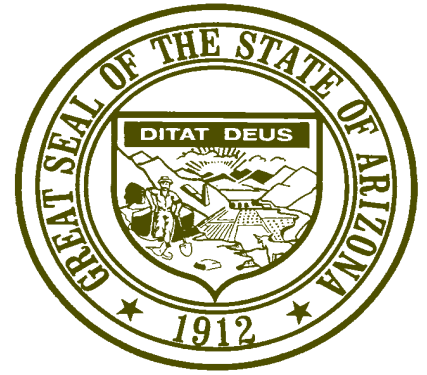


ARIZONA

**Department of
Administration**



CAPITAL REQUEST FORMS AND INSTRUCTIONS

CAPITAL IMPROVEMENT PLAN

FISCAL YEAR 2011

ARIZONA DEPARTMENT OF ADMINISTRATION
GENERAL SERVICES DIVISION
BUILDING AND PLANNING SERVICES
100 North 15th Avenue, Suite 202

FY 2011 CAPITAL PLAN INSTRUCTION MANUAL

Capital Project Requests

The Annual Capital Improvement Plan (CIP) form reflects the capital requests and building renewal requests of the Arizona Department of Administration Building System. ADOA General Services Division (GSD) makes these forms available in a Microsoft Excel format. The forms reflect revisions as of February 2009.

The ADOA Building System consists of the following agencies/boards:

Arizona Health Care Cost Containment System
Arizona Lottery
Arizona Power Authority (not required to submit CIP to ADOA)
Arizona State Courts
Department of Administration
Department of Agriculture
Department of Corrections
Department of Economic Security
Department of Emergency and Military Affairs
Department of Environmental Quality
Department of Health Services
Department of Juvenile Corrections
Department of Public Safety
Game and Fish Department
Parks Board
Pioneer's Home
Prescott Historical Society
Schools for the Deaf and the Blind
State Land Department
Veterans Memorial Coliseum and Exposition Center (not required to submit CIP to ADOA)
Veterans' Service Commission

Questions regarding the Capital Improvement Planning forms and process should be directed to: John Hauptman, Capital Planner (602-542-1768), john.hauptman@azdoa.gov; or Nola Barnes, General Manager, Building and Planning Services (602 542-1941), nola.barnes@azdoa.gov

Enclosed for your use are the following items:

1. Capital Improvement Plan Instructions

2. FY 2011 Capital Improvement Plan forms:

Capital Improvement Plan Transmittal Statement	CIP Form 1
One Year Capital Project Request Summary	CIP Form 2
Capital Project Financial Data	CIP Form 3
Capital Project Description and Justification	CIP Form 4
FY 2011-2012 Two Year Capital Project Forecast	CIP Form 5
FY 2011-2012 Two Year Building Renewal Forecast	CIP Form 6
FY 2011 Building Renewal Project Description & Justification	CIP Form 7
FY 2009 Capital Project Status Report	CIP Form 8

Pursuant to A.R.S. § 41-793 all agencies within the Department of Administration Building System must complete and return capital request forms to the General Services Division no later than June 1, 2009 or thirty (30) days after the State Legislature adjourns, whichever is

later. **Agencies must submit all Capital Project and Building Renewal requests in an automated format using these forms to John Hauptman, Capital Planner. Each agency's Capital Improvement Plan forms may be transmitted to ADOA via CD or by email attachment and then provide ADOA with only one signed hard copy.**

CIP Form 1 Capital Improvement Plan Transmittal Statement

This form summarizes the agency's total FY 2011 capital budget request. This includes capital project requests and specific building renewal needs. The CIP Transmittal Statement looks to:

1. Secure the signature of the agency director. The agency must submit an electronic copy and one original signed copy of the request.
2. Establishes the date of submission.
3. Designates the individual primarily responsible for the preparation of the agency's CIP capital budget request. (Questions regarding the preparation of the CIP budget request will be directed to this person.)
4. Provides the statutory citation for the agency.
5. Summarizes each agency's FY 2011 one year CIP capital budget request for the following fund sources: General Fund, Other Appropriated Funds, Federal Funds, and Other Non-Appropriated Funds.
6. Summarizes each agency's FY 2011 Building Renewal Project needs.

CIP Form 2 One Year Capital Project Request Summary

This form summarizes, in priority ranked order, the individual capital project information that is provided on the Capital Project Scope & Cost form (CIP Form 3). **Agencies that include multiple campuses or institutions should provide only one priority ranked list of Capital Project request for the entire department or agency. ADOA doesn't need priority ranked needs for individual campuses or institutions.**

Priority Number

Rank each agency FY 2011 capital project request in priority order for the agency.

Project Name

Convey the location, type, and scope of work as descriptively as possible.

Project Description

Explain the purpose of the request.

Fund Source

Identify the proposed fund source(s) by name. (i.e., General Fund, specific Appropriated Funds, Federal Funds, and other Non-Appropriated Funds, etc.) If more than one fund source is proposed, identify all fund sources for each project.

Total Costs

List the costs for the project for all fiscal years impacted.

CIP Form 3 Capital Project Financial Data

Arizona Revised Statutes requires that the ADOA Building System Plan include a detailed list of all land acquisition and capital projects that are recommended to be undertaken or continued for

the building system during the next fiscal year, an explanation as to the need for each acquisition or project, the effect of the recommended acquisition or capital project on the future operating expenses of this state, recommendations as to the priority of recommended acquisitions or capital projects and the means of financing those acquisitions or project.

This form should provide detailed financial information for each FY 2011 capital budget project request. Use a separate form for each project that has been identified in CIP Form 2: One Year Capital Project Request Summary. This includes all capital construction projects, land acquisitions, and infrastructure replacement or major repairs. Do not duplicate projects which will be included in the agency's FY 2011 building renewal project requests.

Project Name

List the project title that conveys the location, type, and scope of work as descriptively as possible.

Priority Number

Each project priority should match the priority rank order established in CIP Form 2: One Year Capital Project Request.

The agency capital project requests should be in priority order for the agency as a whole and not for individual divisions, institutions, etc.

Arizona statutes require each agency to give priority to fire and life safety-related projects. ADOA recommends that the exterior of any building, including the roof, the exterior walls, or exterior doors should be maintained, restored, or rebuilt so that the building's interior is protected from all elements.

Project Size

GSF: Provide gross square feet; new gross square feet (if the project is for new construction), the gross square feet of area to be renovated (if the project is a major renovation) or the total square feet of space that will be addressed by the proposed capital project.

Capital Cost Estimate

Estimate total project costs according to the following items:

1. Land Acquisition (land purchase price)
2. Construction (site development, construction, fixed equipment, utility extensions, parking & landscaping)
3. A&E (architect and engineering and other professional services)
4. FF&E (furniture, fixtures & equipment)
5. Other (telecommunications equipment, security systems, etc.)

Construction Cost per Gross Square Feet

This field will be filled automatically if the project's construction costs and gross square feet have been entered. It calculates the total Construction Costs of the project per gross square feet (GSF) of area.

Total Project Cost per Gross Square Feet

This field will be filled automatically if the project's total costs and gross square feet have been entered. It calculates the total project cost per gross square feet (GSF) of area, including land acquisition; architectural and engineering (A & E) fees; furniture, fixtures & equipment (FF & E); and any other costs.

Proposed Funding

List any prior appropriations, General Fund requests and any other proposed funds sources, such as Federal Funds, Other Non-Appropriated Funds, etc.

Estimated Change in Annual Facility Operating Costs

If applicable, the number of new FTE's required to operate the new facility or the additional space must be included.

Proposed Funding Schedule

Identify the *Total Costs* and fiscal years in which funding will be requested, including the annual amount for multi-year projects.

Proposed Work Schedule

Estimate the dates that the project will phase in, i.e., planning, design, and construction, and the date occupancy will start. The date format should only include the month and the year.

CIP Form 4 Capital Project Description and Justification

This form should explain the need for each FY 2011 year capital plan project request. Use this form to provide each project's narrative description and justification. Agencies should submit other pertinent information about the proposed project including digital photos, previous studies, State Fire Marshall or ADOA Risk Management reports, etc..

This written justification should include the positive agency and/or program impacts that are likely to occur if the project is funded, as well as potential negative impacts from deferring the project.

Category

Each capital project request should be classified according to its primary purpose or category. Enter the appropriate category for the project based upon the following list of categories.

These categories are a combination of previous ADOA categories and parts of the UNIFORMAT II classification of building elements. UNIFORMAT II, defines a standard classification for building elements and related sitework. The classification was for the Federal Government and it is the only such standard in North America. Most capital planning management software utilizes this classification system for project cost estimating.

Capital Project Primary Categories

<i>Category</i>	<i>Description</i>
New Construction	The creation of a new facility or the addition, expansion or extension of an existing facility that adds to the building's overall gross square footage.
Fire & Life Safety	Improve or eliminate an impending condition that threatens life or property and is about to occur. Facility has received an official notice that the condition must be corrected or the facility will be subject to closure.
Shell: Superstructure; Exterior Walls & Roofing	Exterior closure, walls, windows, & doors, roofs; & superstructure
Major Building Services	Elevators, Plumbing, HVAC, Electrical
Interiors: Interior Construction-Stairs; Finishes	Interior build out; walls, finishes, stairs, interior doors, etc.
Special Construction & controls; Hazardous Abatement	Special construction elements such as security control rooms, institutional kitchens, abatement of asbestos, lead paint or other environmental hazards
Infrastructure & Building Sitework	Site Improvements: roadways, parking lots, pedestrian paving & landscaping; Site electrical and mechanical utilities: water supply & distribution, sanitary & storm sewers & waste treatment, electrical distribution, site lighting, fencing, communications, & security
ADA accessibility	Compliance with Americans with Disabilities Act: Title One
Land Acquisition	Land Purchase for new or existing facilities

Energy Conservation	Requests that primarily emphasize the reduction of energy consumption by a building, utility system or core component of the building
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ADOA Building System Campus

All structures within the ADOA Building System Inventory have been grouped according to campuses or institutions. The campus location for each existing structure that is part of a capital request should be included in the Capital Project and Description. This will assist ADOA with its evaluation of each agency’s capital project requests.

ADOA Building Inventory ID

All structures within the ADOA Building System have a unique ID. This ID should also be included in the Capital Project and Description for each existing structure that is part of the capital project. This will assist ADOA with its evaluation of each agency’s capital project requests.

ADOA building numbers and Campus names are available in the ADOA inventory of state owned buildings which can be found at the ADOA, General Services Division Web Site: <http://gsd.azdoa.gov/BPS/Building%20Inventory/FY06%20BIS%20REPORT%20a.pdf>

The information provided in the Problem/Justification, the Proposed Solution, The Principal Benefits, and the Cost Estimate Detail should include sufficient detail for the following issues:

1. Is this a new request or has this project been requested in previous CIP submissions to ADOA. If the project was requested in prior years and not funded, how long has the project been deferred? Describe the impacts to the delivery of the agency’s affected programs since the project was originally requested. In addition, include if the project is a continuation of an already approved project or another phase.
2. Will the capital request add any additional space? By either adding an additional structure or by the expansion of an existing structure. Or does the project correct deficiencies in an existing structure?

If additional space is requested for a new or expanding program, has the agency evaluated the options to more efficiently utilize existing space by remodeling existing occupied or vacant space?

3. If the cost to improve or renovate an existing structure exceeds 50% of the current replacement value of the structure, has the agency prepared a facility evaluation of the entire structure? The current replacement value of all structures within the ADOA Building System can be found in the latest ADOA Inventory of State Owned Buildings.

If the project costs are greater than this 50% threshold, then the evaluation should include a physical evaluation of the building’s shell foundation, exterior wall, & roof; major building systems, mechanical, electrical, plumbing, fire alarm & suppression, security, etc.; code compliance, ADA, Fire Life Safety, etc.; energy consumption; as well as a functional analysis of the buildings suitability for the existing or proposed program.

Will the capital project eliminate or significantly mitigate an existing liability to the agency or the State? If so, describe the liability and provide supporting documentation such as an ADOA, Risk Management report, State Fire Marshall or State Elevator Inspection, engineering evaluation, etc..

4. Will completion of the project enhance the business continuity plans for the operation of the agency?

How important is the project to the mission of the agency program that will be supported by the building, structure, or infrastructure?

When completed, will the project create a net savings or expense on the operating budget?

5. How did the agency determine the priority ranked order for both capital requests and building renewal needs?

Describe the major benefits or reasons why the project is required.

How was the project cost for each building renewal and capital request developed? For example, engineering or architectural design that included a construction cost projection, recently completed project, Means or Marshall Valuation data, contractor or vendor estimate, etc.?

6. If the project includes multiple structures and or buildings, provide total costs for each building.
7. Has the agency explored all funding opportunities such as federal & state grants, other dedicated fund sources, user fees, operating funds, and performance contracting which would enable the agency to share part of the total general fund needs?

CIP Form 5 FY 2011-2012 Two Year Capital Project Forecast

This form is used to provide basic information about projects which are forecasted for FY 2011 through 2012. It is important to list a project even if the cost estimate is very uncertain.

Only list projects that have a total cost of ten thousand dollars or more.

This project list is intended for future planning purposes. Thus, only brief descriptions of the project are required. Detailed cost data is not required.

Project Name

List the project title that conveys the location, type, and scope of work.

Project Description

Briefly explain the purpose of the request and identify all funding sources if there is more than one.

Total Costs

Provide the best estimate of the total costs including Land Acquisition, Construction, A&E, FF&E, and Other Costs.

CIP Form 6 FY 2011– 2011 Two Year Building Renewal Forecast

This form will include summary information for each agency's forecasted building renewal projects for FY 2011 through FY 2011. Building Renewal needs will be summarized by primary project categories; shown in the following schedule. The primary category code column reflects the main reason for the project. For example, a project whose primary purpose is to make a restroom accessible is an ADA project.

Building Renewal Primary Categories

<i>Code</i>	<i>Project Type</i>
1	Fire Life Safety: Fire Protection & Suppression
2	Shell: Superstructure; Exterior Enclosure & Roofing
3	Major Building Services: Elevators, Plumbing, HVAC, & Electrical

4	Interiors: Interior Construction; Stairs & Interior Finishes
5	Special Construction & controls; & Hazardous Abatement
6	ADA Accessibility
7	Infrastructure & Building Sitework
8	Energy Conservation

CIP Form 7 FY 2011 Building Renewal Project Description & Justification

This form contains the justification and estimated cost for each Building Renewal project that is being requested for FY2011 funding. Agencies should include any building inspection reports, regulatory reviews, or official notices that substantiate the need for the project.

Projects that include comprehensive and detailed justifications will be given funding priority.

Project

List the project title that conveys the location, type, and scope of work.

Total Cost

Provide an estimate of the total costs including professional services, materials and taxes. Explain cost estimate and/or source methodology.

Category

Use only one category to identify the project's primary purpose. Enter the appropriate category for the project based on Schedule 1.

ADOA Building Number

Building renewal projects must include the ADOA building number.

ADOA building numbers are available in the ADOA inventory of state owned buildings which can be found at the ADOA, General Services Division Web Site:

<http://gsd.azdoa.gov/BPS/Building%20Inventory/FY06%20BIS%20REPORT%20a.pdf>

Problem/Justification

Clearly describe the specific problem or objective that creates the need for this building renewal project. Include specific reference to code violations, legal mandates if applicable, and special building use requirements, if any.

Proposed Solution

Briefly describe the nature of the project - what it is, where it is, and what it will do (for example, "this project will replace the 500 ton chiller at the Senate Building to increase operational efficiencies, eliminate R-12 refrigerant, and maintain reliable and dependable cooling for several buildings").

Principle benefits

Describe the cost savings, cost avoidance, increased revenue, or improvements to programs, if any. Agencies should indicate how the project will increase the life of the building.

Cost Estimate Detail

Identify the person responsible for the cost estimate preparation. (e.g., consultant, contractor, agency staff) and the comparative cost methodology used, such as Marshall & Swift - Marshall Valuation Service (per square foot cost for building types), and RSMeans Building Construction Cost Data, among others.

CIP Form 8 FY 2008 Capital Project Status Report

This form is to be used to report on the status of all ongoing or recently completed land acquisitions and capital projects and all Building Renewal expenditures for **FY 2009**. Regardless of funding source, agencies must submit this report to ADOA by August 31 of each

year. Data for each project greater than \$100,000 must be reported by project. Data for each project less than \$100,000 are reported as summary data by the primary project category.

Project

List the project name.

Project Number

List the assigned AFIS project number (other source, if AFIS is not the source).

Primary Category

Use only one category to identify the project's primary purpose. Enter the appropriate category for the project based on the following schedule:

Primary Capital Project Categories

Category	Code	Description
New Construction	1	The creation of a new facility or the addition, expansion or extension of an existing facility that adds to the building's overall gross square footage.
Fire & Life Safety	2	Fire Alarm and Suppression Systems, Fire pumps, Fire Access Roads; or Projects that correct Imminent threats to life as defined by Fire Life Safety Code
Shell	3	Floor & Roof construction; exterior walls, windows, & doors, roofing
Building Services	4	Elevators, plumbing: fixtures, domestic water distribution, sanitary waste, & rain water drainage, HVAC; Electrical:
Interiors	5	Interior construction: stairs, doors, walls, & partitions; stair, wall, floor, & ceiling finishes
Special Construction	6	Special construction elements such as security control rooms, institutional kitchens, abatement of asbestos, lead paint or other environmental hazard
Institutional Infrastructure & Sitework	7	Site Improvements: roadways, parking lots, pedestrian paving & landscaping; Site electrical and mechanical utilities: water supply & distribution, sanitary & storm sewers & waste treatment, electrical distribution, site lighting, fencing, communications, & security
ADA accessibility	8	External and internal access; ramps, door openings, etc.
Land Acquisition	8	Purchase of land including existing facilities.
Energy Conservation	9	Requests that primarily emphasize the reduction of energy consumption by a building, utility system or core component of the building

Fund Source

List all fund source(s). Report multiple fund sources by each project.

FY 2009 Expenditures

List the funds spent in FY 2009.

Total Costs

List the total amount of funds expended to date; including all prior year expenditures and FY 2009.

Estimated Total Cost

List the total costs expected for the project if it is still ongoing.

Completion Date

List the project completion date, if appropriate.