

**CAPITAL PLANNING, DESIGN AND CONSTRUCTION
SECTION VII – FIVE YEAR CAPITAL IMPROVEMENT PROGRAM
PROCEDURES AND FORMATS FOR CAPITAL OUTLAY SUBMISSION
SECTIONS 9100 - 9114**

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9100 FIVE-YEAR CAPITAL IMPROVEMENT PROGRAM – STATE FUNDED

Reference: SAM 6812

The approved Physical Master Plan is the overall planning guide for campus development. Each campus must maintain a proposed schedule for its implementation for a five-year period.

The CSU must submit to the Department of Finance and the Legislative Analyst's Office projected capital improvement needs for five years beyond the period covered by the latest Governor's Budget each year. The Five-Year Capital Improvement Program for each campus becomes the schedule for implementation of the approved Physical Master Plan for the campus. The Five-Year Capital Improvement Program should include both state funded and nonstate funded projects.

Building projects listed in the Five-Year Capital Improvement Program shall be included on the approved Physical Master Plan for the campus. If for any reason a proposed project is not master planned, a minor or major master plan revision must be submitted to CPDC and approved prior to the project being included as a part of the Five-Year Capital Improvement Program.

9101 PROCEDURES AND FORMATS FOR MAJOR CAPITAL OUTLAY SUBMISSIONS

Major capital outlay requests must be submitted annually according to the Schedule of Submissions in the Call Letter issued each year by the chancellor's office. The schedule sets the due dates for campus submittals of all items related to the proposed capital outlay program. Requests are based on enrollment, capacity, utilization data, and on the requirements of each academic program or support program. It is essential that the presentation of the request be coordinated to reflect the relative importance of each factor. Development of the capital outlay requests require the application of the Measurement Devices for Physical Planning, SUAM Section V, and Standards for Campus Development Programs, SUAM Section VI.

Since requests must be reviewed by several divisions in the chancellor's office, as well as by state agencies, all requests for new projects must be prepared in a similar manner; uniformity of format facilitates comparison between projects and provides for better understanding by the individuals not closely related to the requesting campus or the program.

It is the policy of the chancellor's office that the individual campuses initiate requests for facilities deemed necessary to accommodate their approved programs. The chancellor's office reviews each request and submits a recommendation to the Board of Trustees. Approved projects for state funding are then forwarded to the Department of Finance and the State Legislature for review and approval.

Each capital outlay submission consists of two documents bound separately: the Capital Outlay Budget Change Proposal (COBCP) [See SAM 6818] and the Program Specifications. The COBCP describes in detail the nature of the program to be housed or accommodated by the facility. It also supplies detailed information demonstrating the need for the facility. All applicable forms and information must be submitted for all projects; special additional forms and information are required for projects such as libraries, administration buildings, and corporation yards.

The COBCP is the primary document used for screening and scoping projects. The Program Specifications document is used primarily by the project architect in developing the schematic package.

Two paper copies and an electronic copy of the draft Five-Year Capital Improvement Program must be submitted to CPDC by the date indicated on the Schedule of Submissions. A letter of transmittal should be directed to the assistant vice chancellor, CPDC with copies to the chief of facilities planning and the CPDC facility planner

Where appropriate, project summaries are to be submitted on Forms CPDC 2-3 through CPDC 2-16 for state funded projects and Forms CPDC 2-17 through CPDC 2-22 for projects funded from nonstate sources. These forms are

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required for all projects in the five-year program. The CSU Cost Guide in Appendix B should be used for estimating the costs of individual projects unless a feasibility study has been done.

9102 REVIEW AND APPROVAL OF COBCP

For a major capital outlay request, the COBCP is reviewed by appropriate divisions within the chancellor's office before presentation to the Board of Trustees and state agencies. If questions are raised or if additional information is required, the campus is so advised. When all questions have been resolved and the project has been approved by the Board of Trustees as a part of the budget year Capital Outlay Program, the COBCP is transmitted to the Department of Finance, with copies to the Legislative Analyst's Office for review.

The screening agencies in Sacramento are requested to transmit in writing any questions concerning a project to CPDC. The chancellor's office, in consultation with the individual campuses, then prepares written answers to the questions and transmits the answers. Scope visits may be scheduled to clarify and evaluate the project necessity and scope. Participants usually include DOF and LAO capital outlay staff, and may include other legislative staff, as well as appropriate CPDC staff. The scope meeting establishes a common understanding among all parties about project scope and priority.

9103 STATE FUNDED CAPACITY BUILDING: COBCP FOR NEW STARTS
(Forms and Instructions - Appendix B)

The COBCP for a capacity building includes:

1. Summary of Campus Capacity (Form CPDC 1-2);
2. Project Summary Sheet (Form CPDC 1-3);
3. Project Description (Form CPDC 1-4 See Section 9104);
4. Full-Time Equivalent Enrollment Distribution for Selected Years (Form CPDC 2-1);
5. Enrollment Distribution by Level and Category of Instruction (Form CPDC 2-2);
6. Calculation of Space Requirements for Instructional Projects (Form CPDC 2-3);
7. Summary of Space Requirements for a Building (Form CPDC 2-4);
8. Budget Composite Matrix (Form CPDC 2-6.5);
9. Capital Outlay Estimate (Form CPDC 2-7);
10. Summary of Cost Components (Form CPDC 2-7.5);
11. Energy and Utilities Planning Checklist (CPDC 2-8);
12. Information Technology Planning Sheet (Form CPDC 2-8.5);
13. Group II Equipment Adjustment List - Student Access Computing and Telecom. Equipment (Form CPDC 2-24);
14. Site Title Clearance (see Section III);
15. Master Plan Map identifying project location;
16. Other Support Documentation (feasibility studies, traffic studies, etc).

9104 PROJECT DESCRIPTION FOR CAPITAL OUTLAY PROJECT (CPDC 1-4)

A project description is required for all capital outlay projects proposed for the Governor's Budget to define the program deficiency, proposed scope, and budget. The CPDC 1-4 must:

1. Define the department's problem and establish its significance. Explain the purpose of the project, what the problem is, and what the underlying program need or infrastructure deficiency is. Explain a program-based need by relating the infrastructure request to the program. At a minimum address:
 - a. The program change.
 - b. The overall infrastructure requirement related to that change.

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1. *Capacity requirements:* Express capacity (total size) needs in terms of full-time equivalents (FTE), office space requirements, assignable and gross square footage, or other accepted “units” for the program. State deficiencies in term of space entitlements defined in Section V of SUAM, which is consistent with “capacity” measurements approved by DOF and/or the Legislature. If reference is made to any space or cost studies, attach these to the COBCP.
2. *Special space requirements:* All instructional activity space, special purpose rooms and offices must be fully described by purpose, square footage, and need (based on program requirements).
- c. What the project accomplishes towards the infrastructure requirement. If the need is not program related, explain the building/real property deficiency in terms of specific mechanical/electrical system inadequacies, code requirements, maintenance/repair difficulties, etc. Include copies of State Fire Marshal citations, Department of Health Services citations, surveys, and other documents to substantiate need.
2. Demonstrate that all reasonable alternatives to solving the problem have been explored and offer the most logical solution. In developing the alternatives, address the following:
 - a. Program delivery: are there different ways to achieve the same program outcomes?
 - b. Is there more than one potential site? What are the required site characteristics?
 - c. What are the alternative funding solutions? Which state funds sources re available? Are funding partnerships feasible with other state agencies or other levels of government?
 - d. What other management factors are critical in selecting an alternative?
 - e. For each alternative, provide the following information in brief:
 1. Description of alternative.
 2. Overview of scope.
3. Provide cost analysis of alternatives.
 - a. For each alternative, provide the following information in brief:
 1. Total cost of all phases of the project, (use only approved cost indices, and identify both short-term and long-term and life-cycle costs).
 2. Funding source, and project eligibility for that source.
 3. Summary of related program benefits and costs (include impacts on the support budget such as personnel years and operating costs specific to the program). Indicate if a support Budget Change Proposal will be required and when.
 4. Summary of facility management benefits, such as impact on the department’s maintenance budget, extension of the facility’s design life.
4. Provide detailed documentation for the proposed solution, recommended alternative, and its costs. This description is the basis on which initial scope will be defined.
 - a. All factors influencing site selection must be fully justified. For land acquisition projects where a specific site is already selected, identify why that site is critical. Address landscape character; existing resource value; existing access, utilities and structures (and how they would be used); and statewide significance.
 - b. If the recommended solution is not the least expensive, describe the factors/benefits that justify the extra cost. (This justification could address life-cycle savings, support budget offsets, or other program/management factors.)
 - c. Provide a detailed scope description. Include:
 1. Specific program needs to be addressed through the project, including: proposed size (number of stories, gross and usable/assignable square feet, etc.); special features (auditorium, greenhouse, basement ,etc.); FTE including lecture and lab, faculty offices, specific disciplines, special Group 2 equipment needs; types of basic materials to be used if known; and any other items that will allow full understanding of the proposed project. Include any project drawings or renderings if available.
 2. Specific location of the project (Master plan map to be part of the COBCP).
 3. For land acquisition projects, an inventory of existing structures and the approximate appraised value of each parcel (or group of parcels), including the basis for the appraisal (staff appraisals, previous sales, AIA appraisal, etc.)
 - d. Provide a proposed project time schedule that takes into consideration the environmental review process. The schedule should detail any construction phasing requirements to ensure the project can be completed within the time available.

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- e. Provide full cost information.
 1. Approximate cost by phase, indicating the basis on which the estimate was prepared. If costs are based on a previously developed and funded budget package, attach the Project Description (CPDC 1-4) to the COBCP. Note if costs have been adjusted for inflation and on what basis, (i.e., which specific CCCI). Indicate if the project is consistent with CSU cost guidelines. If not, what factors are causing the building to be more expensive on a cost per square foot basis. Compare proposed costs by uniformat to CSU cost guides support documentation available for certain types of buildings. High costs factors could include soils conditions, campus location, building site constraints, atypical program elements (animal labs, natatorium, planetarium, etc).
 2. A proposed funding source for each phase, including identification of any funding partners at the federal, state or local level.
 3. A complete funding history, including all previous submissions and any other data to completely describe past project history and future funding requirements.
 - f. Describe the impacts on the support budget.
 1. Include an analysis that identifies future maintenance and operation costs based on the CSU cost per square foot for new space. Identify the proposed source of funds.
 2. Add moving costs, temporary relocation costs.
 3. Identify potential cost savings (reduction in capital renewal) and the basis for calculation.
 - g. Identify and explain any project risks. If the project was previously rejected by either the Administration or the Legislature for any reason other than lack of funding, explain the basis of the rejection and any significant project changes from the previous submission. If the project has a seismic strengthening component, identify the DSA rating for the building.
 - h. List coordination responsibilities with other state agencies and levels of government, including any mandatory reviews and approvals.
 1. Impacts on other state agencies/departments.
 2. Required coordination with the State Historic Preservation Officer (see Section 6822).
 3. CEQA requirements.
 4. Clearances required from planning or review agencies such as the State Fire Marshal, Division of State Architect, CSU Seismic Peer Review, Coastal Commission, etc.
5. Explain how the project supports the campus strategic plan. Explain the project’s relevancy to the campus strategic plan.

9105 STATE FUNDED BUILDING: PROGRAM SPECIFICATIONS
(Forms and Instructions - Appendix B)

The Program Specifications must be in accordance with the scope of the COBCP. The purpose of the program specification is to provide the design architect the individual room needs of the new or renovated building. For a major capital outlay request, this document is reviewed by the chancellor's office.

The Program Specifications for a capacity building include:

- General statement prefacing Program Specifications;
- Summary of Space Requirements for Building (Form CPDC 2-4);
- Room Specifications (Form CPDC 2-6) for rooms listed in Summary of Space Requirements;
- Master Plan Map identifying the project location;
- Project Area Summary (Form CPDC 3-1)

9106 STATE FUNDED NONCAPACITY BUILDING: COBCP
(Forms and Instructions - Appendix B)

The COBCP for a noncapacity building includes:

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1. Project Summary Sheet (Form CPDC 1-3);
2. Project Description (Form CPDC 1-4);
3. Summary of Space Requirements for a Building (Form CPDC 2-4);
4. Capital Outlay Estimate (Form CPDC 2-7);
5. Information Technology Planning Sheet (Form CPDC 2-8.5);
6. Other Supporting Documentation e.g. for a library Form CPDC 2-9.
7. Telecommunications Equipment (Form CPDC 2-24);
8. Site Title Clearance (SUAM Section III);
9. Master Plan Map identifying the project location.

9107 NONSTATE FUNDED PROJECTS

In March 2002, the Board of Trustees approved a new financing program applicable to all nonstate capital outlay projects. The financing program, entitled Systemwide Revenue Bond Program, enables the Trustees to use as security revenue from continuing education, housing, health center facility fees, parking, and student union programs. Procedures for implementation are under development. SUAM will be revised upon completion of this process as needed. Until such time, procedures and formats for nonstate funded projects shall follow the requirements set forth below and in the annual Schedule of Submissions.

9108 FIVE-YEAR CAPITAL IMPROVEMENT PROGRAM,
NONSTATE FUNDED (Form CPDC 1-1 - Appendix B)

Form CPDC 1-1 constitutes the first part of a program proposal for buildings or other facilities financed by nonstate funds. Campuses shall submit to CPDC two paper copies and an electronic copy of the Capital Outlay Budget Change Proposal (COBCP) for nonstate funded projects being proposed. CPDC Facility Planners will coordinate the nonstate projects with the office of Financing and Treasury in the chancellor's office. If debt financing is being requested, the campus must provide a viable financial plan to the Office of Financing and Treasury as part of the submission of the items noted below. 1. Include the following information:

Required for All Projects

- Project Description (Form CPDC 1-4)
- Project Justification statement for first year projects only (see specific requirements below for certain programs).
- Budget Estimate (Form CPDC 2-7)
- Funding source, i.e., revenue bond sales, auxiliary organization funds, donations, etc.
- Projects which require joint funding between state and nonstate sources must be clearly identified on both the state and nonstate submissions
- Confirm availability of required utilities and infrastructure (first year projects only) [Forms CPDC 2-8 and 2-8.5]
- Master Plan Map identifying the project location

Justification Statement and Detail Required for First Year Projects

- **Student Unions:**
 - Verification of a successful student referendum for the project.
 - A viable financial plan including details of project financing which are consistent with and incorporate the standard annual student union budget plan.
- **Parking:**
 - A facility/parking spaces utilization study including factors pertaining to significant changes in enrollment, losses due to building construction, changes in mass transit patterns or community parking regulations. All parking facilities require a thorough access assessment be conducted by an independent consultant prior to submission.
 - A five-year financial plan comparing projected campus parking program revenues to expenses beginning with the current year.

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- **Housing:**
 - A housing development plan including marketing surveys of the demand for on campus and off-campus housing and rental rate surveys. (A housing development plan is not required for projects proposed in years 2 through 5, however, a preliminary five-year financial plan indicating proposed rate increases should be included.)
 - An evaluation of the proposed project by the Housing Proposal Review Committee. See coded memorandum APB-94-05 for complete summary of this requirement. This information can be accessed at <http://www.calstate.edu/FT/House/Housing>.
 - A five-year financial plan comparing projected campus housing program revenues to expenses beginning with the current fiscal year.
- **Health Center Projects:**
 - A five-year financial plan comparing projected campus health center facility fee revenues to expenses beginning with the current fiscal year.
- **Donor Funded Projects:**
 - Identification of cash on hand for the project sufficient to support the project phase(s) requested. Projected cash flows for the balance of funds for the remaining project phase(s).
- **Projects Operated by Auxiliary Organizations:**

If funded from cash, identification of cash on hand for the project sufficient to support the project phases(s) requested and a plan for obtaining cash for future phases. If project is anticipated to be funded by issuance debt, the project must have a viable financial plan submitted with the information noted above.

9109 NONSTATE FUNDED PROJECTS: COBCP
(Forms and Instructions - Appendix B)

The COBCP for a nonstate funded project includes:

1. General statement prefacing Program Specifications;
2. Summary of Space Requirements for Buildings (Form CPDC 2-4);
3. Room Specifications (Form CPDC 2-6);
4. Capital Outlay Estimate (Form CPDC 2-7);
5. Information Technology Planning Sheet (Form CPDC 2-8.5);
6. Energy and Utilities Planning Checklist (Form CPDC 2-8);
7. Program Justification (use appropriate form listed below);
 - a. Student Housing (Form CPDC 2-17);
 - b. Student Housing Dining Facilities (Form CPDC 2-18);
 - c. University Center or Campus Union (Form CPDC 2-19);
 - d. Health Center (Form CPDC 2-20);
 - e. Parking (Form CPDC 2-21);
 - f. Other Buildings and Facilities (Form CPDC 2-22);
8. Master Plan Map identifying the project location;
9. Other Supporting Documents.

9110 NONSTATE FUNDED PROJECT: PROGRAM SPECIFICATIONS

The Program Specifications must be in accordance with the scope of the COBCP. The purpose of the program specification is to provide the design architect the individual room needs of the new or renovated building. The Program Specifications for a nonstate funded project include:

- General statement prefacing Program Specifications
- Summary of Space Requirements for Building (Form CPDC 2-4)

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- Room Specifications (Form CPDC 2-6)
- Master Plan Map identifying the project location
- Project Area Summary (Form CPDC 3-1)

9111 MAJOR UTILITY PROJECTS

Major utility projects are defined as utilitarian in nature in most cases without architectural significance. For this reason, schematic approval has been delegated to the assistant vice chancellor, Capital Planning, Design and Construction.

9111.01 PROGRAM JUSTIFICATION (COBCP) FOR MAJOR UTILITY PROJECTS

The COBCP for a major utility project shall conform to the requirements of Executive Order No. 785 at www.calstate.edu/EO/EO-785.pdf and shall demonstrate a program to meet the campus' service needs for the particular utility conforming to the adopted campus master plan and (where completed) the campus Utilities Master Plan. The program shall demonstrate that the project proposed meets the stated goal of providing "optimum energy utilization, lowest life-cycle costs, and in compliance with all applicable energy codes and regulations." The program shall indicate a comparison between continuing to conduct utilities service as done historically (business as usual), other alternatives considered, and the proposed and recommended solution (business with project). This comparison shall include a net present value analysis (life-cycle cost) addressing the capital cost of the proposed project, the cost of maintaining the present versus the proposed project, and the utilities cost of the present versus the proposed project, and replacement cost of the present versus the proposed project.

Where an existing system has failed, the COBCP shall compare the direct replacement of the failed systems with that of a like kind and size versus that of the optimal proposed system. Capital cost estimates shall be prepared using Form CPDC 2-7 and accompanying detailed engineering estimate substantiation. Capital cost estimates shall include all fees necessary for the payment of capital facilities fees on behalf of public agency utility providers. For projects whose estimated energy savings exceed \$500,000 per year, the energy savings calculations shall be performed using an hour-by-hour energy modeling tool selected from the following: DOE-2.1E or later version, DOE BLAST 3.0 or later, or EnergyPro 3.1 or later, or Trace 700 or later.

The COBCP shall be provided to the project engineer as the basis of design from which the engineer shall complete the preparation of bidding documents necessary for the construction of the project.

9111.02 REVIEW AND APPROVAL OF COBCP FOR MAJOR UTILITY PROJECTS

Review and approval of major utilities projects follows the normal capital outlay process except that projects having specific payback criteria may be accelerated for Energy Efficiency Revenue Bond funding or third-part financing.

9111.03 PROGRAM SPECIFICATIONS FOR MAJOR UTILITY PROJECTS

Program Specifications for major utility projects must include a detailed description of the major components necessary to implement the project. This description shall also include a list of the buildings served, the relevant design sizes and capacities of trunk elements and any special features required to gain the optimal performance as defined in the Program Justification. Program Specifications for major utility projects shall be prepared in outline format as defined by the Construction Specifications Institute (CSI). Program Specifications shall become, along with the project justification, the basis of design for the project engineer to complete the design of the project.

9112 REQUEST FOR MAJOR CONSTRUCTION EQUIPMENT, GROUP II AND EQUIPMENT SUBSTITUTIONS (Forms and Instructions -Appendix B)

Requests for major construction equipment includes (1) an introductory page outlining the scope of the project to be equipped and (2) Form CPDC 2-23. On Form CPDC 2-23, enter all equipment that meets the characteristics outlined as follows:

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1. A useful life (including extended life due to repairs) of two years or more.
2. An identity that does not change with use, i.e., one that is not consumed by use or converted by fabrication into some other form of property.
3. A nature that makes formal property accountability practical.

Requests for capital outlay equipment substitutions requires Form CPDC 2-24 (Adjustment of Group II Equipment Funding Request To Provide For Student Access Computing and Telecommunications Equipment). This form provides the adjustment of Group II Equipment for self-instruction computer workstations in laboratories and distance learning classrooms here the standard Capital Outlay Program formula cost per assignable square foot (ASF) has been used. The form contains the necessary steps to calculate the Group II adjustment amounts for general and advanced workstations costs by subtracting out the standard Capital Outlay Program formula-generated dollar costs per ASF associated with the self-instruction laboratories and adding in the student access workstation formula costs adjustments.

9113 PROCEDURES AND FORMATS FOR MINOR CAPITAL OUTLAY SUBMISSIONS

Capital Planning, Design and Construction issues an annual Call Letter for Minor Capital Outlay submissions. The projects should be submitted using Form CPDC 2-30, Capital Outlay Minor Projects. If a proposed project is adding new space or changing the use of existing space, Form CPDC 2-31, New Space/Capacity Space Change Request must be submitted.

9113.01 MINOR CAPITAL OUTLAY PROJECTS

References: SAM 6806-6807

Minor Capital Outlay (construction) projects are limited to those projects that correct deficiencies, provide new or improved facilities, add access or provide equipment for a minor capital outlay project whose estimated total cost is \$400,000 or less. Minor construction does not include any work classified as maintenance or repair. Projects may not be grouped unless they are for similar work within one building or complex. For instructions on policy and procedures for writing minor capital outlay service agreements, see SUAM Section X. For instructions on construction procedures for minor capital outlay projects, see SUAM Section XII.

The determination and accomplishment of minor capital outlay projects have been delegated to the campuses, to which the chancellor's office allocates funds annually. Each campus has the flexibility to request minor construction funds in the manner most appropriate to meet its immediate needs within the following limitations.

- By Trustees' policy, safety items requiring correction as dictated by the Division of Industrial Safety, State Fire Marshal, Public Health, or other authoritative agency, must be given first priority.
- No projects relating to parking lots, dormitories, campus unions, health centers, or other nonstate funded projects may be undertaken with state funds. Minor construction requests for nonstate funded facilities should be submitted to Financing and Treasury for funding.
- No equipment may be purchased from minor construction funds except to equip minor capital outlay projects.
- Projects involving alterations or additions to buildings shall be approved by the State Fire Marshal and the Access Compliance Unit in the Division of the State Architect before proceeding into construction.
- No funds from this allocation may be used for routine maintenance, deferred maintenance, or special repair items.

The campuses must submit minor capital outlay projects to the chancellor's office for approval. The approved projects are submitted to the Department of Finance and the Legislative Analyst's Office for their review. In addition, campus proposed projects are validated annually by chancellor's office staff (CPDC). Campus requests for funding consideration are to be submitted on Form CPDC 2-30, the Priority List, and Form CPDC 2-31, Space Changes for Proposed Project.

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Minor capital projects whose scope of work includes any remodeling or additions, require conformance with guidelines for accommodating disabled individuals. An American With Disabilities Act (ADA) Transition Plan was prepared for each campus to address access deficiencies. Responsibility was delegated to the campuses to implement the plan. Approval must be obtained from the Access Compliance Section, Division of the State Architect (DSA), prior to awarding a contract. Projects requiring such approval shall be forwarded to the Access Compliance Section by the campus when plans are complete. A person representing campus Disabled Student Services should review the plans prior to or at the same time the plans are submitted to DSA for approval.

Savings generated by accomplishing a minor project for less than the amount funded may be used by the campus if requested and approved by CPDC and/or the funds are returned to the systemwide account for allocation for approved minor projects throughout the system. Funds not encumbered within one year from the date of appropriation automatically revert.

The campuses must submit to the chancellor's office by September 1 each year an annual report describing the minor projects accomplished and their costs, as required by the Supplemental Report of the 1980 Budget Act. These reports are reviewed and approved by CPDC and transmitted to the Department of Finance and the Legislature for review.

9114 EQUIPMENT PURCHASES FROM MINOR CONSTRUCTION FUNDS

Equipment requested from minor construction funds is not limited by dollar amount of equipment requested, but it must be for equipping a minor construction project and the total value cannot exceed the fund limit of minor capital outlay projects.