

CHAPTER XIII

CONTROLLED MAINTENANCE PROCESS

CHAPTER XIII CONTROLLED MAINTENANCE PROCESS

AUTHORITY:

24-30-1301, CRS (State Buildings Division).

DEFINITIONS:

See Chapter 1, Section 2.

PROCEDURAL FOCUS:

1. In April and May: State Buildings Programs (SBP) consults with the Office of State Planning and Budget (OSP) to establish controlled maintenance budget projections and schedules for the following fiscal year. **(OSP sets the projected maximum budget dollar amount.)**
2. In May: SBP provides and distributes the controlled maintenance budget instructions to all state agencies and institutions with the exception of the Department of Transportation and the Department of Natural Resources. **(OSP provides the inflation factor to be applied to all agency/institution controlled maintenance project cost estimates.)**
3. In June through August: SBP conducts site visits to all state agencies/institutions to technically verify controlled maintenance project requests to assess progress on previously funded controlled maintenance and capital construction projects, and to review and approve drafts of controlled maintenance request documents.

SBP coordinates its reviews of the controlled maintenance requests with the capital construction requests submitted to OSP and the Colorado Commission on Higher Education (CCH) on an agency-by-agency basis. The reviews assess the following:

- a. Are all agency/institution controlled maintenance project requests appropriately categorized as “controlled maintenance” or should any be considered as “capital construction”? State statutes provide definitions of controlled maintenance and capital construction projects although they do not seem to apply in all circumstances. Therefore, in 1997 SBP developed additional criteria in cooperation with OSP, CCH, and with the concurrence of the Capital Development Committee (CDC) in order to categorize the type of construction project. The new criteria evaluates the project’s “driver.” “Maintenance driven” projects are categorized as controlled maintenance, whereas “program driven” projects are categorized as capital construction. The controlled maintenance budget instructions contain descriptions of these “drivers.”

- Additionally, the SBP “Five Year Rule” is also applied. State owned facilities are eligible for controlled maintenance funding provided that they have been state owned and operated through general funding for a minimum of five years, and/or that it has been a minimum of five years since the facility was either renovated or constructed with general funds.
- b. Could an agency/institution's controlled maintenance requests also be included in their capital construction requests? If duplicate project funding requests exist, the agency/institution is consulted, and the appropriate category and funding source are selected and either the controlled maintenance or capital construction request is revised.
 - c. SBP will provide additional expertise and technical assistance to OSPB or CCHE during their review of capital construction project requests upon their request.
4. On September 1: SBP receives the final copy of all agency/institution controlled maintenance budget request submittals.
 5. During September and October: SBP reviews the submittals and prioritizes requested controlled maintenance projects on a statewide basis. **(SBP justifies to OSPB the actual controlled maintenance budget.)** SBP prepares the controlled maintenance budget recommendations to the CDC according to statute.
 6. In November: SBP presents controlled maintenance budget recommendations to the CDC.

The following is a typical Controlled Maintenance Budget Request Instructions Manual issued by State Buildings Programs on an annual basis. These instructions are issued to assist agencies/institutions in compiling their controlled maintenance requests.



State of Colorado

**GENERAL SUPPORT SERVICES
DIVISION OF PURCHASING
STATE BUILDINGS AND REAL ESTATE PROGRAMS**

THE CONTROLLED MAINTENANCE PROGRAM

Fiscal Year _____

**BUDGET REQUEST
INSTRUCTIONS**

Date: _____

CONTROLLED MAINTENANCE BUDGET REQUEST

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Section 4.0 Forms

SBP 95-01 Rev. 4/___	– Controlled Maintenance Project Request FY _____	(5 pages)
SBP 95-04 Rev. 4/___	– Controlled Maintenance Project Request - Summary FY _____	(1 page)
CMP/SBP Rev. 4/___	– 5 Year Controlled Maintenance Program Plan	(1 page)
SBP 95-05 Rev. 4/___	– Controlled Maintenance Project Status Report FY 96/97 through _____	(1 page)
SBP 98-01	– Energy Efficiency Contract Report FY _____	(5 pages)

CONTROLLED MAINTENANCE BUDGET REQUEST

MEMORANDUM

TO: Principal Representatives
Physical Plant Directors
Construction Managers

FROM: Larry Friedberg, AIA
Director, State Buildings and Real Estate Programs

DATE:

SUBJECT: Fiscal Year _____ Controlled Maintenance Budget Request Instructions

Enclosed are the instructions and forms for the Fiscal Year ____ Controlled Maintenance (CM) requests. Please read all sections carefully. The schedule for preparation and submittal of requests is included in the instructions.

- ÿ In accordance with the Office of State Planning and Budget's (OSP) Capital Construction guidelines, the new inflation factors to be used for FY ____ will be as follows:
 1. The new factor will be ____% in all counties.
 2. For additional clarification, contact OSPB or State Buildings Programs (SBP).
- ÿ OSPB maintains that CM projects that fall below capital outlay limits (under \$15,000) are not to be requested; please adhere to this requirement. In addition, please ensure that duplication does not exist in the controlled maintenance and capital construction requests. Please refer to definitions in Section 1.3 of the instructions.
- ÿ Requests should thoroughly document the problems and the cost of each project. Please include detailed information and cost breakdowns for projects that you have rated and listed in your summary.
- ÿ State Buildings has, as usual, included a status report of previously funded CM projects. Note that the CM status report requests the percent "**encumbered**" not "unencumbered" of the project budget. Please provide a summary of the status of projects funded in the three previous fiscal years (FY ____, FY ____, FY ____) in the format of Form SBP.
- ÿ Please refer to Table A (Sets of priorities/GSF/Agency). Requests to change the gross square footage number from last year due to new facilities coming on-line (within FY ____) or old facilities being demolished (within the next five years) are to be submitted separately from the project requests and are due on August __, __. Please provide supporting documentation. Indicate each change to an existing building with Risk Management number, old GSF and new GSF. List all new buildings that will be occupied by December

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___, ___ with their GSF. Failure to do so will result in SBP using last year's numbers to verify allowable sets of priorities.

- ÿ SBP will continue to recommend the two remaining extraordinary item requests, as indicated in the FY ____ SBP CM Budget Request Recommendations. No additional information is required from the agencies and the extraordinary item request forms are not to be included in the agency's CM request for FY _____. SBP will apply the inflation factors to the total dollar amounts as previously requested by each agency. If an agency determines that its previous requests are no longer accurate, they may request a modification from SBP in writing prior to August.
- ÿ State Buildings Programs requires that agencies report energy efficiency contracts (energy performance contracts) as part of the CM budget request process, in order to document the deferred maintenance projects that are included in and funded by this type of contract. Any agency that has a signed energy efficiency contract in place or that is planning to enter into an energy efficiency contract in the next fiscal year should include this form with the CM request package. The form also allows agencies that require legislative approval prior to entering a lease-purchase agreement in excess of \$50,000 to submit the request through SBP (excluding higher education that is exempt from this requirement). SBP will compile and verify all requests, then bundle and submit them to the CDC for legislative approval. Please refer to the enclosed form (SBP 98-01) in section 4.0.
- ÿ Project Requests involving information technology (voice, data, video) management systems should first be reviewed by the Information Management Commission (IMC) to determine the appropriate funding source.
- ÿ Please provide a site plan of each campus/complex, etc., which identifies and locates on-going and FY ____ requested controlled maintenance, capital construction, ADA , and energy efficiency projects. Also, graphically differentiate between general funded and auxiliary funded facilities on the site plan. The site plan should be bound into the request manual along with the physical plant controlled maintenance requests summary and should be either 8-1/2" x 11" or 11" x 17".
- ÿ In addition, please provide a clean copy, computer generated site plan (and disk if possible) for each campus/complex where you are requesting CM projects as follows: outline building profiles, streets, etc., (no shading, cross hatching, etc.) no text except for agency name and north arrow in the lower left or right corner.

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BUDGET REQUEST

1.0 GENERAL

1.1 PROGRAM PROCESS

The program budget request process for the Fiscal Year ____ CM Program is similar to last year's procedures, including the requirement to submit request forms for all projects. Note that the project request forms have been combined into one form (SBP 96-01 Rev. 4/____).

1.2 PROGRAM FORMAT

The basic format for the preparation, submission and evaluation of project requests remains unchanged from last year.

Agencies are to use the forms included in these instructions to prepare and submit requests.

Five items of particular importance to the budget process are:

- A. A cost estimate break-down must be attached to all requests listed on the summary form (SBP 95-04 Rev. 4/____).
- B. The controlled maintenance status report must be submitted with the budget request. Include a description of the current status of all controlled maintenance projects (including emergency projects) funded during the last three fiscal years on Form SBP 95-05, Rev. ____.
- C. Include any available additional information to describe the nature of items requiring repair and/or replacement and proposed projects.
- D. **Late request submittals past the due date of September __, ____ will not be accepted.**
- E. **Requests to change the gross square footage number from last year's Table A will not be accepted past the due date of August __, ____.**

1.3 STATUTORY DEFINITION

Source of definition is the Colorado Revised Statutes, 24-30-1301, as amended.

Definitions

(2) (a) "Controlled Maintenance" means:

- (l) *Corrective repairs or replacement used for existing state-owned, general-funded buildings and other physical facilities, including, but not limited to, utilities and site improvements, which are suitable for retention and use for at least five years, and replacement and repair of the fixed equipment necessary for the operation of such facilities, when such work is not funded in an*

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agency's operating budget to be accomplished by the agency's physical plant staff.

(II) *That controlled maintenance funds may not be used for:*

(A) *Corrective repairs or replacement for buildings and other physical facilities and replacement or repair of the fixed and movable equipment necessary for the operation of physical facilities, when such work is funded in an agency's operating budget to be accomplished by the agency's physical plant staff; for the repair and replacement of fixed and movable equipment necessary for the conduct of programs (such repair and replacement is funded as capital outlay); for rented or leased facilities, or facilities constructed and maintained by self-liquidating property funds. Minor maintenance items shall not be accumulated to create a controlled maintenance project, nor shall minor maintenance work be accomplished as a part of a controlled maintenance project unless the work is directly related.*

(B) *Any work properly categorized as capital construction or capital outlay.*

(b) *"Controlled Maintenance" may include the purchase of the services of architects, engineers, and other consultants to investigate conditions and prepare recommendations for the correction thereof and to prepare plans and specifications, and to supervise the execution of such Controlled Maintenance projects, as provided by appropriation by the general assembly.*

For additional clarity, SBP, OSPB and CCHE have agreed upon the following interpretations to further distinguish between capital construction and controlled maintenance requests:

"Maintenance Driven" is defined as those projects arising out of the deterioration of a facility's physical and functional condition, including site and infrastructure, and the inability to comply with current codes. These types of requests would be considered as controlled maintenance.

"Program Driven" is defined as those projects arising out of an agency's need to create, expand, or alter a program due to growth, advances in technology or changes in methods or program delivery. Requests addressing physical space requirements needed to accommodate particular functions, such as those traditionally included in facility programs would constitute a "Program Driven" request, and therefore would be considered as capital construction.

1.4 PROGRAM/BUDGET SCHEDULE

The key dates for the development and execution of the Fiscal Year _____ Controlled Maintenance Program/Budget shall be in accordance with the following schedule:

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ACTION RESPONSIBILITY	ACTIVITY	DATE
A. SBP	Prepare/Issue (these) Controlled Maintenance (CM) Budget Instructions	May, ____
B. Agency	Document/Plan/Prepare Ongoing CM Requests (including "emergency requests")	Year-Round
C. SBP	On-site Review of FY ____ "Top-Rated" CM Projects with Agency Physical Plant Staff	June __ to Aug. __, ____
D. Agency	Submission of Revised Gross Square Footage Numbers (if applicable)	Aug. __, ____
E. Agency	Submission of Current FY ____ CM Requests	Sept. __, ____
F. SBP	Analysis/Evaluation of FY ____ Requests	Completed by Oct. __, ____
G. SBP	Presentation of Draft of FY ____ CM Budget Recommendations to OSPB	Oct. __, ____
H. SBP	Presentation of Recommendations to the Capital Development Committee	(Approx.) Nov. __, ____

1.5 PROJECT REQUESTS

The Controlled Maintenance Program is no longer subdivided into two (2) categories: "Specific Maintenance Projects" and "General Maintenance Projects."

Due to the increase in the number, scope, complexity, phasing and cost of CM projects, it has been determined that the two previous categories no longer accurately define the conditions of today's controlled maintenance requests. Each and every CM project must be assessed based on its own unique circumstances and defined accordingly.

Controlled maintenance projects shall be separately programmed and requested. The requests should fall under one (1) of the following conditions:

Condition 1: Projects that are relatively simple in their scope and nature.

Example: Projects which involve only one category of work such as sidewalk or roof replacement.

Condition 2: Projects that are complex in their scope and nature.

Example 1: Projects which involve major categories (or building systems) of work such as replacement of HVAC system, plumbing, electrical work and incidental architectural finishes within a single building.

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Example 2: Projects which involve one or more similar categories of work in multiple buildings.

Condition 3: Projects with relatively small dollar values (Less than \$250,000). A cost estimate prepared by qualified physical plant staff or a professional consultant is required per section 2.5D., Detailed Cost Estimate/Budget Request.

Condition 4: Projects with relatively large dollar values (greater than \$250,000). A cost estimate prepared by qualified physical plant staff or a professional consultant is required per section 2.5.D., detailed cost estimate/budget request.

Condition 5: Projects that require multiple funding/construction phasing due to scope, complexity and/or estimated cost.

Example: Replacement of a centralized steam distribution system by segments.

Condition 6: Extraordinary item requests as determined by SBP.

Example: Replacement of all state-owned CFC refrigerant containing equipment by bundling them together into a "one time" statewide request.

1.6 PROJECT "SCORING" SYSTEM

The project "scoring" system, which was adopted in FY 83/84, will continue as the system for ranking projects in a priority order. The system ranks projects based upon a "score number" ranging from one (1) to XXX with a "1" score being the highest rating.

The "Project Score" number (Abbreviated PS) is obtained by multiplication of the following three (3) rating factors or numbers:

First Factor(s): Agency Priority Number(s) (AP)

Second Factor: Operational Criteria Legend Number (OC)

Third Factor: Critical(ity) Index (CI)

The formula is: Agency Priority Number (AP) multiplied by the Operational Criteria Legend number (OC) multiplied by the Critical Index (CI) equals the Project Score (PS).

THE ABBREVIATED FORMULA IS: $AP \times OC \times CI = PS$

AGENCY PRIORITY NUMBER (AP):

The first factor is established by the agency by requesting, ranking and listing projects in their order of importance to the agency. The agency shall list projects in priority order upon the Physical Plant Controlled Maintenance Requests - Summary, Form No. SBP 95-04.

OPERATIONAL CRITERIA (OC):

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The second factor is also established by the agency (verified by SBP) as determined from the following legend:

1. Health and Safety Hazard
2. Disrupting Operations (Agency Program)
3. Causing Damage or Deterioration

CRITICAL INDEX (CI):

The third factor to be applied by SBP is the Critical Index (CI). The Critical Index is an evaluation of the importance of the agency's projects. It is an assessment of the relative immediacy (criticality) or importance in accomplishing the requested projects. SBP will evaluate the agency's current capability to complete the number, scope, size and complexity of the agency's top-rated project requests as listed on the summary form SBP 95-04.

IMPORTANT NOTES ON CRITICALITY

In the recent past, the State Buildings Programs has noted that in some budget requests non-critical items are often combined with critical elements of work, and further noted that these are being requested at the highest (or next to highest) priority level. For example, health and safety elements (Operational Criteria of 1) may only comprise ten percent of the work with the remainder of work being less critical, but these projects are requested as if the health and safety issues are predominant.

To justify the critical nature of projects where non-critical elements are included, the critical physical deficiencies must predominate over non-critical elements. Agencies shall be prepared to outline scopes of work and budgets to clarify issues of criticality and non-criticality of such requests. This will be important to gain legislative support as there is an increasing concern with this issue.

1.6.1 TABLE A

The third column of Table A, which follows, shows each agency's gross square footage (GSF) which is used in calculating each agency's sets of priorities. The agency's area (GSF) as indicated may, in fact, vary from the actual GSF in each case. Please note that the areas shown represent SBP's best figures available or known at the time of this budget instruction book's preparation.

Should the areas shown vary significantly, please contact SBP as soon as possible. The due date for changes to the GSF numbers is _____.

Each agency is allotted sets or numbers of projects which it may request for each 500,000 GSF (+) of units of space in its physical plant inventory currently on-line.

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Example: If an agency has 4,000,000 GSF of space in its inventory, it may request 8 projects as Agency Priority (AP) No. 1, 8 sets of priority No. 2, etc. However, If an agency has 4,260,000 GSF, this would result in 9 sets (rounding to the nearest 500,000 GSF).

The purpose of such allotments is to create a basis for estimating the number of projects needed according to plant size. Rationale: The larger the physical plant, the greater number of potential problems.

However, **the actual plant condition and project needs will be used to determine more equitably the distribution of available funds.**

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2.0 BUDGET REQUESTS - PREPARATION AND PRESENTATION

2.1 PURPOSE

The State Legislature annually appropriates the Controlled Maintenance Program based upon the budget request submittal by GSS on behalf of all State Agencies and institutions. The purpose is to obtain funding for needed corrective repairs or replacements of facilities' physical deficiencies.

2.2 PRESENTATION/FORMAT

Upon completion of the forms described in this Section 2.0, assemble the request packet for presentation/transmittal to State Buildings Programs (SBP) Capitol Life Building, 225 East 16th Avenue, Suite 900, Denver, Colorado 80203. Submit two copies (separate from any other budget requests) and collate as follows:

- 1) The Controlled Maintenance Request Summary (Form SBP 95-04 Rev. 4/__) List only the controlled maintenance project requests on this form as per the 5 Year Controlled Maintenance Program Plan (Form SBP/CMP Rev. 4/__). Also include the total for all non-prioritized deferred maintenance projects.
- 2) 5 Year Controlled Maintenance Program Plan (Form SBP/CMP Rev. 4/__).
- 3) Controlled Maintenance Project Request (Form SBP 95-01 Rev. 4/__).
- 4) Controlled Maintenance Status Report (Form SBP 95-05 Rev. 4/__).
- 5) Energy Efficiency Contract Report (Form SBP 98-01).

2.3 SCHEDULE FOR SUBMITTAL

The ____ Controlled Maintenance Request shall be submitted no later than **September 1, ____**. Late submittals in the last few years have become an increasing problem. Therefore, SBP strongly recommends that agencies submit their requests as early as possible. A draft of the agency's request manual is to be submitted prior to controlled maintenance visit.

2.5 INSTRUCTIONS FOR PREPARING THE CONTROLLED MAINTENANCE PROJECT REQUEST - FORM SBP 95-01 (Rev. 4/____)

A. AGENCY BASIC DATA:

Blank 1): Fill in your agency name.

Blank 2): Fill in your department title -
Examples: Higher Education, Human Services

Blank 3): Insert agency ID number which consists of agency's project number suffixed with the initial request year. Example: 10-94 - Identifies agency's maintenance project priority number 10 first

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requested in Fiscal Year 1993/94. Insert SBP assigned project M# number for continuing phased requests.

- Blank 4) Fill in your agency priority number(s). NOTE: Be sure the number(s) agree(s) with your agency priority (AP) number(s) listed on Summary - Form SBP 95-01. (NOTE: Do not provide project request forms for projects not listed on the 5 Year Controlled Maintenance Program Plan, Form CMP/SBP Rev. ____).
- Blank 5): Use a descriptive title to describe project, including identifying "phase ___ of ___" where applicable. This description pertains to what is being requested this year, not previous or future phases (this information is to be included in the narrative description).

B. FACILITY PROFILE:

- Blank 1): Check the appropriate box, site or building, followed by a description of the site utilities or facilities area(s) or building(s) name and Risk Management Building ID number(s).
- Blank 2): Describe location. Example: West Campus
- Blank 3): Provide building's gross square feet (GSF), assignable square feet (ASF) of space and date the facility was constructed.
- Blank 4): Describe the facility's functional use or occupancy. Example: Classroom/Laboratory (Laboratory Instructional Space), Inmate Housing, Administrative Office Space.
- Blank 5): Describe the Uniform Building Code (UBC) construction type in terms of the building's fire-resistivity (Type I, II, III, IV or V). Also note (in a word or two) the primary or predominant structural element(s) such as concrete, masonry, protected steel, etc.
- Blank 6): Describe the state of repair or overall physical condition of the facility being considered for a specific maintenance request. Example: Structurally sound, masonry walls cracked, steam system leaking, electrical distribution unsafe, windows/caulking deteriorated, interiors sound, etc.
- Blank 7): Fill in self-explanatory information requested.
- Blank 8): Fill in the Risk Management replacement dollar value of the building.
- Blank 9): Check applicable boxes:
- a) Check the first box if the Facility Master Plan is undergoing changes or revisions, which anticipates facility use or functional changes.

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- b) Check the second box if the Facility Master Plan indicates facility's useful life is less than five (5) years; demolition is proposed; or the facility will otherwise be removed from inventory.
- c) Check the third box if the facility's useful life is more than five (5) years or will be extended for at least five (5) years as a result of renovation, etc.
- d) Check the fourth box if capital construction, remodeling or renovation is planned and/or recently funded.
- e) Check the fifth box if the Facility Master Plan is obsolete; insert date of approval of the last Master Plan.

Blank 10): Check the appropriate box for facility audit information requested.

C. INTEGRATED PROGRAM PLAN DATA

Data 1 Blanks: This narrative description should expand upon the project title to describe in detail the Controlled Maintenance problem(s) to be corrected via this maintenance request and list proposed solution(s) to the problem(s). (Example: If a project will require phasing, the narrative should first begin with an overall description of the problem followed by a more detailed description of each required phase and the work to be performed in it. Note which phase is being requested in this year's request.)

Data 2 Blanks: Insert cost data requested. For the Ratio Cost, use the Total Project Cost of the detailed cost estimate (risk management replacement dollar value) and use the Facility Estimated Value listed under B.8.

Data 3 Blanks: Check appropriate box. If "yes", describe capital construction projects requested which relate to this CM facility request.

Data 4 Blanks: Describe the effects and impacts on program and physical maintenance of the facility if this project is not funded. Justify request by estimating adverse impacts on operating costs, additional deferred maintenance costs, and/or maintaining functional use of facility in terms of one of three operational criteria: Health and Safety Hazard, Disrupting Operations, Causing Damage or Deterioration.

Data 5 Blanks: Provide appropriate documentation - as indicated - to further convincingly support this request.

D. DETAILED COST ESTIMATE/BUDGET REQUEST

The form is based upon breaking down work items for UNIT PRICE ESTIMATING for the purpose of "thinking through" all of the work involved in the project, or to provide more accurate estimating of project costs. Resource

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information (in the construction industry) is also widely available in this format, such as Robert S. Means, Building Construction Cost Data published annually.

The form is adaptable to systems type estimating - when applicable and when Units are not logically subject to a breakdown - by inserting L.S. (abbreviation for Lump Sum) under the UNIT Column.

Describe all of the Work Items involved in the project, an estimate of their number of units multiplied by prevailing (substantiated) Unit Costs to obtain the Extended Cost for each Work Item. Under the Work Item column, indicate whether Labor (L), Material (M), Labor and Material (L & M) or Equipment (E) is included in the Work Item.

Add up all Extended Costs to arrive at the Subtotal Construction Cost.

Insert the contingency percentage, as an estimating variable, to allow for unknown concealed conditions, market uncertainty, etc., as it affects the project cost estimate. Multiply the contingency percentage by the subtotal construction cost and insert the dollar value under the Extended Cost Column.

E. PROPOSED PROJECT IMPLEMENTATION SCHEDULE (PLAN):

Top of Page: Fill in page number blanks.

Insert the dates for major milestones shown, which are planned by the agency, to accomplish the project or phase that is requested.

In preparing the schedule, the agency should assume that approved projects may not be allocated prior to July 1, _____. The schedule must make realistic allowances for the duration of all precedent activities; i.e., selection of consultants, negotiation and execution of consultant agreements, design/review of documents and duration of other applicable activities.

F. AGENCY APPROVAL/SIGNATURE

The agency shall sign and date the request.

G. PROPOSED PHASING OPTIONS (PROJECTS ESTIMATED TO BE GREATER THAN \$250,000)

1. BACKGROUND

Over the last few years, the number, scope, complexity and cost of systems-related maintenance requests has grown considerably. The expansion of these types of requests, while advantageous to the State due to the inherent project cost-savings involved, has resulted in considerably less flexibility for the legislative decision makers who must respond to the prioritized lists. This is particularly true when target budgets for the controlled maintenance program are not known in advance.

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In order to provide the legislature with a budget request with built-in flexibility adequate to respond to a prioritized list at various funding levels, agencies are being asked to provide information regarding how projects might be phased, and what, if any, prior phases were funded and what, if any, future phases will be required.

2. PROCEDURE

The final item on the maintenance requests allows agencies to indicate how a project might be phased should overall funding of the program be inadequate to consider all high priority requests at the levels requested.

Indicate logical available phased options for the project in increments of approximately \$250,000 or greater, if practical. Do not indicate phasing in a manner which would tend to pre-obligate the State to fund the remaining portions. For example, avoid phasing all of the architectural/engineering work only as a phase I. Feasibility, life-cycle or planning studies, on the other hand, might be acceptable as a logical first phase. Use logical increments. If phasing is simply not possible such as might be the case in the replacement of a single large boiler, provide an appropriate explanation. In any case, provide a detailed explanation of the nature of the phases in the narrative description.

In projects requiring continued funding for future phases(s), list all prior phases as well as current and future phases, if applicable, including SBP assigned M#, and Agency Assigned Project #.

Do not inflate _____ dollars to their expected future year values. Note that it is expected that the cost of the sum of the phases would exceed the amount of the request, even in _____ dollars.

Note also, that project review and prioritization by SBP will be based upon the entire request. SBP will not be recommending that Phase I only be funded. This information is simply for the additional flexibility required by the legislative decision makers.

2.6 INSTRUCTIONS FOR COMPLETING _____ CONTROLLED MAINTENANCE REQUEST SUMMARY FORM SBP 95-04

Top of Page: Fill in summary page numbers. Example: "Page 1 of 5, Page 2 of 5, etc." in sequence

Blanks 1) and 2): Fill in agency and department titles as on previous forms.

Blank 3): Insert complete date (month, day and year).

General: Information to be summarized on this Form SBP 95-04 is taken from the 5 Year Controlled Maintenance Program (Form CMP/SBP Rev. ____) and supported in detail by the Project Request Forms (SBP 95-01 Rev. ____):

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- a) Agencies and institutions must list all prioritized projects from the 5 Year Plan. However, only the number one and two prioritized projects require supporting documents (i.e. Project Request Forms). Additional project requests supporting lower priorities may be provided at the agency's discretion.
- b) Also include, if known, the total for all non-prioritized deferred maintenance projects which are not included in the 5 Year Plan, as identified through the facility audit survey. (If a survey has not yet been completed, list the total dollar amount of all additional CM projects not included in the 5 Year Plan.)

SEQUENTIALLY LIST ALL PROJECTS IN THE ORDER OF THE AGENCY'S PRIORITY NUMBER(S). GROUP SETS OF PRIORITY NUMBERS IN SEQUENCE; AS AN EXAMPLE: THREE AP ONES(1'S), THREE AP TWO'S (2'S), ETC. AS PER THE 5 YEAR CONTROLLED MAINTENANCE PROGRAM PLAN.

Blank 4): List the referenced agency's project ID number, and SBP assigned M#, which is shown on the project request form (SBP 95-01).

Blank 5): Use the same project title as shown on request forms. Indicate the project/phase requested each fiscal year. For single phase projects, indicate "Phase 1 of 1."

Blank 6): Insert project estimate (request) taken from the request forms. Indicate as applicable: total project cost, prior appropriation, budget year request and the project balance.

Blank 7): Insert the agency's priority (AP) number(s).

Blank 8): List the appropriate operational criteria (OC) number for each project as follows:

- a) Insert the OC number "1" for projects considered: "Health and
- b) Insert the OC number "2" for projects considered to be: "Disrupting Operations"
- c) Insert the OC number "3" for projects considered to be: "Causing Damage or Deterioration"

Blanks 9 & 10): DO NOT FILL IN THESE BLANKS. State Buildings Programs will use this summary form and these blanks to rate ("score") each project.

2.6 INSTRUCTIONS FOR COMPLETING THE 5 YEAR CONTROLLED MAINTENANCE PROGRAM PLAN, FORM CMP/SBP (This form is also required in the "Budget Procedures Manual" issued by the Office of State Planning and Budgeting (OSPB). However, this 5 Year Plan is to be first approved by SBP prior to final submittal to OSPB).

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

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Top of Page: Fill in summary page numbers. Example: "Page 1 of 5," "Page 2 of 5," etc. in sequence.

Columns 1)

2): Fill in agency and department titles as on previous forms.

Column 3): Insert complete date (month, day and year).

Column 4): Insert the agency's priority (AP) number(s).

Column 5): Insert SBP assigned project M# for continuing phased requests.

Column 6): Use the same project title as shown on the request form. Indicate the project phase requested this fiscal year. For single phase projects, indicate "Phase 1 of 1."

Column 7): Insert the total project cost for single phase projects, or multi-phase projects as indicated on page 3 of the project request form.

Column 8): Insert the cumulative dollar amount of all prior appropriations as indicated in the prior phasing "subtotal" on page 5 of the project request form, if applicable.

Column 9): Insert the same dollar amount as the total project cost (Blank 7) for single phase projects requested this fiscal year or insert the dollar amount for the current phase requested this fiscal year for multi-phase projects and indicate phase.

Column 10): Insert the same dollar amount as the total project cost (Blank 7) for single phase projects to be requested in future years or insert the dollar amount for each future phase as indicated on page 5 of the project request form for multi-phase projects and indicate phase.

NOTE: Multi-phase projects are not to exceed 5 phases. Additional phases cannot be added to on-going multi-phased projects as previously requested and partially funded without prior approval from SBP.

2.7 INSTRUCTIONS FOR COMPLETING THE CONTROLLED MAINTENANCE PROJECT STATUS REPORT, FORM SBP 95-05

All categories must be filled out for each project listed. If information is not available, it is acceptable to use "TBD" for "To Be Determined" or "N/A" for "Not Available." In addition, if work was done by agency staff, indicate as "In House."

Top of Page: Fill in summary page numbers. Example: "Page 1 of 5," "Page 2 of 5," in sequence.

Columns 1)

2): Fill in agency and department titles as on previous forms.

Column 3): Insert complete date (Month, Day and Year).

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

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- Column 4): Insert SBP assigned M# for controlled maintenance projects and SBP assigned EM# for emergency projects. For phased projects, indicate the phase with a numbered suffix. Example: M256-01, M256-02 etc. Where it is necessary to break up a particular phase, use an additional *letter* suffix. Example M256-01A, M256-01B, etc. Because all CM projects will be considered phase 1 of 1, it is preferable that the M# for single phase projects be listed with the "-01" suffix.
- Column 5): Use the same project title as shown on previous request forms and indicate the project phase if applicable.
- Column 6): Insert the dollar amount of the prior appropriation for each single phase project. For multi-phase projects, insert the dollar amount appropriated for each phase.
- Column 7): Insert the dollar amount contributed to project from other funding sources.
- Column 8): Insert the date (Month and Year in numeric format) the project funds were appropriated. For example, June, 1994 should be entered as 6/94
- Column 9): Insert the total dollar amount of all fully executed contracts, purchase orders, etc.
- Column 10): Insert the actual or anticipated date (in numeric format) of the fully executed A/E contract. (Note: Must be accomplished within the 6 month deadline).
- Column 11): Insert the actual or anticipated date (in numeric format) the A/E construction documents are completed. For CM/GC projects insert the date the design development documents are completed and the GMP is approved.
- Column 12): Insert the actual or anticipated date (in numeric format) the project is to be bid. For CM/GC projects, insert the bid date for each bid package.
- Column 13): Insert the actual or anticipated date (in numeric format) of the fully executed contractor's agreement. For CM/GC contracts insert the date the contract is initially executed incorporating only the contractor's fees and general conditions.
- Column 14): Insert the actual or anticipated date (in numeric format) the project is to be fully occupied.
- Column 15): Insert the actual or anticipated date (in numeric format) the project close-out forms are fully signed-off.
- Column 16): Insert the name of the architect/Engineer (A/E).
- Column 17): Insert the name of the prime contractor.

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

2.8 **INSTRUCTIONS FOR COMPLETING ENERGY EFFICIENCY CONTRACT REPORT – FORM SBP**

State Buildings Programs now requires that agencies report energy efficiency contracts (energy performance contracts) as part of the Controlled Maintenance (CM) budget request process. This form is to be submitted along with the agency’s CM request package.

New energy efficiency contracts: Agencies that have signed an energy efficiency contract since the previous year’s CM request or are planning to enter into an energy efficiency contract in the next fiscal year should complete sections A and B of this form.

Existing energy efficiency contracts: Agencies with energy efficiency contracts signed prior to this year’s CM request should complete sections A and C of this form.

A. AGENCY BASIC DATA

Top of Page: Fill in summary numbers. Example: “Page 1 of 5,” “Page 2 of 5,” in sequence.

- Blank 1): Fill in agency name as on previous forms
- Blank 2): Fill in department name as on previous forms.
- Blank 3): Insert Energy Efficiency Contract project number as assigned by agency.
- Blank 4): Fill in the title of the energy efficiency contract.
- Blank 5): Briefly describe the projects, e.g., boiler replacement, chiller modifications, lighting system upgrades, etc.
- Blank 6): Name of person who prepared this form; preparation date (Month, Day and Year).

When section A has been completed, fill in either section B (for new or planned contracts) or section C (for existing contracts).

B. NEW ENERGY EFFICIENCY CONTRACTS

Fill in this section **only** if you are reporting on a new energy efficiency contract that was signed since the previous year’s CM request or if you are planning on entering into an energy efficiency contract in the next fiscal year. For existing contracts, skip this section and fill in section C.

ENERGY EFFICIENCY CONTRACT STATUS REPORT

Fill in this section to indicate the progress to date:

- Blank 1): Insert completion date (Month and Year) of pre-feasibility study.
- Blank 2): Insert date (Month and Year) RFP was issued.
- Blank 3): Fill in the name of the selected ESCO and the date (Month and Year) selected.

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

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- Blank 4): Insert date (Month and Year) energy audit was signed; Insert the dollar amount of the audit (\$).
- Blank 5): Indicate if the energy audit was completed.
- Blank 6): Insert the date (Month and Year) of legislative approval, excluding higher education.
- Blank 7): Insert the date (Month and Year) the energy efficiency contract was signed; insert the dollar amount of the contract (\$); insert the contract term in years.
- Blank 8): Insert the date (Month and Year) of substantial completion of installation.

IMPACT ON CONTROLLED MAINTENANCE

List all unfunded CM requests that are energy-related and have the potential for being included in this energy efficiency contract. These could include replacements or improvements of lighting systems, heating/cooling/ventilating/air-conditioning (HVAC) systems, controls systems, windows, insulation, etc.

- Column 9): Insert the Agency Project # or M# if applicable.
- Column 10): Insert the year the CM project was requested, if applicable.
- Column 11): If this is a multi-phase project, insert the phase and the total number of phases.
- Column 12): Fill in the project title.
- Column 13): Insert the estimated dollar amount of the CM project (\$).
- Column 14): Insert the dollar amount applicable to the energy efficiency contract. For example, if a CM project request includes heating system and fire sprinkler work, in this column use the cost of the heating system that would be applicable to an energy efficiency contract. At the bottom of this column, enter the total.

LEGISLATIVE APPROVAL REQUEST FOR LEASE-PURCHASE

If an agency is pursuing an energy efficiency contract, prior legislative approval is required in order to enter into a lease-purchase agreement over \$50,000 (excluding higher education).

- Blank 15): Indicate if legislative approval is required.
- Blank 16): Estimate the total energy efficiency contract amount (\$).
- Blank 17): Estimate the annual energy savings due to the energy efficiency contract (\$).

Attach additional backup information as necessary to indicate source of estimates.

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

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C. REPORTING OF EXISTING EFFICIENCY CONTRACTS

Fill in this section **only** for energy efficiency contracts that were active during the past year, but were signed prior to the last Controlled Maintenance request. This section is updated every year until the contract terminates. For new contracts, skip this section.

PROJECT SUMMARY

- Blank 1): Fill in the project title.
- Blank 2): Insert the project number, as assigned by the agency.
- Blank 3): Insert the dollar amount of the signed contract (\$).
- Blank 4): Insert the date the contract was signed (Month and Year).
- Blank 5): Insert the contract term in years.

IMPACT ON CM REQUESTS

List all unfunded CM requests that were included in the signed energy efficiency contract.

- Column 6): Insert the CM project M#.
- Column 7): Insert the year the Cm project was requested.
- Column 8): If this was a multi-phase project, insert the phase or phases included.
- Column 9): Fill in the CM project title.
- Column 10): Insert the dollar amount for the CM project request (\$).
- Column 11): Insert the dollar amount of the CM request that is covered by the energy efficiency contract. For example, if a CM project request includes heating system and fire sprinkler work, include the cost of the heating system that was covered by the energy efficiency contract. At the bottom of this column, enter the total.

ANNUAL SAVINGS TRACKING

This section tracks the savings reported by the ESCO to the agency. Include all past and current year savings to date in this section.

- Column 12): Insert the fiscal year of the reported savings.
- Column 13): Insert the dollar amount of the actual savings reported for the fiscal year (\$).

CONTRACT TERMINATION

- Blank 14): Insert the date (Month and Year) when the contract ended, if applicable.

3.0 APPENDIX

3.1 THE PHYSICAL PLANT CATEGORIES

The Physical Plant System is defined in terms of its component parts of the Building and of the Site.

The component items are listed under sub-categories which in turn are listed under five major categories.

EXAMPLE: Architectural (category), Structure (sub-category), Footings (component item).

The list is not all inclusive. Blank spaces are provided to identify component items which are not listed under a particular system.

NOTE: WHILE THE PHYSICAL PLANT CATEGORIES WILL NOT BE DETERMINANTS IN RATING OF PROJECTS, THE CATEGORIES/SUB-CATEGORIES WILL BE UTILIZED IN SPECIFICALLY DOCUMENTING THE CONTROLLED MAINTENANCE PROGRAM PROBLEMS.

Categories/Sub-categories/Items

.01 Architectural

Structure: Footings, foundations, columns, bearing walls, beams, girders, joists, structural flooring and decking.

Roofing: Roofing, skylights, roof hatches, roof vents, flashings, gutters, exterior downspouts, gravel stops, and copings.

Exterior Shell: Building panels, cladding, siding, exterior paint, exterior sealant, exterior masonry, exterior concrete, and curtain wall systems. Does not include doors, windows.

Insulation: Building insulation, roof insulation, cold storage insulation, foundation insulation, and vapor barriers. Does not include: Mechanical equipment and piping insulation.

Doors: Exterior doors, interior doors, door frames, overhead doors, and door hardware.

Windows: Exterior and interior windows, window frames, clerestory windows, greenhouse coverings, window hardware and all glazing except skylights.

Floor Finishes: Floor paint, ceramic tile (floor), quarry tile, terrazzo (floor), stone flooring, wood flooring, resilient flooring, attached athletic flooring, carpet, carpet cushions, and flooring underlayment.

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

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Wall Finishes: Interior concrete, interior masonry, interior paint (wall and ceiling), ceramic tile (wall), terrazzo (wall), plaster, wallboard, paneling wall paper, wall carpet.

Ceiling Finishes: Acoustical tile, plaster ceilings and cornices and wallboard ceiling.

Specialties: Relocatable partitions (full height), movable partitions, folding doors, mesh partitions, toilet partitions, building signage and directories, chalkboards, tackboards, toilet room accessories, lockers, screens, and access flooring.

Equipment: General assignment furniture, library shelving, blinds, shades, drapes, shutters, casework, built-in lab equipment, and fume hoods.

Elevators - Passenger and freight elevators, dumbwaiters, escalators, and material

Conveyances: conveyors.

.02 Mechanical

Plumbing: Domestic hot water, domestic cold water, circulating pumps, interior storm water, sanitary sewer, natural gas, lab gas, fixtures, trim, water coolers, swimming pool systems, and insulation for items in this category.

Air Moving: Grilles, registers, duct work, supply fans, exhaust fans, air handling units and coils, air mixing boxes, and balancing of air systems.

Heating: Steam heating systems, steam PRV, condensate systems, condensate pumps, radiators, finned tube radiation, convectors, fan coil units, cabinet heaters, unit heaters, unit ventilators, boilers, furnaces, heating heat exchangers, heating pumps, hot water heating systems and insulation for items in this category.

Cooling: Chillers, cooling towers, chilled water systems, brine systems, DX systems, evaporative coolers, greenhouse cooling systems, air washers, humidification systems, unit air conditioners, and insulation for items in this category.

Temperature Control: Electric, electronic, and pneumatic control systems for plumbing, air moving, heating and cooling systems. Does not include: Fire alarm and central monitoring systems.

Fire Protection Systems: Interior fire sprinkler systems, standpipes, firepumps, fire hoses, water and chemical types, including hand-held fire extinguishers and chemical types, including hand-held fire extinguishers.

.03 Electrical

- Service and Distribution: Transformer, main distribution panel, main switchgear, breakers or fuses, feeders, branch circuit panels, and motor control centers.
- Lighting: Lighting fixtures, fixture control devices, emergency lighting units, and wiring and conduits from lighting panel.
- Power: Disconnects, outlets, motor starters, miscellaneous power control devices, and wiring and conduit from power panel.
- Alarm: Fire, high-water security alarms and alarm systems and central monitoring systems.
- Telecomm.: Telephone, television, miscellaneous communications, intercom, public address, class bell, clock systems, and microwave communication systems. (Note: information technology requests should first be reviewed with the Information Management Commission (IMC) to determined the appropriate funding source.)
- Power Generation: Emergency generator, UPS, transfer switch, and associated fuel tanks and systems.

.04 Site Utilities

- Electrical: Duct bank, wire, switches, meters, poles, and multiple building transformers required to transfer electrical energy from the point of delivery by the utility company to a particular building. If building is fed with primary power, transformer and secondary wiring is included with the building. If building is fed with secondary power, the weather head or building line is boundary line.
- Telecomm.: Conduit and other institution-owned services (up to building) required to support central telephone operations. Wire, conduit, amplifiers, transmission equipment, etc., required to support other institution communications services such as television, computer cable, microwave transmission, and radio. Does not include: PBX switching, broadcast studios, or computer equipment.
- Central Alarm: The wire, conduit, and miscellaneous devices required to transmit alarm and other operating data from a building to a central collection point.
- Steam/HTHW: The piping and devices necessary to transmit heat energy from a central heating plant to various buildings. Building/site boundary line is the Pressure Reducing Valve (PRV) and condensate lift station or the water/water heat exchanger. Does not include the central heating plant.

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

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Chilled Water:	The piping and devices necessary to transport chilled water from a chilled plant to various buildings. Boundary line shall be the building shut-off valves.
Control Air:	The piping and devices necessary to transport air from a central station to various buildings for temperature control purposes. Boundary line shall be the PRV station.
Process Air:	Similar to control air except the air should be used for process purposes.
Domestic Water:	Piping, valves, meters, and pits used to distribute domestic water. Boundary line is first shut-off valve inside building.
Irrigation:	Untreated, non-domestic water distribution system for irrigation purposes. Including ditches, head gates, weirs, pumps, filters, piping and PRV stations. See also Watering Systems. NOTE: Where domestic water is used for irrigation purposes, include under domestic water.
Sanitary Sewer:	Piping, manholes, and lift stations used for sanitary sewer. Boundary line is building line.
Storm Sewer:	Piping, manholes, catch basins, lift stations, and retention ponds used for storm water and subsurface drainage. Boundary line is building line.
Street Lights:	Poles, wiring, conduit, transformers, fixtures, and switches used for free standing street and site lights. Fixtures attached to buildings shall be included as building lighting. Boundary line is the control panel which feeds the lighting system.
Natural Gas:	Piping, meters, anodes, valves, and regulators used to transport natural gas to buildings. Boundary line is building regulator or meter.
Heating/Plant:	The equipment necessary to produce heating or cooling energy for more than one building. The structure housing heating or cooling plant equipment is classed as a building.
Sewage Treatment:	The equipment necessary to treat, discharge, and dispose of sanitary sewage for more than one building. The building housing the treatment plant is classed as a building.
Electrical Generating:	The equipment necessary to generate electrical energy on a regular basis for more than one building.

.05 Environmental

Hazardous	Includes investigation, removal & disposal of hazardous materials such
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CONTROLLED MAINTENANCE PROJECT REQUEST - FY

Materials: as asbestos, CFCs, PCBs, storage tanks, etc.

.06 Site Facilities

Watering Valves, piping and sprinklers for underground lawn sprinkler systems.

Systems: Boundary line between watering systems and irrigation or domestic water systems is zone control valve.

Athletic Surfaces: Exterior athletic surfaces such as tennis court surfaces, all weather track surfaces, or "astro-turf".

Athletic Equipment: Permanent built-in site athletic equipment such as tennis court nets, basketball backboards, goal posts, and scoreboards.

Streets:

Parking Lots:

Curbs and Gutters:

Walks and Courts: Various site hard surfaces.

Steps:

Fences:

Fountains and Pools: Fountains and pools including pumps and filters.

Furnishings: All permanently installed site furnishings such as benches, bus stops, trash cans, flag poles, and canopies.

Trees: Include all major landscape items. Does not include bushes or other small vegetation items.

Signage: Includes all permanently installed and detached from buildings signage.

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

4.0 FORMS

The forms following this index are intended to be removed, reproduced, and used by the agency.

SBP 95-01 Rev. __	– Controlled Maintenance Project Request FY _____	(5 pages)
SBP 95-04 Rev. __	– Controlled Maintenance Request Summary – FY _____	(1 page)
CMP/SBP Rev. __	– 5 Year Controlled Maintenance Program Plan	(1 page)
SBP 95-05 Rev. __	– Controlled Maintenance Project Status Report FY _____ through _____	(1 page)
SBP 98-01	– Energy Efficiency Contract Report FY _____	(5 pages)

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

A. AGENCY BASIC DATA:

- 1) Agency _____
- 2) Department _____
- 3) Physical Plant ID No. _____
SBP Project M# _____
- 4) Agency Priority # _____
- 5) Project Title _____

B. FACILITY PROFILE

- 1. Facility Type Site (Utilities) _____
or Site (Facilities) _____
or Building (Name) _____
Risk Mgmt. Bldg(s) ID# _____
- 2. Facility Location: _____
- 3. Facility Area/Age: GSF _____, ASF _____, Date Built _____
- 4. Facility Functional Use/Occupancy: _____
- 5. Facility Construction (Type): _____
- 6. Facility Physical Condition (Describe): _____
- 7. Facility - Intensity of Use Time(s) of Operation: Hours/Day, Days/Months; Months/Year): _____
- 8. Facility - Risk Management Dollar Value \$ _____
- 9. Facility Master Plan Status - Check one or more of the following:
 - _____ Major changes or revisions anticipated in near future.
 - _____ Facility 'useful' life is less than five (5) years.
 - _____ Facility 'useful' life is more than five (5) years.
 - _____ Facility renovation is planned.
 - _____ Master Plan is obsolete; Last Date Approved: _____
- 10. Facility Audit Survey Status (Check one or more of the following:)
 - _____ Facility Audit Survey concluded and submitted to SBP - Date _____
 - _____ Facility Audit Survey is underway but not yet complete.
 - _____ Facility Audit Survey has not yet been initiated at this time.

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

C. INTEGRATED PROGRAM PLAN DATA

1. Narrative Description of CM Problem (previous, current and future):

2. Total Project Cost Estimate (From Cost Breakdown) \$_____

a) Unit Cost: \$_____/GSF; Other: \$_____/_____

b) FCI* (Total Project Cost Deficiency ÷ Facility Replacement Value) = _____

3. Are there Capital Construction Projects (Renovation, Health and Safety, Energy Retrofit, Etc.) being requested in the current fiscal year for this facility? No ___ Yes___ Describe project(s): _____

4. Consequences (cost effects, program impacts, facility impact, etc.) of not funding and justification for this specific program request: _____

5. Additional information to support this request? (Describe)

a) _____

b) Supplemental Sheet(s) Attached? (Photographs, sketches, maps, etc.)

* FCI - Facility Condition Index

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

E. PROPOSED PROJECT IMPLEMENTATION SCHEDULE (PLAN):

PHASE	FROM	TO
1. Pre-Design (Insert Dates)	_____	_____
2. Design (Insert Dates)	_____	_____
3. Construction (Insert Dates)	_____	_____
4. Project Close-out/Final Completion	_____	

F. AGENCY APPROVAL

Prepared By _____

Date: _____

Agency Authorized Signature _____

CONTROLLED MAINTENANCE PROJECT REQUEST - FY

G. PROPOSED PHASING OPTIONS¹

PRIOR PHASING²

Proj. M#	Phys. Plant ID #	Fiscal Year	Phase or Phases of Work	Dollar Amount (Actual Appropriation)
		FY _____		

\$ _____ (subtotal)

CURRENT PHASE³ REQUESTED

Proj. M#	Phys. Plant ID #	Fiscal Year	Phase of Work	Dollar Amount (Per Detailed Budget)
		FY _____		

\$ _____ (subtotal)

FUTURE PHASING³

Proj. M#	Phys. Plant ID #	Fiscal Year	Phase or Phases of Work	Dollar Amount (Per Detailed Budget)

\$ _____ (subtotal)

Additional Cost of Phasing

(Attach a brief explanation of phasing concept, or explanation of why phasing in logical increments, approximating \$250,000, is not a viable option)

\$ _____

Total Dollar Amount of Phased Construction

(Prior, Current and Future Phases)

\$ _____

¹ Please provide a project description that explains the previous, current and all future phases on page 2 of this specific request form in the narrative description.

² Please list all previous phases with actual appropriation by year.

³ Please list all current and anticipated future phases with estimated budgeted costs.

CONTROLLED MAINTENANCE REQUEST SUMMARY FY _____

Page ____ of ____

1) Agency _____ 2) Department _____

3) Date _____

				Agency Priority No. AP	Operation al Criteria x OC	Critical Index x CI	Projec t Score = PS
4) PROJ. M#	PHYS. PLANT ID NO.	5) PROJECT TITLE	6) PROJ. ESTIMATE \$	7) Nos. 1-5	8) Nos. 1-3	9)	10)
		Phase ___ of ___ Total Project Cost: Prior Appropriation: FY ____ Request: Project Balance:					
		Phase ___ of ___ Total Project Cost: Prior Appropriation: FY ____ Request: Project Balance:					
		Phase ___ of ___ Total Project Cost: Prior Appropriation: FY ____ Request: Project Balance:					
¹ 5-Year CM plan Total \$							
² Non-Prioritized Deferred Maintenance Total \$							
³ Total CM Request \$							

¹ 5-Year plan total includes current and future requests only, do not include prior appropriations.

² Provide total non-prioritized deferred maintenance number, if known, (from facility audit survey, or other source).
(Note: non-prioritized deferred maintenance total dollar amount is to compiled from projects not on the 5-year plan)
(Include extraordinary project request totals in this number.)

³ Total of the 5-Year plan total and non-prioritized total.

(1) AGENCY _____

(2) DEPARTMENT _____

(3) DATE _____

(4) Project M#	(5) Project Title	(6) State Funds Appropri.	(7) Other Funds	(8) Date Funds Avail.	(9) Percent Encum b.	(10) Design Contract Date	(11) Design Comp. Date	(12) Constr. Bid Date	(13) Constr. Contract Date	(14) Exp. Occup. Date	(15) Project Close- out Date	(16) Name of A/E	(17) Name of Prime Contracto r

FIVE YEAR CONTROLLED MAINTENANCE PROGRAM PLAN – FY _____

(1) AGENCY _____

(2) DEPARTMENT _____

(3) DATE _____

(4) Agency Priority Number	(5) Project M#	(6) Project Title	(7) Total Project Cost	(8) Prior Appropri.	(9) Budget Year Request FY _____	(10) Year Two Request FY _____	(10) Year Three Request FY _____	(10) Year Four Request FY _____	(10) Year Five Request FY _____
TOTALS FOR EACH FISCAL YEAR									

TOTAL CM 5-YEAR REQUEST \$ _____

A. AGENCY BASIC DATA

Fill in this section for both new and existing energy efficiency contracts.

1) Agency: _____ 2) Department:

3) Energy Efficiency Contract Project Number: _____ (as assigned by agency)

4) Energy Efficiency Contract Project Title:

5) Brief Project Description:

6) Prepared by _____ Date _____

B. NEW ENERGY EFFICIENCY CONTRACTS

If you are reporting on an energy efficiency contract that has been signed since the previous year's CM request or are planning to enter into an energy efficiency contract in the next fiscal year (FY _____) complete this section. For existing contracts, skip to section C.

ENERGY EFFICIENCY CONTRACT STATUS REPORT

1. Pre-feasibility study completed

Date: _____

2. RFP issued to select an energy service company (ESCO)

Date: _____

3. ESCO selected

Date: _____

ESCO name: _____

4. Energy Audit/Project Development Agreement signed; audit funds encumbered.

Date: _____

Audit(s): _____

5. Energy audit completed

Yes

No

6. Pre-approval to enter lease-purchase agreement over \$50,000

Date of legislative approval: _____

7. Energy efficiency contract signed

Date: _____

Contract Amount: \$ _____

Contract Term: _____ years

8. Installation completed and accepted (also known as "substantial completion date")

Date: _____

B. NEW ENERGY EFFICIENCY CONTRACTS (continued)

POTENTIAL IMPACT ON CONTROLLED MAINTENANCE REQUESTS

List all current and/or prior unfunded CM requests or other potential projects that have the potential for being included in this energy efficiency contract. These could include replacements or improvements of lighting systems, heating/cooling/ventilating/air-conditioning (HVAC) systems, controls systems, windows, insulation, etc.

(9) Agency Project # or M#	(10) Year of CM Request	(11) Project Phase (__ out of __)	(12) Project Title	(13) Project Amount	(14) Amount Applicable to Energy Efficiency Contract
				TOTAL	

LEGISLATIVE APPROVAL REQUEST FOR LEASE-PURCHASE

If an agency is pursuing an energy efficiency contract, prior legislative approval is required in order to enter into a lease-purchase agreement over \$50,000 (excluding higher education).

15. Indicate if your agency needs to secure legislative approval to enter into a lease-purchase agreement in excess of \$50,000 for an energy efficiency contract:

No__ HIGHER EDUCATION: no approval needed; skip the remainder of this section.

Yes__ OTHER: approval required; complete the remainder of this section.

16. Estimate of total energy efficiency contract amount \$ _____

17. Estimate of annual energy savings due to the energy efficiency contract
\$ _____

C. EXISTING EFFICIENCY CONTRACTS

If you are reporting on an active energy efficiency contract that has been signed prior to the previous year’s CM request, complete this section. Otherwise, skip this section.

PROJECT SUMMARY

- 1) Project Title _____
- 2) Project Number _____
- 3) Signed Contract Amount \$ _____
- 4) Date Contract was Signed _____
- 5) Signed Contract Term _____ years

(6) Project M#	(7) Year of CM Request	(8) Project Phase (__ out of __)	(9) Project Title	(13) CM Project Request Amount	(14) Amount of CM Request Covered by Energy Efficiency Contract
				TOTAL	

C. EXISTING EFFICIENCY CONTRACTS (continued)

ANNUAL SAVINGS TRACKING

Insert the fiscal year and actual savings for each year for which savings has been reported.

(12) Fiscal Year of Reported Savings	(13) Actual Annual Savings for Fiscal Year (\$)

CONTRACT TERMINATION

14) Date contract was terminated: _____ (if applicable)