

**STATE OF COLORADO
OFFICE OF THE STATE ARCHITECT
STATEWIDE PLANNING PROGRAM**



COLORADO

***FACILITIES MASTER PLAN SUBMITTAL GUIDELINES AND INSTRUCTIONS
FOR STATE AGENCIES***

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| TABLE OF CONTENTS | Page(s) |
|---|----------------------------------|
| 1.0 STATUTORY AUTHORITY | 1 |
| 1.1 C.R.S. 2-3-1304.6..... | 1 |
| 1.2 C.R.S. 24-1-136.5(2) | 1 |
| 1.3 C.R.S. 24-30-1303(1)(t)(l) | 1 |
| 1.4 C.R.S. 24-30-1311(3)(a)..... | 2 |
| 1.5 C.R.S. 24-37-304(a) | 2 |
| 2.0 OVERVIEW | 2 |
| 2.1 Documented Facilities Vision..... | 2-3 |
| 2.2 Submittal Process..... | 3 |
| 3.0 CONTENTS | 3 |
| 3.1 Executive Summary..... | 3 |
| 3.2 Introduction/Overview | 3 |
| 3.3 Agency Overview/Operational Information | 3-4 |
| 3.4 Existing Conditions Assessment..... | 4 |
| 3.5 Projected Needs Assessment..... | 4 |
| 3.6 Alternate Solutions and Recommendations..... | 4 |
| 3.7 Implementation | 5 |
| 4.0 FORMAT/OUTLINE | 5 |
| 4.1 Executive Summary..... | 5 |
| 4.2 Introduction/Overview | 5 |
| 4.3 Agency Overview/Operational Information | 6 |
| 4.4 Existing Conditions Assessment | 6-7 |
| 4.5 Projected Needs Assessment..... | 8 |
| 4.6 Alternate Solutions and Recommendations..... | 8-9 |
| 4.7 Implementation | 9 |
| APPENDICIES | (Included as separate documents) |
| a) Updated Surveys/Studies/Plans, etc. | |
| b) Comparative State Analysis (as applicable) | |
| c) Comprehensive Facility Assessments | |
| d) Supporting Data (as applicable) | |

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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 facility 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, 11 x 17 or 8 ½ x 11 format, front cover, table of contents, acknowledgements, and the seven major parts described below:

- 3.1 Part 1: Executive Summary
The intent of the executive summary is to provide a brief (1-2 pages) high-level overview summarizing the master plan's goals, recommendations including costs (if appropriate) and implementation strategy.
- 3.2 Part 2: Introduction & Overview
The intent of this section is to provide an overview of the FMP goals and objectives, information on the authors, the names of stakeholders, and other essential contributors to the plan. This section should include a listing of the agency and divisions/programs included in the plan (detailed information to be in Part 3), the facility inventory (buildings, infrastructure, land etc.) that were included in the plan (detailed information to be in Part 4) and information explaining the purpose for developing the plan. Also give a brief overview of the facilities master planning process including, but not limited to, the identification of the drivers, strategies, and the alternatives that allowed the agency to develop the recommendations listed in Part 6.
- 3.3 Part 3: Agency Overview and Operational Information
Part 3 should build an understanding about the agency's mission and operational requirements (comparing current to future when applicable) in order to understand the facility requirements needed to serve their programmatic needs. 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 (if one exists), the agency's Performance Plan, and information gathered during the FMP.

3.4 Part 4: Existing Conditions Assessment

Part 4 consists of an assessment of current conditions, quantity, and functionality of existing occupied and vacant facilities and infrastructure for all agency owned and operated facilities that are part of the FMP. This evaluation should contain recommendations for alternative strategies to sustain the agency assets and mitigate condition issues. Much of the information necessary for an existing conditions assessment for an agency are 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.

3.5 Part 5: Projected Needs Assessment

The intent of Part 5 is to identify the projected program requirements based on the findings from stakeholder meetings, evaluation of program requirements, changes identified by the OMP, and relevant benchmarking studies. In addition, space utilization and needs analysis, projected by program, are essential in quantifying and justifying projected usage including 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.

3.6 Part 6: Alternatives Solutions and Recommendations

This part recommends a course of action based on the existing conditions assessment, programmatic needs, and long-term planning and should include a narrative describing the methodology used including benchmarking recommendations. Identify alternate solutions explored to meet the program requirements with an explanation as to why the preferred solution was chosen.

This section should include a list of overall agency recommendations for consolidation or expansion of programs, organizational restructuring, changes in service delivery, information technology, sustainability, urban design, and security goals and objectives. In addition, provide a list of priority recommendations for facilities, infrastructure, estimated order of magnitude cost, buy/build/lease analysis, and a prioritized list of capital construction/capital renovation projects and costs.

3.7 Part 7: Implementation

This part provides information on how the recommendations in Part 6 will be implemented including future updates, phasing, and timelines. This section should also address proposed financing options examining various funding sources, delivery options, 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: Executive Summary

- Brief summary of the FMP's goals (to be explained in more detail in Part 2 - Introduction/Overview).
- Brief summary of the FMP's recommendations and estimated magnitude of cost (to be explained in more detail in Part 6 – Alternate Solutions and Recommendations).
- Brief summary of the FMP's implementation strategy, including phases (to be explained in more detail in Part 7 - Implementation).

4.2 Part 2: Introduction & Overview

- The authors of the plan
- The goals and objectives of the FMP.
- Listing of programs and facilities impacted
- The facilities inventory included in the plan (a general listing pertaining to the scope of work, the detailed assessments shall be in Part 4)
- The general process (methodology) used to develop the plan
 - ✓ Drivers
 - ✓ Strategies
 - ✓ Rational for alternatives
- 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.
- Performance Plan goals and objectives (per OSPB instructions)

4.3 Part 3: Agency Overview and Operational Information (from Performance Plan, OMP, and from information collected)

- Role, mission and vision
- Agency goals and State goals
- Agency history
- General overview of programs or program types
- General overview of service delivery and area(s) served
- General overview of agency organizational structure
- General overview of management structure
- Overview of Current Policies, Processes and Procedures affecting Facilities:
 - ✓ 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 strategies
 - ✓ 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 facilities master plans completed in the last ten years. (List all documents and describe their scope, objectives and goals and how they are incorporated into this plan)
- Facility location map(s)
 - ✓ 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)
 - ✓ By functional area
 - ✓ By organizational unit
- Agency economic data
 - ✓ Role within local, regional and state economies and impact

4.4 Part 4: Existing Conditions

- Current land use map
 - ✓ Agency building functions by locations
 - ✓ Land uses adjacent to the facility/complex
- Current space inventory
 - ✓ 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
- ✓ Vacant facilities inventory and strategy
- ✓ 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
 - ✓ A listing of the most current capital construction and controlled maintenance five-year plan requests and building condition inventories submitted to OSA.
 - ✓ Overview of the current facilities and functionality, pointing out particular problems or foreseeable problems - the full table can be included as an appendix
 - ✓ 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 and Storm)
 - ✓ Sanitary
 - ✓ Heating
 - ✓ Electric
 - ✓ Technology
 - ✓ Gas, etc.
 - ✓ Discussion of surrounding local government utility capacity and connectivity
 - ✓ Overview of current infrastructure and functionality, pointing out particular problems or foreseeable problems - the full table can be included as an appendix
- Open space map
- Assessment of current facilities design standards
- Urban design issues

4.5 Part 5: Projected Needs Assessment

- Benchmarking recommendations (efficiency and organization)
- Future operational modifications
 - ✓ Changes to mission or vision
 - ✓ Changes to service delivery
 - ✓ Impacts on the facility requirements
- Summary of stakeholder needs
- Agency space needs guidelines/standards and functional relationships
- Summary of space needs comparing existing to projected needs
- Summary of site needs comparing existing to projected needs
- Summary of infrastructure needs comparing existing to projected needs

4.6 Part 6: Alternative Solutions and Recommendations

- Introduction and methodology
 - ✓ Best practices incorporated
 - ✓ Conclusions
- Alternative solutions considered
 - ✓ Overview of options explored for achieving the Agency's program needs
 - ✓ Identification of pros and cons related to the alternatives
 - ✓ Rational for preferred solution
- Overall agency recommendations
 - ✓ Summary of the recommendations
 - Expansion/consolidation
 - Service delivery
 - ✓ Facility recommended strategies 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 for the agency
 - ✓ Facility (buildings and land) recommendations pertaining to program changes and needs assessment
 - Renovations and/or upgrades
 - New space
 - Acquisitions and dispositions
 - Owned vs. leased space
 - ✓ Infrastructure recommendations pertaining to program changes and needs assessment
 - Upgrades
 - Expansion
 - Alternatives
- Order of magnitude estimated cost
- Buy/build/sell analysis for new construction

- Prioritized list of capital construction and capital renewal projects with order of magnitude estimated costs for each.
- Provide narratives, lists, charts, maps, etc. as required to describe the recommendations

4.7 Part 7: Implementation

- Criteria for updating the plan
- Phasing strategy and timelines
- Immediate and long term steps to achieve the goals
- 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)