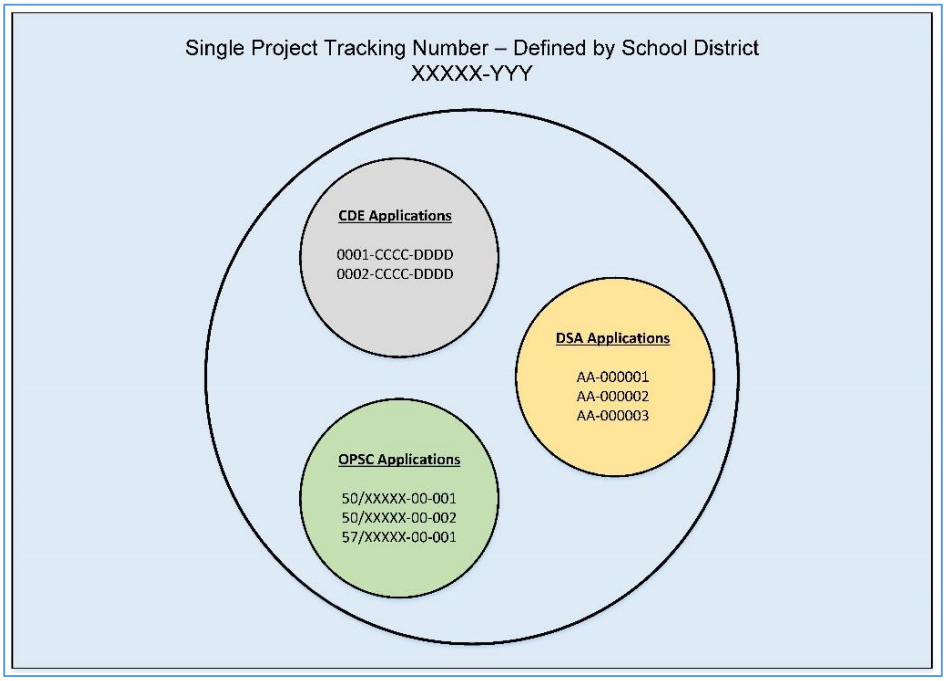
3. Tracking of projects varies depending upon the LEA's goal. Submittal and tracking an application must account for participation by some, none, or all of the state agencies. Use of the PTN as a tracking number is dependent on the LEA that sets the goals and determines the definition of a "project".
    a. CDE must review an application if state funding is sought; however, LEAs have the option to submit any or all plans for review.
    b. DSA reviews all projects irrespective of funding except for defined exempt projects.
    c. OPSC only reviews submitted projects seeking state bond funding.

4. Some projects change during design. A set of plans reviewed by DSA may become three funding applications to OPSC (e.g., seismic, modernization, new construction). Conversely, two plan approvals may be combined into one funding application to OPSC. Reasons may involve eligibility, specific requirements for a particular funding source, or the need to coordinate similar work in different areas of one campus.

5. For LEAs that desire to track a locally defined project as it moves throughout the three agencies, the use of a single PTN can serve as the single tracking number for the LEA. OPSC is currently building an online platform that will track multiple PTNs and multiple DSA application numbers for a single funding application. This would allow LEAs to link projects at the state level when they are using multiple PTNs at the local level. OPSC could then reprogram the existing PTN tracker to display multiple PTNs.

The following graphic (Figure 2) illustrates the use of a single PTN at the LEA level to track the potential multiple application numbers at each agency.

Figure 2



Link to Accessible Version of Figure 2

Considerations – Single Application

Amongst the three agencies, there are 16 applications (84 total pages) of regularly used forms that contain instructions as well as requests for information (Attachment C). A single, combined application, with every question based on a statutory or regulatory requirement could be created; however, on average, many applications would not require many sections of an all-inclusive single application. Any of the state agencies may serve as the first point of entry into the state review process, and the lack of a 1:1:1 relationship of projects submitted to each of the agencies makes a single, combined application inefficient under most circumstances.

1. Each agency seeks different information to fulfill different accountability requirements. Requirements are based on multiple statutory sections, regulations, and policies, in addition to requirements of specific bond measures.

2. CDE provides preliminary and final plan approvals, and contingent and final site approvals, at different stages of a project. Therefore, the application forms needed for approval vary depending on the phase. Likewise, LEAs may apply to OPSC for funding in phases; an LEA seeking design funding will not have construction contract and DSA-approval dates. Each agency's form is designed to capture only information relevant to the approval needed.

3. DGS is currently developing an online form submittal and application process that will incorporate shared applicant data elements from DSA and OPSC.

Implementation of these process advancements will result in the elimination of some duplicative data. This will generate minor time savings for applicants, as well as ensure the validity and reliability of the information supplied. This system assumes a 1:1:1 relationship (Scenario 4 on Attachment C) between CDE, DSA, and OPSC approvals and does not account for the scenarios illustrated on Attachment A. CDE is in the planning stages of a new system, which ideally could share information with the DGS system in the future. Each system can include the opportunity for an LEA to assign a unique, locally defined tracking number if the PTN is not used.

4. CDE project approval is provided via a hard copy paper letter sent directly to the applicant. The letter contains information such as project scope, PTN, and the recommended site acres needed to complete OPSC forms. CDE also posts the OPSC required information on the CDE Web page allowing direct access by an LEA and OPSC.

5. Some required information is not formally filed with any of these agencies; however, it may be tracked by a different state agency. One example is California Environmental Quality Act (CEQA) compliance certified to CDE by the applicant while the actual CEQA documents are reported to the Office of Planning and Research. DSA and OPSC do not need this information to process an application within the agencies.

6. A complete application is actually a "bundle" of multiple, specialized application forms that are submitted in steps. These steps are completed either in order or in parallel. Notwithstanding every effort to streamline forms and the process, these processes/forms need to be independent as a complete application that will undergo separate funding appropriations, audits, and/or future approvals.

7. Since the inception of the SFP, DSA has approved over 54,000 sets of plans, whereas OPSC has processed nearly 11,600 funding requests. However, this represents only 21 percent of all plan approvals by DSA. OPSC and DSA’s databases were not designed to account for the scenarios in Attachment B.

However, opportunites do exist among the agencies to reduce the duplication of information requested on these forms. For example, it is reasonable to conclude that completing all 84 pages of application documents is unnecessary when an LEA is *not* seeking state funding.

Conclusion

A single application number could be feasible, but the complexity of the number needed to account for all local level scenarios would diminish its value. As Attachment B illustrates, potential submittal scenarios to the state agencies highlights the complexities of application submittals by LEAs depending on desired outcomes.

A common application form used by the three agencies is technologically possible; however, it is not practical as a single, common application form, and may not provide reduced processsing time or achieve cost savings to applicants after incurring significant state costs and commitment of time. The only information that seems to be duplicated between different agency forms is the basic LEA identification information. The remaining information requested on the respective application forms relates to each agency's specific approval requirements.

A consolidated application form would allow basic information to be shared by all agencies. However, each agency's approval process involves a review of different information or criteria. Rather than a single application, it may be possible in the future for application submittal systems to include a function where repeated data fields, such as LEA name, county, project name, acreage, and various other data, could be automatically populated on forms.

While consolidation of the specific application forms is currently problematic, requirements to submit basic duplicative information to DSA and OPSC will soon be eliminated once the automated forms and application systems are developed and implemented.

CDE, DSA, and OPSC recommend that the existing tracking mechanism—the PTN—be used for stakeholders' project tracking purposes. This will allow LEAs maximum flexibility in using the PTN, defining the related scope, and using the PTN in linking local data. OPSC, DSA, and CDE have proactively advocated the PTN as a potential tracking solution to LEAs and will continue to do so through various communication channels, including agency Web sites, as well as stakeholder engagement and outreach.

ii. REDUCTION OF DUPLICATIVE INFORMATION

Issue

Construction of California public schools involves a complex, multi-faceted process driven by LEAs' needs and decisions. The complexity of the process is in part due to the fact that numerous state entities are involved in reviewing and approving school construction projects. Some LEAs believe there is a disconnect at the state level resulting in LEAs submitting the same information to multiple agencies.

Analysis

Any of the state agencies may serve as the first point of entry into the state review process. A single, combined application, with every question required by each agencies' statutory or regulatory mandate could be created; however, the usefulness of this application is not apparent. The information gathered from each agency is specific to each agency's statutory and regulatory requirements.

Repeated data fields across all three agencies are limited to:

- District Name
- County
- School Name
- District Contact Information

Additional overlap of information may include:

- Site Acreage
- Classroom Counts
- School/Project Address
- Pupils Served
- CTE Industry Sector

See Attachment F for a list of forms used by each agency.

The SFP process is non-linear and applicants may enter the system at multiple points, thus limiting the practicality of a single application and number being used by state agencies to track projects. However, the state agencies are working on streamlining efforts for reducing duplicative data entry, as evidenced by the following:

1. OPSC established an electronic filing system for funding related to the CTEFP as part of a recent filing round that was introduced in February 2018. Of the 187 applicants, 67 of those applicants filed electronically for CTEFP. With improved security protocols, application submittals were based on user IDs. This eliminated the need for users to enter the LEA name, school name, county, and authorized user contact information. These security protocols will allow OPSC and DSA to leverage

the login information to link their own submittals in the future by using an online portal with a singular login.

2. CDE is in the planning stages of a new tracking and data management system which will allow DGS to access needed project information. Currently, as mentioned above, CDE posts the relevant information needed to complete the OPSC forms on the CDE Web page.

Conclusion

A common application form used by the three agencies is technologically possible; however, it is not practical as a single common form and may not provide material time or cost savings to applicants after incurring significant state costs and commitment of time. The only information that seems to be duplicated between different agency forms is the basic LEA identification information.

Though DSA and OPSC will soon implement automated submittal systems that eliminate the need to submit duplicative basic information, the remaining information requested on the respective application forms relates to each agency's specific approval requirements.

A consolidated application form would allow basic information to be shared by all agencies. However, each agency's approval process reviews different information. Rather than a single application, it may be possible in the future for application submittal systems to include a function where repeated data fields, such as district name, county, project name, acres, and various other data, could be automatically populated on forms.

iii. FEASIBILITY OF USING A COMMON SOFTWARE FOR THE SUBMISSION OF MULTIPLE APPLICATIONS

Issue

As previously discussed, construction of California public schools involves a complex, multi-faceted process driven by LEAs' needs and decisions. The complexity of the process is in part due to the fact that numerous state entities are involved in reviewing and approving school construction projects. Some LEAs believe there is a disconnect at the state level resulting in LEAs submitting the same information to multiple agencies and seek relief from each agency's application process. The use of technology is a potential solution to this issue.

Analysis

The creation of a common software system for submission of applications and architectural plans is feasible. However, the procurement, development, and maintenance of a complex system would result in costly changes for the state and are unlikely to save significant time or effort for applicants. State technology acquisition procedures and necessary planning make implementation of a new joint agency system challenging.

DSA and CDE both use online cloud storage for the submittal and review of documents. DSABox and CDEBox are portals for submitting applications, but do not have the functionality to capture the submitted information in a data management system that is necessary for a common platform. Further discussions are ongoing for how to create a shared platform between the three agencies.

Considerations

1. It must be noted that significant time and cost is involved with new software systems. DSA has 12 staff members who assist with the management and operation of DSABox system. While it is possible for staffing efficiencies to be gained as a result of a common software system between OPSC, DSA, and CDE, it may be impractical. CDE has extensively explored the possibility of upgrading its software systems to allow for joint collaboration with both DSA and OPSC. In addition to plan reviews for the SFP, CDE has numerous other functions. Therefore, software used by DGS may not have the same functionality as needed by CDE.

2. As discussed earlier, projects may be repackaged to meet eligibility or funding requirements. A set of plans approved by DSA may become three separate funding applications to OPSC. Rather than create a common software application, each agency has implemented several technology solutions to improve the review and approval process, as well as the archival responsibility for the documents submitted, and is working to streamline processes in connection with the other agencies as described below:

a. Since 2012, DSA has automated several other significant processes that have improved reliability and created client efficiencies, including:
    i. Use of electronic tablets in the field to immediately access plan information and the ability to make necessary changes instantaneously.
    ii. Use of a cloud-based system, DSABox, to electronically share documents and information on projects with clients. This system has provided immediate access to necessary project documents and has prevented the potential loss or misplacement of required documents and forms.
    iii. The availability via DSA's Web site on project status through the E-Tracker system; metrics on time spent in each phase of plan review; the certification status of public school buildings in the state; and a mechanism to review project inspector performance.

    In 2018, DSA will also fully implement electronic plan review, which will greatly assist clients with the submission of plans to DSA for review and create an opportunity for electronic plan sharing with OPSC and CDE. Additionally, DSA is currently working on significant improvements to the E-Tracker system and expects to implement a new system called I-Tracker in 2019.

b. Concurrently, OPSC is developing an online project application processing and approval system. In February 2018, OPSC deployed the first phase of its online application system for the SFP. Initially, LEAs were able to submit applications for funding for the CTEFP. Additionally, online security was significantly improved and the ability to assign delegates to draft applications online was created.

    Future releases will expand across all SFP programs, providing for electronic upload of documents, digital signatures, and shared access to DSA plans.

c. CDE process improvements underway include expanded use of CDEBox for application submittal and review; streamlined processing for small-scope New Construction and Modernization projects; digital archives to allow immediate access to existing information on school sites and projects; and focused outreach through the Superintendent's Small School District Assistance Initiative.

Conclusion

Since the passage of Proposition 51, CDE, OPSC, and DSA have worked on individually streamlining internal processes, providing online form submittals, and upgrading existing systems. In February 2018, OPSC accepted funding applications electronically for the CTEFP. OPSC's goal is to continue to streamline its processes and have applicants submit nearly all forms electronically. DSA implemented electronic plan reviews on October 1, 2018 and expects to implement online application and form submittals by early 2019. CDE will continue its improvement efforts by expanding its use of CDEBox, an online form and file submittal system, to speed up the intake and review process and to provide further assistance to LEAs. CDE continues to develop ways to

implement further efficiencies in site and plan approval, plus improve outreach to LEAs, as these are key elements in CDE's current Strategic Planning program.

A future phase of this collaboration is in an early implementation stage of a "one-stop shop" portal where applicants can view the various processes with each agency. DGS is exploring opportunities with CDE to develop the capability to upload or link vital information to applicants and further expand the one-stop shared portal process.

Applicants will continue to be required to provide complete documentation to meet statutory and regulatory requirements, as well as eligibility and accountability criteria. Existing documentation specific to each agency’s process is unique and the information put into the forms by LEAs will be designed to not be repetitive.

IV. STATE AGENCY COLLABORATION

Although the three state agencies primarily involved with the SFP (i.e., CDE, DSA, and OPSC) have independent roles, since the inception of the SFP, the agencies have a track record of coordinating efforts and addressing opportunities for improvement.

The three state agencies have considered the feasibility of using common forms, applications, and software for several years. Recent discussions took place shortly after the passage of Proposition 51. CDE, specifically, has initiated discussion regarding cross-agency collaboration, such as targeted small school district assistance and common technology.

Each agency has been diligent in engaging LEAs and other stakeholders on ways to improve the program.

- Since 2016, there has been a significant effort at collaborative outreach between CDE and DGS, with specific targeting to small and rural districts that may have difficulty applying to the SFP and projects involving CTE or military base schools.
- In February and March 2018, DSA held five *Focus on the Future* events held across the state, which also included participation from OPSC and CDE. During the last quarter of 2017 and first half of 2018 alone, a total of 23 joint workshops were held involving more than 2,000 LEA staff members, design and construction professionals, and specialists involved with the school construction process.
- Mass e-mails to LEA staff members across the state provide information updates, program deadlines, and more. E-mail lists of clients and stakeholders are shared between CDE, DSA, and OPSC. In addition, state agency Web sites have been updated with new material, including improved linkages between the three programs.

Conclusion

The numerous success stories demonstrate the level of commitment that each agency has invested in collaboration with the LEAs.

Each agency’s continued efforts to streamline internal processes, better collaborate with one another, and work with LEAs directly is the most feasible approach and allows the agencies to align resources directly with the needs of LEAs.

ATTACHMENT A

California Public School Construction Process Review

A collaborative approach by practitioners, customers, and stakeholders

October 1, 2010

To build safe, timely, cost effective, and educationally appropriate school facilities for the students of California

California Public School Construction
Expert Workgroup
PROCESS REVIEW

Acknowledgements

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Executive Summary

Construction of California public schools involves a complex, multi-faceted process driven by local educational agencies' (LEAs) needs and decisions. The complexity of the process is in part due to the fact that numerous state entities are involved in reviewing and approving school construction projects:

- The State Allocation Board (SAB)
- The Office of Public School Construction (OPSC)
- The Division of the State Architect (DSA)
- The California Department of Education (CDE)
- The Department of Toxic Substances Control (DTSC)
- The Department of Industrial Relations (DIR)
- The California Department of Conservation, California Geological Survey

LEAs and other stakeholders have expressed a great deal of concern regarding the duration and complexity of state agency approval processes. In response to these concerns, the DSA and the OPSC conducted several joint statewide town hall meetings in March and April 2010. In addition, a School Facilities at a Crossroads event was conducted in May 2010 to solicit feedback from direct customers. The Department of General Services (DGS) sponsored and facilitated the meetings, which provided valuable feedback from customers and stakeholders. It became apparent that changes are needed and that the key to these changes lies in continued collaboration, improved communication, and strong partnerships.

The California Public School Construction Process Review was initiated to provide a unique opportunity for state agencies to work collaboratively with their customers to improve and streamline the process

On June 16, 2010, the California State Assembly Education Committee conducted an oversight hearing on the School Facilities Process and Funding. At this hearing, the DGS committed to initiating a 90-day action plan for sustainable improvements at the DSA and the OPSC. As a follow-on to the earlier collaborative town hall meetings and in order to involve customers in the development of the 90-day action plan, the California Public School Construction Process Review was initiated to provide a unique opportunity for state agencies to work collaboratively with their customers to improve and streamline the process.

To advance the California Public School Construction Process Review, the DGS, in partnership with the CDE, created an Expert Workgroup (EWG) to provide input. The DGS Chief Deputy Director served as Chair of the EWG and the Director of CDE's School Facilities Planning Division served as the Vice Chair. The EWG was comprised of a variety of customer and stakeholder subject matter experts who worked together to formulate key recommendations. The EWG was charged to complete the process review on a fast-track basis. To assist the EWG, six subgroups were modeled after the six key phases in the public school construction process. Each subgroup was assigned to one phase of the process and met once to complete its charter to identify critical issues for its phase, craft suggested solutions, identify implementation strategies with short-term, intermediate, and long-term timelines, and recommend performance measures. A strong, customer-driven perspective helped determine the prioritization of issues.

A strong, customer-driven perspective helped determine the prioritization of issues

The work of the subgroups was submitted to the EWG for review and final action. Following the single-phase analyses conducted by the subgroups, the EWG met multiple times over a 60-day period to conduct a broader, cross-cutting analysis of the issues. The EWG was responsible for prioritizing issues, developing suggested solutions, and crafting recommendations. A summary matrix document in Appendix G represents the culmination of work analyzed. The EWG agreed upon three priority issues that were most critical in the public school construction process:

1. **Lack of Communication and Coordination**
2. **New Projects Held Up Due to DSA Project Close-Out Issues**
3. **Concerns Regarding Funding Adequacy**

The report contains a summary table on each of the three issues with suggested solutions, identification of implementation strategies, timelines for implementation, and recommended performance measures. Performance measures were recommended at a global level and were more qualitative rather than quantitative.

It is important to note that all members of the EWG were not in full agreement on each of the suggested solutions proposed in this report. While full consensus was not achieved for every issue, all parties

expressed a willingness to continue working toward a mutual resolve. As a result, the EWG crafted and approved several recommendations for moving forward. The recommendations represent an effort to achieve sustainability and collaboration among all parties vested in the public school construction process. The EWG offers six primary recommendations to ensure a continued and sustained effort to address the issues and suggested solutions identified during the process review. The recommendations include:

1. **Maintain the current EWG organizational structure for oversight.**
2. **Implement a three-tier model for tracking and assessing all suggested solutions on a timeline.**
3. **Create subgroups to develop detailed work action plans for viable solutions that address critical issues.**
4. **Craft and adopt a Memorandum of Understanding (MOU)/ Interagency agreement among the three primary agencies involved in the public school construction process.**
5. **Continue developing partnerships with other agencies and stakeholder groups invested in the public school construction process.**
6. **Identify and adopt best practices that improve and streamline the public school construction process.**

All six recommendations are offered at a global level for review and implementation. The recommendations will leverage recent DGS and SAB accomplishments, further improving services and providing a sustainable framework for moving the process forward collaboratively.

There are several outcomes realized from the process review:

- One, the review provided a more collaborative approach, involving key customers and stakeholders, for improving and streamlining the process.
- Based on collaborative discussions, the EWG recommended that the DSA, the OPSC, and the CDE work toward crafting and adopting an MOU/Interagency agreement.
- Further, the process review led the EWG to identify the most critical issues or impediments and suggest solutions to resolve them. Several solutions were developed to address processing impediments that can

be administratively resolved. These solutions are left with the DGS to address over the next 30 to 90 days.

- Finally, a roadmap for achieving sustainability over time was offered. The roadmap provides direction that can only be achieved through the continued collaborative efforts of all the vested parties.

The DGS' intent was to engage a collaborative process that maintained a customer-driven perspective. The EWG findings contained in this report provide customer input to develop a sustainable framework for moving forward.

Issue

How can the California public school construction process be improved and streamlined for greater efficiency in the planning and construction of safe and cost effective learning environments?

Background

Local Jurisdiction

The California public school construction process, as reflected in Appendix A, permits a great deal of local control in that local educational agencies (LEAs), which include school districts and county offices of education, are the responsible parties for the majority of tasks throughout the process. Although the process is driven by LEAs' needs and actions, they and other stakeholders have expressed a great deal of concern regarding the complexity of the process where state agency approval is required.

The California public school construction process permits a great deal of local control in that local educational agencies are the responsible parties for the majority of tasks throughout the process

State Jurisdiction

Numerous state entities are involved in reviewing and approving school district plans and specifications for school construction projects. Below is a listing of the primary entities involved and a summary of each entity's primary role in the public school construction process:

- The State Allocation Board (SAB) is responsible for apportioning State resources including proceeds from Statewide General Obligation Bond Issues and other designated State funds used for the new construction and modernization of K-12 public school facilities.
- As staff to the SAB, the Department of General Services (DGS), Office of Public School Construction (OPSC) is responsible for the administration and management of State funding for eligible new construction and modernization projects to provide safe and adequate facilities for California public school children. It is also incumbent on the OPSC to prepare regulations, policies, and procedures for approval by the SAB to carry out the mandates of the law.
- The DGS, Division of the State Architect (DSA) provides plan review (focused primarily in structural safety, fire and life safety, and disability access) and construction oversight services for all LEAs and community college districts, to ensure that the facilities are designed and constructed in compliance with the Field Act and the California Building

Code. DSA approval of all plans and specifications is required prior to a construction contract being signed for new construction, modernization or alteration of any school building for which an LEA or community college district is seeking State funding.

- The California Department of Education (CDE), School Facilities Planning Division reviews and approves LEA sites and construction plans. The CDE review begins when an LEA plans to acquire a new school construction site. Prior to approving a site for school purposes, the CDE reviews many factors, including, but not limited to, environmental hazards, proximity to airports, freeways, and power transmission lines. The review of construction plans by the CDE focuses mainly on the educational adequacy of the proposed facility and whether the needs of students and faculty will be met.
- The Department of Toxic Substances Control (DTSC) assists LEAs and community college districts by providing an assessment of any possible contamination on a school site, and, if necessary, with the development and implementation of a mitigation plan.
- The Department of Industrial Relations (DIR) is responsible for enforcing labor laws relating to contractors and employers involved in California school construction projects.
- The California Department of Conservation, California Geological Survey reviews proposed school sites for geological conditions that could affect the proposed structures by reviewing geological hazard reports, geotechnical reports, and ground motion reports.

DGS Action and Outreach

In January 2010, all DGS divisions were directed to engage in a top to bottom re-evaluation to identify operating efficiencies and streamline processes in an effort to support their clients, create jobs, and stimulate the economy.

Since January 2010, the DSA has instituted improvements to assist its customers by:

- reducing bin-time (the duration of time for a project to be triaged, determined complete, and assigned to a plan reviewer) from 12 weeks to four weeks;
- implementing a performance metrics "scorecard" to identify processing timelines, responsible parties, and the number of days expended in each

stage of the plan review process;
- putting in place an action plan to expedite plan reviews;
- submitting emergency regulatory amendments to begin addressing a backlog of projects closed without certification.

The global economic downturn combined with the State's unprecedented fiscal challenges have altered the way funding is made available to the School Facility Program (SFP). The SFP is now operating under a direct funding or "cash" model, which delays the SAB's ability to make apportionments. Despite these challenges, the OPSC has strived to assist its customers by:

- consistently processing applications to the SAB for unfunded approvals in advance of cash availability;
- recently reducing average application processing timelines from 180 days to 120 days;
- developing a performance metrics "scorecard" to identify processing timelines, responsible parties, and the number of days expended in each stage of the application review process.

In another effort to improve services for LEAs and community college districts, the DGS recently increased the coordination and communication between the DSA and the OPSC. Since effective and sustainable process improvement necessitates customer and stakeholder involvement and support, the DGS, the DSA, and the OPSC conducted several joint statewide Town Hall meetings in March and April 2010. In addition, a School Facilities at a Crossroads event was conducted in May 2010 in order to solicit raw and unfiltered feedback from the agencies' direct customers. These events were also intended to establish partnerships with the direct customers who were interested in sharing their ideas and suggestions for integrating and streamlining design approval, construction oversight, and funding for public school facilities.

On June 16, 2010, the California State Assembly Education Committee conducted an oversight hearing on the School Facilities Process and Funding. At this hearing, the DGS committed to initiating a 90-day action plan for sustainable improvements at the DSA and the OPSC. Appendix B presents a timeline of these public meetings and other events that provided opportunities to hear first-hand district, architect, consultant, and other stakeholder views and issues regarding the DSA and the OPSC.

California Public School Construction Process Review

Many consider the California public school construction process to be overly complex. The process is affected by issues representing billions of dollars in stalled construction, undelivered schools, and delayed job creation.

Effective and sustainable process improvement necessitates customer and stakeholder involvement and support. One example of successful process improvement through collaborative, creative thought is the recent authorization of Priority Funding rounds. The initial Priority Funding round was initiated to facilitate school construction projects and stimulate the State's economy through the creation of a funding mechanism that allowed LEAs ready to submit a Fund Release Authorization the opportunity to receive funding and move forward with their projects. The SAB authorized the creation of a one-time Priority Funding round for $408 million at the May 2010 SAB meeting. Based on the success of this Priority Funding round and stakeholder requests, regulatory changes were approved on August 25, 2010 that will provide the SAB with the ability to enact future Priority Funding rounds as needed.

There has never been a more appropriate time to engage in a collaborative process aimed at effectively allocating the limited bond funds to build schools and create jobs

There has never been a more appropriate time to engage in a collaborative process aimed at effectively allocating the limited bond funds to build schools and create jobs. The public meetings held to date have provided valuable feedback. It is apparent that more positive changes are needed in the process, and that the key to these improvements lies in continued and strengthened collaboration, communication, and partnership.

For this reason, the California Public School Construction Process Review was initiated to provide a unique opportunity for the State agencies to work closely with their customers and to enable customers to participate in examining and improving the process. The intent of the Process Review is to serve as a roadmap for collaboration, transparency, accountability, and sustainability.

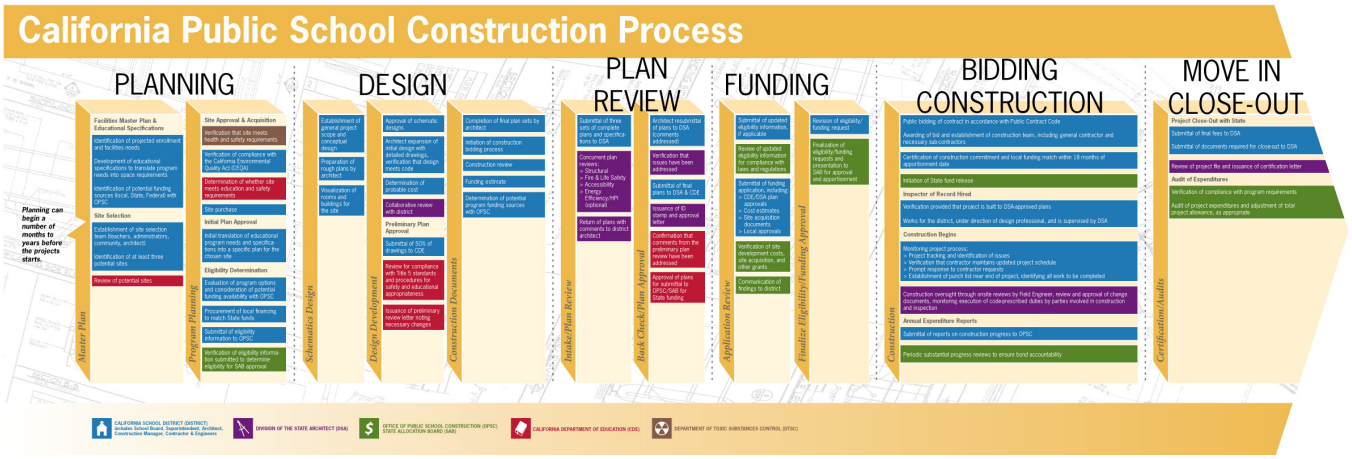
The objectives of the Process Review are as follows:

- Identify sustainable efficiencies to streamline the public school construction process
- Develop a plan to quickly implement sustainable process changes
- Create performance metrics for tracking, transparency, and reporting
- Create an enhanced interface between the DSA, the OPSC, the CDE, the SAB, and customers.

Collaboration has been the backbone of the Process Review effort; this report represents the collective work of experts, practitioners, customers, and stakeholders.

Methodology

To advance the California Public School Construction Process Review, the DGS, in partnership with the CDE, created an Expert Workgroup (EWG) to provide input. The DGS Chief Deputy Director served as Chair of the EWG and the Director of CDE's School Facilities Planning Division served as the Vice Chair. The EWG was comprised of a variety of customer and stakeholder subject matter experts, listed in Appendix C, who worked together to formulate key recommendations. EWG members met multiple times to review materials, discuss solutions, and frame recommendations. The EWG held its initial meeting on July 28, 2010 to overview the process, mission, timeline for completing work, and expected outcomes. In addition, the EWG reviewed a flowchart depicting the California Public School Construction Process. The flowchart is depicted below and in more detail in Appendix A. The key phases for the public school new construction process include planning, design, plan review, funding, bidding/construction, and move in/project close-out.



Six subgroups were created, modeled after the key phases in the public school construction process. Each subgroup was tasked with examining a particular phase in the process. Appendix D is a complete list of the subgroups and their membership rosters, and Appendix E reflects the overall Process Review organization chart.

Each subgroup met once to complete a charter document that outlined the top issues in its area of focus. Using the charter template depicted in Appendix F, the subgroups crafted proposed solutions; identified the

implementation type needed as legislative, regulatory, policy, and/or procedural; proposed timelines for implementation of short-term, intermediate, and long-term solutions; and recommended performance measures. Each subgroup identified and ranked approximately ten issues in priority order. However, in order to focus on the highest priority issues, proposed solutions were generally only discussed for the top five issues in each subgroup. Appendix G reflects the identified issues, priority rankings, and solutions proposed by each subgroup.

Based on feedback and lessons learned from the first subgroup, the subgroup process became more customer-driven, with more emphasis placed on prioritization and recommendations from customers rather than State agency representatives. The goal was to listen and capture the highest priority issues from the customers' point of view to serve as a starting point for future discussions regarding the identified problems and the viability of the suggested solutions. All subgroup chairpersons were invited to participate as EWG members so they could address questions regarding their respective subgroup findings.

The goal was to listen and capture the highest priority issues from the customers' point of view to serve as a starting point for future discussions regarding the identified problems and the viability of the suggested solutions

During the second EWG meeting on August 18, 2010, the EWG reviewed the charter documents prepared by each of the six subgroups and identified commonalities. The intent of the meeting was to clarify issues, solutions, priorities, and other elements identified by the subgroups. Each subgroup chairperson responded to questions from other EWG members. For reference, all EWG members were provided the completed subgroup charters, as well as the summary matrix in Appendix G. EWG members were assigned to complete several tasks prior to the next meeting, including reviewing all materials and identifying their overall top five priority issues. EWG member identification of their overall top five priority issues framed the basis for integrating the work of the subgroups at the next EWG meeting.

The EWG met on September 8, 2010 to integrate the work of the subgroups and to complete the EWG charter document. Based on the subgroup work completed, the EWG identified the top overarching priority issues; crafted solutions; identified the implementation type needed as legislative, regulatory, policy, and/or procedural; proposed timelines for implementation of short-term, intermediate, and long-term solutions; and

recommended performance measures. Similar to the subgroups, the EWG process was primarily customer-driven. The EWG charter document served as the basis for the creation of this report. While the EWG charter prioritized the top issues, all of the issues identified by the subgroups were retained for future discussion and reference. EWG members were assigned several tasks prior to the next meeting, including reviewing all materials and providing suggested new titles for the top issues.

The EWG met on September 23, 2010 to review the initial draft report format and content, and to discuss and develop recommendations for moving forward. In addition, the EWG discussed the outcomes of the Process Review.

The final EWG meeting was held on September 29, 2010, at which time the EWG reviewed the completed draft report for accuracy.

Subgroup Findings

Each subgroup was tasked with conducting an analysis of one aspect of the California public school construction process described in Appendix A. Despite the single aspect focus, several problems/issues and proposed solutions were discussed by more than one subgroup. The primary cross-cutting issue identified by the subgroups related to the need for collaboration and coordination among all parties. The collaboration and coordination topic was discussed as one of the top five identified problems/issues in four of the six subgroups.

The primary cross-cutting issue identified by the subgroups related to the need for collaboration and coordination among all parties

In order to present the commonalities and differences between subgroup issues and solutions, findings from the six subgroups were consolidated into the summary matrix document in Appendix G. Following initial consolidation of similar issues from the completed subgroup charter documents, 44 separate problems/issues were identified in the matrix. The initial titles of the problems/issues reflect the wording used by the subgroups in their completed charters. Several problems/issues were identified by multiple subgroups. The terminology used to describe these problems/issues represents a combination of the subgroups' wording. The organization of the summary matrix provides an at-a-glance method of identifying problems/issues and proposed solutions that were discussed by multiple subgroups.

Integrative EWG Findings

Following the single-phase analyses conducted by the subgroups, the EWG members were charged with consolidating and identifying the top priority issues in the overall school construction process. The EWG was responsible for utilizing the subgroups' analyses to conduct a broader, cross-cutting analysis of the issues.

Subsequent to reviewing and discussing the completed subgroup charters and the initial summary matrix document, EWG members were asked to identify and rank their overall top five priority issues. Eleven responses were received in advance of the next EWG meeting and were incorporated into the summary matrix document in Appendix G. The information in the Expert Workgroup Members column indicates the priority assigned and terminology used by the EWG members who provided responses.

The following objective prioritization system was used to weigh the priority placed on each item by the EWG members:

Priority Assigned	Points Received
1	5
2	4
3	3
4	2
5	1

The problems/issues on the summary matrix document were ordered in descending total point value. At the meeting on September 8, 2010, the EWG decided to consolidate several topics to focus on the following top three priority issues:

1. **Lack of Communication and Coordination**
2. **New Projects Held Up Due to DSA Project Close-Out Issues**
3. **Concerns Regarding Funding Adequacy**

1. Lack of Communication and Coordination

Insufficient or ineffective communication and coordination among all parties is problematic in ensuring an effective school construction process. There is a need for enhanced, more efficient communication and responsiveness between each of the involved State agencies, as well as with the agencies' customers and stakeholders. Additional areas of concern associated with this item include inconsistent interpretation during both regional and State-level reviews and application processing, a lack of State agency customer service orientation, revisions to design documents that impact reviews and approvals, lengthy processing times, and lack of a single point of contact.

One suggested solution to this issue proposed by the EWG was the use of a single project tracking number by the CDE, the DSA, and the OPSC. While a common project tracking number currently exists among the three agencies, it is rarely and inconsistently used.

Another suggested solution to this issue was the creation of a "one-stop shop" with a customer service orientation. A two-phase approach was discussed for this suggestion. An initial solution could be for the CDE, the DSA, and the OPSC to each create a single point of contact within the organization. A long-term approach could be statutory change to create a single, unified State agency for K-12 public school construction.

The following table reflects all of the EWG's proposed solutions to this issue; identification of the implementation type needed as legislative, regulatory, policy, and/or procedural; proposed timelines for implementation of each solution; and recommended performance measures. Performance measures were recommended at a global level, and were generally qualitative rather than quantitative. Details for implementing and tracking the EWG's proposed solutions are yet to be identified.

For more information, please refer to the Recommendations for Moving Forward section of this report.

Table 1:

Issue	Suggested Solutions	Implementation	Measure
Lack of communication and coordination	CDE, DSA, and OPSC to use a single project tracking number	Procedural *	Use of a single application number/project tracking number
	Permit a DSA exception form at intake for over-the-counter approvals	Regulatory **	Availability and use of a DSA exception form for over-the-counter approvals
	Create a streamlined process through the collaboration of CDE, DSA, and OPSC	Policy *	Adopted, implemented, and published processes and project approval timelines; reduced number of contacts; help desk established
	Initiate an MOU or interagency agreement between CDE, OPSC, and DSA	Policy *	Creation of the MOU or interagency agreement, staff designated
	Create a one-stop shop with a customer service orientation	Procedural * and Legislative ***	Creation of one-stop shop
	Create an ombudsman for guidance and project assistance	Legislative ***	Creation of an ombudsman

*TIMELINE: * short-term (3-6 months) ** intermediate (12-36 months) *** long-term (36-60 months)*

2. New Projects Held Up Due to DSA Project Close-Out Issues

The DSA cannot approve construction plans for buildings that are part of a project that is not certified or where the accessibility for the new project is dependent upon the use of facilities in uncertified projects. With SFP new construction bond funding nearly depleted, LEAs are now devoting most of their facility planning efforts toward modernizing existing facilities and, as a result, are more focused on getting their old projects certified. That is, for LEAs to move modernization projects forward in order to get in line for State bond funding, they must first have their old construction projects certified.

Approximately 66 percent of the DSA's pending modernization workload, 406 projects with estimated construction costs of $843 million, could be held up due to previously uncertified construction. Many of the previously uncertified projects were closed up to 28 years ago, making it difficult for LEAs and community college districts to access the relevant documentation and design professionals. Previously uncertified construction projects create an enormous backlog for new projects, delay the ability for new projects to move forward, and require an extensive amount of DSA and school district staff time.

In order to begin addressing the close-out backlog, the DSA recently submitted and received approval for emergency regulations to streamline processes and simplify reporting and documentation for various stages of the school construction process. The regulatory amendments overlap with several of the EWG's suggested solutions regarding this issue, indicating that the DSA is moving in the right direction to address this issue.

One suggested solution to this issue proposed by the EWG was the creation of contractual language regarding responsibilities of project team members to provide close-out certification documents. The intent of this solution is to provide LEAs and community college districts with best practices language used by LEAs and community college districts that have successfully certified high percentages of their construction projects.

In addition, the EWG suggested allowing design professionals, project inspectors, or DSA field engineers to field verify adequacy of construction for projects closed without certification, as described in the DSA Project Certification Guide. This solution was suggested as a short-term step toward a long-term suggested solution to allow design professionals, project inspectors, or DSA field engineers to certify adequacy of construction.

An additional solution to this issue proposed by the EWG was to provide that projects with a scope limited to resolving health and safety issues shall not be held up due to lack of certification on a previous project. The intent of this proposal is to permit health and safety projects to move forward without negating certification requirements.

The following table reflects all of the EWG's proposed solutions to this issue; identification of the implementation type needed as legislative, regulatory, policy, and/or procedural; proposed timelines for implementation of each solution; and recommended performance measures. Performance measures were recommended at a global level, and were generally qualitative rather than quantitative. Details for implementing and tracking the EWG's proposed solutions are yet to be identified.

For more information, please refer to the Recommendations for Moving Forward section of this report.

Table 2:

Issue	Suggested Solutions	Implementation	Measure
New projects held up due to DSA project close-out issues	Create contractual language regarding responsibilities of project team members to provide close-out certification documents	Procedural *	Creation of contractual language regarding responsibilities of project team members to provide close-out certification documents
	Eliminate in-plant inspection report requirement for portable projects	Procedural * Policy *	Certification of more portable projects
	Allow design professionals, project inspectors, or DSA field engineers to field verify adequacy of construction for projects closed without certification	Policy *	Design professionals, project inspectors, or DSA field engineers are field verifying adequacy of construction for projects closed without certification
	Streamline documentation for new portable buildings	Legislative ***	Reduction in documentation for new portable buildings
	Eliminate inspection documents that are DSA specific	Procedural * Regulatory **	Identification of documents for elimination, regulatory changes, and elimination of documents
	Provide that projects where the scope is limited to resolving health and safety issues shall not be held up due to lack of certification on a previous project	Regulatory **	Modification for fast-track, stand-alone projects to include projects with a scope limited to health and safety issues
	Allow design professionals, project inspectors, or DSA field engineers to certify adequacy of construction	Legislative ***	Design professionals, project inspectors, or DSA field engineers are certifying adequacy of construction. Creation of an established pilot program to assess performance
	Require LEAs and community college districts to be the repository of project records	Legislative ***	LEAs and community college districts acting as the repository of project records

*TIMELINE: * short-term (3-6 months) ** intermediate (12-36 months) *** long-term (36-60 months)*

3. Concerns Regarding Funding Adequacy

Concerns are frequently expressed regarding whether the current funding model and/or State grant amounts for K-12 school facilities are adequately and equitably meeting the needs of LEAs. A significant issue in consideration of this topic is whether project budgets and available funds are in line with program requirements. Additional specific areas of concern associated with this item include the need for meaningful data collection and analysis, the relevance and accuracy of Geographic Index Factor adjustments, whether the currently utilized construction cost index is reflective of the true costs of school construction, and issues surrounding life-cycle costs and construction types. There is a desire for immediate improvement as well as a vision for the future in order to ensure a sustainable funding strategy.

One suggested solution to this issue proposed by the EWG was continuing to develop an accurate means of evaluating the true cost of building schools through data collection. The availability of a larger data set on the costs of State-funded school construction through the OPSC's Project Information Worksheet will improve the ability to accurately evaluate the true cost of building schools and the extent to which State funding contributes to these projects.

In addition, the EWG suggested that the SAB approve regulations to permanently adopt the general site development grant, which has been temporarily authorized and extended annually in one-year increments since 2006.

The EWG also proposed the adoption of a statutorily appropriate, Class B construction cost index that includes the prevailing wage requirement utilized in California. The intent of this proposal is to adopt a construction cost index that reflects the costs of constructing California public schools.

An additional solution to this issue proposed by the EWG was to adequately fund off-site mitigations. The intent of this recommendation is to resolve discrepancies between local-level off-site mitigation requirements and State funding for these requirements.

The following table reflects all of the EWG's proposed solutions to this issue; identification of the implementation type needed as legislative, regulatory, policy, and/or procedural; proposed timelines for implementation of each solution; and recommended performance measures. Performance measures were recommended at a global level, and were generally qualitative rather than quantitative. Details for implementing and tracking the EWG's proposed solutions are yet to be identified.

For more information, please refer to the Recommendations for Moving Forward section of this report.

Table 3:

Issue	Suggested Solutions	Implementation	Measure
Concerns regarding funding adequacy	Continue developing an accurate means of evaluating the true cost of building schools – data collection	Policy **-*** Procedural **-***	Availability of a larger data set and a methodology to accurately evaluate the true cost of building schools
	Permanently adopt the general site development grant	Regulatory *	Approval of regulations to permanently adopt the general site development grant
	Adopt a statutorily appropriate, Class B construction cost index that includes the prevailing wage requirement utilized in California	Policy * and/or Legislative ***	Adoption of a statutorily appropriate construction cost index that includes the prevailing wage requirement utilized in California
	Adequately fund off-site mitigations	Policy * and Legislative ***	Funding of off-site mitigations at a level determined to be adequate, consistent with the Marina decision
	Adopt relevant elements of the Lease Purchase Program for the SFP, including cost per square foot, site development, off-site, and service site funding	Legislative ***	Incorporation of relevant Lease Purchase Program elements into the SFP, including cost per square foot, site development, off-site, and service site funding
	Implement a new funding model for school infrastructure	Legislative ***	Research conducted and consideration given to alternative funding models for school infrastructure. Possible implementation of a new funding model
	Adopt cost containment, best value, and life cycle measures that can be applied to school construction	Legislative ***	Adoption of cost containment, best value, and life cycle measures that can be applied to school construction
	Adopt alternative (non-bond) financing for school facility projects	Legislative ***	Adoption and availability of alternative (non-bond) financing for school facility projects

*TIMELINE: * short-term (3-6 months) ** intermediate (12-36 months) *** long-term (36-60 months)*

Recommendations for Moving Forward

After reviewing all the material from the subgroups and integrating their work into a comprehensive summary matrix, the EWG crafted and approved several recommendations for moving forward. The recommendations represent an effort to achieve sustainability and collaboration among all parties vested in the public school construction process. The EWG offers six primary recommendations to ensure a continued and sustained effort to address the issues and suggested solutions identified during the process review. The recommendations include:

1. **Maintain the current EWG organizational structure for oversight.**
2. **Implement a three-tier model for tracking and assessing all suggested solutions on a timeline.**
3. **Create subgroups to develop detailed work action plans for viable solutions that address critical issues.**
4. **Craft and adopt an MOU/Interagency agreement among the three primary agencies involved in the public school construction process.**
5. **Continue developing partnerships with other agencies and stakeholder groups invested in the public school construction process.**
6. **Identify and adopt best practices that improve and streamline the public school construction process.**

1. Maintain the current EWG organizational structure for oversight

A primary benefit realized from the process review has been the effectiveness of the EWG. The EWG has worked collaboratively in identifying critical issues while developing suggested solutions to resolve them. A shared commitment and energy has been established among members. Consequently, the EWG is a positive first step to maintain the energy and commitment needed to achieve sustainability. The present organizational structure reflects an equal balance of customers and stakeholders vested in the public school construction process. The current EWG structure should be charged with maintaining oversight to track and evaluate the progress of solution implementation as well as future reviews. Key stakeholders are represented in the structure of the EWG and their continued involvement will ensure sustainability and collaboration in the future.

Key stakeholders are represented in the structure of the EWG and their continued involvement will ensure sustainability and collaboration in the future

2. Implement a three-tier model for tracking and assessing all suggested solutions on a timeline

A three-tier model for tracking and assessing progress on solutions is suggested. The three-tier model represents a specific timeline for implementing suggested solutions. All solutions were considered on a short-term, intermediate, or long-term timeline for implementation. The short-term solutions represent those with implementation time periods ranging from 30 days to one year. The intermediate solutions are those that range from a one-year to a three-year time horizon. The long-term solutions are those requiring three years or more for implementation. Under the three-tier model, review and implementation of short-term solutions would begin effective October 7, 2010, the intermediate solutions work would begin December 1, 2010, and the long-term solutions work would begin no later than February 1, 2011. The intent of this structure is to demonstrate prompt, real action on the work completed by the subgroups and the EWG.

3. Create subgroups to develop detailed work action plans for viable solutions that address critical issues

Subgroups will be organized to develop work action plans for the suggested solutions. The subgroups will be organized under the direction of the EWG and will report their work to the EWG. Subgroups will be charged to assess the merits of suggested solutions while developing specific strategies and tasks to implement the associated solutions. The work of the subgroups will frame the basis for the EWG in promoting and implementing viable solutions identified during the review of the public school construction process.

4. Craft and adopt an MOU/Interagency agreement among the three primary agencies involved in the public school construction process

The DGS will begin crafting an MOU/Interagency Agreement among the three primary agencies involved in the public school construction process. The agreement will describe the relationship between the DSA, the OPSC, and the CDE, who are collectively charged with processing public school construction applications.

5. Continue developing partnerships with other agencies and stakeholder groups invested in the public school construction process

The EWG consists of key customers and stakeholders vested in the process. The EWG should continue to invite feedback and participation among varied constituents to ensure collaboration. The discussions and interactions among all parties will provide the EWG critical feedback to measure progress and sustained efforts.

6. Identify and adopt best practices that improve and streamline the public school construction process

Throughout the process, the EWG will seek to identify best practices for adoption. A one-time review is not sufficient to maintain sustainability. The work of subgroups, partnerships among key constituents, and continued performance evaluation will greatly enhance the collaborative effort. The intent is to build a sustainable, streamlined public school construction process for California.

Summary and Conclusions

The report contains the findings of the EWG as part of the Public School Construction Process Review. The EWG provided input in a fast-track, 60-day review to identify suggested solutions to improve and streamline all the phases of the public school construction process. It is important to note that all members of the EWG were not in full agreement on each of the suggested solutions proposed in this report. While full consensus was not achieved for every issue, all parties expressed a willingness to continue working toward a mutual resolve. As a result, the EWG crafted and approved several recommendations for moving forward. The recommendations represent an effort to achieve sustainability and collaboration among all customers and stakeholders vested in the public school construction process.

There are several outcomes realized from the process. One, the review provided a more collaborative approach for improving and streamlining the process. Many of the key customers and stakeholders with a vested interest participated in the process.

The California Public School Construction Process Review represented the collaborative efforts of varied constituents who are all vested in the public school construction process

Based on collaborative discussions, the EWG recommended that the DSA, the OPSC, and the CDE work toward crafting and adopting an MOU/ Interagency agreement. Further, the process review led the EWG to identify the most critical issues or impediments and suggest solutions to resolve them. Several solutions were developed to address processing impediments that can be administratively resolved. These solutions are left with the DGS to address over the next 30 to 90 days. Finally, recommendations were offered to provide a roadmap for achieving sustainability over time. The roadmap provides direction that can only be achieved through the continued collaborative efforts of all the vested parties.

The DGS' intent was to engage a collaborative process that maintained a customer-driven perspective. Throughout the process, a customer-driven focus superseded all other concerns. The California Public School Construction Process Review represented the collaborative efforts of varied constituents who are all vested in the public school construction process. The EWG findings contained in this report provide customer input to develop a sustainable framework for moving forward. The California

Public School Construction Process Review will continue to expand upon recent accomplishments, further improving services in collaboration with customers and stakeholders.

Additional Resources

California Public School Construction Process Review Resource Page
http://www.dgs.ca.gov/opsc/AboutUs/prewg.aspx

Building California: Infrastructure Choices and Strategy
Little Hoover Commission, January 2010
http://www.lhc.ca.gov/studies/199/report199.pdf

New Construction Grant Adjustment Report
Office of Public School Construction, November 2009
http://www.documents.dgs.ca.gov/opsc/SAB_Agenda_Items/2009-11/New_Construction_Grant_Adjustment_Report.pdf

- ***Comment on OPSC New Construction Grant Adjustment Report***
  Coalition for Adequate School Housing, January 2010
  http://cashnet.org/news/2010/LtrToSAB-CASHCommentOnOPSCReport.pdf

Bond Spending: Expanding and Enhancing Oversight
Little Hoover Commission, June 2009
http://www.lhc.ca.gov/reports/listall.html

The Complex and Multi-Faceted Nature of School Construction Costs: Factors Affecting California
Center for Cities and Schools, University of California, Berkeley, June 2008
http://citiesandschools.berkeley.edu/reports/K-12_CA_Construction_Report.pdf

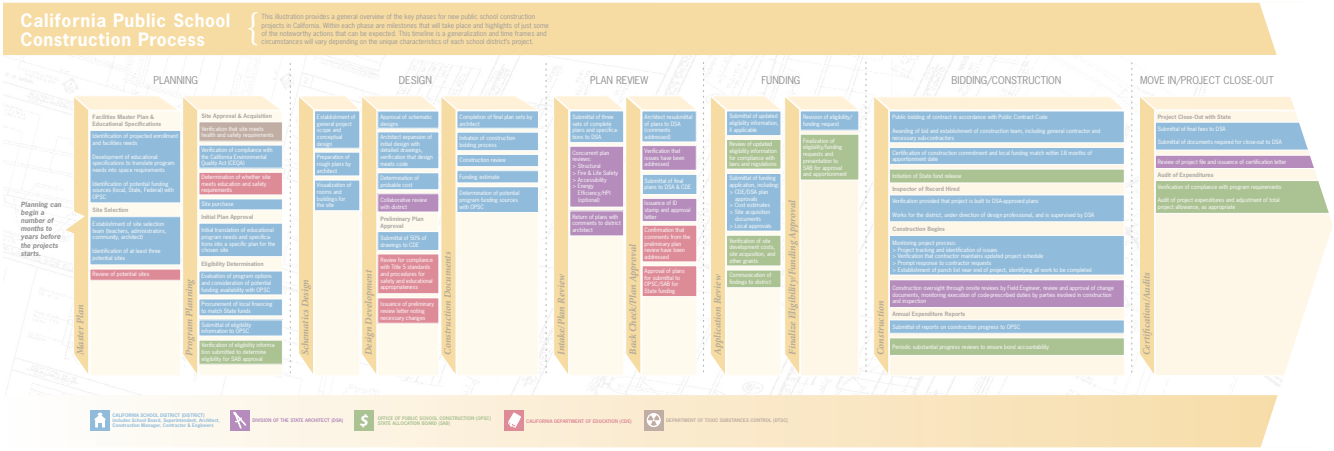
The State Allocation Board: Improving Transparency and Structure
Little Hoover Commission, August 2007
http://www.lhc.ca.gov/studies/188/Report188.pdf

- ***State Allocation Board Meeting Minutes - September 26, 2007***
  http://www.documents.dgs.ca.gov/opsc/SAB_Agenda_Items/SAB_Minutes/2007/SAB_Minutes_09-26-2007.pdf

Report on Complete Schools
California Department of Education, May 2007
http://www.cde.ca.gov/ls/fa/sf/documents/completeschool.doc

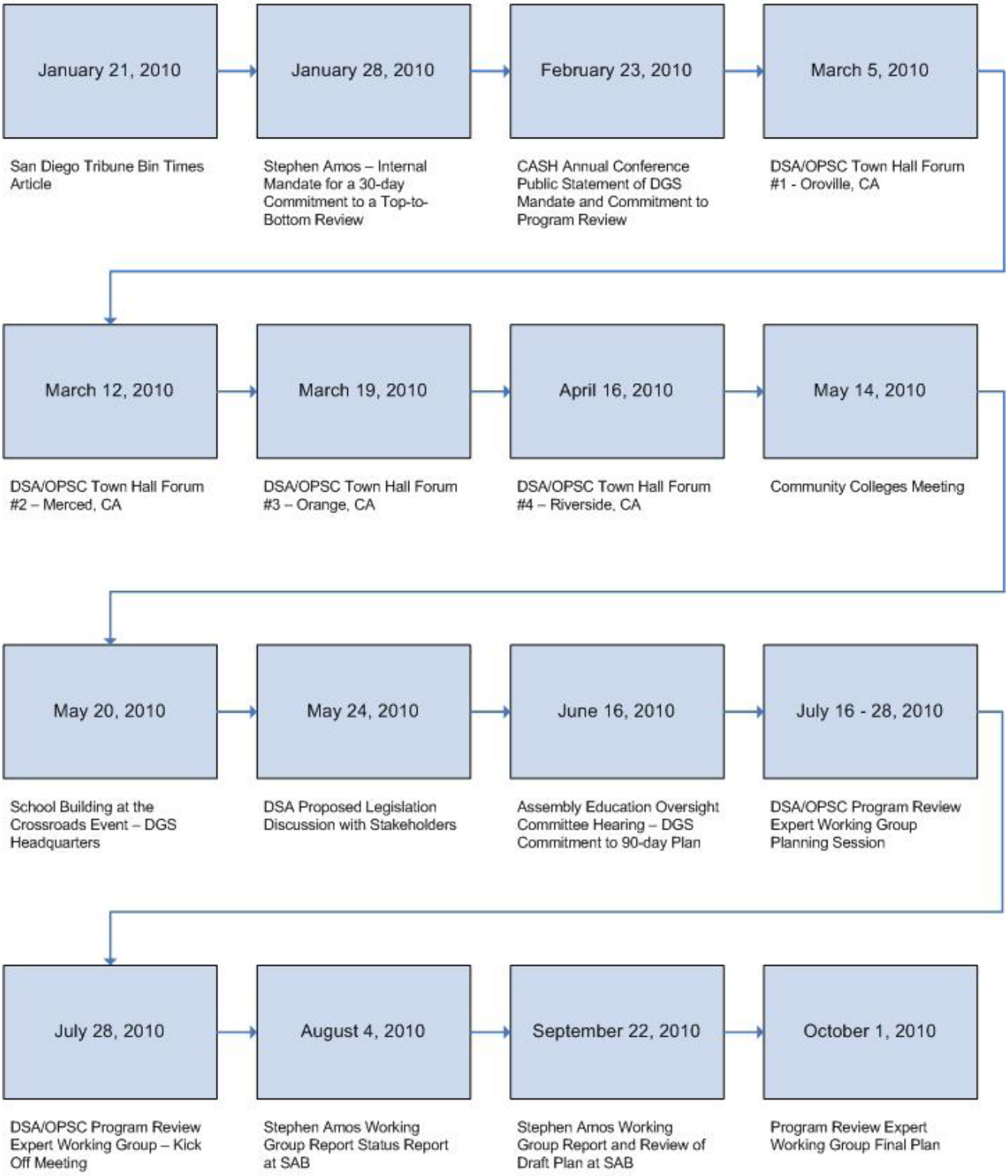
City of Marina v. Board of Trustees of the California State University
Supreme Court Case S117816 , July 31, 2006
http://appellatecases.courtinfo.ca.gov/search/case/mainCaseScreen.cfm?dist=0&doc_id=1849495&doc_no=S117816

Appendix A


California Public School Construction Process
This illustration provides a general overview of the key phases for new public school construction projects in California. Within each phase are milestones that will take place and highlights of just some of the noteworthy actions that can be expected. This timeline is a generalization and time frames and circumstances will vary depending on the unique characteristics of each school district's project.
PLANNING
DESIGN
PLAN REVIEW
FUNDING
BIDDING/CONSTRUCTION
MOVE IN/PROJECT CLOSE-OUT
Planning can begin a number of months to years before the projects starts.
Master Plan
Facilities Master Plan & Educational Specifications
Identification of projected enrollment and facilities needs
Development of educational specifications to translate program needs into space requirements
Identification of potential funding sources (local, State, Federal) with OPSC
Site Selection
Establishment of site selection team (teachers, administrators, community, architect)
Identification of at least three potential sites
Review of potential sites
Program Planning
Site Approval & Acquisition
Verification that site meets health and safety requirements
Verification of compliance with the California Environmental Quality Act (CEQA)
Determination of whether site meets education and safety requirements
Site purchase
Initial Plan Approval
Initial translation of educational program needs and specifications into a specific plan for the chosen site
Eligibility Determination
Evaluation of program options and consideration of potential funding availability with OPSC
Procurement of local financing to match State funds
Submittal of eligibility information to OPSC
Verification of eligibility information submitted to determine eligibility for SAB approval
Schematics Design
Establishment of general project scope and conceptual design
Preparation of rough plans by architect
Visualization of rooms and buildings for the site
Design Development
Approval of schematic designs
Architect expansion of initial design with detailed drawings, verification that design meets code
Determination of probable cost
Collaborative review with district
Preliminary Plan Approval
Submittal of 50% of drawings to CDE
Review for compliance with Title 5 standards and consultation for safety and educational appropriateness
Issuance of preliminary review letter noting necessary changes
Construction Documents
Completion of final plan sets by architect
Initiation of construction bidding process
Construction review
Funding estimate
Determination of potential program funding sources with OPSC
Intake/Plan Review
Submittal of three sets of complete plans and specifications to DSA
Concurrent plan reviews:
> Structural
> Fire & Life Safety
> Accessibility
> Energy Efficiency/HPI (optional)
Return of plans with comments to district architect
Back Check/Plan Approval
Architect resubmittal of plans to DSA (comments addressed)
Verification that issues have been addressed
Submittal of final plans to DSA & CDE
Issuance of ID stamp and approval letter
Confirmation that comments from the preliminary plan review have been addressed
Approval of plans for submittal to OPSC/SAB for State funding
Application Review
Submittal of updated eligibility information, if applicable
Review of updated eligibility information for compliance with laws and regulations
Submittal of funding application, including:
> CDE/DSA plan approvals
> Cost estimates
> Site acquisition documents
> Local approvals
Verification of site development costs, site acquisition, and other grants
Communication of findings to district
Finalize Eligibility/Funding Approval
Revision of eligibility/funding request
Finalization of eligibility/funding requests and presentation to SAB for approval and apportionment
Construction
Public bidding of contract in accordance with Public Contract Code
Awarding of bid and establishment of construction team, including general contractor and necessary sub-contractors
Certification of construction commitment and local funding match within 18 months of apportionment date
Initiation of State fund release
Inspector of Record Hired
Verification provided that project is built to DSA-approved plans
Works for the district, under direction of design professional, and is supervised by DSA
Construction Begins
Monitoring project process:
> Project tracking and identification of issues
> Verification that contractor maintains updated project schedule
> Prompt response to contractor requests
> Establishment of punch list near end of project, identifying all work to be completed
Construction oversight through onsite reviews by Field Engineer, review and approval of change documents, monitoring execution of code-prescribed duties by parties involved in construction and inspection
Annual Expenditure Reports
Submittal of reports on construction progress to OPSC
Periodic substantial progress reviews to ensure bond accountability
Certification/Audits
Project Close-Out with State
Submittal of final fees to DSA
Submittal of documents required for close-out to DSA
Review of project file and issuance of certification letter
Audit of Expenditures
Verification of compliance with program requirements
Audit of project expenditures and adjustment of total project allowance, as appropriate
CALIFORNIA SCHOOL DISTRICT (DISTRICT) Governing Board, Superintendent, Architect, Construction Manager, Contractor & Engineers
DIVISION OF THE STATE ARCHITECT (DSA)
OFFICE OF PUBLIC SCHOOL CONSTRUCTION (OPSC) STATE ALLOCATION BOARD (SAB)
CALIFORNIA DEPARTMENT OF EDUCATION (CDE)
DEPARTMENT OF TOXIC SUBSTANCES CONTROL (DTSC)

Appendix B

DSA/OPSC Working Group Timeline



Appendix C

California Public School Construction Expert Workgroup PROCESS REVIEW

Expert Workgroup Rosters
Executive Team

NAME	COMPANY	ADDRESS	CITY	ZIP	EMAIL	TELEPHONE
Stephen Amos	DGS	707 Third Street, 8th Floor	W. Sacramento	95605	stephen.amos@dgs.ca.gov	916.376.5011
Kathleen Moore	CDE	1430 N Street	Sacramento	95814	kmoore@cde.ca.gov	916.445.2144
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Lisa Silverman	OPSC	707 Third Street, 4th Floor	W. Sacramento	95605	lisa.silverman@dgs.ca.gov	916.375.5959
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Scott Gaudineer	Flewelling & Moody	141 South Lake Avenue, 2nd Fl	Pasadena	91101	sgaudineer@flewelling-moody.com	626.449.6787
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Stuart Drown	Little Hoover Commission	925 L Street, Suite 805	Sacramento	95814	stuart.drown@lhc.ca.gov	916.445.2125
Joel Montero	FCMAT	1300 17th Street – City Centre	Bakersfield	93301	jmontero@fcmat.org	661.636.4308
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Bill Savidge	West Contra Costa USD	1300 Portrero Ave.	Richmond	94804	Bill.savidge@gw.wccusd.k12.ca.us	510.307.4544
Kurt Cooknick	AIACC	1303 J Street, Suite 200	Sacramento	95814	kcooknick@aiacc.org	916.448.9082
Tom Duffy	CASH	1130 K Street, Suite 210	Sacramento	95814	tduffy@m-w-h.com	916.448.8577
Estelle Lemieux	CA Teachers Association	1118 10th Street	Sacramento	95814	elemieux@cta.org	916.325.1500
Edgar Cabral	LAO	925 L Street, Suite 1000	Sacramento	95814	edgar.cabral@lao.ca.gov	916.445.4656
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Dick Cowan	Davis Reed Construction	3217 Ramos Circle	Sacramento	95827	dcowan@davisreedinc.com	916.504.4070
Jenny Hannah	Kern COE	1300 17th Street – City Centre	Bakersfield	93301	jehannah@kern.org	661.636.4700

Subgroup Roster

NAME	COMPANY	ADDRESS	CITY	ZIP	EMAIL	TELEPHONE
Planning						
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Design						
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Dave Clinchy	Los Rios CCD	1919 Spanos Court	Sacramento	95825	clichd@losrios.edu	916.856.3409
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Michal Healy	Marysville Joint USD	1919 B Street	Marysville	95901	mhealy@mjusd.k12.ca.us	530.749.6151
Funding						
Jenny Hannah	Kern COE	1300 17th Street – City Centre	Bakersfield	93301	jehannah@kern.org	661.636.4700
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Sandee Hackett	Val Verde USD	975 West Morgan Street	Perris	92571	shackett@valverde.edu	951.940.6107
Craig Guensler	Wheatland ESD	111 Main Street	Wheatland	95692	cguensler@wheatland.k12.ca.us	530.633.3130
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Mamie Starr	San Joaquin COE	PO Box 213030	Stockton	95213	mstarr@sjcoe.net	209.468.9061
Closeout						
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Art Hand	Lodi Unified School District	1305 E. Vine Street	Lodi	95240	ahand@lodiusd.net	209.331.7219
State Agency Representatives						
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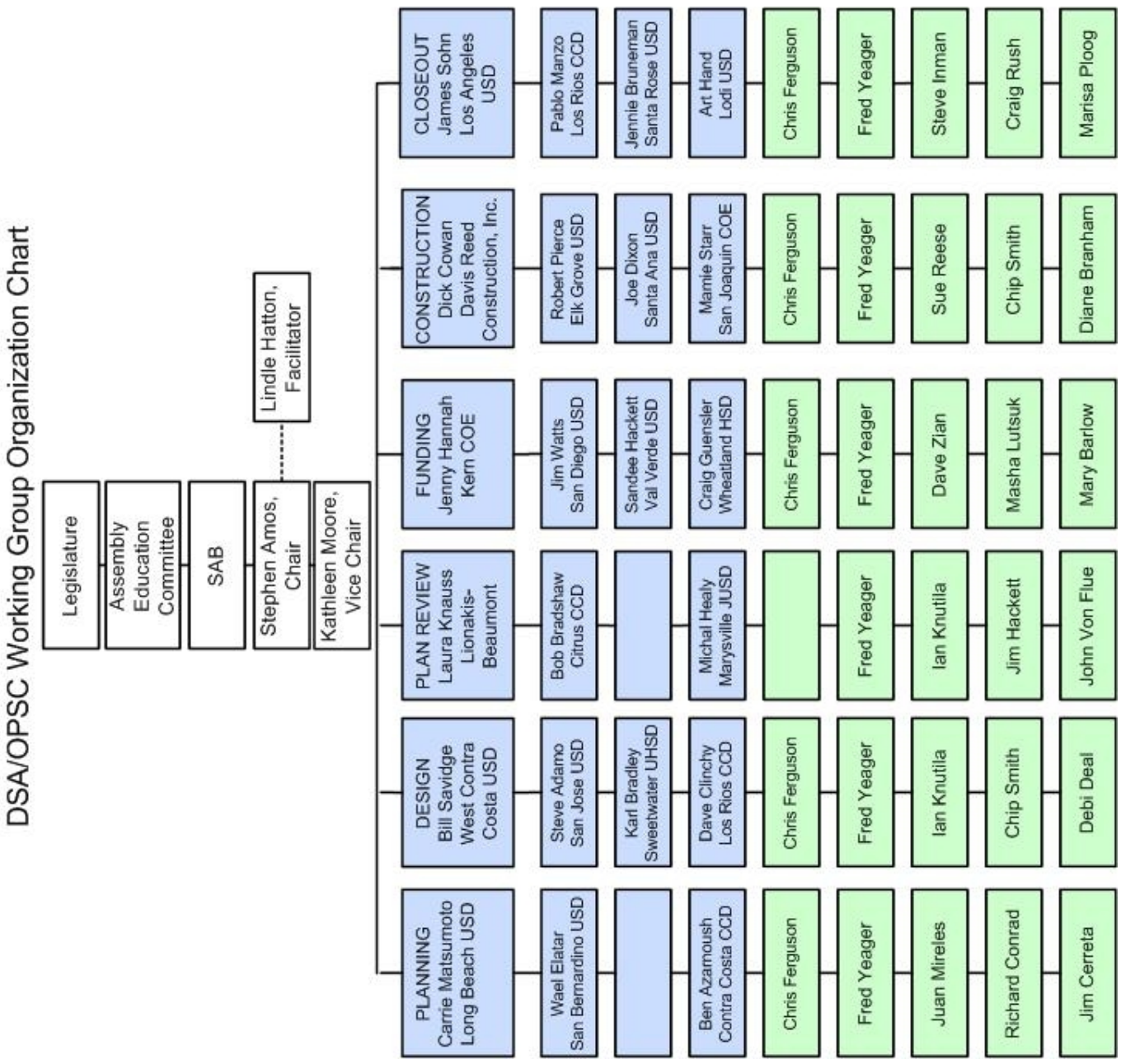
Fred Yeager	Cal Department of Ed	1430 N Street	Sacramento	95814	fyeager@cde.ca.gov	916.322.2470
FCMAT Subject Matter Designee	FCMAT	1300 17th Street – City Centre	Bakersfield	93301	jmontero@fcmat.org	661.636.4308
DSA Subject Matter Expert Designee	Division of the State Architect	1102 Q Street, Suite 5100	Sacramento	95811	kathy.hicks@dgs.ca.gov	916.445.4167
OPSC Subject Matter Expert Designee	Office of Public School Construction	707 3rd Street	West Sacramento	95605	Lisa.silverman@dgs.ca.gov	916.375.5959

Appendix E


DSA/OPSC Working Group Organization Chart
Legislature
Assembly Education Committee
SAB
Stephen Amos, Chair
Kathleen Moore, Vice Chair
Lindle Hatton, Facilitator
PLANNING Carrie Matsumoto Long Beach USD
Wael Elatar San Bernardino USD
Ben Azamoush Contra Costa CCD
Chris Ferguson
Fred Yeager
Juan Mireles
Richard Conrad
Jim Cerreta
DESIGN Bill Savidge West Contra Costa USD
Steve Adamo San Jose USD
Karl Bradley Sweetwater UHSD
Dave Clinchy Los Rios CCD
Chris Ferguson
Fred Yeager
Ian Knutila
Chip Smith
Debi Deal
PLAN REVIEW Laura Knauss Lionakis-Beaumont
Bob Bradshaw Citrus CCD
Michal Healy Marysville JUSD
Fred Yeager
Ian Knutila
Jim Hackett
John Von Flue
FUNDING Jenny Hannah Kern COE
Jim Watts San Diego USD
Sandee Hackett Val Verde USD
Craig Guensler Wheatland HSD
Chris Ferguson
Fred Yeager
Dave Zian
Masha Lutsuk
Mary Barlow
CONSTRUCTION Dick Cowan Davis Reed Construction, Inc.
Robert Pierce Elk Grove USD
Joe Dixon Santa Ana USD
Mamie Starr San Joaquin COE
Chris Ferguson
Fred Yeager
Sue Reese
Chip Smith
Diane Branham
CLOSEOUT James Sohn Los Angeles USD
Pablo Manzo Los Rios CCD
Jennie Bruneman Santa Rose USD
Art Hand Lodi USD
Chris Ferguson
Fred Yeager
Steve Inman
Craig Rush
Marisa Ploog

Appendix F

Department of General Services
Public School Design & Construction Process Program Review
Program Review Expert Workgroup – ---- Sub-group Charter

Sub-group Chair:

Sub-group Team Members:

1.
2.
3.
4.
5.
6.
7.
8.

Mission Statement

To build safe, timely, cost effective, and educationally appropriate school facilities for the students of California.

Background

In response to the recent Assembly Education Oversight Committee hearing and with the State Allocation Board's encouragement, the Department of General Services is pursuing a collaborative effort to identify and institute improvements to the public school design and construction processes.

Goal

To recommend improvements to the planning portion of the public school construction process, while noting those aspects of the process that are working well.

Objectives

1. In one meeting, identify and prioritize the top ten problems and issues in the **----** process. Note processes and policies that are working well (best practices).
2. To recommend solutions to the problems and issues identified by the type of change needed (legislative, regulatory, policy, procedural, education/training, communication, collaboration).
3. To recommend timeframes for implementing the proposed solutions:
   - Short Term (within 3-12 months)
   - Intermediate (within 12-36 months)
   - Long term (within 36-60 months).
4. To recommend performance measures to determine the effectiveness of each recommended solution.

Scope

Limited to Public School Construction ----

Responsibilities of Participants

1. Attend the meeting scheduled on ----
2. Complete the reporting template for presentation to the Expert Workgroup

Ground Rules:

1. Physical attendance is required.
2. No substitutes are allowed.
3. No visitors are allowed.
4. No PDAs

WHAT IS WORKING:

_____

_____

_____

_____

_____

_____

_____

California Public School Construction
Expert Workgroup
PROCESS REVIEW

Department of General Services
Public School Design & Construction Process Program Review
Program Review Expert Workgroup – ---- Sub-group Charter

TOP 10 PROBLEMS/ISSUES (in priority order)	PROPOSED SOLUTIONS [note proposals as legislative (L), regulatory (R), policy (P), procedural (PR), education/training (ED), communication (Com), collaboration(C)]
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____
4. _____	4. _____
5. _____	5. _____
6. _____	6. _____
7. _____	7. _____
8. _____	8. _____
9. _____	9. _____
10. _____	10. _____

SOLUTIONS TIMELINE

Short Term (3-12 mos.)	Intermediate (12-36 mos.)	Long Term (36-60 mos.)
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

RECOMMENDED PERFORMANCE MEASURES:

_____

_____

_____

_____

NOTED DISAGREEMENTS OVER TOP 10 PROBLEMS IDENTIFIED OR SOLUTIONS RECOMMENDED:

_____

_____

_____

California Public School Construction
Expert Workgroup
PROCESS REVIEW

Appendix G

The numbers in the green headings indicate which subgroup/s identified a given problem/issue as one of its top priorities, and signify the priority order assigned to the problem/issue by the subgroup/s. The proposed solutions column consolidates the solutions recommended by each subgroup. The "x" marks under the subgroup headings indicate which subgroup/s suggested each proposed solution. The organization of the summary matrix provides an at-a-glance method of identifying problems/issues and proposed solutions that were discussed by multiple subgroups.

		Expert Workgroup Members	Planning	Design	Plan Review	Funding	Construction	Closeout	
Points	**Problem/Issue**		**4**	**3,4,5**	**1,3**		**1**		**Proposed Solutions**
32	Lack of communication/ coordination between all parties/ customer service/ interagency collaborative process/ single point of contact	Priority # 1: Lack of communication/ coordination between all parties/ customer service/ interagency collaborative process/ single point of contact	x	x	x		x		1. Agencies conduct combined outreach and training/workshops/"Agency school"
			x	x	x				2. Single, unified agency for school construction (umbrella over agencies, annual program reviews, streamlining)
		Priority # 1: Lack of communication/ coordination between all parties/ customer service/ interagency collaborative process/ single point of contact	x	x	x				3. Standardized tracking/application number across all agencies, one website
				x	x				4. Ombudsman/customer advocate/liaison
		Priority # 1: Lack of communication and understanding between districts and state agencies		x	x				5. Mandatory call back response (call back within 2 working days, response within 5 working days, out of office messages)
		Priority # 1: Lack of communication/ coordination	x						6. Engagement early in the process with appropriate agencies (CDE, OPSC, DSA, DTSC, DIR)
				x					7. Develop a facilities task force
		Priority # 1: Lack of communication/ coordination between agencies - Customer service / single point of contact		x					8. Establish a program-wide, unified collaborative process and require agency & district participation
					x				9. Identify district contact on forms
		Priority # 2: Lack of communication/ coordination between all parties/ customer service/ single point of contact		x					10. Develop effective communication venues (websites, email, phone, effective, information updated regularly, communication roadmap, establish best practices)
		Priority # 4: Collaboration on a regular basis between CDE, OPSC, and DSA to contribute assistance in concert to assist districts		x					11. Establish uniform accounting method at local level
					x				12. Single point of contact/project manager at district level
		Priority # 5: State Agency Collaboration and Project Tracking			x				13. Set schedules and teams
					x				14. Technology solutions (electronic plan check)

Prioritization System:
Priority 1 = 5 points; Priority 2 = 4 points; Priority 3 = 3 points; Priority 4 = 2 points; Priority 5 = 1 point

Page 1

California Public School Construction Expert Workgroup PROCESS REVIEW

ISSUES/SOLUTIONS

Points	Problem/Issue	Expert Workgroup Members	Planning	Design 2	Plan Review 2	Funding	Construction	Closeout 2	Proposed Solutions
29	Inconsistency, interpretation, duration and timing of agencies' reviews/changes and revisions to design documents	Priority # 1: Inconsistency, interpretation, duration and timing of agencies' reviews/changes and revisions to design documents --- Priority # 1: OPSC "Bin Time" and Cultural Change --- Priority # 2: Inconsistency, interpretation, duration and timing of agencies' reviews/changes and revisions to design documents --- Priority # 2: Ensure that processing is completed in a timely and efficient manner on projects by the OPSC for new construction, modernization, and repairs --- Priority # 2: Inconsistency of DSA Regional Offices / Inconsistency of interpretation / Streamlining --- Priority # 3: Inconsistency of interpretation, duration and timing of agencies' reviews --- Priority # 4: Inconsistency, interpretation, duration and timing of agencies' reviews/ changes and revisions to design documents --- Priority # 4: Inconsistency, interpretation et al		x					1. Assessment of potential barriers and obstacles
				x					2. Develop an internal process audit (refer to DSA metrics)
				x					3. Implementation plan (review schedules and durations)
					x				4. Annual training workshops for DSA, OPSC, CDE, DOF, designers/architects, districts. Topics: policies, procedures, updates.
					x				5. Continuity between regional offices and programs (build accountability, consistent policies, statewide teams)
					x				6. Tracking schedule/customer oriented (FAQ)
								x	7. Educational policy (define, documentation, dissemination, verification)
								x	8. Manage disputes (timely turn-around, identify point of contact, more robust dispute process)

Prioritization System:
Priority 1 = 5 points; Priority 2 = 4 points; Priority 3 = 3 points; Priority 4 = 2 points; Priority 5 = 1 point

Page 2

California Public School Construction Expert Workgroup PROCESS REVIEW

ISSUES/SOLUTIONS

Points	Problem/Issue	Expert Workgroup Members	Planning	Design	Plan Review	Funding	Construction	Closeout	Proposed Solutions
19	New projects held up	Priority # 1: DSA project closeout. Old projects so that new projects can move forward on those sites. --- Priority # 2: New projects held up by completed, but uncertified projects with submitted DSA applications --- Priority # 2: New projects held up by closeout audits --- Priority # 3: DSA Close-Out --- Priority # 4: Streamlined Closeout Process --- Priority # 5: New projects held up due to close out						x	1. Adopt policy for sufficient evidence of progress
								x	2. Written policy for health and safety projects to be approved
								x	3. Method to include old scope/documents in new project
Points	**Problem/Issue**					**2**			**Proposed Solutions**
15	Grant adequacy (project vs. program, Geographic Index Factor, Construction Cost Index, one grant for all, life-cycle costs)	Priority # 1: Adequate funding for complete school projects --- Priority # 2: Grant adequacy (project vs. program, Geographic Index Factor, Construction Cost Index, one grant for all, life cycle costs) --- Priority # 3: Grant adequacy --- Priority # 4: OPSC Review of Funding --- Priority # 5: A construction cost index that is based upon prevailing wage cost only for construction and modernization for our public schools in California				x			1. Collaborative process to establish a more equitable standard that offers more flexibility (review every 3 years)
						x			2. Select/set standard annual Construction Cost Index (definition, timing/applicability, appropriate gauge, match to market)
						x			3. Collaborative process to establish a standard for type of construction (incentive for long-lasting construction)

Prioritization System:
Priority 1 = 5 points; Priority 2 = 4 points; Priority 3 = 3 points; Priority 4 = 2 points; Priority 5 = 1 point

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California Public School Construction Expert Workgroup PROCESS REVIEW

ISSUES/SOLUTIONS

Points	Problem/Issue	Expert Workgroup Members	Planning	Design	Plan Review	Funding	Construction	Closeout	Proposed Solutions
10	Change orders (IR-A6)/material scope changes/field change directives	Priority # 1: Change orders (IR-A6)/material scope changes/field change directives --- Priority # 3: Change orders (IR A-6)/material scope changes/field change directives --- Priority # 4: Change orders/material scope changes/field change directives					4	5	1. Review and approve FLS, ACS, SSS change orders only (administrative change orders submitted for audit)
								x	2. Implement construction change document used for non-technical changes
							x		3. Implement a short-turnaround DSA approval process for change orders
							x		4. Define the nature of construction changes that require OPSC and CDE review, and the implications of these changes (milestones)
Points	**Problem/Issue**			**8**		**5**			**Proposed Solutions**
6	Process is too complicated and time-consuming/ complexity of total process	Priority # 3: Process is too complicated and time-consuming/ complexity of total process --- Priority # 3: Process is too complicated				x			Make the funding application straight-forward (review current application; make needed modifications; question-driven, automated, interactive application)
Points	**Problem/Issue**						**2**		**Proposed Solutions**
6	One system to manage all processes/ soft costs and time too high	Priority # 2: One system to manage all processes/ soft costs and time too high --- Priority # 4: One system to manage all processes/ soft costs and time too high					x		1. Raise the dollar value threshold for agency involvement ($250,000)
							x		2. Institute DSA small project process (flexibility on PC utilization)
Points	**Problem/Issue**							**4**	**Proposed Solutions**
6	Volume of documentation/ missing documents	Priority # 2: Volume of documentation / missing documents --- Priority # 5: Volume of documentation/ missing documents --- Priority # 5: Volume of documentation						x	1. Eliminate inspection documents that are DSA specific
								x	2. Uniformity of IOR/closeout specialists (education processes)
								x	3. IOR identified as responsible party to collect closeout documents

Prioritization System:
Priority 1 = 5 points; Priority 2 = 4 points; Priority 3 = 3 points; Priority 4 = 2 points; Priority 5 = 1 point

California Public School Construction Expert Workgroup PROCESS REVIEW

ISSUES/SOLUTIONS

Points	Problem/Issue	Expert Workgroup Members	Planning	Design	Plan Review	Funding	Construction	Closeout	Proposed Solutions
					3				
6	Insufficient level of expertise, best practices, education: for all stakeholders	Priority # 1: Insufficient level of expertise, best practices, education: for all stakeholders --- Priority # 6: Insufficient level of expertise, best practices, education: for all stakeholders			x				1. Establish an ombudsman
					x				2. Re-write regulations in simplified terms
					x				3. Update and utilize best practices
					x				4. Expanded availability of county-level project managers (cost savings/cost sharing, regionalized, mid-level opportunities, funding)
			2						
5	Disconnect between programming and finance	Priority # 3: Disconnect between financing and program - especially as it relates to equity --- Priority # 5: Disconnect between programming and finance --- Priority # 5: Disconnect between programming and finance	x						1. Review State's role in the process
			x						2. District-wide, long-term capital plans
			x						3. Develop training for districts and agencies on process and expectations
			x						4. Dispute resolution process
				1					
4	Budget constraints vs. program needs	Priority # 2: Budget constraints vs. program needs		x					1. Assess funding mechanisms by other states
				x					2. Set benchmarks/Federal, State, and local expectations
				x					3. Assess past projects (need accurate data, Financial Hardship districts, Statewide software/establish a unified database)
				x					4. Establish best practices (delivery methods, set indices, pre-approved plans)
				x					5. Encourage equity (Financial Hardship districts, establish a baseline for equity)
			5						
4	Regulation changes	Priority # 2: OPSC Regulation Interpretation							

Prioritization System:
Priority 1 = 5 points; Priority 2 = 4 points; Priority 3 = 3 points; Priority 4 = 2 points; Priority 5 = 1 point

California Public School Construction Expert Workgroup PROCESS REVIEW

ISSUES/SOLUTIONS

Points	Problem/Issue	Expert Workgroup Members	Planning	Design	Plan Review	Funding	Construction	Closeout	Proposed Solutions
							3		
4	Project inspector oversight/ fragmentation (DSA Field Inspector and IOR)	Priority # 3: Project inspector oversight/fragmentation (DSA Field Inspector and IOR) ---------- - Priority # 5: Construction process IOR/DSA Oversight Reform					x		1. Permit districts to identify one source authority with architect
							x		2. Design professional has authority to approve/authorize non-structural life safety/accessibility changes without agency involvement
							x		3. Require publication of field engineer trip notes and project inspector deviations to all parties of construction projects
							x		4. Definition, publication, and education on the role of the IOR
							x		5. Prohibit field engineer from making changes to approved plans
								3	
Points	Problem/Issue								Proposed Solutions
3	Extenuating circumstances/ inability to contact people/ exceptions	Priority # 3: Extenuating circumstances/ inability to contact people/ exceptions						x	1. Educate clients on project certification guide (expand guide, instructions, collaborative certification, feedback)
								x	2. Allow design professionals, DSA-approved inspector of record (IOR), or DSA structural engineer to certify adequacy of construction
					4				
Points	Problem/Issue								Proposed Solutions
3	Timing of eligibility and funding, restrictions on use of funding	Priority # 3: Timing of eligibility and funding, restrictions on use of funding				x			1. Establish new construction eligibility prior to DSA plan approval (timing, expanding program to allow this, long-term [10-year] facilities plan)
						x			2. Reduce timelines for full reimbursement projects
								6	
Points	Problem/Issue								Proposed Solutions
3	Certification of portable classrooms	Priority # 4: Certification of portable classrooms ---------- Priority # 5: Certification of portable classrooms						x	1. For legacy projects, no in-plant inspection report required
								x	2. Streamline documentation for new portable buildings
			7	6					
Points	Problem/Issue								Proposed Solutions
3	Disconnect between State agencies and local jurisdictions	Priority # 3: Funding of offsite development demands at local level by the SAB and OPSC							

Prioritization System:
Priority 1 = 5 points; Priority 2 = 4 points; Priority 3 = 3 points; Priority 4 = 2 points; Priority 5 = 1 point

Expert Workgroup

ISSUES/SOLUTIONS

Points	Problem/Issue	Expert Workgroup Members	Planning	Design	Plan Review	Funding	Construction	Closeout	Proposed Solutions
2	Addressing eligibility issues	Priority # 4: Addressing eligibility issues	x						1. Review and implement a School Facility Program eligibility system that truly reflects the needs of schools (modernization and new construction eligibility, portables)
			x						2. Review and define use of SFP eligibility (classrooms)
Points	**Problem/Issue**						**5**		**Proposed Solutions**
2	Alternative project delivery regulations	Priority # 4: Alternative project delivery regulations							
Points	**Problem/Issue**						**8**		**Proposed Solutions**
1	DSA: Construction is a step-child/construction management, document approvals are slow/data isn't visible	Priority # 5: DSA: Construction is a step-child/construction management, document approvals are slow/data isn't visible							
Points	**Problem/Issue**					**1**			**Proposed Solutions**
0	Lack of definition of an adequate school/ minimum essential facilities for SFP projects					x			1. CDE enhanced involvement in a collaborative process (regulations, define facilities, establish a baseline for adequate school facilities, consider and quantify costs)
						x			2. Best practices approach: State to offer optional, pre-approved construction plans for school districts to access (no reductions in funding, education needed, vet process)
Points	**Problem/Issue**				**4**				**Proposed Solutions**
0	Timing, quality, and completeness of submittals/project ownership				x				1. Submittal checklist
					x				2. Participation in preliminary collaborative design meetings
					x				3. Interdisciplinary communication (collaboration between entities, quarterly meetings)

Prioritization System:
Priority 1 = 5 points; Priority 2 = 4 points; Priority 3 = 3 points; Priority 4 = 2 points; Priority 5 = 1 point

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California Public School Construction Expert Workgroup PROCESS REVIEW

ISSUES/SOLUTIONS

Points	Problem/Issue	Expert Workgroup Members	Planning	Design	Plan Review	Funding	Construction	Closeout	Proposed Solutions
					5				
0	Unrealistic timeframes/ funding/ ready access				x				1. Notification of Pending Funding (tracking system)
					x				2. Communication plan
					x				3. Establish timeline for managing change order reviews, addenda, ECDs, deferred approvals, field orders, CAPS
Points	Problem/Issue		8						Proposed Solutions
0	Establishing educational specifications		x						1. Develop specifications (by professional consultants, with districts)
			x						2. Assistance for school districts to develop specifications
Points	Problem/Issue		10						Proposed Solutions
0	Local school boards understanding their responsibilities and timing		x						1. Education (training, communication)
			x						2. Orientation for school board members (manual, process)
Points	Problem/Issue		3						Proposed Solutions
0	Expanding role of agencies beyond their charge								
Points	Problem/Issue		6						Proposed Solutions
0	Budgeting and securing local financing								
Points	Problem/Issue				6				Proposed Solutions
0	Electronic plan check								
Points	Problem/Issue					6			Proposed Solutions
0	Financial Hardship program/need								
Points	Problem/Issue						6		Proposed Solutions
0	Pre-qualification of bidders and award								
Points	Problem/Issue			7					Proposed Solutions
0	Lack of pre-approved school design plans								
Points	Problem/Issue				7				Proposed Solutions
0	Access compliance/ no field operation/ stops at plan review								

Prioritization System:
Priority 1 = 5 points; Priority 2 = 4 points; Priority 3 = 3 points; Priority 4 = 2 points; Priority 5 = 1 point

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California Public School Construction Expert Workgroup PROCESS REVIEW

ISSUES/SOLUTIONS

Points	Problem/Issue	Expert Workgroup Members	Planning	Design	Plan Review	Funding	Construction	Closeout	Proposed Solutions
						7			
0	Total costs (site development, time of review, Codes and process)								
							7		
0	4-306 requirement for DSA approval prior to contracts is limiting								
								7	
0	Work constructed without DSA approval/ align real scope with DSA submittal								
					8				
0	Construction process field review/ Code interpretation/ final authority								
						8			
0	Eliminate special interests that siphon funding/ new programs								
			9						
0	Re-examine site selection process and standards								
				9					
0	Community college process: perceived scope changes								
						9			
0	Full and final								
							9		
0	Prohibition on increments and deferred approvals is problematic								

Prioritization System:
Priority 1 = 5 points; Priority 2 = 4 points; Priority 3 = 3 points; Priority 4 = 2 points; Priority 5 = 1 point

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California Public School Construction Expert Workgroup PROCESS REVIEW

ISSUES/SOLUTIONS

Points	Problem/Issue	Expert Workgroup Members	Planning	Design	Plan Review	Funding	Construction	Closeout	Proposed Solutions
				10					
0	Conflicting nomenclature, expansion of definitions								
						10			
0	Specialists for county offices of education								
				11					
0	Architects, documents, and fee structure								

Prioritization System:
Priority 1 = 5 points; Priority 2 = 4 points; Priority 3 = 3 points; Priority 4 = 2 points; Priority 5 = 1 point

ATTACHMENT B

Department of General Services and California Department of Education Memorandum of Understanding

Participants

This Memorandum of Understanding (MOU) sets forth the agreement between the Department of General Services (DGS) and its component Office of Public School Construction (OPSC) and the Division of the State Architect (DSA) and the California Department of Education (CDE) in the review of projects in the Leroy F. Green School Facility Program (SFP) (Chapter 12.5 of the Education Code commencing with Section 17070.10) (SFP Act).

Term

The terms of this MOU shall start upon execution by all parties through June 30, 2011, unless terminated by either party for its convenience upon 30 days advance written notice. The Parties may renew this MOU annually thereafter until the short-term and intermediate-term work described in this MOU is completed; however, prior to each annual expiration, the parties will seek input from representatives of the State Allocation Board (SAB), SAB Implementation Committee and the Expert Working Group on potential revisions to the scope of work for the next annual period. Upon completion of the work in this MOU, the parties may address any outstanding issues through a permanent MOU, pursuing legislative fixes and/or initiating regulatory processes, as the parties may deem appropriate or desirable.

Background

Construction of California public schools involves a complex, multi-faceted process conducted under several diverse statutes and authorities involving the review and approval of numerous state agencies. In response to stakeholder meetings and legislative hearings, DGS, in partnership with CDE, convened an inclusive Program Review Expert Workgroup (Expert Workgroup) to conduct a construction process review, identify issues and make recommendations to improve California's school design and construction processes. The Program Review Expert Workgroup and subgroups included broad representation of stakeholders and industry experts who worked collaboratively to analyze potential administrative, regulatory and legislative changes.

The Expert Workgroup's October 1, 2010 report included six recommendations, the fourth of which was to "craft and adopt a Memorandum of Understanding (MOU)/Interagency agreement among the three primary agencies involved in the public school construction process." Some of the intended purposes for the MOU were to "describe the relationship between the DSA, the OPSC and the CDE, who are collectively charged with processing public school construction applications" and to address "the need for enhanced, more efficient communication and responsiveness between each of the involved State agencies, as well as with the agencies' customers and stakeholders."

In particular, the agencies would like to work on a two (2) phase approach to addressing the following specific issues:

- There is a lack of communication/coordination between all parties involved in the K-12 school construction process;
- There appears to be a need for improved customer service in certain K-12 school construction process areas;
- The State interagency collaborative process needs to be improved;
- A single K-12 school construction point of contact should be established;
- There are inconsistencies in the various State agency policy interpretations;
- The duration and timing of State agency reviews is variable and lacks coordination; and
- It is time consuming and cumbersome to make changes and revisions to design documents submitted to DSA for review.

The three primary agencies, DGS/OPSC, DGS/DSA and CDE, enter into this MOU in furtherance of that Expert Workgroup recommendation. Before executing this MOU, the parties have shared a draft with the Expert Workgroup, considered the Expert Workgroup comments and revised the draft as the parties deem appropriate.

Understandings:

1. **Description of Relationship:** The relationship between the DSA, the OPSC and the CDE with respect to development of school facilities is determined by their respective statutory roles and responsibilities.

    a. **OPSC:** The SFP provides school construction and modernization funding assistance to eligible Local Educational Agencies. This funding is approved by the State Allocation Board (SAB). The DGS Director administers the SFP and provides assistance to the SAB. The OPSC serves as staff to the SAB and ensures that funding requests presented to the SAB are in compliance with the laws and regulations governing the SFP. (See Ed. Code §17070.20).

b. **CDE:** The CDE must review and approve the site selection and the building plans and specifications for compliance with the standards contained in *California Code of Regulations*, Title 5 Section 14001 before the SAB may apportion funds. (See Ed. Code §17070.50). Such standards ensure that: i) sites are selected in accordance with the objectives of educational merit, safety, reduction of traffic hazards, and conformity to the land use element in the general plan of the city, county or city and county having jurisdiction, and ii) the design and construction of school facilities are educationally appropriate and promote school safety. (See Ed. Code §17251).

c. **DSA:** The DSA certifies a project's compliance with the rules and regulations adopted pursuant to Ed. Code Title I, Part 10.5, Chapter 3, Article 3 and the building standards published in *California Code of Regulations,* Title 24. (See Ed. Code §17280). The DSA review is for the protection of life and property, including structural sufficiency, fire/life safety and accessibility**.**

Each agency acknowledges and respects that the other agencies have their own independent statutory and regulatory responsibilities, creating overlaps and redundancies that serve as checks and balances to protect students and the general public. Nothing in or resulting from this MOU shall be interpreted to prevent, restrict or impede each agency from exercising its full statutory and regulatory authority.

2. **Project Meetings:** Representatives from OPSC, DSA and CDE shall meet on a monthly basis to share and discuss information about the status of the projects for the purposes of improving planning and work flow, identifying and resolving as soon as possible potential issues with specific projects and improving communication and collaboration among the agencies. The representatives will agree on the type of information and reports to be shared at the meetings to make them most productive. The meetings are intended to allow the agencies to better work together on issues that directly affect the Local Educational Agencies (LEAs) which are served.

3. **Workshops:** The agencies will jointly co-host quarterly workshops to provide agency updates to all school districts and stakeholders. The dates, locations, speakers, topics and other details will be determined by mutual agreement.

4. **Task Force:** The OPSC, DSA and CDE will establish a collaborative task-force to address the issues delineated in the background section above through the work described in Phases 1 and 2 below. Within one week following execution, each agency will identify the staff who are committed to work on the collaborative task force. The staff assigned to the task force should be knowledgeable experts in their own office and have generally familiarity with the public school construction processes and other agency processes/ programs/functions. In addition, such staff

will be responsible for coordinating with his or her organization's subject matter experts, such as IT or legal, as may be necessary to identify and address particular issues or concerns with the potential solutions considered by the task force. Collaborative task force members may be substituted at the discretion of the agency. Each Phase will result in a final report with recommendations to the management of each agency. Each solution will be implemented only if approved by the management of all of the agencies that are impacted by the proposed solution.

5. **Short-Term – (Phase 1):**

a. During the first 90 days of this MOU, the collaborative task force will attempt to identify and resolve the legal, budgetary, staffing, scheduling, logistical, technical, resource and other issues raised by the following proposed, short-term solutions:

- Streamlined state school construction process through the collaborative efforts of OPSC, DSA and CDE;
- Creation of a one-stop-shop customer orientation within OPSC, DSA and CDE;
- Requirement of a single interagency PTN;
- Establishment of a common definition of teaching station and student capacity, and
- Site acquisition issues.

b. The following specific deliverables will be generated by the interagency task force and provided to OPSC, DSA and CDE management:

- A Phase 1 Calendar of regularly scheduled meetings shall be developed within two days of formation of the task force. The calendar should also build in regular senior management status update and report meetings;
- A Phase 1 Work Plan that identifies a process to determine what and how short-term solutions can be addressed and implemented. The work plan will provide specifics for what policy, legal and other issue papers and other deliverables will be made and due dates for the deliverables within 14 days of full execution of the MOU;
- Monthly Status Reports produced by the end of each month during Phase 1;
- A Final Phase 1 Report with specific findings about each of the proposed solutions and recommendations on implementation. In addition to agency management, this report will be provided to the SAB

6. **Intermediate-Term – (Phase 2):**

a. After the completion of Phase 1, the collaborative task-force will continue to work on any remaining proposed, short-term solutions and, in addition, the following intermediate-term solutions until 36 months following effectiveness of this MOU (Phase 2):

- Develop an implementation plan to allow CDE and/or another agency designee to be the overall project lead or "ombudsman"; and
- Develop an implementation plan for DSA to permit an exception form at intake for over the counter approvals located at designated DSA offices.
- Review the various application processes to identify changes that will reduce redundancies, shorten the overall time in the state approval process and reduce costs for LEAs, without creating an unacceptable staffing, budget or administrative impact to any agency.
- Develop proposed regulatory amendments to identify and resolve, if possible, inconsistencies in areas of overlapping authority under the parties' respective regulatory schemes.

b. The following specific deliverables will be generated by the interagency task force and provided to OPSC, DSA and CDE management as part of Phase 2:

- A Phase 2 Calendar of regularly scheduled meetings within one week of commencement of Phase 2. The calendar should also build in regular senior management status updates and report meetings;
- A Phase 2 Work Plan that will provide specifics for what policy, legal and other issue papers and other deliverables will be made and due dates for the deliverables within 21 days of commencement of Phase 2;
- Monthly status reports at the end of each month during Phase 2;
- Quarterly SAB reports;
- A Final Phase 2 Report with specific findings and recommendations.

[Remainder Intentionally Blank]

MOU Monitors

The project representatives during the term of this MOU, unless substitutions are made, will be:

CDE	DGS
Name: Kathleen J. Moore Title: Division Director – School Facilities Planning Division Address: 1430 N Street Suite #1202 Phone (916) 445-2144	Name Stephen Amos Title Chief Deputy Director Address 707 Third Street West Sacramento, CA 95605 Phone: (916) 375-4267

Agreement and Execution

Approvals:

_____

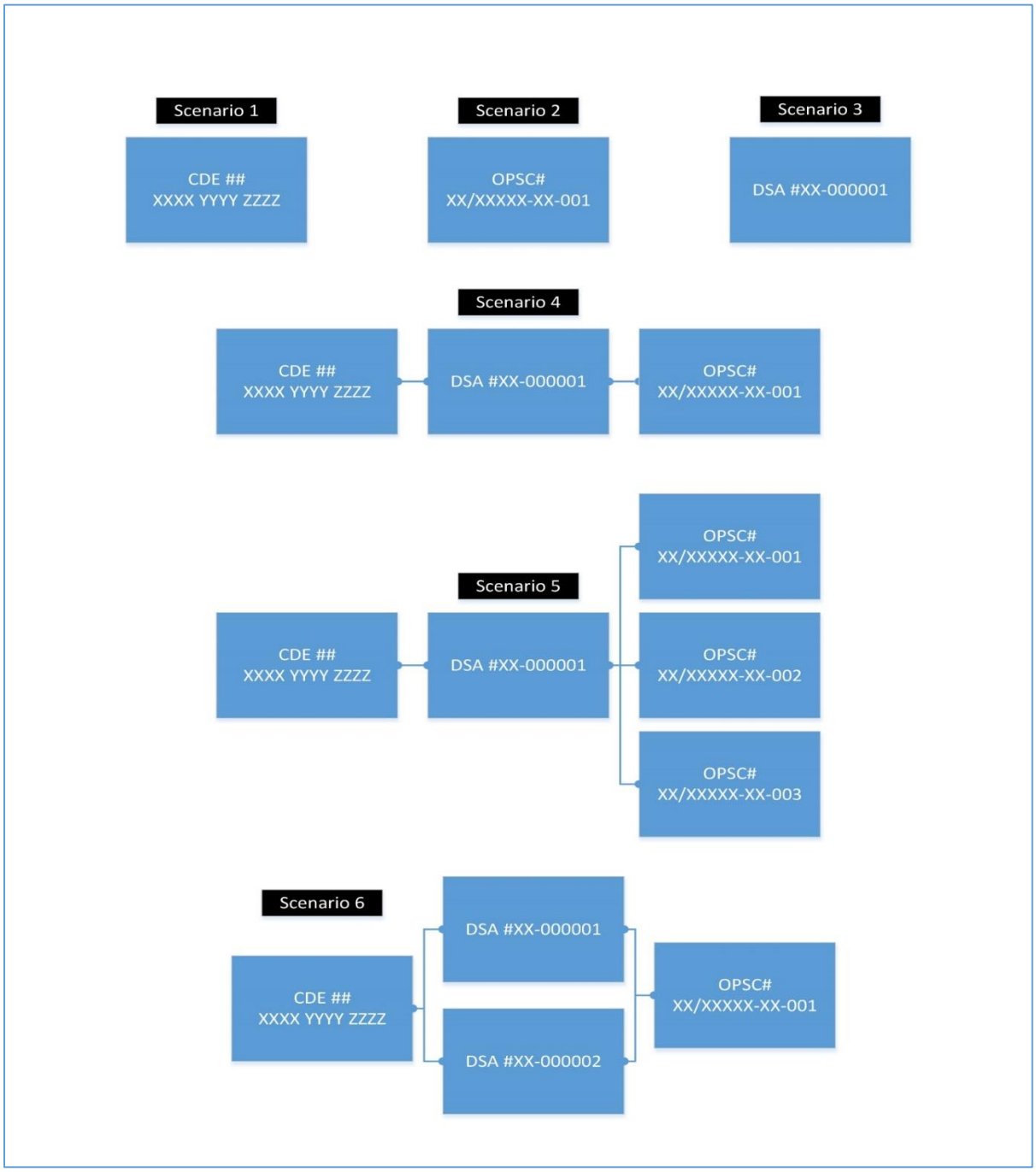
Stephen Amos, Chief Deputy Director Date: December 9, 2010
Department of General Services

_____

Kathleen J. Moore, Division Director Date: December 9, 2010
California Department of Education

ATTACHMENT C (Figure 3)

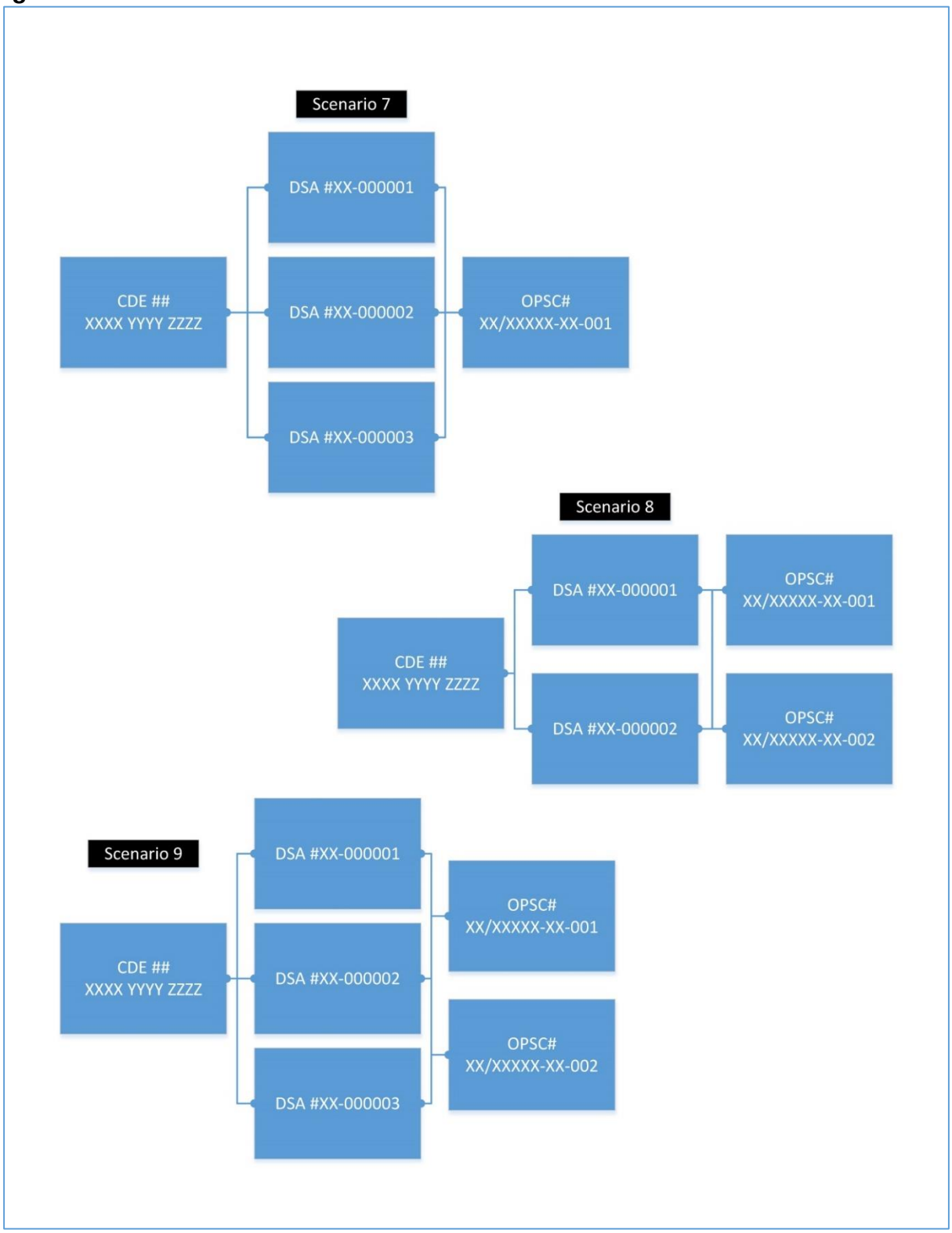
Figure 3



Link to Accessible Version of Figure 3

ATTACHMENT D (Figure 4)

Figure 4



[Link to Accessible Version of Figure 4]

ATTACHMENT E (Form Overview)

The following information was gathered during the 2010 Program Review Expert Workgroup and Subgroup meetings.

Frequently Used Forms

In order to navigate the school construction funding process in California, LEAs must obtain approvals from at least three main state agencies. The Office of Public School Construction (OPSC), Division of the State Architect (DSA) and California Department of Education (CDE) provide project approvals to LEAs seeking State funding for construction projects. These approvals are facilitated by forms, some of which are very specific to project types, but others are more frequently used by the majority of projects.

At some point it may be feasible to combine some of these forms, cross-agency, or even create a singular form that could be used for many types of projects. Below is a list of some of the information that appears to be duplicated from different forms at different agencies:

- Project type/funding source
- Acreage amounts (site size, master plan, recommended)
- Classroom counts/project capacity
- Grade levels of students served
- Hardship information (financial, environmental)
- Basic LEA information (contacts, school name, location)

In particular, it seems that OPSC and CDE have the most duplication. The forms used by the DSA are primarily focused on DSA specific approvals and duplicate very little information on the forms used by OPSC and CDE.

ATTACHMENT F

OPSC Frequently Used Forms (New Construction / Modernization / Eligibility)

- Form SAB 50-01 - Enrollment Certification / Projection:
    - This form is for New Construction eligibility only.
    - It is used to report the district's current and 3–17 past years' enrollment.
    - It is used for enrollment projections for either five or 10 years.
    - This form is available on the DGS Web site located at https://www.dgs.ca.gov/-/media/Divisions/OPSC/Forms/SAB-5001--02--03ADA.ashx

- Form SAB 50-02 - Existing School Building Capacity:
    - This form is for New Construction eligibility only.
    - It is used to report all classrooms within the district.
    - It determines how many of the classrooms reported may be excluded in the net classroom inventory.
    - This form is available on the DGS Web site located at https://www.dgs.ca.gov/-/media/Divisions/OPSC/Forms/SAB-5001--02--03ADA.ashx

- Form SAB 50-03 - Eligibility Determination:
    - This form is for both New Construction (Part I) and Modernization (Parts II and III).
    - It compares enrollment projection to net classroom inventory to determine unhoused pupil count (New Construction eligibility).
    - It also calculates site-specific pupil grant eligibility by comparing of-age classrooms (20-25 years or older) to current enrollment at a school site (Modernization eligibility).
    - This form is available on the DGS Web site located at https://www.dgs.ca.gov/-/media/Divisions/OPSC/Forms/SAB-5001--02--03ADA.ashx

- Form SAB 50-04 - Application for Funding:
    - This form is for both New Construction and Modernization.
    - It is used to request funding by accessing eligibility on file with the OPSC.
    - It contains many certifications related to the project funding and program statutes and regulations.
    - It acts as a grant agreement between the state and district.
    - This form is available on the DGS Web site located at https://www.dgs.ca.gov/-/media/Divisions/OPSC/Forms/SAB-50-04_ADA.ashx

- Form SAB 50-05 - Fund Release Authorization:
    - This form is used to request to have apportioned funds released upon entering in to contract for at least 50 percent of the work in the approved plans.
    - It requires the district to submit documentation of LCP/CMU compliance.
    - This form is available on the DGS Web site located at https://www.dgs.ca.gov/-/media/Divisions/OPSC/Forms/SAB-50-05_ADA.ashx

- Form SAB 50-06 - Expenditure Report:
    - This form is used annually after funds are released for reporting of project expenditures.
    - It must be sent annually until project all funding (state and district share) has been expended.
    - This form is available on the DGS Web site located at https://www.dgs.ca.gov/-/media/Divisions/OPSC/Forms/SAB-50-06_ADA.ashx

- Cost Estimate Document:
    - Required with all applications.
    - Estimates the cost of the work in the approved plans and specifications.
    - Used for site development review by OPSC plan verification team.

- Expenditure Worksheet:
    - This worksheet captures project funding data not contained on the Application for Funding.
    - It captures building component construction types and square footage.
    - It also captures bid climate, architectural design aspects, and high-performance grant results.
    - This worksheet is available on the DGS Web site located at https://www.dgs.ca.gov/-/media/Divisions/OPSC/Forms/Expenditure-Worksheet_ADA.ashx

DSA Frequently Used Forms

- Form DSA 1 - Application for Approval of Plans and Specifications:
    - This form is to request a plan review and approval.
    - It contains information about the scope of the project, whether it's new buildings or modernization of existing buildings.
    - It also contains estimated costs.
    - This form is available on the DSA Web site located at https://www.documents.dgs.ca.gov/dgs/fmc/gs/dsa/DSA_1.pdf

- Form DSA 6-AE - Architect/Engineer Verified Report:
    - This form is filed when work is underway or completed.
    - It is also used for the dismissal of services or if construction changes are made to the approved plans.
    - It also verifies that the materials and work performed in the project were in accordance with the *CCR*.
    - This form is available on the DSA Web site located at https://www.documents.dgs.ca.gov/dgs/fmc/gs/dsa/DSA_6-AE.pdf

- Form DSA 6-C - Contractor Verified Report:
    - This form is filed when work is underway or completed.
    - It is also used for the dismissal of services or if construction changes are made to the approved plans.
    - It also verifies that the materials and work performed in the project were in accordance with the *CCR*.
    - This form is available on the DSA Web site located at https://www.documents.dgs.ca.gov/dgs/fmc/gs/dsa/DSA_6-C.pdf

- Form DSA 6-PI - Project Inspector Verified Report:
    - This form is filed when work is underway or completed.
    - It is also used for the dismissal of services or if construction changes are made to the approved plans.
    - It also verifies that the materials and work performed in the project were in accordance with the *CCR*.
    - This form is available on the DSA Web site located at https://www.documents.dgs.ca.gov/dgs/fmc/gs/dsa/DSA_6-PI-211.pdf

CDE Frequently Used Forms

- Form SFPD 4.0 - Initial School Site Evaluation Form:
    - This form contains project and site information, such as project type; site location; grade levels; financial hardship; environmental hardship; acreage; site characteristics; and potential issues (e.g., traffic, airport, etc.).
    - This form is available on the CDE Web site located at https://www.cde.ca.gov/ls/fa/sf/documents/sfpd40revise.doc.

- Form SFPD 4.02 - School Site Report:
    - This form contains site-specific data, such as location; grade levels; acreage; financial hardship; environmental hardship; proximity to airports or geological hazards; regional and community planning efforts; surrounding developments; student transportation and safety; and topography and soil conditions.
    - This form is available on the CDE Web site located at https://www.cde.ca.gov/ls/fa/sf/documents/sfpd402.doc.

- Form SFPD 4.07 - Revised Plan Submission Requirements for New Construction Projects:
    - This form contains data, such as the anticipated funding source; student capacity of the project; building area; site area; school site safety; CEQA status; DTSC determination; Career Technical facilities; acreages; and building-specific information (e.g., uses, grade levels, size, capacity, function, etc.).
    - This form is available on the CDE Web site located at https://www.cde.ca.gov/ls/fa/sf/documents/jan2015407.doc.

- Form SFPD 4.08 - Revised Plan Submission Requirements for Modernization Projects:
    - This form contains data, such as beginning and ending classroom counts; site area; estimated costs; compliance with *CCR* (Title 5, Section 14010); CEQA status; acreages; scope of work in the following categories (technology, science, HVAC, plumbing, lighting/electrical, floors/doors/walls/windows, cabinetry, accessibility, other); and information on any space conversions.
    - This form is available on the CDE Web site located at https://www.cde.ca.gov/ls/fa/sf/documents/rev408jul10.doc.

ATTACHMENT G (Accessibility Narratives for Figures)

Accessible Version of Figure 1

Figure 1 is an image showing the Project Tracking Search screen that is located on the OPSC Web site, used to generate PTNs. The image shows the interface for searching already established PTNs in the OPSC system.

The image has two components, one above the other. The top portion of the image shows that the interface offers two selections – one for “Simple Search” and one for “Advanced Search.” The example present in the image is the interface for “Advanced Search” and prompts the user to input subsequent data in a series of fields. Starting at the top of the Advanced Search area, these are the fields, in order from top to bottom:

- The title of the first field is “Program Type” and asks the user to select between the two options of “School Facility Program (SFP)” and “Lease-Purchase Program (LPP).” There is a box to check for which of the two programs is to be selected.
- The next field is a drop-down menu that asks for “Project Type” and gives the user a selection of programs to select from. The selection shown in the example is “50 – SFP – New Construction.”
- The next field is another drop-down menu that asks for “County” and gives the user a list of all California counties to select where the project being searched is located. The selection shown in the example is “Alameda.”
- The next field is yet another drop-down menu that asks for “District” and gives the user a list of school districts in the selected county from which to choose. The selection shown in the example is “Alameda City Unified.”
- The final field is a drop-down menu that asks for “Site” and will show the user a list of sites within the selected school district. There is no selection in the example, with only the default prompt “Select District First” shown.

At the very bottom, beneath all of the fields, are two buttons. The first is titled “Search” and is used to initiate the search once each of the selections described above is made. The other button is titled “Reset” and clears the fields previously selected, if any are selected.

The second, lower component of the image shows a sample of what the search results would show the user. It lists three projects, stacked on top of each other in a vertical display, with six columns from left to right that show the particulars of each project with the title of each column being listed below from left to right in each row:

- The first column from the left is titled “Project Number” and shows the 12-digit OPSC Application Number in the following format “XX/XXXXX-XX-XXX”. The three examples shown are, from top to bottom, “50/61119-00-001,” “50/61119-01-001,” and “50/61119-01-002.”
- The second column from the left is titled “District Name” and lists the name of the School District. In the example, all three selected districts are “Alameda City Unified.”

- The third column from the left is titled “Site Name” and lists the name of the site. The three examples shown, from top to bottom, are “Otis “Frank” Elementary,” “Lincoln Middle,” and “Woodstock Elementary.”
- The fourth column from the left is titled “Status.” It shows the status of the application. Examples of statuses are “Application Complete”, “Application Received,” and “100% complete.” The three examples shown, from top to bottom, are “Application Complete,” “100% complete on 07/31/2008,” and, again, “100% complete on 07/31/2008.”
- The fifth column from the left is titled “PTN Number” and lists the 9-digit PTN Number associated with each project in each row. The PTN Number appears in the format of “XXXXX-XXXX”. The three examples shown, from top to bottom, are “61119-0065,” “61119-0015,” and “61119-0005.”
- The sixth and final column from the left is titled “DSA Number” and shows the 8-digit DSA Number associated with each project in each row. The DSA number appears in the format of “XX-XXXXXX”. The three examples shown, from top to bottom, are “01-115370,” “01-107113,” and “01-106802.”

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Accessible Version of Figure 2

Figure 2 is a Venn diagram titled “Single Project Tracking Number – Defined by School District.” The diagram illustrates the use of a single PTN at the school district level to track the potential multiple application numbers at each agency.

Directly below the title, a sample is shown of what a PTN will look like, appearing in the format of “XXXXX-YYYY.”

The Venn diagram is a large circle, and within this large circle are three smaller circles that do not intersect. The circles are situated with two displayed vertically to the left side within the larger circle, one on top of the other, and the third on the right side of the larger circle, positioned center-horizontal to the other two. A description of each smaller circle is as follows:

1. The first circle (in the top-left of the larger circle) is titled “CDE Applications” and lists two examples of CDE approval numbers, which are “00001-CCCC-DDDDD,” and “00002-CCCC-DDDDD.”
2. The second circle (in the bottom-left of the larger circle, directly below the first circle) is titled “OPSC Applications” and lists three examples of 12-digit OPSC Application numbers, which are “50/xxxxx-00-001,” “50/xxxxx-00-002,” and “57/xxxxx-00-001.”
3. The third and final circle (in the middle-right of the larger circle, directly next to the center-point between the other two circles) is titled “DSA Applications” and lists three examples of 8-digit DSA Application numbers, which are” AA-000001,” “AA-000002,” and “AA-000003.”

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Accessible Version of Figure 3

Attachment B, Figure 3, is titled “Attachment B (Figure 3)” at the top-center of the page.

Below the title at the top of the page are six listed scenarios with display boxes detailing each scenario. Within each display box, there is agency information and an example of the format of the project number. A description of each scenario and display box is below:

Scenario 1

Scenario 1 shows what would happen if the applicant only needed to obtain a Project Tracking Number (PTN) for a California Department of Education (CDE) approval. The box, located directly below the title “Scenario 1,” shows the letters “CDE” with two hashtag symbols to the right of them. Below that, also within the box, is an example of the formatting of the CDE Number, which is shown as “00001 CCCC DDDDD.” The “Scenario 1” box is located in the top-left of the image.

Scenario 2

Scenario 2 shows what would happen if the applicant only needed to obtain a PTN for an Office of Public School Construction (OPSC) approval. The box located directly below the title “Scenario 2,” shows the letters “OPSC” with a hashtag symbol to the right of them. Below that, also within the box, is an example of the formatting of the OSPC Number, which is shown as “XX/XXXXX/XX-001.” The “Scenario 2” box is located in the top-center of the image.

Scenario 3

Scenario 3 shows what would happen if the applicant only needed to obtain a PTN for a Division of the State Architect (DSA) approval. The box located directly below the title “Scenario 3” shows the letters “DSA.” To the right of that, also within the box, is an example of the formatting of the DSA Number, which is shown as “#XX-000001.” The “Scenario 2” box is located in the top-right of the image.

Scenario 4

Scenario 4 shows what would happen if the applicant needed a PTN for all three agencies’ approval, CDE, OPSC, and DSA. All three can be obtained using the same PTN, as they are for the same project. The display boxes for Scenario 4 are the same boxes used and described above for each agency in Scenarios 1-3 and are listed from left to right, connected to each other, starting with CDE on the left, then DSA in the middle, and OPSC to the right. Scenario 4 appears directly below Scenarios 1-3 on the image.

Scenario 5

Scenario 5 shows what would happen if the applicant was using one PTN to obtain one approval from CDE, one approval from DSA, and then three approvals (or applications) from OPSC. The display boxes for Scenario 5 are the same boxes used and described above for CDE and DSA in Scenarios 1 and 3, and are listed from left to right, all boxes connected to each other, starting with one box for CDE, then one box for DSA in the

middle, and finally three boxes listed for OPSC to the right of that. The three OPSC boxes are stacked horizontally, and while the top box is identical to the OPSC box in Scenario 2, with the example of a project number presented as “XX/XXXXX/XX-001,” the middle box alters the example to “XX/XXXXX/XX-002” and the bottom box alters the example to “XX/XXXXX/XX-003.” Scenario 5 appears directly below Scenario 4 in the image.

Scenario 6

Scenario 6 shows what would happen if the applicant was using one PTN to obtain one approval from CDE, two approvals from DSA, and then one approval (or application) from OPSC. The boxes are listed from left to right, all boxes connected to each other, starting with one box for CDE on the left, then two boxes for DSA stacked horizontally in the center-middle, and finally one box listed for OPSC to the right. The display box for CDE is identical to the example shown in Scenario 1. The top box for DSA is identical to the box shown in Scenario 3, with the example of a project number presented as “#XX-000001,” but the bottom box alters the example to “#XX-000002.” The box for OPSC is identical to the box presented in Scenario 2. Scenario 6 appears directly below Scenario 5 in the image.

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Accessible Version of Figure 4

Attachment B, Figure 4, is titled “Attachment B (Figure 4)” at the top-center of the page.

Below the title at the top of the page are three listed scenarios with display boxes detailing each scenario. Within each display box, there is agency information and an example of the format of the project number. A description of each scenario and display box is as follows:

Scenario 7

Scenario 7 shows what would happen if the applicant was using one PTN to obtain one approval from CDE, three approvals from DSA and then 1 approval (or application) from OPSC. The boxes are listed from left to right, all boxes connected to each other, starting with one box for CDE on the left, then three boxes for DSA stacked horizontally in the center-middle, and finally one box listed for OPSC to the right. The display box for CDE is identical to the example shown in Scenario 1. The top for DSA is identical to the box shown in Scenario 3, with the example of a project number presented as “#XX-000001,” but the middle box alters the example to “#XX-000002” and the bottom box alters the example to “#XX-000003.” The box for OPSC is identical to the box presented in Scenario 2. Scenario 7 appears at the top-left of the image.

Scenario 8

Scenario 8 shows what would happen if the applicant was using one PTN to obtain one approval from CDE, two approvals from DSA, and two approvals from OPSC. The boxes are listed from left to right, all boxes connected to each other, starting with one box for CDE on the left, then two boxes for DSA stacked horizontally in the center-middle, and finally two boxes for OPSC stacked horizontally to the right. The display box for CDE is identical to the example shown in Scenario 1. The top box for DSA is identical to the box shown in Scenario 3, with the example of a project number presented as “#XX-000001,” but the bottom box alters the example to “#XX-000002.” The box for OPSC is identical to the box presented in Scenario 2 with the example of a project number presented as “#XX/XXXXX/XX-001,” but the bottom box alters the example to “XX/XXXXX/XX-002.”. Scenario 8 appears in the center-middle of the image.

Scenario 9

Scenario 9 shows what would happen if the applicant was using one PTN to obtain one approval from CDE, three approvals from DSA, and two approvals from OPSC. The boxes are listed from left to right, all boxes connected to each other, starting with one box for CDE on the left, then three boxes for DSA stacked horizontally in the center-middle, and finally two boxes for OPSC stacked horizontally to the right. The display box for CDE is identical to the example shown in Scenario 1. The top for DSA is identical to the box shown in Scenario 3, with the example of a project number presented as “#XX-000001,” but the middle box alters the example to “#XX-000002” and the bottom box

alters the example to “#XX-000003.” The box for OPSC is identical to the box presented in Scenario 2 with the example of a project number presented as “#XX/XXXXX/XX-001,” but the bottom box alters the example to “XX/XXXXX/XX-002.”. Scenario 9 appears in the bottom-left of the image.

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