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Introduction

To keep pace with the growth of Lawrence and to provide for many of the community's needs identified in the City's Comprehensive Plan requires public investments to be made annually in capital improvements. If needed improvements are not made annually, the condition of the City's infrastructure will deteriorate and eventually will not be able to be ignored. At that point, the cost will be much greater due to the size and scope of the needed improvements as well as the increase in construction costs.

In addition to growth, there are also older sections of the City that were developed without adequate facilities such as storm sewers and paved streets. Capital improvements are needed to address these inadequacies, benefiting not only the neighborhoods where they are located but the entire community.

Because the cost of addressing all of the City's capital needs in one budget year is too great, it is necessary to create a multi-year plan based on priority of need and the anticipated resources available each year. That plan is called the Capital Improvement Plan or CIP.

There are many benefits of having a Capital Improvement Plan. It provides an overall perspective as the development pattern of the city, and thus enables the citizens as well as the City Commission and City staff to take a long-range view of the their future activities and responsibilities. It calls attention to the deficiencies of the city and stimulates action to correct them. It promotes coordination of projects across city departments and across overlapping governmental jurisdictions. It can also allow city staff to more effectively budget operating expenditures each year necessary to maintain new projects and stabilize personnel demands.

The Capital Improvement Plan is not to be confused with the Capital Improvement Budget. The Capital Improvement Budget is prepared each year in conjunction with the annual Operating Budget. It generally includes only those projects from the first year of the Capital Improvement Plan that will be funded that year.

Capital Project Defined

A capital project is defined as a project with a minimum total cost of \$50,000 resulting in 1) creation of a new fixed asset; or 2) enhancement to an existing fixed asset with a life expectancy of at least 20 years. Examples include construction or expansion of public buildings, new storm and sanitary sewers, water line upgrades and extensions, the acquisition of land for public use, planning and engineering costs, and street construction.

Vehicle replacements less than \$35,000 or projects considered as operational, recurring, or maintenance are not considered capital projects and are typically funded through the City's Operating Budget.

Capital Improvement Plan Development Process

Early each year, capital project request forms are submitted by various City departments, agencies, and the public. Forms are to be submitted for all needed improvements that should be

constructed or started during the next six fiscal years. The request forms include a description of the scope and justification for a project as well as a budget for anticipated costs and expected funding sources. The departments also suggest a year for the project based on priorities and needs. If appropriate, Master Plans are used.

The projects are reviewed by the Capital Improvement Administrative Review Committee made up of representatives from several departments, as well as a City Commissioner and a member of the Planning Commission. The Committee uses a set of scoring criteria and scoring matrix to determine a score for every project submitted. The scores are translated into priority rankings and are used to develop a draft Capital Improvement Plan.

The projects in the draft CIP are submitted to the Planning Commission, for review to ensure they are all consistent with the City's Comprehensive Plan, Horizon 2020. The draft Capital Improvement Plan is then submitted to the City Commission for review, and if appropriate, approval.

Once approved, projects from the first year of the Capital Improvement Plan are used to develop the City Manager's recommended Capital Improvement Budget. The Capital Improvement Budget is adopted along with the annual Operating Budget and contains projects from the first year of the CIP. It provides an estimate of the cost of the project as well as a breakdown of the funding sources that will be used to pay for the project.

Guidelines and Procedures

There are guidelines and procedures that should be followed in order to develop the Capital Improvement Plan.

Submittals are to be made electronically using forms available on the City's website at http://www.lawrenceks.org/cmo/capital_improvement_program. City Departments should save all forms in the Capital Improvement Planning folder on Citydata and should include the department name in the file name. Members of the public should email all materials to Bobbie J. Walthall at bjwalthall@ci.lawrence.ks.us.

Capital Project Summary List / Scoring Sheet

A list summarizing all projects submitted by the department should be completed. It should list projects by year and in priority order, with the project considered by the department to have the highest priority listed first.

Guidelines for the completion of each section of the Summary List / Scoring Sheet are provided below.

NA or RE+ - This column indicates if the project is acquisition of a new asset (NA) or is a repair to an existing asset (RE). If RE is used, the next column should indicate what assest is being repaired (ST = streets; BD = building).

Department – The name of the department submitting the project should be provided here. Members of the public should use "public".

Total Cost – The total cost provided should be in 2006 dollars and should include costs to be paid by other government agencies, or by special assessments, benefit districts, etc.

City Share – Should include cost to be paid by City. City share of benefit districts should be provided here.

Criteria— Each of the criteria used by the Administrative Review Committee to score projects is provided. A score should be provided for each of the criteria for all projects submitted. Explanations of each of the criteria, as well as each score, can be found on page 9 of this document.

Project Request Form

Project Request Forms are used to compile the Capital Improvement Plan. They explain and justify each project to city staff, elected officials, and the public.

A separate Project Request Form should be completed for each project; however, multiple forms should be saved in one Excel workbook.

Guidelines for each section of the Project Request Form are provided below.

Project Title – A name should be designated for the purpose of reference. It should be brief but should provide enough information to allow readers to distinguish between other similar projects. For instance, "6th and Wakarusa Traffic Signal" would be better than "Traffic Signal Improvement."

Department Responsibility – The department and division submitting the request should be provided.

Map – City departments should insert a small map showing the location of the project here. Contact Information Systems for assistance with this feature.

Description – The description should provide sufficient detail to permit a full understanding of the nature and scope of the project by someone with little to no knowledge of the project. If the project is construction of a facility, the square footage and/or number of stories should be provided. A more detailed description of the location of the project and its relation to existing facilities or other proposed projects should also be provided.

Justification – Detailed reasons and rationale for the project should be provided. Statements of inadequacy must be supported by comparison with accepted standard practice. For instance, "…construction of fire station at this location will

increase area of City reachable within IAFF standard response time of 6 minutes or less."

Compliant with the Comprehensive Plan and/or other Master Plan - A check should be placed in the appropriate check box.

Expenditure Schedule – The various components of project implementation have been listed as well as the total cost, expenditure this year (if any), each year in the plan, and the cost beyond the last year of the plan. Estimate as closely as possible all costs necessary to complete the project. Estimates are to be on the basis of present costs and should be reassessed each year.

Planning costs include research or planning/feasibility studies needs for the project. Preliminary and final design and engineering plans for the project should be listed in the design component. Construction costs include all landscaping and inspections. Equipment costs reflect all miscellaneous equipment/furnishings to initially equip and furnish the facility.

Operational Impact – An attempt should be made to identify and quantify any net impact of the project on the operating budget for the year of the project and years following completion of the project.

Funding Schedule – Fill in appropriate blanks. List the proposed expenditures for each source of funds according to year. If a particular project is anticipated to have more than one funding source (i.e. local funds and federal aid), indicated all sources in the appropriate year blank.

Comments – Reference to surveys, engineering reports, Comprehensive Plan, etc. should be provided here. Also, any relationship to other projects should be noted here.

Project Score – This section will be completed by the Administrative Review Committee and will be the total score the project receives.

2009-2014 Capital Improvement Plan Calendar

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January 15, 2008	Capital Improvement Plan forms and instructions posted on the City's website and distributed to City Departments, agencies and the public
February 29, 2008	Project Request forms and department scoring sheet due
March 19, 2008	Preliminary list of projects, scoring criteria, and score sheet distributed to Administrative Review Committee
March 26, 2008	Planning Commission - Public Input on CIP
April 1-4, 2008	Administrative Review Committee meetings to review projects and develop consensus scores
April 2 9:00 - 12:00	2009 Projects
April 3 2:00 – 5:00	2010-2011 Projects
<u>April 4 9:00 – 12:00</u>	2012-2014 Projects
April 14, 2008	Administrative Review Committee's Consensus Project Score Sheet Finalized
April 21, 2008	Projects in Capital Improvement Plan distributed to Planning Commission for their review to ensure projects are in conformity with the Comprehensive Plan
May 21, 2008	Planning Commission meeting – review and, if appropriate, approve projects as being in conformity with the comprehensive plan
May 27, 2008	City Commission review and, if appropriate, approve the Capital Improvement Plan
<u>June 10, 2008</u>	City Commission Study Session – 2008 Capital Budget Funding Options based on priorities and funding available

Example of the Capital Projects Summary List / Scoring Sheet

Capital Projects Summary List / Score Sheet 2009-2014

NA or RE+	Department	Project title	Jan	Sum 80 178	10 10 10 10 10 10 10 10 10 10 10 10 10 1	\$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	Land of Land of St.	10 10 10 10 10 10 10 10 10 10 10 10 10 1		10 10 10 10 10 10 10 10 10 10 10 10 10 1			1 3 1 5 1 5 1 5 5 5 5 5 5 5 5 5 5 5 5 5			Total
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Example of a Project Request Form

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COMMENTS:

PROJECT SCORE (to be completed by Administrative Review Committee):

Capital Improvement Plan Criteria List and Scoring Matrix

	Possible Scores										
Criteria	0	1	2								
consistency with community goals and plans	project is inconsistent with City's Comprehensive Plan or does nothing to advance the City Commission's strategic goals	project is consistent the City's Comprehensive Plan but does little to advance the City Commission's strategic goals	project are directly consistent with the City's Comprehensive Plan and advances the strategic goals of the City Commission								
public health and safety	project would have no impact on existing public health and/or safety status	project would increase public health and/or safety but is not an urgent, continual need or hazard	project addresses an immediate, continual safety hazard or public health and/or safety need								
Mandates or other legal requirements	project is not mandated or otherwise required by court order, judgment, or interlocal agreements	project would address anticipated mandates, other legal requirements, or interlocal agreements	project required by federal, state, or local mandates, grants, court orders and judgments; required as part of interlocal agreements								
maintains or improves standard of service	project not related to maintaining an existing standard of service	project would maintain existing standard of service	project would address deficiencies or problems with existing services; would establish new service								
extent of benefit	projects would benefit only a small percentage of citizens or particular neighborhood or area	project would benefit a large percentage of citizens or many neighborhoods or areas	project would benefit all of the citizens, neighborhoods, or areas								
related to other projects	project is not related to other projects in the Capital Improvement Plan already underway	project linked to other projects in the Capital Improvement Plan already underway but not essential to their completion	project essential to the success of other projects identified in Capital Improvement Plan already underway								
public perception of need	project has no public support or established voter appeal; is not identified by the citizenry as a need	project has been identified by the citizenry as a need in the community but lacks strong support	project has technical and strong political support, project was suggested by or even demanded by large number of citizens								
efficiency of service	project would have no impact on the efficiency of service	project would result in savings by eliminating obsolete or inefficient facilities	project would result in significant savings by increasing the efficiency of the performance of a service or reducing the on-going cost of a service or facility								
supports economic development	project would discourage or directly prevent capital investment, decrease the tax base, decrease valuation, or decrease job opportunities	project would have no impact on capital investment, the tax base, valuation, or job opportunities	project would directly result in capital investment, increased tax base, increased valuation, or improved job opportunities								
environmental quality	project would have a negative effect on the environmental quality of the city	project would not effect the environmental quality of the city	project would improve the sustainability of the environment								
feasibility of project	project is unable to proceed due to obstacles (land acquisition, easements, approval required)	minor obstacles exist, project is not entirely ready to proceed	project is entirely ready to proceed, no obstacles (land acquisition or easements, approvals required, etc.) exist								
opportunity cost	if deferred, the increase in project costs would be less than the rate of inflation	if deferred, the increase in project costs would be equal to inflation	if deferred, the increase in project costs would be greater than the rate of inflation								
operational budget impact	project would significantly increase debt service, installment payments, personnel or other operating costs or decrease revenues	project would neither increase or decrease debt service, installment payment, personnel or other operating costs or revenues	project would decrease debt service, installment payments, personnel or other operating costs or increase revenues								