

**INTERNAL PROCEDURES
FOR THE
PLANNING, BUDGETING
&
CONSTRUCTING
OF
KCTCS FACILITIES**

MAY 2006

PHYSICAL DEVELOPMENT PLANNING WITHIN KCTCS

Background

The Kentucky legislature officially created the Community College System in the early 1960's. As land in various communities throughout Kentucky was identified for use and as funds became available for new buildings, Preliminary Development Plans were prepared to encourage an orderly and efficient system of growth. These early plans are filed with Facilities Management in the System's Office of KCTCS. They include the following campuses and dates of completion:

Ashland CC	1967	Caruthers Coleman
Elizabethtown CC	1966	Luckett and Farley
Hazard CC	1968	McCloney and Tune
Henderson CC	1967	Lee Potter Smith
Hopkinsville	1968	Lee Potter Smith
Jefferson CC/DT	1966	Louis and Henry
Madisonville CC	1970	Bennett and Tune
Maysville CC	1967	Luckett and Farley
Paducah CC	1976	Howard K. Bell
Prestonsburg CC	1967	Shannon and Assoc.
Somerset CC	1967	Luckett and Farley
Southeast CC	1967	Chrisman and Miller

These early plans included but were not limited to demographic information of the local communities, projections of student enrollment, anticipated academic programs, educational philosophy, site conditions, land use concepts, design guidelines and future expansion. Many of these plans also had complementary "utilities supplements".

In the 1990's the Community Colleges updated the early plans and prepared comprehensive Master Plans for the following campuses:

Ashland CC	1994	Woolpert
Elizabethtown CC	1995	Carman & Assoc.
Hazard CC	1994	Woolpert
Henderson CC	1996	Omni
Hopkinsville CC	1993	McIlwain + Assoc.
Jefferson CC/DT	1996	Scruggs and Hammond, Inc.
Jefferson CC/SW	1997	Woolpert
Madisonville CC	1996	Omni
Maysville CC	1996	Omni
Owensboro CC	1994	Scruggs and Hammond, Inc.
Paducah CC	1995	McIlwain + Assoc.
Prestonsburg CC	1994	Woolpert

Somerset CC	1996	McIlwain + Assoc.
Somerset CC		
Laurel County Ctr	1997	John Carman & Assoc. w/ Vaughn and Melton
Southeast CC	1997	Booker and Assoc.
Southeast CC		
Whitesburg Campus	1994	Richardson & Assoc.

These comprehensive plans generally included but were not necessarily limited to brief histories of the campuses, site analyses, spatial allocation analysis, academic programming needs, physical development goals, alternative land use concepts, implementation strategies, design guidelines and land acquisition recommendations.

These plans were generated partly in response to developing accreditation requirements with regard to physical facilities.

Accreditation Requirements

The 2004 edition of the SACS Principles of Accreditation: Foundation for Quality Enhancement includes Comprehensive Standard 3.1.0.7: *The institution operates and maintains physical facilities, both on and off campus, that are adequate to serve the needs of the institution's educational programs, support services, and other mission-related activities.*

(Supporting documents required: Description of physical facilities; Facilities Mater Plan; Maintenance procedures and records.)

KCTCS Master Planning

With the establishment of KCTCS in 1997 a new phase of physical development planning began. As community colleges consolidated with technical colleges, sixteen community and technical colleges were formed and defined. As new buildings were funded, plan updates were developed and main campuses and their associated satellite campuses were incorporated wherever possible. The master planning procedure became more broad, however as funding was limited the scope of the master plans was necessarily restricted.

Since 1998 the following Master Plan Updates have been completed or initiated:

Ashland CTC	2005	Jim Evans and Assoc.
Bluegrass CTC	In Progress	Ross Tarrant Architects
Bowling Green TC	In Progress	Arrasmith Judd Rapp Chovan, Inc.
Elizabethtown CTC	2000	John Carman and Assoc.
Gateway CTC		
Boone Campus	2005	Arrasmith Judd Rapp Chovan, Inc.
Hazard CTC	2006	John Carman and Assoc.
Maysville CTC	2005	Omni Architects
Owensboro CTC	2005	Ross Tarrant Architects
Somerset CTC	2002	Jim Evans and Assoc.

Master Planning Overview

The KCTCS Physical Development Plans typically include a brief history of the college campus, an inventory of the built environment, an analysis of the existing site features, development concepts, site acquisition studies, design guidelines and recommendations for phased implementation of capital improvements.

The planning process is a cooperative effort that may include college administrators, faculty, students, leadership teams, development officers, advisory boards, community leaders, planning consultants and other interested parties. The mission statement of the local campus and the strategic plan or other current planning document from the KCTCS System's Office are reviewed and used as guides for defining the scope of work and assessing the needs to be addressed in the final Physical Development Plan.

The purpose of the Physical Development Plan is to provide a framework for orderly growth and development. A primary benefit of a structured planning process is the optimization and efficient use of limited resources.

Administrative Overview

Receive Request from Campus President: The College President or designated assistant contacts the Director of Facilities Management in the KCTCS System's Office to request preparation of a Master Plan.

Identify Funds Available: The local College President and/or the Business Affairs Director and the Director of the Facilities Management explore funding availability.

Define Scope of Work: The KCTCS Project Manager and the President and his/her designees discuss work to be included in the scope of the project. Work should be somewhat prioritized in case work requested exceeds budgeted funds.

Establish Budget: KCTCS establishes budget to fund project.

Hire Consultant(s): Depending on the breadth of the scope of work, consulting services will be requested by advertisement with a Request for a Proposal (RFP) or by assignment through a Personal Service Contract. Comprehensive plans will require an RFP while smaller updates can be completed using a Personal Service Contract. Both processes are overseen by the Division of Engineering and Contract Administration in Frankfort. The services of Landscape Architects, Architects, Structural, Civil and M&E Engineers may be requested.

Establish Fees: The Division of Engineering's Project Manager will negotiate an appropriate fee based on funds available and work involved. The KCTCS Project Manager assists as needed.

Establish Schedule: In conjunction with the College President, the Consultant prepares a schedule for project submissions, milestones and final completion. A limited plan can take as little as nine months and a comprehensive plan can take a year and a half.

Assist with Meetings/Workshops: Prior to the event, the KCTCS Project Manager assists with room scheduling, participant availability and agenda. During the event, the Project Manager helps to keep the discussions on track and positive, helps to make sure that all participants have a chance to speak and be heard, raises issues and/or ideas that may have been neglected and thanks everyone for their participation.

Reviews/Approvals: The KCTCS Project Manager reviews all submittals and suggests revisions as necessary and prepares an approval letter for the Division of Engineering as requested.

Assist/Attend with Final Presentations: At the discretion and request of the College President, the KCTCS Project Manager attends presentations with College Boards, Foundations and/or Community Groups.

Distribute Final Master Plan Books: The KCTCS Project Manager sends the final Master Plan Books to the college campus; the number to be determined by the President. One copy is sent to the Staff Administrator of the Capital Planning Advisory Board. Two copies are kept at the KCTCS System's Office.

Project Process

The following Project Process and Project Process Outcome sections are written as suggestions and encouragement for a KCTCS Project Manager. The Process and Outcome vary with every Master Planning Project. It is the conceptual, open ended nature of the process that requires the Project Manager to be flexible and suggest acceptable compromise where needed.

Organizational Meeting: Assemble participants and reach an understanding of the general scope of the work and the process.

Develop and Distribute Questionnaires/Surveys: Consultant provides and distributes questionnaires to selected participants. Questions should be designed to encourage identification of problems or issues as well as identification of campus strengths. Prioritization of issues can be requested. Practical questions can be asked such as "Do you have enough parking?" as well as hypothetical ones such as, "If money were no issue....." or "If you were the decision maker, what would...."

Public Forum(s) with Community Interest Groups: The College President determines the participants and suggested agenda with assistance from the Consultant and Project Manager.

Interim Meetings with College Administration: Agenda responds to specific plan efforts. The Strategic Needs Assessment, Capital Requests and questionnaires are reviewed. Alternative concepts are reviewed.

Work Shops, Charettes: Some Consultants enjoy and work productively in an open workshop type atmosphere. When these are planned, they are usually day long affairs with various participants invited to give feedback at certain planned times.

Project Process Outcome: Master Plan Book

Typical/Sample Contents or Representative Sections: Depending on funding and local campus needs, not all sections will be included. Other sections not mentioned may also be included as necessary.

Introduction: A brief overview.

Executive Summary: This section should always be included, however only touch on the salient concepts and general areas of investigation. Resist the temptation to elaborate. Explanatory details can be included in the body of the work. The executive summary can reflect or “parallel” the organization of the overall plan.

History: Provide a brief history of the development of the campus. Include interesting details like the cost of an older building or an unusual decision or colorful personality or anecdotal story. Old pictures are always a nice addition to this section.

Purpose, Goals, Objectives, Vision and/or Mission Statements, Assumptions: The vision and mission statements can be duplicated verbatim. The President and key campus leaders will develop the purpose and objectives with help from the consultants. A design philosophy should be discussed and established. The campus image, identity, and character should be considered. The visual landscape and a sense of place should be promoted.

Description of Process: This section includes a brief summary of the mechanics of the process. It may list the workshops or interviews that took place and the participants that attended. It might describe how data was collected or how problems and needs were enumerated. It might describe how decisions were made.

The Site Plans: The illustrated plans are the core of the master plan books. They are the most frequently referred to sections over time. Care should be taken to make them useful, clear, accurate and of a scale that is readable. Where there is a density of detail, enlarged plans should be provided. Color should be used wherever possible. Both existing condition plans and future development plans should be presented. Where needed, existing plans should be contrasted with future plans for clarity. The plans that are included will depend on

the specific needs of the colleges and the breadth of the master plan effort. Representative plan sections follow:

Inventory and Analysis of Existing Campus Plans: This section should include both plans and photographs documenting the present condition of the campus(es). The plans document geographical features, green space or open areas, prevailing winds, roadways and access points, pedestrian circulation, location of buildings, and other established points of interest. The analysis plans further evaluate focal points, attractive long views, sun/shade effects, pedestrian vehicular conflicts, buffer zones, appropriate spaces for outdoor gatherings, and other opportunities for campus use and improvement. Special site characteristics – opportunities or challenges can be discussed.

Site Plan/Access, Circulation and Parking, Open Space: Keep main circulation roads on the far side of the parking lots from the buildings as possible. Provide collection points and islands within the parking areas if possible. Provide drop off areas near entries to buildings. List the number of parking spaces in each lot. Distinguish accessible parking areas. Show delivery access. Make sure recommendations are realistic for future turning radii necessary for large vehicles. Consider fire truck access to all parts of campus.

Site Plan/Buildings: While the footprints of the future buildings are schematic, the size and relationships to existing structures should be carefully considered. Consider the “negative” space between the buildings and the views that are enhanced or obstructed. Utility and service zones should be developed where transformers, mechanical units and dumpsters can be grouped together.

Site Plan/Landscape: Specify trees in the parking areas that allow some shade and visual interest without creating blind spots or security risks. Consider low maintenance and native plants. Repeated plantings can create a sense of unity. Contrast open spaces with more densely planted areas.

Site Plan/Utilities: The accurate location of existing utilities campus wide is a very useful document. If possible and if needed a site utility survey should be done. If budget allows an aerial survey is also desirable. Recommendations for utility expansions or upgrades is a very helpful budgeting tool for future project planning. Depending on the density and complexity of the campus the utility plans need careful consideration. The scale is important in that it needs to be readable and understandable. If color coding is used differences in hues is important for readability. Line differentiation in conjunction with color may helpful.

Space Allocation Plans/ Program Needs: These site less building plans show existing space usage and future projections for new programs. Frequently reorganized space usage plans are presented for existing buildings based on new programs and projected new buildings.

Alternative Concepts/Plan Refinement/Enlarged Plans: The number of alternative concepts and refinements will depend on the consultant. Too many can confuse the decisions makers. Too few can be discouraging and limit opportunities. The best progression is where the early

alternatives present big clear differences in direction. As these larger directions and decisions are agreed upon, more narrowed and detailed decisions should be presented.

Site Sections: Not always included but a very nice addition to the overall master plan and highly desirable. The sections are very useful for showing the massing and the elevational relationships between the buildings. Where practical, building floors should correspond to one another.

Final Concept Recommendation: This is the plan that will be enlarged and put on presentation boards and discussed into the future. Hopefully it's a good one that reflects the ideas of most people involved and has their wholehearted support.

Phased Implementation/Capital Improvement Plan: This section frequently involves a lot of discussion. Particular attention is given to the Six Year Capital Plan during this phase of the project. If Master Plan recommendations differ from the Capital Plan a thorough explanation should be presented.

Cost Estimates: Usually associated with phased implementation plans. It should be clearly indicated whether the estimates have been calculated with projected inflation figures. The formula(s) should be provided as necessary.

Building Condition: This section is sometimes included in comprehensive plans. Often structural, mechanical, electrical and sometimes civil engineers are necessary for a thorough and useful building condition evaluation. If a thorough analysis is needed, it can be expensive.

Accessibility/ Safety/Security: All recommendations for improving accessibility and/or safety should be listed and estimated. These recommendations may include ramps, lifts, lighting, call boxes, audible alarms, automatic door operators etc. It is helpful to have these improvements itemized into discrete smaller projects to reflect funding availability.

Land/Property Acquisition: A specific section should be included showing all potential strategic property acquisitions. If properties are identified in a campus master plan the Facilities Management Division of KCTCS does not have to secure specific, written approval from the Secretary of the Finance Cabinet to purchase them.

Conclusion: A final roundup of the ideas can be summarized here.

Design Guidelines: This section provides the opportunity to create a campus design language that can help to unify disparate elements. If it is consulted and respected as new building projects are funded, the architectural character of the campus will be maintained and reinforced. This section can be lengthy. Photographs, brand names and/or model numbers of recommended products are useful. The following suggested subjects may be included:

Ground Plane
Site Drainage

- Vehicular Circulation and Parking
- Buildings
 - Materials
 - Massing
- Site Considerations
 - Accessibility
 - Steps, Ramps and Railings
 - Pedestrian Pavement
- Design principles
- Design elements
- Site Furniture
 - Benches
 - Tables
 - Trash Receptacles
 - Ash Urns
 - Bicycle Racks
 - Bollards
 - Seat Walls and planters
- Dumpsters
- Utilities
- Outdoor Lighting
 - Vehicular Lights
 - Pedestrian Lights
- Signage and Wayfinding
- Landscaping
 - Deciduous Shade Trees
 - Evergreen Trees
 - Ornamental Trees
 - Shrubs
 - Ground Covers
 - Other Plantings

Appendix: Copy everything that helps document the process and/or whatever is useful for future planning; include meeting minutes, community contacts and agencies that had input, subsurface information, structural analysis reports, etc. If a document is too bulky or detailed, include a reference to it and where to find.

Final Format for Master Plan Book:

Final copy is to be an 8 ½” x 11” three ring loose leaf binder with the name of the college and/or district on the spine. Sections should be tabbed and labeled. It is suggested that the front cover have a background of the campus site plan. Fold outs should not exceed 11’ x 17”. Plans and photographs should be in color wherever possible. A digital copy of everything should be placed in the pocket inside the front cover.

Presentation boards are provided for the President's use. Content and size will be as requested.

General thoughts not provided elsewhere:

1. Verify that the verbiage on all drawings is legible when in final and often reduced form.
2. Make sure all site plans have a north arrow, scale, legend and title.
3. It is preferable that drawing titles have words rather than numbers or letters, e.g. Classroom Building South Parking Lot rather than "Drawing II-A". Both can be used if important for cross referencing.
4. Provide a table of contents.
5. Existing condition drawings should show only existing conditions. This seems obvious but is frequently incorrectly presented.
6. Drawings should develop in a natural linear progression from simple to complex – from existing conditions to fully developed.
7. To the extent possible drawings should be oriented the same, have similar scales, legends, labels, etc. Make sure the labels correspond to the text.
8. Items mentioned in the text, e.g. roadway names, signs, geographical features, etc. should be clearly shown on an accompanying drawing.
9. If a Master Plan is limited in scope because of budget, it is especially important to clarify in the executive summary what is included.
10. Keep your eye on the big picture. Don't get bogged down in too fine of detail. The details will change over time anyway.

The Master Plans have typically focused on five, ten and fifteen year increments for future projections. The first five years receiving the most attention, specificity and detail and the latter projections becoming more general in nature. Ideally comprehensive master plans would be undertaken every ten to twelve years for each college with smaller updates added as capital construction projects are completed. The Capital Construction Process includes a mandate to review the master plans and to make use of the ideas and goals where still current and practical. As inevitable diversions from the plan occur, the design consultants for the pertaining construction project are responsible for preparing an update to an existing plan. This update consists of a revised campus site plan showing the new construction, landscape and utility modifications. The building statistics should be included where applicable. A brief explanation for the change to the Master Plan is helpful to future planners.

When completed, the Master Plans become reference documents. When prepared thoughtfully and used as a source book during new building projects they can help to ensure a level of quality and consistent visual language on the college campuses. They can establish a benchmark for consultants to meet or exceed. They can be a record and a history of the built environment for future designers.

The Master Plans and the Capital Planning Process are mutually complementary. The Master Plans anticipate the Capital Plan Process by conceptualizing and documenting the need for

future buildings sometimes long before they are included in a six year plan. Conversely, Master Plan Projects that are in progress will closely review recent Capital Plans and the status and priority of applicable projects. Master Planning is not usually limited by procedural regulations and is somewhat insulated from the day to day challenges of budgets, schedules and specific program requirements. However, the Capital Planning Process is defined by its legislative requirements and tackles head on the program requests, budgets and schedules. Capital Planning advances the conceptual ideas of the Master Planning process and is the next step in the evolution of new college buildings, major renovations and campus improvements.

CAPITAL PLANNING WITHIN KCTCS

Background

KRS 7A.120(3) directs that in each odd-numbered year each state agency and public higher education institution is to submit information about its facilities and facilities-related needs to the Capital Planning Advisory Board (CPAB) “in the form that shall be prescribed by the board.” Beginning in 1990 the Capital Advisory Board developed what is now known as the “Six Year Capital Plan”. This plan captures information about the mission and programs of the organization, about how the facilities management and maintenance functions are handled within the agency, about the organization’s existing physical plant, about the organization’s leasehold interests, and about other capital related reports and planning generated by the organization. Most importantly, however, the plan provides the vehicle by which the organization makes known its capital needs over a six year planning horizon in the areas of new construction, renovation, capital maintenance, equipment, and information technology. The information requested for the plan is quite detailed requiring each organization to deeply and thoroughly evaluate its capital needs and to present them in a cohesive and well conceived plan.

KCTCS Capital Planning

Capital planning in KCTCS is a shared responsibility between the colleges and the System Office. The Office of Facilities Management serves as the coordinator and assimilator of information provided by the colleges and bears primary responsibility for the preparation of the KCTCS Six Year Capital Plan. The Six Year Capital Plan typically requires the involvement of the Director of Property Management to collect data on the existing physical plant and property leasing program and the System Architect, the Director of Planning and Design, the System Director for Facilities Management, and other Facilities Management staff as needed to develop capital project requests for inclusion in the KCTCS Six Year Capital Plan.

The primary tool for capturing information from the colleges regarding capital needs is the KCTCS Strategic Needs Analysis (SNA).

Strategic Needs Analysis (SNA)

In the fall of each even-numbered year all KCTCS colleges begin preparing a Strategic Needs Analysis (SNA) to identify those operating and capital needs that the colleges must address in order to fulfill the KCTCS Strategic Plan. The colleges utilize a variety of instruments in the development of the SNA, among them being their own strategic plans and their campus physical development plans. The colleges assess what they have and identify needs, be they in staffing, programs, facility maintenance, capital equipment, capital leasing or capital expansion. Each need is developed into a request that is included in the SNA. Each request includes an estimated cost and a college-assigned priority. The SNA is completed and submitted to the KCTCS System Budget Office in January of each odd-numbered year.

Relationship of the Strategic Needs Analysis to the Capital Plan

The KCTCS Budget Office makes the Strategic Needs Analyses (SNAs) available to Facilities Management (FM) by providing User IDs and Passwords for the SNA Database to those staff that will be assisting in the development of the KCTCS Six Year Capital Plan. FM staff review the SNAs submitted by the colleges, both the capital sections and the operating budget sections, to identify all SNA submissions that could qualify for inclusion in the Six Year Capital Plan. It is necessary to review all SNA submissions thoroughly because it is possible that a college will incorrectly submit a capital need in the operating section of the SNA. In addition, the colleges will identify minor maintenance and repair projects, and items of equipment in the operating budget side of the SNA that can be captured for inclusion in system-wide equipment and maintenance pool projects in the Six Year Capital Plan.

Once all college SNA submissions have been reviewed and all possible capital projects identified, an MS Access database is developed that contains each of the projects deemed eligible for inclusion in the KCTCS Six Year Capital Plan. The database contains the following fields:

<u>FIELD</u>	<u>DESCRIPTION</u>
ID NUMBER	Number assigned by college in the SNA
COLLEGE	College Requesting Project
CAMPUS	Specific campus for which project is requested.
PROJECT NAME	Descriptive of project; usually name given in SNA
BRIEF DESCRIPTION	Describe basic intent of the project
PROJECT TYPE	New construction, renovation, maintenance, etc.
PROJECT PURPOSE	Program Expansion, New Program, Protect

Interest In Plant, Life & Safety, Renovation, Provision of Services, Environmental Health, ADA, etc.

ESTIMATED COST	Cost estimate provided by SNA. May be modified by FM as necessary.
REQUESTED BIENNIUM	As identified in the SNA
COLLEGE SNA PRIORITY	As identified in the SNA
COLLEGE CAPITAL PRIORITY	SNA priority with operating budget priorities excluded
INCLUDED IN LAST CAPITAL PLAN?	Yes or No. If Yes, indicate which biennium.
RANKING CRITERIA POINTS	As determined by FM using established ranking criteria.
COMMENTS	Indicate if project could be included in a project pool, if project has changed since last submittal, if estimated scope has changed, etc.
RESPONSIBLE STAFF – LAST PLAN	FM staff member who developed the project for the last capital plan.

Once this database is completed queries can be developed that provide information about each project that will be used to determine whether it is included in the capital plan.

Project Evaluation

Once all eligible projects are identified from the database analysis, Facilities Management staff then meet to discuss and evaluate the projects to determine their relative placement in the capital plan. This evaluation is undertaken using evaluation criteria that have been developed by Facilities Management and approved by the President’s Leadership Team (PLT). The criteria are as follows:

SIX YEAR CAPITAL PLAN RANKING CRITERIA KENTUCKY COMMUNITY AND TECHNICAL COLLEGE SYSTEM			
CATEGORY	WEIGHT FACTOR	RANKING CRITERIA	DESCRIPTION
A	7	Infrastructure projects intended to more fully integrate KCTCS administrative operations to improve service to KCTCS institutions	To provide for and to ensure the continued smooth and efficient operation of KCTCS administrative functions in support of the institutions as they strive to carry out their missions.

B	6	Projects providing for the completion of projects funded during a previous biennium and which, if not funded, will compromise the viability of the Phase I facility	In many instances the first phase funding was not sufficient to meet all program needs identified in the original project proposals. The projects were reduced in scope to the point that if phase II funding is not approved, they will have a difficult time meeting the education and training expectations of the affected communities or regions.
C	5	College Priority	The college is expected to prioritize its capital needs when submitting the Strategic Needs Analysis (SNA) to the System Office. This priority is given significant weight when projects are reviewed at the System Level for inclusion in the KCTCS Six Year Capital Plan. The weighting is prorated as follows: #1 Priority = 5 Points, #2 Priority = 4 Points, #3 Priority = 3 Points, #4 Priority = 2 Points, and #5 Priority = 1 Point.
D	5	Life Safety & Health	These projects include corrections to code compliance deficiencies including ADA modifications, fire safety improvements, laboratory fume hood upgrades, etc.
E	5	Protecting investment in physical plant	These projects preserve our existing facilities by replacing materials and systems that have come to the end of their useful life, e.g., roof replacements, structural and masonry repairs, lighting upgrades or major HVAC equipment replacement. May also result in reductions in energy consumption and a corresponding reduction in utility costs.
F	4	Economic development stimulus	New buildings that include programs that address workforce development and business and industry training needs will be supported, especially in areas of high unemployment, numerous displaced workers, and / or a lack of educational and training opportunities.
G	7	Extenuating Factors	It is acknowledged that there are extenuating circumstances that often influence the viability or efficacy of a particular project which don't fit readily into the other evaluation criteria categories. These may include CPE endorsement or support, legislative support, and strong community support. In addition, credit should be given to those colleges who are experiencing space deficiencies due to robust enrollment growth.
H	3	Availability of matching funds or privately donated funding	New buildings will be supported where local communities have raised substantial private funds and where Federal, State or incentive funding is available.
I	3	Furthering the strategic plan of expanding educational access into areas not served by KCTCS	New buildings that are consistent with the long range goals of the Strategic Plan will be supported.
J	2	Adaptive reuse of existing facilities in lieu of new construction	Increase the utilization of existing facilities through the renovation of existing underutilized program space for new programs that are more in

			demand.
K	1	Promotes cooperation among higher education institutions	Buildings such as the Postsecondary Centers that promote collaborative efforts between higher education agencies will be supported.

Each qualifying project is evaluated using these criteria. The ranking is not all or none with regards to each criterion. It is possible for a project to receive partial credit for a particular criterion with a score ranging from zero to the maximum point value for the criteria. Once a project is evaluated against all of the criteria, a total point value for the project is calculated by summing the points received for each criterion to arrive at a total project score. Once all projects are evaluated they are ranked by total points received from highest to lowest. It is possible, and highly likely, that several projects will have the same ranking score.

The project evaluation is based on a set of guiding principles that have been established in an attempt to provide guidance to the evaluators in what could be a complex and frustrating endeavor without such guidance. These guiding principles are:

Guiding Principles For Evaluation Of Six Year Plan Project Requests

1. The requests are derived from college submissions to the Strategic Needs Analysis.
2. All SNA requests are measured for inclusion in the Six-Year Capital Plan against the statutory definitions for a capital project, which are:
 - a. Any construction or renovation project with an estimated scope of more than \$600,000;
 - b. Project pools consisting of multiple construction or renovation projects where the cost of each project is less than \$600,000;
 - c. Equipment item with an estimated cost of \$200,000 or more; and,
 - d. Information technology system with an estimated cost of \$600,000 or more.
 Individual project requests that don't meet these criteria are included in one of the pool projects that are in the plan, i.e. Capital Renewal & Deferred Maintenance Pool or the Equipment Replacement Pool.
3. All colleges are represented in the first biennium of the Six-Year Capital Plan, as well as in the two outlying biennia.
4. This list respects the colleges' capital priorities in the evaluation process.
5. All qualifying SNA requests are evaluated using established criteria that were developed prior to the FY02-08 Six-Year Capital Planning process and were ratified by the PLT.

6. In evaluating phased projects, emphasis is placed on the projected construction schedule of the prior phase and the amount of programming or planning that has been done on the subsequent phases.

After this preliminary evaluation is completed, an evaluation tabulation, along with project summary information, is submitted to the Vice President for Finance and Facilities and to the KCTCS President for review and reprioritization. Their reprioritization primarily addresses the relative priorities of those projects that have identical ranking scores after the initial evaluation exercise. The resulting project priority listing is then presented to the President's Leadership Team for discussion and final priority ranking. At this point, usually in mid-to-late February, the project ranking process is completed, the relative placement of projects within the plan is completed, and the process of finalizing the KCTCS Six Year Capital Plan begins. This finalizing encompasses the completion of detailed project narratives and the development of more accurate and final project cost information that is needed to complete the project forms as prescribed in the Capital Planning Instructions.

Concurrently with the completion of the project request forms, the other sections of the Plan are also being completed. These sections of the plan deal with a status update of current, on-going capital projects, the reporting of all real property either owned or leased by KCTCS, the submission of any capital-related studies or reports that are in progress or that have been completed since the last plan submission, and a narrative overview of KCTCS missions and programs and how facilities management is administered. These information items are submitted in the format developed by the Capital Planning Advisory Board.

The completion of the project request forms typically involves additional input from college staff to more clearly define the scope of the project and to provide more detailed project justification than what was originally submitted through the Strategic Needs Analysis. This is normally accomplished via e-mails or telephone calls. The amount and quality of information will vary from college to college; therefore, it may be necessary for Facilities Management staff to do some research in order to suitably complete the project request. It may also be necessary for the staff to contact the Finance and Administration Cabinet's Division of Engineering for assistance in developing accurate project scopes. They typically have access to information on current project costs that may not be otherwise available.

The plan should be completed by late March and submitted to the Vice President for Finance and Facilities no later than April 1st for final review. That provides approximately one week for that review and one week for needed revisions prior to final submission on April 15. The submission to the Capital Planning Advisory Board is in the form and fashion specified in the Plan Instructions.

From April 15 through mid-June, the Capital Planning Advisory Board staff reviews each plan and prepares an overview of each plan for submission to the Board. The Board will have a review of the plans submitted by all agencies and universities sometime in July.

The head of each submitting entity is invited to present an overview of his plan and to answer any questions the Board may have at this meeting.

Subsequent to that meeting the Capital Planning Advisory Board will prepare its recommendations for capital construction over the next three biennia to the statutory head of each of the three branches of Government by November 1 of each odd-numbered year. Historically, amendments to the Six Year Capital Plan can be submitted to the Board by October 15 of each odd-numbered year.

CAPITAL BUDGETING WITHIN KCTCS

Background

KCTCS, like all other state agencies and public postsecondary education institutions, is required to submit a capital budget request every two years as a part of its biennial budget request. The biennial budget request is prepared by KCTCS System Office budget and facilities staff and is approved by the KCTCS Board of Regents, then submitted to the Council on Postsecondary Education for consideration and inclusion in the Council's Budget Request to the Governor.

Budget Process

Traditionally, the capital projects included in the first biennium of the current KCTCS Six Year Capital Plan along with any capital lease requests, constitute the biennial capital budget request that is presented to the Board of Regents in late summer or early fall of each odd numbered year for their consideration and approval. The projects are maintained in the same priority order as assigned in the Six Year Plan. Concurrently with this submission, all first-biennium projects are submitted to the Finance and Administration Cabinet, Department for Facilities Management for budget analysis to make sure the requests are properly scoped.

After securing the Board's approval, the capital budget request is forwarded to the Council on Postsecondary Education for evaluation. The Council staff analyzes the capital budget requests received from all public postsecondary educational institutions, and with the assistance of the Finance & Administration Cabinet and a consultant, evaluates each project using criteria established by the Council with the assistance of the institutions. A final priority listing is developed that determines which KCTCS projects will be selected for inclusion in the Council's Budget Submission.

The Council on Postsecondary Education typically meets in November of each odd-numbered year to approve the Council's Biennial Budget Request, including the capital budget request. Once this formal approval is secured, KCTCS is notified of which KCTCS capital projects have been approved for inclusion. Typically, all restricted funds projects are approved by the Council for inclusion in the budget because these projects are requesting authority to expend existing agency funds, no state appropriations are

requested. The same is true for federally funded requests. These project requests are then entered into the Commonwealth's BRASS budgeting system, which is a computerized database system. The Governor's Budget Office typically holds BRASS training prior to the budget cycle for all those who will be using the BRASS software. Once completed, the budget is submitted to the Governor's Budget Office for inclusion in the overall Executive Branch Budget Request. This is normally done by November 15.

At this point, the Governor's Budget Office begins developing the Executive Branch Biennial Budget Proposal for presentation to the General Assembly in January of each even numbered year. The budget is introduced into the House of Representatives for its consideration and approval. Once approved by the House, the budget bill is forwarded to the Senate for approval. Frequently, if not all of the time, the version of the budget passed by the House will differ from the Senate's approved version. When this happens, a conference committee consisting of members of both bodies is appointed to iron out differences between the two versions and to develop a budget agreeable to both bodies. Once completed, the compromise budget is voted on by both bodies and sent to the Governor for signature. The Governor then reviews the budget and may either approve it as submitted or he may veto parts of the budget using his line-item veto power, or he can refuse to sign the bill. The General Assembly then can override the Governor's vetoes or can accept the vetoes. At this point the bill is considered enacted and the biennial budget then becomes effective on July 1 of each even numbered year.

As the budget progresses through the legislative process, projects can be added, deleted, or otherwise modified from the Governor's original recommendation to the point that the capital budget passed by the General Assembly may have little resemblance to the original submission to the Council on Postsecondary Education several months earlier. Once the budget is finalized, those projects receiving authorization are initiated through the Finance and Administration Cabinet and proceed into the capital construction process.

CAPITAL PROJECT DESIGN AND CONSTRUCTION PROCESS

Background

As previously discussed, in response to the Biennial Capital Budget request the Governor and General Assembly may include some, or all, of the projects which have been described in the KCTCS Capital Budget Request, and/or other additional projects may be inserted into the budget. A bond funded project is normally approved and included in the state's biennial budget for both design and construction. On occasion only project design is funded. After a bond funded project has been approved by the General Assembly the funds for design and construction will normally become available at the beginning of the following biennium. If an emergency condition is deemed to exist funds may be made available sooner, but under normal conditions consultants cannot be placed under contract until the beginning of the first fiscal year of the biennium for which funding has been approved. During the period of time between the end of the legislative session and the beginning of the fiscal year several processes can occur, some simultaneously.

Outlined below are descriptions of KCTCS activities and responsibilities in the overall design and construction process, further details of the procedures are contained in the “CAPITAL CONSTRUCTION PROJECT PROCEDURES MANUAL”, hereinafter referred to as CCPM, which has been developed by the Department of Facilities and Support Services, Division of Engineering and Contract Administration, Finance and Administration Cabinet.

The capital construction process is a cooperative arrangement involving the Division of Engineering and Contract Administration (DECA), the KCTCS System Office of Facilities Management and the participating college, along with the project design consultants. Typically there are two representatives from DECA, an architect and an engineer. Facilities Management is usually represented by a primary project manager and a back up, but additional staff is brought in as needed to address particular issues, i.e. site acquisition, equipment selection, etc. The college is usually represented by the college president or his/her designee, and the college facility manager. Faculty and staff are involved to the extent of providing programming information for their particular discipline. This is a very fluid process that involves a good deal of time and effort and it will necessitate numerous meetings and work sessions.

Project Programming:

One of the KCTCS processes which can begin after the budget is passed but before the start of the fiscal year is the further development of project programs. The project description which is included in the Capital Budget Request is fairly brief and general in nature and must be more fully defined for a consultant’s use. Working with college representatives the facility project managers define space needs by program and determine room data requirements which are collected on room data sheets. Describe all building and site requirements including parking, loading docks, dumpster locations and any other related requirements or needs. Develop a budget accounting for all of the costs of design, construction, contingency, equipment and any other costs such as land purchase, utility placement, etc. The budget is developed on what is called a form B-210 which is modeled after a similar form used by the Finance Cabinet.

RFP’s:

Another process which can occur in this time period is the development of Requests for Proposals (RFP) or Requests for Qualifications (RFQ) from Architectural and Engineering consultants as well as the Commissioning Agent for the approved projects. All contracts for Architectural, Engineering and Commissioning services are administered by and through the Commonwealth’s Finance and Administration Cabinet, Department of Facilities and Support Services, Division of Engineering and Contract Administration. The process of advertising for and selecting consultants is managed by the Division of Engineering and Contract Administration, but we assist the process by drafting an RFP using their template. The major input required from KCTCS is the project description, consisting of a narrative of a few paragraphs, including the construction budget, describing the programs and goals of the project. We can also

recommend the definition of the consultant project team and our representatives to the selection committee. See Section 209.3.2 of CCPM for details of procedures.

Consultant Selection:

If permission is granted by the Governor's Budget Office and the Finance and Administration Cabinet to go ahead with the selection process prior to the start of the fiscal year the Division of Engineering and Contract Administration will advertise the RFPs for A/E services & Commissioning Agent. Two representatives from KCTCS will serve on the selection committee of five people, with two from the Division of Engineering and one at-large selection. From the respondents the committee will "short-list" three for interviews based on qualifications and the scoring criteria established for the project. After interviews the committee will select one A/E consulting firm. The same process will be used to select the commissioning agent. See Section 209.3 of CCPM for details of consultant selection and contract award process.

After the July 1 beginning of the first fiscal year of the biennium consultants may be contracted with; if the selection process has not already been initiated that process will begin and proceed as described above. The Division of Engineering and Contract Administration will negotiate the consultant contracts. After consultants have been selected and contract agreements reached, the Schematic Design Phase may begin.

Site Selection:

Site selection can be made prior to program development or simultaneously with the programming exercise. This is a critical exercise, one that can greatly impact the design of the facility and the construction budget.

Site selection for projects to be constructed on existing college campuses is typically undertaken using the college's physical development plan as a guide. Occasionally, it is determined that the building would be best located on a site other than that specified in the physical development plan. In those cases, the physical development plan is then modified by the project consultant to reflect the new location.

If the project involves the acquisition of additional property, be it at an existing campus or in an entirely new location, there are several factors to consider. Among the factors influencing a site selection are:

- Number of acres required for new facility
- Acreage needed for expansion
- Purchase price
- Site development costs
- Availability of utilities
- Visibility
- Accessibility to student base

Once the consultant is selected and programming is developed and a site is identified and acquired (if necessary) the project proceeds into the schematic design process.

Schematic Design (Phase A)

Once the program is developed and a site is selected, the consultant develops a schematic design of the facility based on the site characteristics and the program. The Schematic Design phase generally takes from two to four months to complete, and includes the following information:

- Site Development Concepts
- Flow Diagrams & Space Relationships
- Single-line Drawings of Site Plans, Floor Plans & Elevations
- Outline specifications for the structure, materials and systems
- A preliminary construction cost estimate

During Phase A, KCTCS is responsible to:

- Identify primary agency contact for the project;
- Identify agency representative authorized to sign plans and issue approvals;
- Participate in the initial project meeting and subsequent design review meetings;
- Participate in project walk-throughs;
- Provide additional information as needed or requested; and
- Provide formal review, comment and approval of the Phase A submittal.

Other than the programming process, this phase requires the most involvement by the college. This is the critical phase in which the function and the form of the building are determined. Care should be taken to review design guidelines and to be contextual to existing campus in massing, materials, floor elevations, etc. Mimicking is not the goal; complementary design is the goal.

See Sections 301 thru 306 of CCPM for detailed requirements of Schematic Design Phase. Following a Schematic Design Phase A review meeting and acceptance of Phase A submittal the project proceeds to Design Development (Phase B).

Design Development (Phase B)

In this phase, the consultant builds on the work completed in Phase A and begins the detailed design work and associated research. Phase B generally takes from three to six months to complete and includes:

- More detailed drawings and specifications
- Fully developed floor plans, exterior elevations, sections, typical details
- Equipment and furnishings layout
- Structural drawings, Mechanical and Electrical system drawings
- More Detailed Construction Cost Estimate

During Phase B, KCTCS is responsible to:

- Participate in Phase B progress meetings and subsequent design review meetings;
- Provide additional information as needed or requested; and
- Provide formal review, comment and approval of Phase B submittals, including review and approval of Phase B drawings, outline specifications, cut sheets, cost estimates, etc.

There is less opportunity for input from the colleges in this phase, although changes can still be made without drastically affecting the project cost or schedule.

See Sections 501 thru 507 of CCPM for detailed requirements of Design Development (Phase B). Following a Design Development review and acceptance of Phase B submittal the project proceeds to Phase C Construction Documents.

Construction Documents (Phase C)

In this phase, the consultant team develops the final plans and specifications that will be used to bid and construct the new building. Typically, this phase will take three to four months to complete and includes:

- Final plans, elevations, sections & construction details
- Complete specifications
- Detailed Equipment layout
- Room Finish Schedules
- All site, site utility, Mechanical, Electrical, Plumbing and Structural plans and details
- Final Construction Estimate

During Phase C, KCTCS is responsible to:

- Participate in Phase C progress meetings and subsequent design review meetings;
- Provide additional information as needed or requested; and
- Provide formal review, comment and approval of Phase C submittals, including review and approval of Phase C drawings, specifications, cut sheets, cost estimates, etc.

By this point all program changes should have been made; therefore, there is little opportunity for input from the college, other than to make technical corrections to the existing plans and specifications. Any programming changes at this point will result in additional expense and delays.

See Sections 601 thru 610 of CCPM for detailed requirements of Construction Documents (Phase C). Following a Construction Document review and acceptance of Phase C submittal the project proceeds to Bidding.

Bidding

The Division of Engineering and Contract Administration of the Finance Cabinet manage the bidding process for Capital Construction Projects. Upon receipt of the completed plans and technical specifications the contracting branch will appoint a Contracting Officer who will add the state's General Conditions and other related legal documentation to the "front-end" of the technical specifications, establish a bid date, send the documents for printing and will advertise the project on the state's capital procurement website for potential bidders to review. See Sections 701 thru 708 of CCPM for detailed requirements of Bidding Process.

The advertising and bidding process will typically take six to eight weeks to complete. Most projects are advertised for thirty days. Reproduction of the plans and specifications can take up to two weeks.

Bid Award

After full review and consideration of the bid, the Contracting Officer performs a bid evaluation on the findings of the bid proposal. If the project is eligible for award then a "Notice of Intent to Award" is sent to the low bidder. The letter requests that the Contractor provide documentation of insurance, performance and payment bonds and other necessary paperwork. The Contractor has 14 days to provide the information after which a contract will be awarded, and Phase D begins.

Construction (Phase C)

Once a construction contract is awarded, the construction process begins. Depending upon the size of the project, the construction will take from 12 to 24 months to complete. Monthly progress meetings are held during the construction phase and generally there is a resident construction inspector on the construction site who is hired by the consultant to oversee the project for KCTCS and the Division of Engineering and Contract Administration.

KCTCS, through assigned staff, performs the following functions during the construction process:

- Provides funding of the construction, monitors funding levels and insures that current funds are adequate to support the construction requirements;
- Consults with DECA during the construction process. Offers opinions related to the construction as it relates to the intended function and use of the project;
- Attends project meetings and conferences;
- Provides coordination between college activities within the project area and the Contractor's work schedule;
- Procures all furnishings, telecommunications equipment and moveable equipment;

- At the time of Substantial Completion, assumes title of and operation of the facility, reports the project and its cost to the Division of Real Properties, Finance and Administration Cabinet, ensures that the building cost is recorded in the KCTCS Asset Management System, obtains the proper insurance coverage for the facility, and accepts maintenance responsibility for the facility; and
- Is responsible for moving into the facility.

See Sections 901 thru 920 of CCPM for detailed requirements of Construction (Phase D).