

CAMPUS PLANNING COMMITTEE
PLANNING AND REVIEW PROCESS FOR MAJOR CAPITAL PROJECTS
(Revised June 2011)

I. INTRODUCTION

An effective major capital planning and review process will:

- Encourage appropriate participation of faculty, staff, students and administration;
- Strengthen consultation and enhance confidence and trust between, and among the several campus constituencies;
- Ensure that the academic and physical planning objectives of the campus are appropriately coordinated and facilitate the successful implementation of UCSB's 2010 Long Range Development Plan (2010 LRDP);
- Facilitate the identification and definition of major capital projects;
- Enhance priority setting;
- Ensure that the ground rules for funding of major capital projects are well understood;
- Ensure that the project planned is the project delivered by providing a mechanism for monitoring projects from inception to completion.

II. OBJECTIVES OF THE REVIEW PROCESS

- Design and implement Major Capital Projects (State and non-State) that are consistent with the UCSB *Academic Planning Statement* and the UCSB 2010 LRDP in a timely, efficient and cost effective manner;
- Maximize the capital dollars available to UCSB from all sources. (Effective planning will enhance UCSB's credibility with the Office of the President, as it competes with other campuses for scarce resources.);
- Optimize the use of capital dollars;
- Establish a clear understanding of the academic, budgetary, land use, environmental, and aesthetic impacts for each major capital project.

III. DEFINITIONS

A. MAJOR CAPITAL PROJECT:

A project that involves construction of a new building, renovation or addition to an existing building or improvements to the physical environment of the campus; whose total cost is over \$750,000.

B. 5-YEAR STATE-FUNDED MAJOR CAPITAL IMPROVEMENT PROGRAM:

This document is prepared by each campus and updated on a yearly basis for inclusion in the Regents Capital Improvement Budget submitted to the Governor. Campus priorities for state funding are displayed in this plan. The Office of the President provides a yearly 5-Year funding target to each campus.

C. PRELIMINARY PROJECT PROPOSAL (PPP):

This document is used to explain the need for, benefits to the campus and general description of a proposed new major capital project prior to investment of campus resources.

D. BUSINESS CASE ANALYSIS:

This is a process and document that provides a concise summary of the problem statement, context and objectives, alternatives considered, why the selected alternative has been chosen, and the key parameters of the selected alternative.

E. DETAILED PROJECT PROGRAM (DPP):

This is a process and document that studies in detail the requirements of the program and site associated with a new building or major renovation project and includes a detailed cost estimate.

F. PROJECT PLANNING GUIDE (PPG):

This document is required for all State funded projects and for non-state funded projects over \$5 million. It justifies and describes the project for Office of the President and serves as a formal contract in regards to program and budget scope with State approval bodies. It includes a capital improvement budget and schedule along with narrative justification and project description.

G. PRELIMINARY PLANS:

This is the phase of project development that includes schematic design and design development drawings.

H. WORKING DRAWINGS:

This phase of project development follows preliminary plans and involves the preparation of the documents necessary for a contractor to bid and construct the project.

IV. DESCRIPTION OF THE REVIEW PROCESS

A. REVIEW OF MAJOR CAPITAL IMPROVEMENT PROGRAMS (CIP)

The time line to develop the campus 10-Year State-Consolidated Financial Plan is the following:

- Presentations of Needs and Priorities by campus leadership- Sept.-December
- Planning Assumptions and Packet of potential projects provided to CPC- January

- Review of 2-3 Alternative Plans prepared in consultation with CPC- February
- Discussion by CPC - January-March
- Recommendation of campus preferred plan by Chancellor- April
- Campus submits 4-Year Plan to Office of the President- May 1

B. GENERAL GUIDELINES FOR CAPITAL IMPROVEMENT PROGRAM

- 10-Year funding target for State-funds for major capital projects is provided by the Office of the President;
- Areas that are fee-funded such as: Housing, Parking, University Center, Inter-Collegiate Athletics, and some student areas, are not eligible for state funding.
- Projects that are directly related to meeting the needs of undergraduate and graduate education, life safety and code corrections, major replacement or construction of campus infrastructure; e.g. sewer lines; and modernization of existing instruction and research buildings are given the highest priority.
- The campus strives for a balanced 10-Year Plan that addresses new building needs, campus infrastructure and modernization of existing buildings.
- Generally, a prior year's 10-Year Plan is considered a building block for the next year's Plan, to demonstrate continuity and planning. However, exceptions are not uncommon as a result of changes in Governor or Legislative priorities.

C. SUBMISSION AND REVIEW OF NEW CAPITAL PROJECTS

At any of the regularly scheduled Campus Planning Committee meetings, the Chancellor or any member of CPC may submit a Preliminary Project Proposal for a new, major capital project. Meetings are held on the last Tuesday of each month, with the exception of December. Normally CPC does not meet in July and August.

Major capital projects undergo various levels of review by CPC according to the nature of the proposed work. Depending on the project variables (fund source, scope, etc.) a given project may be exempt from CPC review, subject to Consent Agenda Action, or standard CPC review.

Major capital projects valued under \$5 million, which do not incur debt, do not utilize State funding, do not create new space, nor modify exteriors or the use of space are exempt from CPC review. Examples of such projects include lab renovations, boiler replacements, or communication wiring projects.

Major capital projects valued under \$10 million which do not utilize State funding and do not add new space nor change the use of space are reviewed under a Consent Agenda Action. These projects may utilize debt, and may also propose minor modification of building exteriors. Examples of such projects include life-safety correction projects, minor building renovations, and infrastructure projects.

All Major capital projects which utilize State funds, create new space, and/or change the use of space are subject to standard CPC review.

Below is a matrix illustrating the standards by which CPC review is determined.

	Exempt	Consent Agenda	Full Agenda
Budget	\$750K - \$5M	\$750K - \$10M	\$750K and up
External Finance	No	Possibly	Possibly
State Funding	No	No	Possibly
Additional Gross Sq. Ft.	No	No	Possibly
Modify Building Exterior	No	Minor	Possibly
Major Change of Use	No	No	Possibly
Programming/Design Phase	Minimal	Minimal	Standard
Business Case Analysis	Abbreviated	Abbreviated	Full

Prior to a proposed project being reviewed by the Campus Planning Committee the following steps should be completed: *(Anyone who has questions about procedures can contact the Director of Capital Development at ext. 8541.)*

- A clear written statement of the problem that requires a capital improvement and proposed solution;
- Review of problem and proposed solution by appropriate academic and/or non-academic administrators. For example, a proposal by a faculty member requires review by Chair, then review by Dean, and in the case of L&S review by Provost, and finally review by Executive Vice Chancellor. Proposal by a unit in Student Affairs requires review by Division head and then by Vice Chancellor.
- Proposing campus control point should contact Office of Capital Development within the Budget and Planning Office for assistance in preparing Preliminary Project Proposal (PPP). *(An outline is available in Office of Budget and Planning).*
- Campus Planning Committee reviews Preliminary Project Proposals as follows:
 - Consent Agenda: CPC reviews and acts on a Preliminary Project Proposal in a single meeting. In the event that a CPC member requests further review, the PPP will be pulled from the Consent Agenda and subject to Full Agenda review.

- Full Agenda: CPC reviews a Preliminary Project Proposal over two meetings. At first meeting, Proposal is presented by Proponent. During next month, members consult with their constituents regarding the proposed project. At the next meeting, a recommendation is made to the Chancellor on whether the project should proceed with more detailed planning.
- Following approval by the Chancellor, proponent can proceed with more detailed planning, which typically involves hiring architectural consultant, site studies and preparation of cost estimate. Proponent works with Office of Capital Development and Office of Design and Construction during this phase. At this point, a Building Committee is appointed by the campus control point to oversee project planning, and ensure campus constituencies are represented and involved in the project planning process. The Chancellor, or upon assignment by him/her, a Vice Chancellor, appoints all Building Committees.
- Following completion of Detailed Project Program (DPP), project is presented to Campus Planning Committee for review as follows:
 - Consent Agenda: CPC reviews and acts on a DPP in a single meeting. This is the final review for a Consent Agenda item. In the event that a CPC member request further review, the DPP will be pulled from the Consent Agenda and subject to Full Agenda review.
 - Full Agenda: Again review takes place over two months, with DPP presented in first month and recommendation made to Chancellor at second meeting. Recommendation to Chancellor is whether project should be approved by Chancellor and as necessary, by Office of the President and Regents, and if the project should proceed into schematic design. Proceeding with formal University approval requires all funding for the project to be identified.
- Following formal University approval and selection of an Executive Architect, the project proceeds into schematic design. This phase is managed by a project manager from Design and Construction Services, who works with Executive Architect and Building Committee.
- Following completion of schematic design, the project is presented to CPC for its final review. CPC reviews the program, design, site layout, and budget. Again review occurs over two meetings. During second meeting CPC recommends to the Chancellor whether the project should proceed into Working Drawings. If project is over \$5 million, schematic design and any environmental review documents must be approved by The Regents, or their designate, prior to start of Working Drawings.

(All projects are reviewed by the campus' Design Review Committee, during the detailed planning, and the beginning-middle-end of schematic design.)

- No further reviews of the project by CPC are required unless significant budget or program changes are proposed.

D. CHANCELLOR REVIEW AND APPROVAL OF NEW CAPITAL PROJECTS

In conjunction with the Design Review Committee, recommendations are forwarded to the Chancellor for his/her review. The Chancellor will make the final determination regarding Preliminary Project Proposals, Siting, Detailed Project Programs, and Schematic Design. H/she will then direct the Office of Budget and Planning to incorporate approved projects in the Campus State and Non-State Funded Capital Improvement Programs.

E. MONITORING CAPITAL PROJECTS

- To facilitate project monitoring, a copy of the Project Planning Guide (PPG), Detailed Project Program (DPP), and Environmental Impact Report (EIR) will be made available to members of CPC.
- The Campus Planning Committee will review the selection process for executive architects for major capital projects.
- DRC will participate in selection of an Executive Architect; review the schematic design of each major capital project, and make recommendations to the Campus Planning Committee and to the Chancellor.
- The Campus Planning Committee will receive a status report on all major capital projects at its monthly meeting.
- The Campus Planning Committee will periodically receive a comprehensive up-to-date list and schedule of potential building renewal and modernization projects and descriptions. *(See Committee Amendments, beginning pg.4)*

Items 6a through 6e will allow members of the Campus Planning Committee to monitor the progress of all major capital projects and assess, or reassess the academic impacts of projects as they evolve, in response to changes in budget, scope, site selection or other variables.
--