STATE OF COLORADO
DEPARTMENT OF PERSONNEL & ADMINISTRATION
OFFICE OF THE STATE ARCHITECT
STATEWIDE PLANNING PROGRAM

FY 2017-18 *FACILITIES MASTER PLAN* SUBMITTAL GUIDELINES AND INSTRUCTIONS FOR STATE AGENCIES

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FACILITIES MASTER PLAN **SUBMITTAL INSTRUCTIONS & GUIDELINES**
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(For institutions of higher education refer to Colorado Department of Higher Education planning guidelines for preparation and submittal requirements for Facilities Master Plans)

1.0   STATUTORY AUTHORITY

1.1   **C.R.S. 2-3-1304.6**, was modified in part through *SB15-270*, stating that "*It is declared to be the policy of the general assembly (Capital Development Committee) not to acquire a capital asset or authorize or initiate any program or activity requiring capital construction, except programs or activities for controlled maintenance or capital renewal, for any state agency or state institution of higher education unless the program or activity is an element of the facilities program plan for the agency or institution and such facilities program plan has been approved by the state architect as set forth in section 24-30-1311, C.R.S., or by the Colorado commission on higher education as set forth in section 23-1-106, C.R.S.*"

1.2   **C.R.S. 24-1-136.5 (2)***, was modified in part through *SB15-270*, stating that "*The executive director (heads of principal departments) shall review facilities master planning and facilities program planning for all capital construction, controlled maintenance, and capital renewal projects on department real property, regardless of the source of funds and shall submit for approval all such facilities master plans and facilities program plans to the Office of the State Architect for approval*".

1.3   **C.R.S. 24-30-1303(1)(t)(I)**, was modified in part through *SB15-270*, adding the responsibility to the Office of the State Architect (Office) to "*Make recommendations on capital construction and capital renewal project requests made by each state agency after the requests have been reviewed by the Office as specified in C.R.S. 24-30.1311, and submit recommendations for the same to the Office of State Planning and Budgeting. The State Architect may not recommend capital construction project requests if such projects are not included in the state agency's facility program plan that is approved as required in section 24-30-1311, unless the State Architect determines that there exists a sound reason why the requested project is not included in the facility program plan.*"

1.4 **C.R.S. 24-30-1311(3)(a)**, was created through Senate Bill *SB15-270*, establishing the duties and powers of the Office of the State Architect (Office) with respect to capital construction and long-range planning. The section states "*Each state agency shall forward Operational Master Plans, Facilities Master Plans and Facilities Program Plans, and Five-Year Plans to the Office. The Office shall review Operational Master Plans, and approve the Facilities Master Plans, Facilities Program Plans, and Five-Year Plans described in section 24-1-136.5.*"

1.5 **C.R.S. 24-37-304(a)**, was modified in part through *SB15-270*, and continues to require the Office of State Planning and Budgeting to develop an annual plan for capital construction expenditures and adds, *"But the plan for capital construction expenditures must consider recommendations made by the Office for state agencies, and recommendations made by the Colorado Commission on Higher Education for state institutions of higher education."*

2.0 OVERVIEW
The legislation gives the Office the authority to prescribe uniform policies, procedures, and submittal requirements for Operational Master Plans, Facilities Master Plans, Facility Program Plans, five year plans and capital construction requests for state departments. These instructions & guidelines outline components to be included in the preparation of Facilities Master Plans and the criteria by which the Office will conduct Facilities Master Plan reviews.

2.1 Given that the organization of every state agency's facilities in Colorado is unique, an overarching set of instructions & guidelines mandating how all Facilities Master Plans (FMP) should be organized does not make sense in terms of achieving the best outcomes for each agency's planning needs. Given that, these instructions & guidelines reflect some of the necessary elements and examples for a successful process, and should be followed in organization, content and format as closely as possible.

FMP's build on Operational Master Plans (OMP) and play an extremely important role in determining the best use of state funds in the state's capital construction process. Planning is a continuous process that will enable an agency to get from where it is today, to where it wants to be in the future. From the state perspective, the ability to review OMP's and FMP's for state agencies, allows the OSA and state elected officials to attain a better understanding of state agency needs and priorities. The FMP is a documented comprehensive facilities vision based on review and assessment of current agency and state goals and objectives, policies and procedures, programmatic needs, existing facilities conditions, urban

design, energy and environmental impacts and, provides projections for changes in organizational structure, service delivery, technological advances and emerging trends. The FMP identifies and justifies priorities for future capital needs including acquisitions and dispositions. A facilities master plan is a living document that evolves and responds to changing conditions and priorities over time.

2.2   Going forward, the Office requires that all state agencies work towards completing FMP's as the basis to justify future requests for capital construction, controlled maintenance and capital renewal project funding. Reassessment by the Office of approved state agency's facilities master plans will be required every ten years. Annual updates will be included to keep the FMP current. In the interim, for state agencies that do not have approved facilities master plans, the Office will review existing planning documents as they are developed for the basis of justification of need. FMP's may be submitted for approval throughout the fiscal year and are approved by the agency's executive director and the OSA. Consult with the Statewide Planning Program (SPP) staff at the onset of the development of planning documents and amendments to these instructions & guidelines.

3.0   CONTENTS

The FMP submittal to the Office should consist of at a minimum, in 11 x 17 format, the four major parts including; Introduction/Planning Process, Agency Overview/Program Information, Existing Conditions Assessment /Space Needs, Recommendations and Implementation, and Appendices as described below:

3.1   Part 1: Introduction or Executive Summary

This part should include a description of the agency and the facility inventory (programs, buildings, infrastructure, land etc.) included in the plan and information explaining the purpose for developing the plan. This section should provide information on the authors and the names of stakeholders and other essential contributors to the plan. This section should also give a brief overview of the facilities master planning process including, but not limited to, what methodology was used to identify alternatives that were considered that allowed the agency to develop the recommendations listed in Section 4.4.

3.2   Part 2: Agency Overview and Background Information

This part considers the agency's present and future mission and the infrastructure required to serve their programmatic needs. Thus, it is necessary to generate agency data at the beginning of the planning process. This section should include an overview of agency history,

programs, organizational and management structure, service delivery, the vision for the future, mission and goals, how the agency interacts with the public and the surrounding community, clients and demographic information and other data that helps to define the agency. Much of this section may be incorporated from the OMP.

3.3   Part 3: Existing Conditions and Space Needs Assessment

Part three consists of an assessment of current condition, quantity, and functionality of existing occupied and vacant facilities and infrastructure for all agency owned and operated facilities. This evaluation should contain recommendations for alternative strategies to sustain agency assets and mitigate condition issues. Much of the information necessary for an existing conditions assessment for an agency will be best represented through the Facilities Condition Index documentation required per the Office of the State Architect and, visual tools such as maps, figures, tables, charts, drawings and photographs. In addition, space utilization and needs analysis, projected by program, are essential in quantifying and justifying current usage and future consolidation/ expansion plans. It should be supplemented with analyses and projections' pertaining to changes in service delivery as recommended in the OMP, advances in information technology, sustainability and security needs in order to provide a comprehensive assessment of current and future facility programmatic needs.

3.4   Part 4: Recommendations

This part recommends a course of action based on the existing conditions assessment, programmatic needs, buy/build/lease analysis and long-term planning and should include a narrative describing the methodology used. This section should also include recommendations for consolidation or expansion of programs, organizational restructuring, changes in service delivery, and a buy/build/lease/sell analysis for new space, renovations and upgrades to existing facilities, acquisitions, dispositions and leased space. Overall and priority recommendations incorporating information technology, sustainability and security goals and objectives should be provided with estimated costs and time line duration projections.

3.5   Part 5: Implementation

This part proposes financing options examining various funding sources and differentiating between immediate steps that can be undertaken by available resources and long-term steps requiring additional funding.

4.0   FORMAT/OUTLINE

The FMP document is to be organized, formatted and tabbed according to this outline so that information can be reviewed and understood in a logical order consistent with part 3.0 Contents above and with other agency submittals. The following outline shows the components necessary for an effective facilities master plan. These components are not all applicable and certain agencies may need additional components to fully articulate their particular facilities needs. Consult with SPP staff in the development of planning documents and amendments to these instructions & guidelines).

4.1   Part 1: Introduction or Executive Summary

The authors of the plan

The general process (methodology) used to develop the plan

How clients and staff were involved

How the surrounding community and local governments were involved

What other stakeholders were involved in developing the plan

How the information from stakeholders and other sources were developed and assimilated into the final planning document

The facilities inventory included in the plan (scope of work)

This section can also contain an overview of some of the larger conclusions reached through the development of the FMP.

Performance Plan goals and objectives (per OSPB instructions)

Alternatives considered

4.2   Part 2: Agency Overview and background information (Include from OMP)

Role, mission and vision (from OMP)

Agency goals and State goals (as defined in the Performance Plan and OMP)

Agency history (from OMP)

General overview of programs or program types (from OMP)

General overview of service delivery and area(s) served (from OMP)

General overview of agency organizational structure (from OMP)

General overview of management structure (from OMP)

Overview of current Policies, Processes and Procedures affecting Facilities: (from OMP)

- ✓ Facilities management structure and responsibilities
- ✓ Facilities maintenance strategy (routine, preventative, long-term)
- ✓ Relevant agency space allocation guidelines
- ✓ Leasing policy
- ✓ Controlled maintenance, capital construction, capital renewal and planning submission process
- ✓ Certifications, codes and standards, (State and Federal)

Assessment of agency Strategic (operational) Plans, role, mission and vision, technology master plans and any other relevant planning

undertaken by the institution in relation to the proposed facilities master plan completed in the last ten years or on-going including current capital construction and controlled maintenance five year plan requests and building condition inventories previously submitted to OSA. (List all documents and describe their scope, objectives and goals and how they are incorporated into this plan) (from OMP)

Facility location maps

Map showing the facility location in a regional context (current and phased growth)

✓ Map showing the facility boundaries in relation to surrounding areas

Client size and demographics (current and phased growth) (from OMP)

✓ Client size

✓ Client distribution by organizational unit

✓ Client demographic and service data

Staff size and distribution (current and phased growth) (from OMP)

✓ By functional area

✓ By organizational unit

Agency economic data (from OMP)

✓ Role within local, regional and state economies and impact

4.3　　Part 3: <u>Existing conditions and space needs assessment</u>

Current land use map

✓ Agency building functions by locations

✓ Land uses adjacent to the facility/complex

Current space inventory and space needs projections tables

✓ Current space utilization by space type in relation to agency space utilization guidelines

✓ Overview of current space utilization and functionality, pointing out particular problems or foreseeable problems - the full table can be included as an appendix

✓ Summary of existing space utilization and needs projections (consolidations and expansion opportunities)

✓ Vacant facilities inventory and strategy

✓ Space standards benchmarking

✓ Owned vs. leased space, termination considerations

Facilities assessment

✓ Facilities conditions overview

✓ Facilities assessment methodology and priorities summary

✓ Facility Condition Index inventory list, maps, photographs, etc.

✓ Sustainability goals

✓ Code, life safety and ADA accessibility summary

✓ Security

✓ Historic preservation strategy and inventory of historic structures

Information Technology assessment

100-year flood site map/topography maps

Circulation systems maps
- ✓ Pedestrian circulation
- ✓ Vehicular and service circulation
- ✓ Bicycle circulation
- ✓ Public transportation

Utility Infrastructure equipment and distribution systems maps
- ✓ Water (Domestic, Storm and Sanitary)
- ✓ Heating
- ✓ Electric
- ✓ Technology
- ✓ Gas, etc.
- ✓ Discussion of surrounding local government utility capacity and connectivity

Open space map
Assessment of current facilities design standards
Urban design issues
Public art requirements

4.4 Part 4: <u>Recommendations</u>

Introduction and methodology
- ✓ Peer states
- ✓ Best practices states
- ✓ Conclusions

Overall recommendations
- ✓ Summary of the recommendations
- ✓ Agency recommendations
- ✓ Facility recommendations pertaining to program changes
- ✓ Urban design recommendations (Impact of state owned buildings in the area)
- ✓ Benchmarking recommendations (efficiency and organization)
- ✓ Sustainability and building performance standards
- ✓ Security and IT infrastructure

Priority Recommendations
- ✓ Buy/build/lease/sell analysis
- ✓ New space
- ✓ Renovations and/or upgrades
- ✓ Acquisitions and dispositions
- ✓ Owned vs. leased space

Acquisitions, dispositions, construction cost and time line
- ✓ Prioritized capital, capital renewal & controlled maintenance construction project schedules and durations, estimated costs (list, charts, maps, narratives, etc.)

Criteria for updating the plan
Phasing strategy

4.5   Part 5: <u>Implementation</u>
        Financing options
        Alternative delivery through public-private partnerships

This document can be found online at the OSA's website along with related documents:

Policies and Procedures for Facilities Long-Range Planning Process for State Agencies (Form OSA/SPP-FPLNG)

Operational Master Plan Submittal Instructions & guidelines for State Agencies Facilities (Form OSA/SPP-OMP)

Facilities Program Plan Submittal Instructions & guidelines for State Agencies (Form OSA/SPP-FPP)