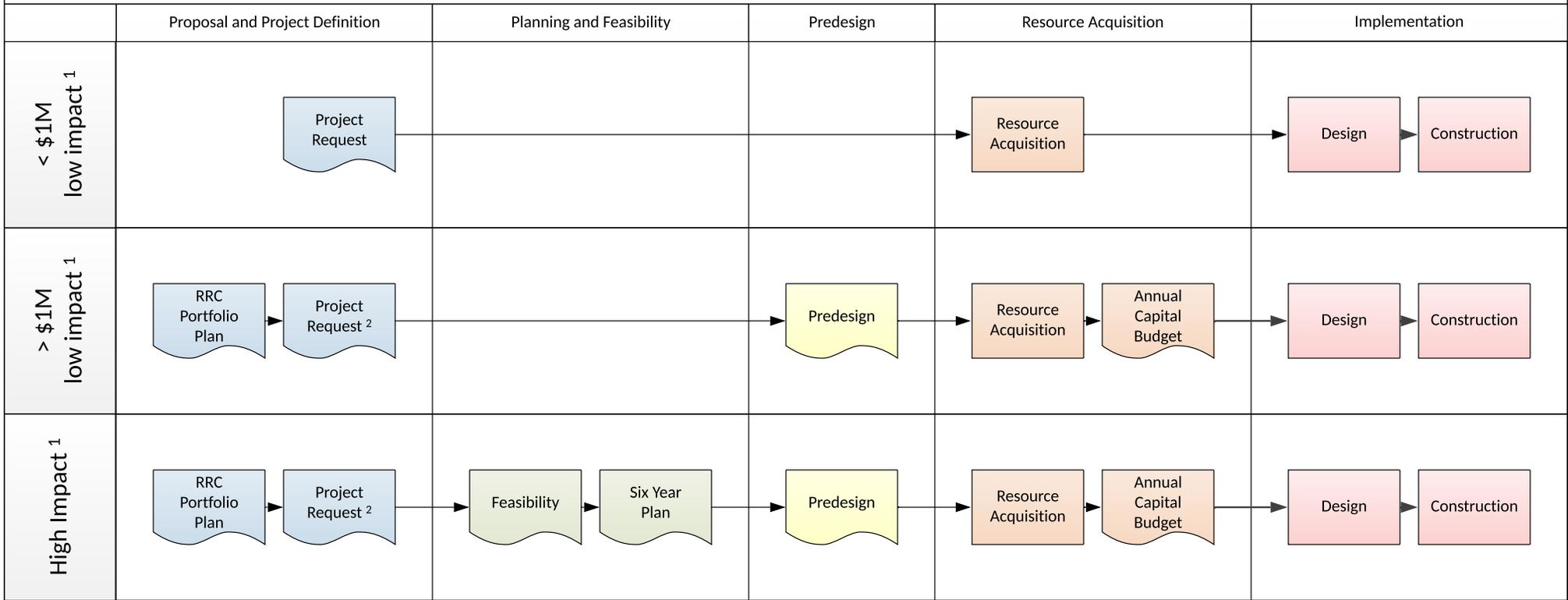


Capital Improvement Process Map



Roles and Responsibilities

	Proposal and Project Definition	Planning and Feasibility	Predesign	Resource Acquisition	Implementation
Phase Lead	RRC Facilities Lead	Planning, Space and Real Estate	Capital Project Mgmt.	University Services / Gov. Relations	Capital Project Mgmt.
Duration	varies according to scope	6 - 12 months	3 - 6 months	6 - 12 months	varies according to scope
Admin Approval	Chancellor / VP / Dean for Sponsoring Unit	Budget 5 - Capital Strategy Group	Capital Oversight Group	Capital Oversight Group	Capital Oversight Group
Board of Regents	---	September review, October approval for Six Year Plan	---	May review, June approval for Annual Capital Budget	Schematic Design and GMP approval for projects exceeding \$1M
Objective	<ul style="list-style-type: none"> What is the problem or opportunity? 	<ul style="list-style-type: none"> How big is the problem or opportunity in terms of scope, scale, alternatives? Is this something we need to solve? Is this the most important thing to solve at this time? What are the priorities? What is the funding strategy? What is the rough order of magnitude cost? 	<ul style="list-style-type: none"> What are we going to do? How much will it cost? Who is going to pay? 	<ul style="list-style-type: none"> Do we have funding? Are we approved to spend? 	<ul style="list-style-type: none"> Are we on Scope? On Budget? On Schedule?

Footnotes and Glossary

Footnotes

1. Criteria for determining level of impact:

- Potential investment in DNI Building
- Need significant amount of additional space
- Consideration for State capital budget request.
- Need for University Debt
- Broader campus impacts
- Neighborhood impacts
- Strategic Implications
- Other issues identified by members or staff of Capital Strategy Group

2. Projects with potential to exceed \$1,000,000 or with qualifications shown above may be required to submit a Capital Needs Identification Form to complete the Project Request.

Glossary

Capital Oversight Group (COG)

The routine management of capital process and project issues are addressed by the Capital Oversight Group (COG) which includes Provost, CFO and VP for University Services. This group is charged with coordinating routine activities associated with the University's capital planning, financing, communications and construction activities. Additionally, the COG is responsible for managing the systematic internal review of major University projects, and external projects with impact on the University.

Budget Five - Capital Strategy Group (CSG)

The development of the University's overall Capital Improvements Program is guided by the Budget Five - Capital Strategy Group. This group includes Sr. VP for Finance and Operations, Provost, VP for Research, VP for Clinical Affairs, and Budget Director. VP for University Services and VP for Government Relations are included for development of the Six Year Capital Plan. This group recommends a capital plan to the President for ultimate review and approval by the Board of Regents. Other system and campus executives are consulted as the need arises. This group provides overall leadership and strategy development for institutional capital issues, including:

- Establishing strategic capital goals for the institution
- Integrating academic planning with physical and financial planning
- Prioritizing competing requests for capital funding
- Reviewing the financial parameters of the overall capital plan
- Developing a six year capital plan recommendation to the President
- Establishing capital and space allocation policies

Six Year Capital Plan

The Six-Year Capital Plan establishes the University's capital requests to be submitted to the State for consideration; sets priorities and direction for continued capital project and academic planning efforts; identifies the impact of additional University debt; assigns responsibility for capital fundraising; and forecasts additional building operational costs. The plan is updated on an annual basis, and approved by the Board of Regents.

Annual Capital Budget

The Annual Capital Improvement Budget is submitted for review and action by the Board of Regents in May / June of each year and includes all planned capital expenditures for the following year where total project costs (design costs, construction, management fees, etc.) are anticipated to exceed \$1,000,000.

Capital Needs Identification Form

The form submitted in conjunction with any project proposal that has potential to exceed \$1,000,000, and/or other qualifications. The form is completed by the requesting RRC to describe project scope, rationale, funding and timing.

Feasibility

This phase develops the ideas and plans of an academic or departmental group into a potential project. Work is completed by the requesting unit integrated with efforts of University Services staff (PSRE, UServices Finance). The Budget 5 - Capital Strategy Group approves proposals to initiate Feasibility as part of the Six Year Plan, or on an as-needed basis. Upon completion of Feasibility, this group approves potential projects to proceed into subsequent phases of design. Elements of a Feasibility Study include:

- Project Rationale
- Operational Program Analysis
- Space Needs Assessment
- Program Development and Impact Analysis
- Order of Magnitude Cost Analysis
- Financial Analysis including Operating Proforma

Predesign

The predesign phase expands and refines the project as approved by Budget 5 - Capital Strategy Group at the conclusion of the feasibility study. University Services staff lead an interactive process with the user group and design team to clarify project requirements, facility program, project schedule and budget in sufficient detail to bring the project to the Board of Regents for approval in the Annual Capital Budget (when required).

Design

The design phase continues when Annual Capital Budget approval has been received. Stages of Design include:

- Schematic Design: Refines and builds upon the scope, conceptual design, scale, and relationships among the components of the project.
- Design Development: Integrates design elements in order to provide sufficiently comprehensive information to develop a project estimate and guaranteed maximum price for the scope of work. Large-scale drawings, mock-ups, and detailed plans are developed.
- Construction Documents: Provides specifications and drawings sufficiently complete to support the Contractor's GMP, obtain necessary permits, and construct the project.

Construction

The objective of the Construction phase is to build the project to drawings and specifications at the quality level included in Construction Documents within the budget, schedule, and scope defined and approved by the Board of Regents.