MEMORANDUM

DATE: August 26, 2005

TO: Presidents

FROM: Richard P. West
Executive Vice Chancellor
Chief Financial Officer

SUBJECT: State and Nonstate Funded Capital Outlay Program 2007/08 and Five-Year Capital Improvement Program 2007/08 through 2011/12

This memorandum transmits the schedule of submissions for the capital outlay program and related material for program development that is anticipated for 2007/08 based on the Governor’s Compact for Higher Education. Any capital improvement project estimated to cost greater than $400,000 is required to follow the process outlined in the attachments.

**State Funded Capital Outlay Program**
The 2007/08 state program is reliant upon funding from a new general obligation bond anticipated for a November 2006 ballot initiative, or legislative approval of the use of lease revenue bonds. It is anticipated that this would result in funding of $345 million each year for the California State University capital outlay program consistent with the Governor’s Compact. For planning purposes, campuses are requested to complete their CPDC 2-7 project cost estimate and schedule assuming that funding will be available in July 2007.

Attached are the categories and criteria to be used for the 2007/08 – 2011/12 Capital Improvement Program. These categories and criteria were approved by the trustees at their July 2005 meeting.

The California State University submittals to the Department of Finance (DOF) are required to have complete project descriptions and program justifications for projects proposed for the 2007/08 budget year, with project cost estimates and feasibility studies. Less detailed “Concept Paper” budget proposals are required for projects in

**KEY RESPONSE DATES**
- Draft COBCP and Nonstate Financial Plans Due by November 1, 2005.
- Final COBCP and Nonstate Financial Plan Approved by Financing and Treasury by April 1, 2006.
years two through five, to enable CPDC to categorize those projects in the CSU five-year plan.

It is the intent of the Legislature that the California State University make requests for capital outlay funding for classroom space and laboratory space justified by using legislatively approved utilization standards and a reasonable assumption of summer term enrollment. As such, CSU bases its five-year capital outlay plan on utilization of instructional facilities during the summer, assuming a summer term enrollment of at least 25% and 40% of fall/winter/spring enrollment at rural and urban campuses respectively. It is anticipated that individual campus multiyear enrollment projections will be updated by January 2006 to account for a 2.5 percent increase in funded enrollment based on the Governor’s Compact and to reflect actual enrollments reported by the campuses for 2005/06.

Nonstate Funded Capital Outlay Program
Please note that the following attachments and deadlines also pertain to projects under the Nonstate Capital Outlay program. Campuses are requested to consider the impact of financing projects on their debt capacity limitations as noted in Executive Order Number 876. In an effort to forecast and manage the future financing needs of the CSU, amendments to the Nonstate Capital Outlay program must be kept to a minimum. Financial plans for nonstate projects, for the 2007/08 action year only, should be submitted to Financing and Treasury by November 1, 2005 and approved by that office by April 1, 2006. According to the new procedures being developed for the action year Nonstate Capital Outlay Program, systemwide revenue bond financed projects will generally not be eligible for later amendment into the program to further encourage advance project planning.

Attachments
Included with this call letter are the Schedule of Submissions (Attachment 1), Guidelines for Feasibility Studies (Attachment 2), Cost Guide for proposed new buildings (Attachment 3), Capital Program Submittals and Accessing Electronic Forms (Attachment 4), and the Categories and Criteria for the 2007/08 – 2011/12 Capital Improvement Program (Attachment 5). The Cost Guide now includes base unit costs with and without General Conditions (GC’s). Projects proposed for construction using the CM@Risk method will develop base unit costs in CPDC form 2-7 without General Conditions as the GC’s are automatically calculated. A request to use the CM@Risk delivery method should be submitted to the Assistant Vice Chancellor, Elvyra F. San Juan and attached to the COBCP. As you are aware, project cost escalation has been significant and as a result CPDC increased the 2005/06 cost guide by 35 percent to derive the final 2006/07 cost guide. The enclosed 2007/08 cost guide includes an additional 5 percent escalation based on the current DOF projections. The establishment of appropriate funding levels assures that our commitment to extending the life cycle of key building systems, as well as improving the design efficiency and operation of mechanical systems, will continue as priorities for the capital development program.

We thank you and your staff for the continued fine work performed in conjunction with the preparation of the annual capital outlay program. The success of the program is a direct result of the quality and timeliness of the required submittals described on the program schedule.
Questions regarding the state-funded submissions should be directed to Mr. Larry Piper, Chief of Facilities Planning, Capital Planning, Design and Construction, at (562) 951-4106. Please contact Ms. Colleen Nickles, Director, Financing and Treasury, (562) 951-4570, with questions pertaining to the financial documentation required to support nonstate funded submissions.

Please submit all documents to Ms. Elvyra F. San Juan, Assistant Vice Chancellor, Capital Planning, Design and Construction.

Attachment 1: Schedule of Submissions
Attachment 2: Guidelines for Feasibility Studies
Attachment 3: Cost Guides
Attachment 4: Capital Program Submittals and Accessing Electronic Forms
Attachment 5: Categories and Criteria for the 2007/08 – 2011/12 Capital Improvement Program

Distribution
cc: Vice Presidents for Administration
    Vice Presidents for Academic Affairs
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    Housing Directors
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    Dr. Keith Boyum
    Ms. Karen Zamarripa
    Mr. Dennis Hordyk
    Ms. Colleen Nickles
    F&T Managers
    Ms. Elvyra F. San Juan
    CPDC Managers
The California State University Capital Outlay Program 2007/08
And Five-Year Capital Improvement Program 2007/08 Through 2011/12

SCHEDULE OF SUBMISSIONS & CALENDAR OF CAPITAL OUTLAY PROCESS

July 2005  Board of Trustees approved proposed Categories and Criteria.

October 3, 2005  CPDC issues revised campus building utilization reports.

November 1, 2005  Campuses submit the Draft Capital Improvement Program and Draft Capital Outlay Budget Change Proposals (including feasibility studies - two paper copies and one electronic copy).

November 1, 2005  Campuses submit funding source and preliminary ten-year financial plan showing operating budgets supporting the financing costs for 2007/08 nonstate projects to Financing and Treasury.

January 2006  Analytic Studies issues multiyear projections.

January 9, 2006  CPDC submits to Presidents proposed revisions to the Draft Capital Improvement Program.

March 2006  Board of Trustees approves the Draft 2007/08 COP & CIP.

April 1, 2006  Campuses submit the Final Capital Improvement Program (two paper copies and one electronic copy). Program should include:
  • Final COBCP’s with feasibility studies, including Minor Cap and Cap Renewal.
  • Final equipment lists.
  • Project Justifications & Financial Plans for 2007/08 nonstate programs.
  • Approval of Housing Proposal Review Committee for housing programs.

April 14, 2006  Campuses submit master plan map and facility legend, project photographs, and campus history for the 2007/08 COP & CIP.

June 2006  CPDC submits final COBCPs and equipment lists to DOF.

Summer/Fall 2006  2007/08 Projects and SCOPE review meetings at the campuses with State Agencies.

September 2006  Board of Trustees approves Final 2007/08 COP & CIP.

November 2006  Ballot initiative to fund the 2006/07 and 2007/08 Capital Outlay Programs (pending legislative approval.)

January 10, 2007  Governor's Budget for 2007/08 and multi–year infrastructure plan is released. DOF submits final COBCPs and equipment lists to LAO.

February 2007  Legislative Analyst’s Office releases analysis of the 2007/08 Budget Bill and COP/CIP.

March - May 2007  Legislative Committee hearings on the 2007/08 budget.

May 1, 2007  Campuses submit room specifications and initiate design architect selections/agreements for approved new projects included in the 2006/07 Governor’s Budget Bill.
GUIDELINES FOR FEASIBILITY STUDIES FOR NEW AND RENOVATION PROJECTS

The following are suggested components of the study:

- General project description
- Pre-schematic massing and floor plans
- Master planning
- Cost estimate including alternatives
- Alternatives considered
- Energy use projections
- Sustainability Measures
- Comparison of building systems life cycle cost analyses
- Code compliance (Title 24, CBC, ADA, etc.)

CPDC website for lifecycle cost analysis is available for use at:
http://www.calstate.edu/CPDC/AE/Life_cycle_cost_worksheet.xls

The following are project considerations that affect cost and should be included:

NEW CONSTRUCTION

A. PROGRAM
1. The room summary with total ASF in each discipline and proposed use Total GSF.
2. The program should be evaluated for electrical power/lighting/HVAC/central plant capacity/telecomm/sustainability and group II requirements.

B. BUILDING
1. Height and massing of building should be defined in order to determine the floor area ratio since these are the variables that determine cost.
2. Recommend structural system based on program requirements for spaces and flexibility. Consider seismic and geotechnical constraints.
3. Provide costs for two alternative exterior claddings. Type and total area of exterior cladding should be calculated for first cost and life cycle cost analysis.
4. Roofing material cost should be calculated for first cost and life cycle cost analysis.
5. Alternative HVAC systems should be determined and life cycle cost analyses should be performed.
6. Flat roofs (free of rooftop equipment) should be evaluated to maximize the potential area for photovoltaic systems. Equipment (excluding elevators) should be accommodated within building shell.
7. The cost of rooftop equipment (where necessary) should include protection and screening in the life cycle cost.
8. An extra elevator may be included, depending upon building height and function.
9. Geographical factors that may affect cost are to be considered, such as climate, topography, community interface and cost of construction in that area.
10. Identify specific sustainability design measures that will be incorporated into the building scope of the project. Prepare sustainability checklist and indicate building sustainability measures.

C. SITE
1. Location of utilities to be determined, including verification of utilities on site, estimated costs if utility relocation is considered.
2. Connections to utilities/central plant to be estimated for cost.
3. Other site information and constraints should be considered for impact on cost such as size and shape of site, and location of existing buildings. Identify service area and service access based on campus circulation.
4. Proposed site to be evaluated for soil conditions and appropriate structural system (whether spread footings/piles). Soil test needed to support choice of foundation and structural system.
5. ADA Site access improvements.
6. Identify specific sustainability design measures that will be incorporated in the site work of the project. Prepare sustainability checklist and indicate site sustainability measures.

D. CONSTRUCTION
1. Contractor's access to site and lay-down yard should be determined and cost allocated for ease/difficulty of construction in general conditions.
2. Maintenance of fire and pedestrian access on campus during construction should be determined and costs estimated.
3. Identify that there may be construction management tracking of sustainability measures.
4. Any other factors prompting a higher than average percent for general conditions should be addressed in a narrative. For example: phasing, surge space, precedent activities.

E. COST ESTIMATE
1. Use the Component Summary (CPDC form 2-7.5) in UniFormat to provide cost estimate.
2. Provide justification, with back up, for any variations from the 2007/08 cost guide.

RENOVATIONS
A. PROGRAM
1. A building's deficiencies and "need for improvement" listed in the feasibility study should be based on the programmatic needs of the academic or instructional support activities and the potential for renovations to address the need for projected capacity increases in the building.
2. The extent to which the programs would be adversely affected by lack of renovation of the building systems must be sufficiently documented.
3. Identify the extent to which building occupants would be at risk for health, life and safety without upgrades to existing (deficient) systems, including seismic structural safety, and access requirements.
4. Study should indicate previous actions taken by the campus to repair/upgrade.
5. Floor plans identifying existing rooms and proposed changes.
6. Room summary with total ASF in each discipline/use.
7. A matrix or side-by-side chart indicating existing rooms and use, with proposed room use, inclusive of support areas. Also indicate room upgrades that are necessary (i.e., HVAC; electrical power and lighting; telecom; finishes) for academic program.
8. Provide evaluation for potential sustainability measures.

B. BUILDING
1. If HVAC systems are indicated for upgrade, identify alternate designs evaluated, projected energy and operational cost savings, stating associated construction cost and payback including life cycle cost analysis of each alternate analyzed. Indicate what the costs for this building has been over time, what the energy consumption has been and in what way these costs can be reduced, and how much this would cost.
2. Replacement of any HVAC system components supported with detailed cost regarding the recent maintenance and repair costs (which presumably have been increasing), how much more useful life is projected, and what the long term cost of “band-aiding” these components might be.
3. Coordination and phasing with another capital outlay project (e.g., Telecom).
4. If ceilings are going to be dismantled, ensure that there is a programmatic requirement for that action. Provide cost justification if new light fixtures are proposed versus re-use/replace fixtures.
5. Test for hazardous materials for all proposed penetrations, whether internal or external walls; estimate abatement costs.
6. Plumbing and other utilities should have conditions verified. Field investigation should include "destructive" testing and verification.
7. Electrical supply and projected power load should be reconciled, including all proposed equipment, use of computer intensive classrooms and associated cooling. Power distribution systems should be checked for adequacy.
8. Any special requirements ("e.g., clean power" for studios) should be specifically estimated.
9. Seismic codes that are triggered by this renovation, and the cost. (e.g. Seismic Code Division VI-R which is triggered by renovations exceeding 25% of replacement cost.)

10. ADA codes that are triggered by this renovation and the cost. Including needed compliance (restrooms, signage, elevators, path of travel, door swings, door knobs, sprinklers, computer lab heights, equal access to each kind of work station, turn around space in labs), and the cost. Mention any reductions in capacity.

11. If construction is to be phased, describe how power and air are going to be continuously supplied to the occupied parts of the building.

12. Provide the cost benefit to the state for a phased versus complete renovation include leasing costs for accommodating occupants temporarily and costs for extended general conditions and overhead to phase construction. Include impacts to the academic program and impacts on graduation requirements.

13. Contractor's access to elevator in building should be determined as a cost factor.

14. Identify specific sustainability design and construction measures that will be incorporated into the building and site of the project. Prepare sustainability measures checklist.

PROPOSED FORMAT/TABLE OF CONTENTS FOR FEASIBILITY STUDIES

1. **Introduction**
   - Purpose & Executive Summary
   - Program Team

2. **Renovation**
   - Identify alternative approaches to meet the net needs of the project and provide related costs for each to provide a clear picture of options to be considered: either the reduction to the capital cost, secondary effect costs, or reduction to the capital request.

3. **Program Requirements**
   - Existing Building’s General Description
   - Building Deficiencies

4. **Site/Master Planning Issues**
   - Geographic Factors
   - Soil Conditions
   - Utilities

5. **Accessibility**
   - Cost Estimate/Analysis
   - Comparison Cost Table

6. **Building Considerations, Analysis & Description**
   - Architectural
   - Exterior
   - Height & Massing
   - Cladding
   - Structural
   - Mechanical
   - Plumbing
   - Fire Protection
   - Electrical and Telecommunications
   - Hazmat
   - Construction Phasing
   - Sustainability Measures
7. Alternatives
   Identify alternative approaches to meet the net needs of the project and provide related costs for each to provide a clear picture of options to be considered: either the reduction to the capital cost, secondary effect costs, or reduction to the capital request.

8. Project Cost Estimate
   Assumptions/Inclusions/Exclusions
   Cost by Building Component
   Analysis of variances from the CSU guidelines

9. Pre-Schematic Design Drawings

10. Sustainability Checklist
## CSU COST GUIDE FOR STATE AND NONSTATE FUNDED
## FIVE-YEAR CAPITAL IMPROVEMENT PROGRAM 2007/08 THROUGH 2011/12

**CCCI: 4865 EPI : 2726**

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<th>Type of Project</th>
<th>New Base Unit Cost per GSF w/ GC</th>
<th>New Base Unit Cost per GSF w/o GC*</th>
<th>Group I Equipment Cost (% of Bldg. Cost)</th>
<th>Group II Equipment Cost per ASF</th>
<th>Building Efficiency (%)</th>
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1. Site Work cost is per Feasibility Study or 3% of building costs.
2. Telecommunications instruments are included in Group II unit costs.
3. Conduit and risers are included in Building GSF unit costs.
4. Campus to perform feasibility study to justify costs above guidelines.
5. *General Conditions (GC's) are not included in CM@RISK base unit cost per GSF.
<table>
<thead>
<tr>
<th>Type of Project</th>
<th>New Base Unit Cost per GSF</th>
<th>New Base Unit Cost per GSF w/o GC*</th>
<th>Group I Equipment Cost (% of Bldg. Cost)</th>
<th>Group II Equipment Cost per ASF</th>
<th>Building Efficiency (%)</th>
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</table>

1. Site Work cost is per Feasibility Study or 3% of building costs.
2. Telecommunications instruments are included in Group II unit costs.
3. Conduit and risers are included in Building GSF unit costs.
4. Campus to perform feasibility study to justify costs above guidelines.
5. *General Conditions (GC’s) are not included in CM@RISK base unit cost per GSF.
I. STATE FUNDED PROJECTS

Contents of the Capital Outlay Budget Change Proposals (COBCPs) for projects proposed in the five-year program should include the following information. **ALL SUBMITTALS MUST USE CURRENT ELECTRONIC FORMS AVAILABLE FROM THE CPDC WEBSITE.** Several forms (1-3, 2-7, 2-7.5) have been modified from previous versions; all CPDC forms now specify a revision date. **Only forms with current revision dates will be accepted for the 2007/08 project submittals.**

**First Year Projects**
- COBCP Project Description (CPDC 1-4)
- COBCP Project Summary Worksheet (CPDC 1-3)
- Summary of Campus Capacity (CPDC 1-2)
- Full-Time Equivalent Enrollment Distribution for Selected Years (CPDC 2-1)
- Enrollment Distribution by Level and Category of Instruction (CPDC 2-2)
- Calculation of Space Requirements for Instructional Projects (CPDC 2-3)
- Summary of Space Requirements for a Building (CPDC 2-4)
- Room Specifications (CPDC 2-6; to be submitted prior to project funding)
- Capital Outlay Estimate (CPDC 2-7)
  - Support documents required for the 2-7:
    - Feasibility Study (see Attachment 2 for guidelines)
    - Energy and Utilities Planning Checklist (CPDC 2-8)
    - Information Technology Planning Sheet (CPDC 2-8.5)
    - Equipment List (CPDC 2-23)
    - Adjustment of Group II Equipment Budget Request (CPDC 2-24)
- Summary of Component Costs (CPDC 2-7.5)
- Space Calculation for Library (CPDC 2-9)
- An approved campus Master Plan map identifying project location
- Project Area Summary (CPDC 3-1) (Required program specifications to be prepared for transmittal to CPDC and project architect after funding is included in the Governor’s January Budget.)

**Projects in Years 2 through 5**
- COBCP Project Description (CPDC 1-4)
- Capital Outlay Estimate (CPDC 2-7)
- An approved campus Master Plan map identifying project location

II. NONSTATE FUNDED PROJECTS

Projects being proposed should include the following information:

**Required For All Projects**
- COBCP Project Description (CPDC 1-4)
- Project Justification Statement for first year projects only (see requirements below for specific programs).
- Capital Outlay Budget Estimate (CPDC 2-7)
- Funding source, i.e., program reserves, revenue bond sale, auxiliary organization funds, and donations. A preliminary ten-year financial plan projection (with two years of actuals) indicating proposed rate increases should be included for housing projects. Note: Plans due to Financing and Treasury by November 1, 2005, for projects in the action year 2007/08.
- An approved campus Master Plan map identifying project location.
Justification Statements Required for 2007/08 Nonstate Projects

Student Unions:
- Verification of a successful student referendum for the project.
- A viable financial plan, for a ten-year projection with two years of actuals, 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 financial plan comparing projected campus parking program revenues to expenses for a ten-year projection with two years of actuals.

Housing:
- A housing development plan including marketing surveys of the demand for on campus and off-campus housing and rental rate surveys.
- A request for an evaluation of the proposed project by the Housing Proposal Review Committee so that the meeting date requested will be between September 2005 and June 2006. See coded memorandum APB-94-05 for complete summary of this requirement. This information can be accessed at: [http://www.calstate.edu/FT/APBCM94/APB94-05/APB94-05.shtml](http://www.calstate.edu/FT/APBCM94/APB94-05/APB94-05.shtml).
- A financial plan comparing projected campus housing program revenues to expenses for a ten-year projection with two years of actuals. Note: Plans must be submitted to Financing and Treasury by November 1, 2005.

Health Center Projects:
- A financial plan comparing projected campus health center facility fee revenues to expenses for a ten-year projection with two years of actuals.

Donor Funded Projects:
- Identification of sufficient cash on hand for the project 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 sufficient cash on hand for the project to support the project phase(s) requested, and plan for obtaining cash for future phases. If the project is anticipated to be funded by issuance of debt, by either the Auxiliary Organization directly or through Systemwide Revenue Bonds, then the project must have a viable financial plan submitted with the information noted above.

Additional information for 2007/08 Projects:
- Confirm availability of required utilities/infrastructure. (Forms CPDC 2-8 and 2-8.5)
- A project calendar showing significant events and steps. (i.e., Housing Proposal Review Committee, Schematics Presentation at the BOT, Projected Bid Dates)
- Identification of anticipated funding sources of projects, specifically: donor funds, grants, program reserves or financing.

III. ACCESSING ELECTRONIC FORMS
To access the Chancellor’s Office Facilities Planning Web page for 2007/08 COBCP forms, use the following address: http://www.calstate.edu/CPDC/

Go to Facilities Planning, Forms, click the Major Capital Outlay button to access the desired forms available for downloading and instructions for completing the forms. For assistance contact Carol Hendrickson at (562) 951-4108 or chendrickson@calstate.edu
Categories and Criteria to Set Priorities
2007/08–2011/12 State Funded Five-Year Capital Improvement Program

General Criteria

A campus may submit a maximum of one project for the 2007/08 budget year, and one project for the 2008/09 planning year, including health and safety projects. A campus may submit a maximum of three projects per year, including health and safety projects, for the 2009/10 through 2011/12 planning years. Exceptions to this limit will be considered on an individual project basis. Equipment and seismic strengthening projects are excluded from this limit. Seismic strengthening projects will be prioritized according to recommendations from the CSU Seismic Review Board.

Campuses are to typically prepare their project requests for the five-year program using preliminary plan (P) phase funding separate from the working drawing and construction (WC) phases for new project starts. Campus requests for PWC lump sum funding will be considered on an individual project basis. Approval of a phased project will require the project to be completely funded (PWC) within the expected bond cycle.

Current trustee-approved campus physical master plan enrollment ceilings apply to on-campus station count enrollment only. These numbers are to be used as the basis of comparison for justifying capital projects that address enrollment demand to be accommodated on campus. Enrollment estimates that exceed these figures should be accommodated through distributed learning and other off-campus instructional means. Proposed renovation projects are expected to include additional instructional capacity (a minimum of 10% increase in the building’s existing capacity) as a means to address enrollment demand in these types of projects. Projects that increase capacity will receive higher priority consideration than renovation projects without enrollment capacity increases. Priorities will be determined based upon the relative deficiency in campus space.

If there are two or more auditoriums or large lecture hall projects, priority shall be given to the project for which 50 percent or more of its funding will be from nonstate sources. At least $5 million must be raised from nonstate sources for an auditorium project.

Individual Categories and Criteria

I. Existing Facilities/Infrastructure

A. Critical Infrastructure Deficiencies

These funds correct structural, health and safety code deficiencies by addressing life safety problems and promoting code compliance in existing facilities. Projects include seismic strengthening, correcting building code deficiencies, and addressing regulatory changes which impact campus facilities or equipment. These funds also include minor capital outlay and capital renewal projects.

B. Modernization/Renovation
These funds make new and remodeled facilities operable by providing group II equipment, and replacing utility services and building systems to make facilities and the campus infrastructure operable. These funds also meet campus needs by modernizing existing facilities or constructing new replacement buildings in response to academic, support program needs and enrollment demand as appropriate.

II. New Facilities/Infrastructure

These funds eliminate instructional and support deficiencies, including new buildings and their group II equipment, additions, land acquisitions, and site development.