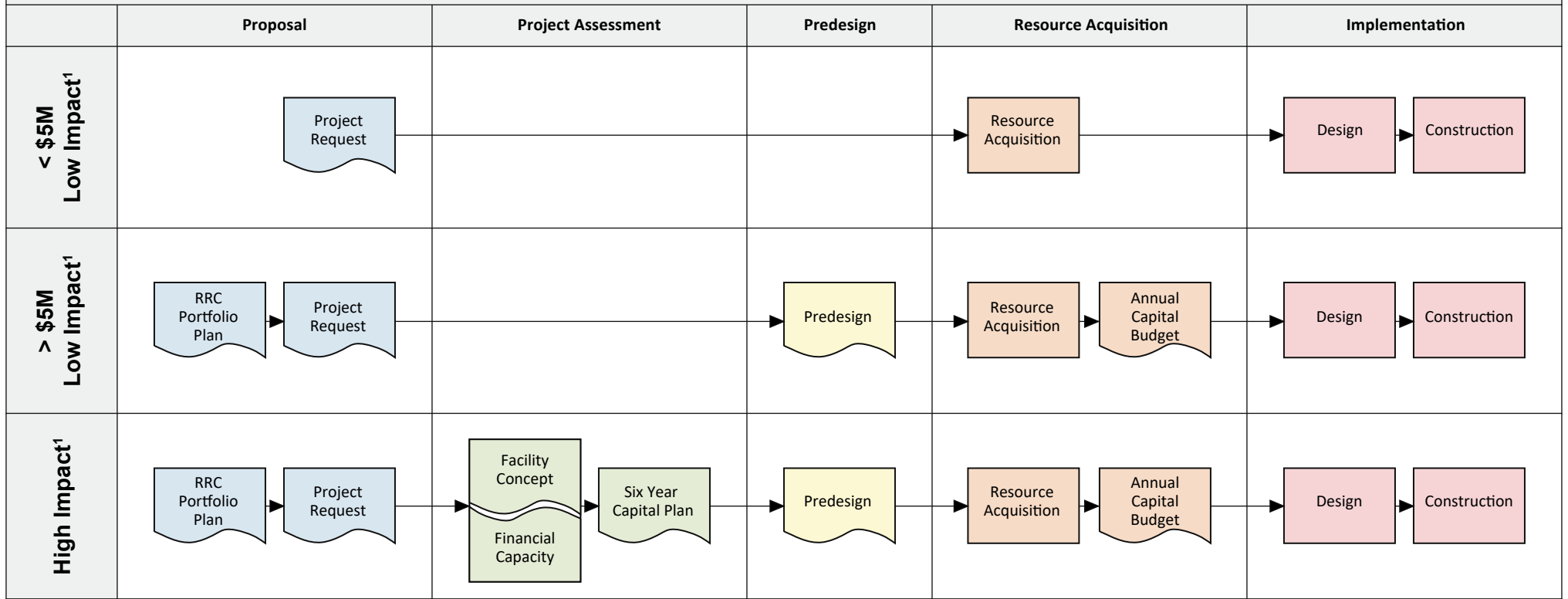


Capital Improvement Process Map



Roles and Responsibilities

	Proposal	Project Assessment	Predesign	Resource Acquisition	Implementation
Phase Lead	RRC Facilities Lead	U Services / U Finance / U Budget	Capital Project Mgmt.	U Services / U Finance / Gov. Relations	Capital Project Mgmt.
Duration	varies according to scope	1 - 2 months	3 - 6 months	6 - 12 months	varies according to scope
Admin Approval	Chancellor / VP / Dean for Sponsoring Unit	Budget 6 - 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	---
Objective	<ul style="list-style-type: none"> What is the problem or opportunity? 	<ul style="list-style-type: none"> Is this something we need to solve? Is this the most important thing to solve at this time? What is the financial capacity of the proposing unit? Do we have sources to support financial impact of project? 	<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 fully confirmed 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. High Impact capital projects meet any of the following criteria:

- Potential investment in Do Not Invest (DNI) Building
- Need significant amount of additional space
- Need for State capital funds
- Need for University Debt
- Broader campus impacts
- Neighborhood impacts
- Strategic Implications
- Other issues identified by members or staff of Capital Strategy Group

Low Impact capital projects are below \$5,000,000 in value, do not require debt support, and do not create broader campus or strategic impacts.

Glossary

Capital Oversight Group (COG)

Capital process and project approvals are addressed by the Capital Oversight Group (COG) which includes Provost, CFO and VP for University Services. This group is charged with directing 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 Six - Capital Strategy Group (CSG)

The development of the University's overall Capital Improvements Program is guided by the Budget Six - Capital Strategy Group. This group includes Sr. VP for Finance and Operations, Provost, VP for Research, VP for Clinical Affairs, VP for Equity and Diversity, and Budget Director. VP for University Services and VP for University 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

Project Request

A Project Request is initiated through TRIRIGA. A corresponding Capital Needs Identification Form (CNIF) is required for any high impact proposal. The form is completed by the requesting RRC to describe project scope, rationale, funding and timing.

Project Assessment

The Project Assessment phase (formerly called Feasibility) defines basic scope and funding parameters and determines which High Impact projects move into predesign. Work is completed by the requesting RRC in conjunction with University Services and University Finance. Upon completion of the assessment, the Budget 6 - Capital Strategy Group approves eligible projects with specific programmatic and financial targets to proceed into subsequent phases of design. The assessment includes three components:

- Purpose and rationale, including goals and objectives, program activities
- Facility concept, including site, space types, campus impacts
- Financial assessment, including a review of the financial capacity of the College/ RRC to support capital and operating costs

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 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.

Predesign

The Predesign phase expands and refines the project as approved by Budget 6 - Capital Strategy Group at the conclusion of the Project Assessment. 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 eligible project to the Board of Regents for approval in the Annual Capital Budget.

Resource Acquisition

The Resource Acquisition phase is where project funding is finalized and a finance agreement completed. Projects in this phase are authorized to engage in fundraising. Select projects will be included in the State Capital Request.

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 authorizes all planned capital expenditures for the following year where total project costs (design costs, construction, management fees, etc.) are anticipated to exceed \$5,000,000.

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.