

UNIVERSITY
OF
CALIFORNIA

Consolidated State & Non-State Capital Financial Plan

2011-21

FOREWORD

This *2011-21 Consolidated State and Non-State Capital Financial Plan (2011-21 Consolidated Plan)* reports the University's multi-year program of proposed capital construction and renovation. Submitted annually for acceptance by the Regents, the *2011-21 Consolidated Plan* brings together the following required reports:

- The Annual Budget for State Capital Improvements;
- The University of California Five-Year Capital Program Non-State and State Funds
- The Annual Report on Campuses' Ten-Year Capital Financial Plans.

Subsequently, the *2011-21 Consolidated Plan* will be submitted to the State of California in compliance with legislative reporting requirements.

This document presents information about proposed capital projects in the larger context of goals and needs, current economic conditions, and specific circumstances. The *2011-21 Consolidated Plan* demonstrates the University's actions to adapt its proposals to anticipated conditions of demography, academic initiatives, safety-code requirements, financial resources, and public service to California. The *2011-21 Consolidated Plan* also provides a perspective for and analysis of the University's capital program, followed by a chapter for each campus presenting

the capital projects necessary to achieve its goals. The report includes projects the University expects to propose for State funding between 2012-13 and 2020-21 and the projects planned to be funded from non-State sources for 2011-12 and the following nine years. More detailed project information may be viewed at

<http://budget.ucop.edu/capital/201121/2011-21ConsolidatedState&Non-StateCapitalFinancialPlan.pdf>

Responsibility for the capital program rests with the Regents, but the earlier practice of bringing all major projects to the Regents for individual review has been streamlined, in a pilot program for most projects with budgets less than or equal to \$60 million.

Through this process, the Regents exercise portfolio oversight of capital projects; the Office of the President provides due diligence regarding legal, financial, or policy issues; and the campuses have the responsibility and accountability for the successful delivery of capital projects.

Since acceptance of the 2010-20 Consolidated Plan in November 2010, 24 projects totaling \$403 million have been approved through the delegated process. The reporting on these and other active projects are presented to the Regents as part of the *Annual Report on Major Capital Projects Implementation*.

The projects included in this *2011-21 Consolidated Plan* have been reviewed for suitability of their scope, cost, and funding plans. They include projects funded with debt financing, campus funds, gifts, auxiliary reserves, federal funds, and State funds. As campuses continually update their plans and take advantage of new opportunities, the proposals included in this report may be updated.

These campus *Capital Financial Plans*, however, do not encompass all of the University's capital needs. The broader spectrum of needs to be addressed in future capital programs is included in each campus's discussion of its goals, priorities, and long-range plan.



Davis: RMI Institute and Good Life Garden

TABLE OF CONTENTS

Foreword	Page i
Table of Contents	ii
I. Perspective.....	1
II. State Capital Improvement Program: 2012-13 Budget Request.....	11
III. 2012-13 Budget for State Capital Improvements Summary Table.....	13
IV. 2011-21 Consolidated State and Non-State Capital Financial Plan.....	15
V. Capital Program At-A-Glance	19
VI. Berkeley.....	29
VII. Davis.....	41
VIII. Irvine.....	61
IX. Los Angeles.....	75
X. Merced.....	91
XI. Riverside.....	101
XII. San Diego.....	113
XIII. San Francisco.....	129
XIV. Santa Barbara.....	143
XV. Santa Cruz.....	155
XVI. Agriculture and Natural Resources.....	169
Key to the Tables	173
List of Displays	
1. Status of UC Poor and Very Poor Buildings.....	4
2. State 2012-13 Project Objectives.....	12

3. Active UC Projects (July 2011)	16
4. 2011-21 Fund Sources	17
5. 2011-21 Primary Project Objectives.....	17
6. 2011-21 Program Categories	17
APPENDIX	
1. Fund Sources.....	174

Cover photograph courtesy of Nick Merrick for Henrick Blessing Photographers

PERSPECTIVE

The University of California (UC) was founded in 1868 as a public, State-supported land grant institution. The State Constitution establishes UC as a public trust to be administered under the authority of an independent governing board, the Regents of the University of California. The University maintains ten campuses: Berkeley, Davis, Irvine, Los Angeles, Merced, Riverside, San Diego, San Francisco, Santa Barbara, and Santa Cruz. Nine of the campuses offer undergraduate, graduate, and professional education; San Francisco is devoted exclusively to health sciences graduate and professional instruction. The University five medical centers (Davis, Irvine, Los Angeles, San Diego, and San Francisco) support the clinical teaching programs of UC's medical and health sciences schools..

Designated as the primary State-supported academic institution for research, the University has exclusive jurisdiction in public higher education instruction in the professions of law, medicine, dentistry, and veterinary medicine. The 1960 *Master Plan for Higher Education* articulated the University's three primary missions:

- Instruction of qualified individuals through undergraduate, graduate, professional, and post-doctoral programs.

- Research programs with an emphasis on teaching research at both the undergraduate and graduate levels.
- Public service, including outreach and K-14 improvement programs, cooperative agricultural extension programs, and health-sciences clinical care programs.

The curriculum outlined in the University's Charter has also been embodied at dozens of ancillary sites throughout the State – institutes, research stations, cultural centers, ecological preserves, hospitals and clinics, observatories, agricultural-extension offices, conference centers, a scholarly press, super-computing installations, and overseas affiliates. The University's Agricultural Field Stations, Cooperative Extension offices, and the Natural Reserve System benefit all Californians. In addition, the University provides oversight of the Lawrence Berkeley National Laboratory and is a partner in limited-liability corporations that oversee two additional Department of Energy laboratories.

The capital improvement program for the University of California stems from a sentence in the University's Charter of 1868:

Sec. 25. The Regents shall devise, and with the funds appropriated for that purpose cause to be constructed, such buildings as shall be needed for the immediate use of the University.



Berkeley: South Hall

UC's first permanent building, South Hall, was completed in 1873 in Berkeley and remains in daily use. It is home currently to the School of Information, a fitting assignment because the University's founders intended their new institution to encompass the entire scope of human knowledge:

The University shall have for its design, to provide instruction and thorough and complete education in all departments of science, literature, art, industrial and profession pursuits, and general education, and also special courses of instruction in preparation for the professions of Agriculture, the Mechanic Arts, Mining, Military Science, Civil Engineering, Law, Medicine and Commerce.

By the start of the twentieth century, the University's programs in Berkeley and San Francisco had risen to national prominence and were recognized as major contributors to California's successes in agriculture, engineering, commerce, and the arts. In 1919, the University's "Southern Branch" was established in Los Angeles, quickly becoming a major resource in the development of southern California. Other regions of



Merced: Recreation Center

the State soon recognized the benefits of higher education to their economies and their communities, and some of UC's affiliated sites rose to the status of independent campuses.

After the Second World War, it was widely acknowledged that California had assumed national leadership in technological advancement. New industries and new population centers recognized that higher education and incisive research could be keys to their success. The University benefited from demographic shifts, economic growth, government sponsorship of research, receipt of Nobel prizes and other awards, and legislative support to expand its facilities and to plan and build new campuses – the latest of which, Merced, admitted its first class of undergraduates in 2005. During the twentieth century, enrollments at UC campuses grew significantly and rapidly, and the University evolved into what Clark Kerr famously called "the multiversity."

Since 1873, the inventory of the Regents' capital assets has grown to include over 5,000 structures enclosing 130 million square feet on approximately 30,000 acres. Over the course of 140 years, the University of California has grown to become the nation's most diversified and eminent institution for acquiring and disseminating knowledge.

THE UNIVERSITY'S CONTRIBUTIONS TO CALIFORNIA

The University of California makes fundamental contributions to the State's economy and the quality of life of its citizens. Through its instruction, research, and public service programs, the University provides social, cultural, and economic benefits to the people of California by:

- contributing a highly educated workforce needed by high-tech business, agriculture, health care, education, and other sectors of the economy;
- conducting research that creates jobs, generates new products and services, and increases productivity, leading to higher standards of living;
- encouraging innovation and an entrepreneurial spirit, essential elements for the businesses that drive California's competitiveness;
- providing an unmatched combination of state-of-the-art patient care facilities, leading-edge research programs, and high-quality health education programs for Californians; and
- working with K-12 schools to improve the quality of instruction and expand educational opportunities for future generations.

The excellence of the University's programs leverages billions of dollars in federal and private funding and promotes the discovery and dissemination of new knowledge that fuels economic growth. To maintain California's leadership role and to meet the changing needs of future generations, California must continue to invest in its University.

ECONOMIC IMPACT OF UC CAPITAL INVESTMENT

In addition to the economic benefits to the State arising from the instruction and research enterprise, benefits also accrue from capital investment in the University. A 2004 economic-impact study, commissioned by the Davis campus, suggested that capital investment resulted in a 1:1 ratio of direct capital investment expenditures to indirect or secondary expenditures. On average, then, every \$100 million in University capital funding generates an additional \$100 million in other economic activity, with a total of about 3,400 jobs created on a direct or an indirect basis.

Over the past several years, the average annual budget for the combined State and non-State capital program has been about \$1.5 billion. Using the multiplier effect of 1:1, this level of direct expenditure would generate an equal amount of indirect or induced expenditures, yielding a total economic impact of \$3 billion per year.

The Davis study also examined the expenditure impacts in terms of job creation. This level of economic activity generates approximately 51,000 jobs in the State, half as a result of direct expenditures and half as a result of indirect expenditures.

A construction program such as the one proposed by the University of California in the *2011-21 Consolidated Plan* could generate approximately 500,000 jobs.

CAPITAL PLANNING

The major factors that typically guide capital planning for the University of California are:

- preservation of existing capital assets through investment in renewal of facilities—including seismic correction and systematic modernization;
- enrollment demand, consistent with the University's commitment to student access under the *Master Plan for Higher Education*; and
- change and obsolescence in academic and research-program needs.

The recent curtailment of State funding for enrollment growth, however, as well as the uncertainty surrounding enrollments in the future, has had a significant impact on the University's ability to plan.

Given the current economy the State has limited funding to urgent needs, such as seismic and life-safety projects, consequently reducing the number of University projects funded by the State. Finally, because State funding does not fully meet the University's state-eligible needs, campuses must make urgent funding decisions for critical projects that must not be delayed. These factors—the State's priorities and urgent needs on the campuses—are reflected in the initial years of the *2011-21 Consolidated Plan*. These place an emphasis on seismic and life-safety projects with State funding and on essential non-state-funded projects in the early years. In subsequent years, in anticipation of renewed enrollment growth and State support, the *2011-21 Consolidated Plan* includes enrollment-related projects and projects that address renewal of existing assets.

Preservation of Capital Assets

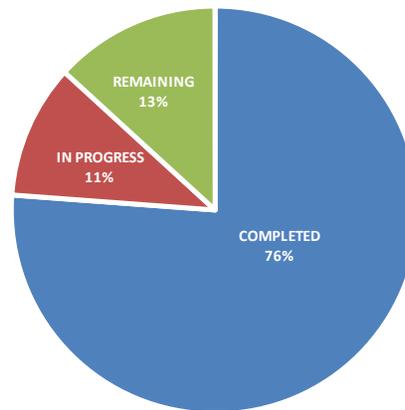
As campus facilities age, the need to maintain and improve their physical condition and functional utility becomes a high priority for capital outlay. Regular funding is needed for the systematic renewal of building systems that wear out under normal use and require periodic replacement. These systems (including mechanical systems for heating, ventilation, and air conditioning; plumbing; elevators; electrical equipment; fire protection; roofs; and built-in equipment) generally have useful lives of 20 to 40

years and may require replacement two or three times over the life of a building.

The University also has a substantial backlog of deferred maintenance and repairs. This backlog is the result of inadequate funding for systematic renewal and replacement of building and infrastructure systems. In addition, long-term underfunding of routine maintenance has exacerbated the effects of this shortfall of capital-renewal funding by reducing the useful life of building systems. Moreover, roughly 54% of the University's State-supported space is more than 35 years old, most of it constructed during the 1950s and 1960s. As a result, the University's annual facilities-renewal needs are projected to increase steadily through 2020-21 as the systems in these buildings reach the end of their useful function.

In the *2011-21 Consolidated Plan*, the University continues its program of seismic corrections, a major factor in the preservation of capital assets. As of September 2011, approximately 26.2 million square feet of space that required correction has been seismically retrofitted, has been vacated, or has corrections to the space underway (see Display 1). Correction of approximately 3.40 million square feet of space remains to be addressed at eight campuses: Berkeley, Davis, Los Angeles, Riverside, San Diego, San Francisco, Santa Barbara, and Santa Cruz. Of the space remaining to be addressed, nearly 80% (2.8 million square feet) is educational space.

Display 1: Status of UC Seismically Poor and Very Poor Buildings (September 2011)



Approximately 77% of the space remaining to be corrected is at the Berkeley and Los Angeles campuses.

Enrollment Demand

In recent decades, enrollment growth—and the increasingly complex nature of the space required to support that growth—has been a critical determinant of the University's space needs (new and renovation). The University's undergraduate enrollment planning is based on UC's student-access requirements under the *Master Plan*. These specify that the top 12.5% of California high-school graduates, as well as transfer

students from the California Community Colleges who have successfully completed specified college work, shall be eligible for admission to the University. Graduate and professional enrollment planning is based on assessments of State and national needs, program quality, and available financial support.

The facilities needed to accommodate enrollment growth at the University have become increasingly diverse and complex. Nearly half of the University's State-supportable square footage is located in buildings that require complex utility systems. Typical examples include biological laboratories, high-energy physics laboratories, climate-controlled animal-research facilities, and specialized greenhouses. The high proportion of laboratory and specialized research space reflects the University's role as California's primary academic-research institution and the State's decision to prioritize instruction and research in the sciences, engineering, and other technical areas.

Due to enrollment increases for which the State has not been able to provide funding, and the severe State budget reductions since 2008-09, the University of California has enrolled about 24,000 California residents without State support.

The University's projections through 2020, published in 2008, included modest growth as numbers of high-school graduates stabilize, slowing to approximately 1% from 2010-11 to 2020-21. According to the projections, increasing undergraduate enrollment

would extend opportunity to historically underserved populations. Meanwhile, accelerated growth in graduates, (particularly in the sciences, engineering, mathematics, and professional disciplines) would fuel California's economy and assist social and economic mobility. To help the State remain competitive in a knowledge-based global economy, the University proposed to increase graduate enrollments by 22,000 students by 2020-21. Over the next four years, in order to provide access to California residents and to meet the State's workforce needs, the University is considering growth beyond the current unfunded enrollment level of at least 1% annually, while continuing its commitment to UC Merced's development as a comprehensive campus.

Changing Nature of Academic and Research Programs

The University's need for different types of specialized space has been influenced by both rapid advances in technology and the changing nature of academic programs. Academic programs must continue at the forefront of learning by developing and using innovative processes and technologies that support discovery, expand knowledge, and give competitive advantage to California. As science, industry, and commerce change in response to new knowledge and opportunities, so must the academic programs responsible for preparing students and conducting research. As instruction and research objectives

evolve and the boundaries between academic disciplines disappear, the methods and tools used must also evolve. Academic facilities must be renovated and updated to accommodate those changes.

RECENT DEVELOPMENTS

A number of State-mandated and University-determined program requirements are expected to affect the implementation of capital projects in future years.

Office of the President/Campus Capital Program Leadership Forum

At the March 2010 meeting, the Regents endorsed a number of initiatives and recommendations set forth in the 2005 report entitled *Transforming Capital Asset Utilization: Opportunities for Reducing Project Costs and Achieving More Program for the University's Capital Dollar*. Subsequently, at the March 2010 meeting, the Regents endorsed five recommendations from the 2005 report that addressed: accountability; early analysis of alternatives; shortened planning timeframes and clearly-defined decision-making authority; robust and flexible contracting; and development of system-wide metrics, benchmarks, standards and data. In addition, the Regents expressed a desire to receive earlier notification of potential material changes to budget, scope, and schedule of capital projects.

To implement those initiatives and recommendations, the Office of the President (OP) formed a OP/Campus Capital Program Leadership Forum. Comprised of key leadership positions charged with accountability for the capital program, the Forum is also a venue for forging new approaches consistent with Regents' recommendations, and proactive consideration of issues, constraints, and opportunities.

Significant progress has been made on all five recommendations, including:

- Business Case Analysis – an analytical methodology has been developed and implemented for all projects in excess of \$10 million;
- Early notification to Regents – criteria for issues of high interest have been designated, and a systematic process for communicating issues to the Office of the President and to the Regents has been implemented;
- Streamlined planning timeframes and clearly-defined decision-making authority – the Regents have considered and accepted the Physical Design Frameworks for all ten campuses; this 2011-21 Consolidated State and Non-State Capital Financial Plan represents the inaugural update of the campuses ten-year plans; both of those plans are a prerequisite for project eligibility

for the Delegated Process for Capital Improvement Projects; from inception of the Delegated Process, 49 projects have been approved; in March 2011, the Regents extended the pilot phase of the Delegated Process to 2014, and refinements to the process are ongoing;

- Robust and flexible contracting – the University successfully sponsored SB 835 which was signed by the Governor in October 2011 and extends the sunset on the University’s highly successful “best value” contracting program by five years, and expands the pilot to serve all campuses; in late 2010, the University re-established a collaborative training program in design and construction, and 3 training sessions have been conducted to date on topics including Project Management in the UC Environment, Job Order Contracting, and UC Construction and the Law;
- Metrics, benchmarks, standards and data: as of July 2011, campuses now report on actual project “close-out” data, which will inform accountability reporting; refined metrics and benchmarks to gauge overall effectiveness of the capital program are under development; and scoping and feasibility analysis for a comprehensive data management system to maximize

effectiveness and efficiencies in capital program planning are underway.

Best Value Contracting Pilot Program

The University of California is subject to the Public Contract Code for award of contract for a construction project. Traditionally, projects are designed and then publicly bid, and awarded to the lowest responsible bidder. This manner of competitive bidding is based on the assumption that competition for projects will result in the lowest cost, which serves UC and its stakeholders well when applied to more straightforward capital projects, like classrooms. UC has discovered, however, that for complex projects, such as large research facilities and medical centers, the low bidder may not reliably deliver the project on time and at the bid amount.

For this reason, five years ago UC successfully sponsored SB 667 (Chapter 367, Statutes of 2006), which established the *Best Value Construction Contract Pilot Program* at UC San Francisco (UCSF). This five-year pilot program authorizes UCSF to assign a “qualification score” to each construction contractor’s bid solicited under the program, which, when evaluated in conjunction with the contractor’s bid price, allows determination of the lowest cost per quality point. The qualification score is based upon five statutory factors which deliver best value to the University and include the bidder’s financial condition,

relevant experience, demonstrated management competency, labor compliance, and safety record.

Since the pilot was initiated, UCSF has awarded 30 contracts totaling \$960 million using Best Value methodology (out of a total of 228 contracts totaling \$1.3 billion during the same period). This experience at UCSF has demonstrated that Best Value is a strong and viable business model that has been advantageous to the campus by reducing bid protests, change-order requests, and litigation—and by increasing the likelihood of high-quality work being done safely and with high labor standards.

Of particular importance during the current fiscal crisis, when UC is seeking efficiencies wherever possible, use of Best Value in the pilot has generated savings of approximately 3 percent of the overall contract value.

UC is proud of the *Best Value Construction Pilot Program’s* implementation record at UCSF. Successful projects completed with the pilot authority have averaged fewer disputes than regular low-bid competitions, and the broad diversity of the winning bidders underscores the transparent and accountable nature of the best-value scoring criteria.

This innovative pilot program would have sunset on December 31, 2011. The University, however, has successfully sponsored SB 835, which expands the pilot to serve all UC campuses (including medical centers) for projects over \$1 million and extends the

pilot program for five years to January 1, 2017. Governor Brown signed SB 835 into law on October 8, 2011.

State-Mandated Labor Compliance Reporting Requirements

California law requires public works project contractors to pay their workers prevailing wages based on rates established by the State Department of Industrial Relations. Effective August 1, 2010, changes in law significantly increased the number of University projects for which a Labor Compliance Program (LCP) would be required by broadening the criteria to any project funded in whole or in part by State bond funds.

The new laws and regulations led to the creation of the Compliance Monitoring Unit (CMU) under the California Department of Industrial Relations (DIR). The CMU, acting as a monitoring and investigative group to aid in enforcement, will be funded by a charge to every project subject to the law. Entities, such as the University, which award a public works construction contract can seek a waiver of the CMU fee by establishing their own LCP and by performing all of the required activities. These activities include weekly jobsite inspections, monthly jobsite worker interviews, review of all certified payroll reports from all contractors and subcontractors on each project subject to the LCP, and withholding of contract payments when payroll reports are incomplete or

inaccurate. Three University campus units elected to pay the fee and have the CMU monitor their projects; the balance elected to seek a waiver of the fee and perform the required tasks under their own LCP, with or without assistance from a private third party. Regardless of the method used, the additional costs of monitoring contractors' labor compliance will be included in project budgets. In October 2010, the DIR suspended the requirements of the law, but under AB436 (Chapter 378) the program will resume with some changes on (the latter of) January 1, 2012 or the effective date of the new regulations.

Public-Private Partnerships

The University of California has successfully employed Public-Private Partnerships (PPP) to deliver projects ranging from medical office buildings and research facilities to student apartments and hotels. For most institutions and governmental entities, a primary motivation for utilizing PPPs is access to capital. Because UC has robust financing capability, the University's focus when considering PPPs is on other beneficial aspects. These include risk allocation and the management efficiencies intrinsic to experienced private development teams, particularly those that specialize in a particular building type. It is anticipated that, as a delivery method, PPPs will be considered routinely as one of the means for delivering UC capital solutions.

As an alternative delivery mechanism for on-campus capital projects, Public-Private Partnerships increasingly are being considered and successfully implemented.

To date sixty-five (65) significant and eight smaller PPPs using a variety of transaction structures have been developed or are in planning stages. Four key PPP transaction structures (and the uses to which they are most applicable) include:

- Ground Lease (auxiliary use-i.e., revenue producing from third party tenant/users);
- Donor Development (Donor preference to control project delivery; typically programmatic use; used on or off UC land);
- Ground Lease-Leasebacks (programmatic use, UC is the user); and
- Developer Build-to-Suit for purchase by UC on completion (also known as Turnkey projects—typically programmatic use; best used off UC land).

Ground Lease projects for auxiliary purposes include thirteen student and faculty rental housing projects, five faculty for sale housing projects (representing multiple phases and product types) and five motel and hotel projects. Donor development projects, where a donor assumes responsibility for funding and construction of 100 percent of a project, have now

been employed at four UC campuses and at two agricultural field stations.

Given the University's success in executing PPP projects, this capital project delivery method is now considered alongside traditional delivery methods permitted under the Public Contract Code, particularly for auxiliary uses. While the University's excellent financing currently makes it unlikely that a PPP project can produce significant savings compared to a well run UC delivery method, particularly for programmatic projects, but even in these cases, the PPP approach may allow the University to augment its capital delivery system and shift project construction and operating risk.

BUDGET CHALLENGES

During the past few years, the University's capital program has been faced with an especially challenging and uncertain fiscal environment arising from:

- an unpredictable construction market,
- the absence of general-obligation bond measures in 2008 and 2010, and
- challenges in philanthropic endeavors.

Construction Market Conditions

The economic recovery continues to be slow, with construction activity and construction inflation projected to continue at a low level. Recently,

national reports of cost increases in construction materials suggest that, at least for some sectors, the construction market may be showing signs of improvement.

Absence of General Obligation Bond Measures in 2008 and 2010

In 2008, the University anticipated approval of a two-year general-obligation bond measure of approximately \$890 million to meet the University's high-priority capital investment needs for general campuses and the health sciences. The measure was expected to be placed before the electorate in November 2008. However, with the State's fiscal condition continuing to deteriorate, legislation to authorize the needed bond funds was not enacted. The University received \$261.3 million in 2008-09, primarily from lease-revenue bonds, and \$30.9 million in 2009-10 from unspent general-obligation bonds that were reserved primarily to support medical education and telemedicine projects. In 2010, the University again sought legislative approval of a four-year bond measure of \$450 million per year for general campuses and another \$100 million per year for health sciences programs. Once again, legislation to authorize the funds was not enacted in response to the State's ongoing fiscal crisis. In 2010-11, the University received \$352.7 million, primarily from lease-revenue bonds. Over the three-year period, less than half of the funding for high-priority needs that was anticipated from the two proposed bond

measures was actually provided to the University, resulting in a significant backlog of unfunded projects. In 2011-12, the University requested \$768.6 million in State project funding; of that amount, \$54.6 million was included in the 2011-12 Budget Act.

Because State funding does not fully meet the University's needs, when the State fails to authorize bond funds—either by not authorizing new appropriations, as in 2008 and 2010, or by suspending existing appropriations, as occurred in 2008 when the PMIB suspended loan disbursements—campuses must make urgent funding decisions for critical projects that must not be delayed. In some cases, those campuses with available sources may choose to direct non-State funds to projects that would otherwise have been funded with State resources. To the extent non-State funds are used to support core academic capital needs, less funding is available to support other needs which cannot be funded by the State. Therefore, predictability in the amount of State funding available in the future is necessary for the campuses to develop reasonable alternate-resource plans.

In the immediate future, the most significant issue influencing the University's State-funded capital program is the uncertainty of a general-obligation bond measure in 2012.

Challenges in Philanthropic Endeavors

While the continuing economic downturn has severely impacted the University—by limiting the State’s ability to support its operations and to fund capital investments—it has had an impact in other ways as well. Donors who might otherwise have made gifts to the University have been unable or reluctant to commit to current or future funding of either facilities or programs.

These challenges required each campus to consider carefully how to deploy resources optimally to benefit its academic programs and the campus as a whole. The Office of the President works with the campuses in this process, providing guidance and perspective on Regental and State policies and expectations. The resulting decisions reflect campus priorities and are incorporated in the schedule of projects included in the multi-year capital financial plan for each campus.



STATE CAPITAL IMPROVEMENT PROGRAM: 2012-13 BUDGET REQUEST

Current financial and economic challenges have compelled the State of California to delay sales of bonds needed to fund capital projects approved by the State Legislature. Approximately \$480 million of previously approved Lease Revenue and General Obligation bonds for the UC system have been stalled, some dating from 2007. The State currently proposes to sell Lease Revenue bonds in November 2011 for three projects at the Berkeley, Los Angeles, and Merced campuses, totaling \$268 million. If this bond sale is successful, UC will still have a backlog of \$212 million in unfunded projects.

Because of current economic conditions, the State has accepted long delays in selling bonds; continued delays will seriously affect UC's projects, which may no longer be constructible at the amounts approved.

To avoid that outcome, UC proposes to pursue special legislation to provide interim financing from UC's commercial paper program. UC has a higher credit rating than the State's; therefore it can arrange interim financing for these projects at interest rates lower than those for State bonds. A Memorandum of Understanding (MOU) with the

State Treasurer's Office (STO), the Department of Finance (DOF), and the State Public Works Board (SPWB) has been proposed wherein the parties agree that the Regents of the University of California will provide interim financing for construction costs and related interest expense in the amount of \$163 million for its approved lease-revenue bond projects.

Although the STO, the DOF, and the SPWB are in agreement to move forward, DOF's bond Counsel has opined that the relevant statute allows UC to be reimbursed only for the principal amount financed and not for interest costs or costs of issuance. Therefore, the University proposes that this statute be modified through legislation to permit repayment of interest costs and costs of issuance, as well as for the principal, from SPWB bond proceeds.

The University's State capital budget proposal for the 2012-13 year (shown on page 13) totals \$1.13 billion for critical seismic and life-safety improvements, for facilities to accommodate enrollment growth that has

already occurred, for facilities renewal, and for program improvements.

Of this need for State funding (see Display 2), approximately 52% will address critical seismic and life-safety corrections, 18% will address needed programmatic improvements, 17% will address pre-existing enrollment needs, 12% will be directed to infrastructure deficiencies and building-systems renewal, and 1% will address infrastructure for future enrollment growth at Merced and Riverside.

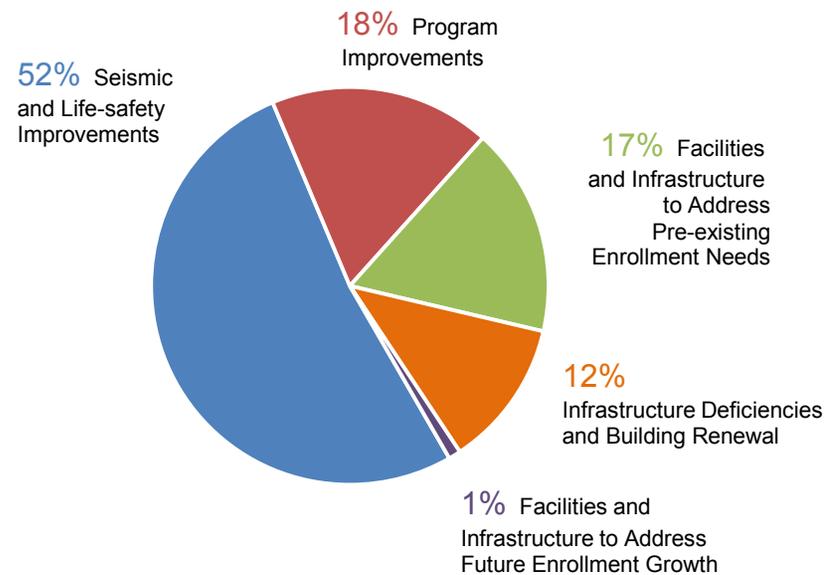
The University also proposes to pursue legislation to place a new general obligation bond on the ballot for the November 2012 statewide general election. There has been no higher-education facilities bond measure since 2006, and consequently, many capital project proposals previously submitted by the University of California still are awaiting inclusion in the State Budget. The proposed measure would provide funding for capital projects over a four-year period, 2012-16, and allow many of the backlogged projects to move forward. The projects to be funded from the proposed four-year bond would address some of the University's highest capital priorities, which

include seismic-corrections, life-safety, and modernization projects.

The State of California's recovery from the economic recession has been slow and halting, and unemployment rates in California are the second highest in the nation. The construction industry has been particularly hard-hit, experiencing the most severe employment decline of California's economic sectors, losing over 400,000 jobs since the peak of August of 2006, when 966,000 workers were employed in construction. In April 2006, there were 890,000 people employed in construction; in April 2011 that number had fallen to 554,000 or 38% down since April 2006.

Bonds to finance capital projects at the University of California will result in immediate job creation across the State and will help both to revive the industry and to improve students' access to higher education, thereby contributing to the state's economy and future workforce.

Display 2: State 2012-13 Project Objectives



2012-13 BUDGET FOR STATE CAPITAL IMPROVEMENTS
(\$000s)

PROJECT	BUDGET YEAR		TOTAL PROJECT BUDGET	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure
	PreFunded	2012-13			Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements		
BERKELEY										
Tolman Hall Seismic Replacement		186,790	201,740	•		•				N
DAVIS										
Briggs Hall Safety Improvements and Building Renewal		2,494	24,940	•		•				I
Chemistry Building Renovations Phase 1		1,284	11,760	•			•			R
Engineering 4	2,350 X	51,395 500 X	54,245				•			N
Music Instruction and Recital Building	893 X	16,698 517 X	18,108				•			N
Seismic Corrections Thurman Laboratory		789	789	•			•			I
Seismic Corrections Phase 5		10,426	10,426	•			•			R
Walker Hall Renewal and Seismic Corrections		27,419	27,419	•			•			R
IRVINE										
Humanities and Social Sciences Classroom Renovations		2,512	2,512				•			R
Health Sciences Instruction and Research Building		48,553	51,553		•					N
Primary Electrical Improvements Step 4		14,712	14,712	•			•			I
Engineering Renovations	92 X	8,720	8,812				•			R
Water, Sewer, and Storm Drain Improvements		14,685	14,685				•			I
Fire and Life Safety Improvements		9,053	9,053	•			•			I
LOS ANGELES										
CHS Seismic Correction and Fire Safety	1,706 X	48,800	50,506	•			•			I
Clarke Library Seismic Correction	305 X	8,561	8,866	•			•			I
Electrical Distribution System Expansion Step 6C	281 X	11,453	11,734	•			•			I
Medical Education and Biomedical Library Seismic Replacement Building	7,600 G	167,000 88,400 G	267,000	•			•			N
MERCED										
Classroom and Academic Office Building		38,748	41,200		•					N
Site Development and Infrastructure Phase 5		3,020	30,200	•			•			I
RIVERSIDE										
Batchelor Hall Building Systems Renewal	402	13,492	13,894				•			I
Engineering Building Unit 3		72,919	78,501					•		N
Pierce Hall Improvements		21,135	21,135				•			R
Psychology Building Phase 2		16,636	17,569					•		N
West Campus Infrastructure Improvements Phase 1		591	16,048					•		I
West Campus Graduate and Professional Center		1,657	51,993					•		N

PROJECT	BUDGET YEAR		TOTAL PROJECT BUDGET	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure
	PreFunded	2012-13			Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements		
SAN DIEGO										
Campus Life Safety Improvements		21,946	21,946	•			•			I
Biological and Physical Sciences Building		86,366	89,366		•					N
SAN FRANCISCO										
Electrical Distribution Improvements Phase 2	1,417	16,834	18,251	•			•			I
Koret Vision Research Building Emergency Diesel Generator Installation		445 220 X	665	•			•			I
Medical Sciences Building Improvements Phase 3		28,117	28,117	•			•			I
SANTA BARBARA										
Bioengineering Building and Academic Support Facility	3,074 LB 2,393 X 546 G	25,951 1,287 X 39,035 LB 6,706 G	81,087				•	•		N
Campbell Hall Replacement Building		28,474	28,474	•			•			N
Infrastructure Renewal Phase 1	741 3,150 X 2,800 LB	11,740	18,431				•			I
Infrastructure Renewal Phase 2	5,110 X	13,732	18,842				•			I
SANTA CRUZ										
Coastal Biology Building	2,085 X	57,937	61,102					•		N
Environmental Health and Safety Facility		16,730	16,730	•				•		N
Infrastructure Improvements Phase 2	684	7,732	8,416	•			•			I
Infrastructure Improvements Phase 3		7,804	7,804					•		I
Life Safety Upgrades		9,090	9,090	•			•			I
AGRICULTURE AND NATURAL RESOURCES										
Capital Renewal Projects		1,850	2,050				•			R

STATE FUNDING	1,134,290
ASSOCIATED NON-STATE FUNDING	136,665
TOTAL 2012-13 STATE PROGRAM	1,270,955

2011-21 CONSOLIDATED STATE AND NON-STATE CAPITAL FINANCIAL PLANS

Historically, the University has relied on a wide range of fund sources to support its capital program, including State funds, gifts, grants, University equity funds (derived from auxiliary enterprise revenues, certain fees and other discretionary resources), and long-term debt financing. A description of the University's major fund sources is found in Appendix 1. All of these sources are critical to the success of the University's capital program; however, State funds and long-term debt financing are two sources that have played a prominent role in achieving the University's capital goals over the past decade.

State funds traditionally have supported the



Mission Bay at San Francisco

general campus and medical education facility needs. Between 1998 and 2011, total State funding provided to the University for capital improvements was more than \$5 billion, of which nearly \$2.9 billion was from general-obligation bonds approved by the electorate. Because the University has been without new funding from a general-obligation bond since the voters approved a two-year bond in 2006, the University has been forced to rely on lease-revenue bonds and the remaining unspent balances of previously approved general-obligation bonds. While welcome, the availability of these funds has been unpredictable and unreliable.

Self-supporting activities such as housing, parking, athletics, and medical enterprises generally are not eligible for State funding and must be supported from other sources. The use of long-term debt (external financing) has played an increasingly pivotal role in supporting the University's non-State capital program in recent years. Between 1998-99 and 2010-11, total non-State funding was more than \$18 billion, of which \$10 billion was external financing.



Students Studying at Elings Hall

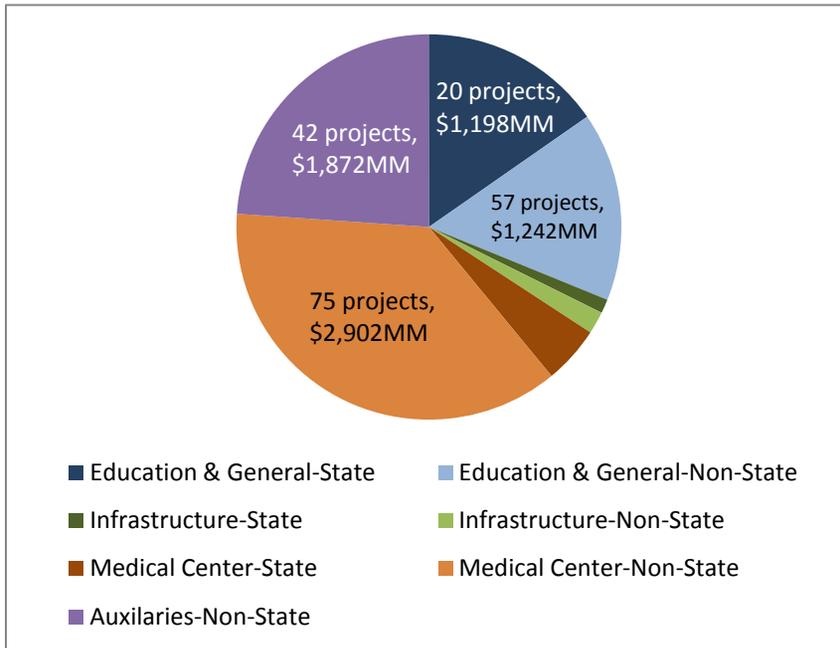
CURRENT ACTIVITY

Despite challenging times, UC had almost \$7.8 billion in active projects as of July 2011, (this does not include recently completed projects).

As illustrated in Display 3, the majority of the funding for active projects (73%) directly serves the public through the two categories of Education & General and the Medical Centers. These projects are being funded through non-state funds of \$4.14 billion and state funds of \$1.57 billion.

The remaining funding (27%) is directed to Infrastructure and Auxiliaries, which serve the student, faculty, and staff populations.

Display 3: Active UC Projects (July 2011) \$7.8 Billion

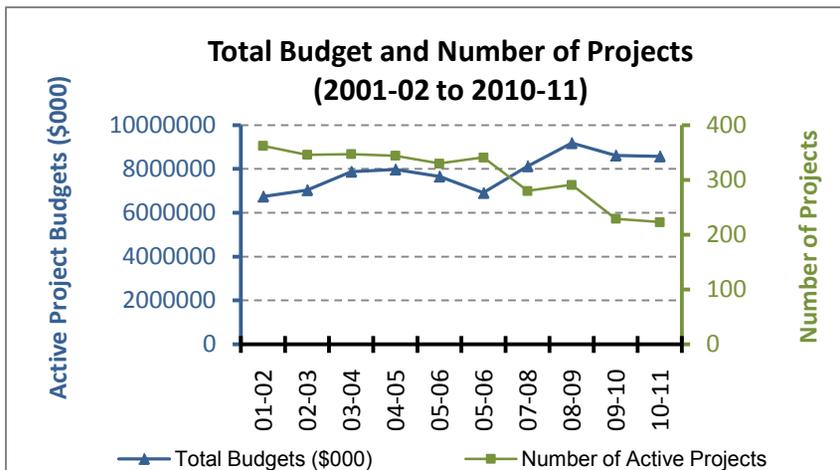


In recent years, the volume of projects has been trending upward, reflecting a favorable bid environment and favorable market conditions, including the Build America Bond program and other initiatives. The crossover of the bars - where the number of projects has dropped, but the value/cost has grown - is a reflection of the complex type of projects that a top-ranked University requires. UC's medical center enterprises comprise some of these complex projects, and one recent example is the Medical Center at the Mission Bay campus.

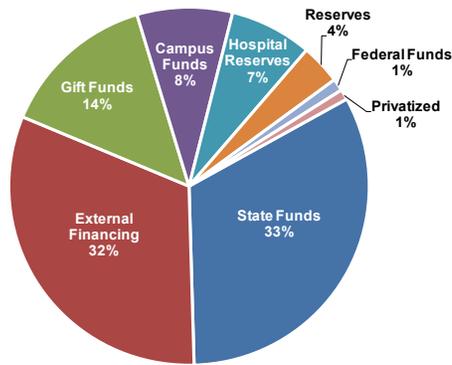
PROPOSED PROJECTS 2011-21

The 383 projects proposed in this 2011-21 Consolidated Plan continue to depend on this diverse array of State and non-State fund sources. As shown in Display 4, about 33% of the funding is composed of anticipated State resources. Nearly 32% of the funding plan is expected to come from external financing. Anticipated gifts represent 14% of the funding, while capital reserves represent about 22%, and are made up of campus of 8%, auxiliary of 4%, and hospital of 7%. Federal funds make up 1% and privatized development provides 1% of the funding. Each campus has proposed a funding plan it considers financially feasible within the context of the campus's resources. A summary of each funding plan is found on pages 19-22.

This 2011-21 Consolidated Plan proposes approximately \$14.8 billion in funding to address identified primary needs or project objectives. All the campuses needs within these two categories are projects that address seismic and other life-safety needs totaling approximately \$2.75 billion. Space to accommodate prior enrollment growth at several campuses would require approximately \$2.5 billion. Finally, approximately \$4.9 billion would support program improvements. Display 5 illustrates proportionally the project objectives or needs addressed.



Display 4: 2011-21 Fund Sources

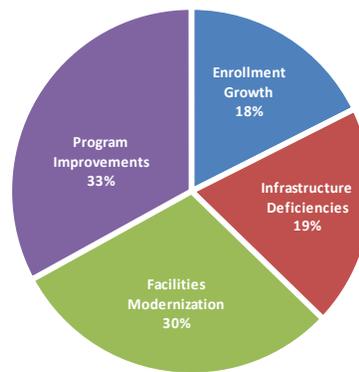


Tables displaying the campus' project objectives or needs addressed by this Plan are found on pages 25-26.

Nearly \$9.5 billion of the funding in this plan is for educational and general projects that support the academic mission of the University: \$6.9 billion for programs at the general campuses and \$2.56 billion for health sciences. Approximately \$2. billion of the funding is associated with auxiliary and student-fee-supported projects. The remaining project funding of approximately \$2.67 billion is targeted for medical centers. Display 6 illustrates proportionately the Program Categories. Tables showing the categories of projects for each campus are found on pages 23-24.

It is important to note that this 2011-21 Consolidated Plan is constrained by the availability

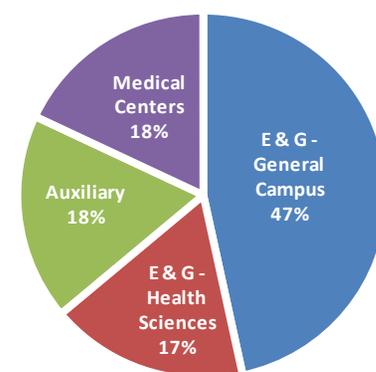
Display 5: 2011-21 Primary Project Objectives



of resources over the next ten years. The University's capital needs far exceed what is financially feasible at this time. Currently, the University estimates more than \$1 billion annually is required over the next five years to address its most pressing State-supportable facility needs. These include facilities which support core academic programs, including seismic renovation of existing facilities, expansion and renewal of critical infrastructure, and new construction and renovation of instruction and research facilities. Support also is required to address other urgent needs in areas traditionally not supported by the State, such as student and faculty housing, parking, and other facilities serving the public as well as the University.

Because both State and non-State capital resources are limited, when a potential capital

Display 6: 2011-21 Program Categories



need is identified, campuses prepare a rigorous business case analysis, a practice consistent with Regents' initiatives on administrative efficiencies. Campuses typically evaluate a range of alternatives to address identified programmatic objectives, which may include reallocation and/or renovation of existing space, leasing off-campus space, a new capital project, and various project delivery methods. Going forward, the implementation of a more focused business case analysis of capital needs will help campuses in their decision-making process. Finally, the availability of funding for maintenance costs is being carefully scrutinized. The State's current fiscal circumstances have severely impacted the campuses' operating budgets. While operations and maintenance (OMP) costs are taken into consideration when evaluating whether a project should proceed, in this period of budget

reductions, campuses are analyzing projects even more carefully to ensure funding for OMP costs.

The chapters that follow provide a plan for capital development by campus, with a summary of capital projects to be funded from State and non-State resources between 2011-12 and 2020-21. Each chapter provides the context for the campus's capital financial plan including:

- a discussion of its capital needs;
- a summary table of State and non-State projects expected to be funded; and
- descriptions of projects proposed for 2011-12 and 2012-13.

An expanded online edition of this report provides a description for each project that campuses anticipate will be implemented during 2011-21; the expanded online edition is located at:

<http://budget.ucop.edu/capital/201121/2011-21ConsolidatedState&Non-StateCapitalFinancialPlan.pdf>

A key to the symbols referenced in the following tables is found on pages 173.

PLANNING ASSUMPTIONS

For planning purposes, this *2011-21 Consolidated Plan* relied on a number of assumptions in its development. These assumptions will be evaluated annually for validity and campus planning will be revised as appropriate. Future

planning will be most impacted by these factors.

State Funding

Campuses assumed that at least \$450 million per year would be provided by the State for general campuses to meet enrollment, renewal, seismic improvement, and modernization needs, and another \$100 million per year would be provided for health sciences programs. These assumptions reflect the University's anticipated general obligation bond funding over the next ten years, but may be unrealistic in the first two years of the plan given the State's current fiscal circumstances and absence of a bond measure for 2010.

Decisions regarding a bond measure in 2012 will be a defining factor.

Enrollments

The uncertainty of State support for enrollment has had a significant impact on capital planning. Due to enrollment increases for which the State has not been able to provide funding, and the severe State budget reductions since 2008-09, the University of California has enrolled about 24,000 California residents without State support.

The University's projections through 2020, published in 2008, included modest growth as numbers of high-school graduates stabilize the slowing to approximately 1% from 2010-11 to 2020-21. To help the State remain competitive in

a knowledge-based global economy, the University proposed to increase graduate enrollments by 22,000 students by 2020-21. Over the next four years, in order to provide access to California residents and to meet the State's workforce needs, the University is considering growth beyond the current unfunded enrollment level of at least 1% annually, while continuing its commitment to UC Merced's development as a comprehensive campus.

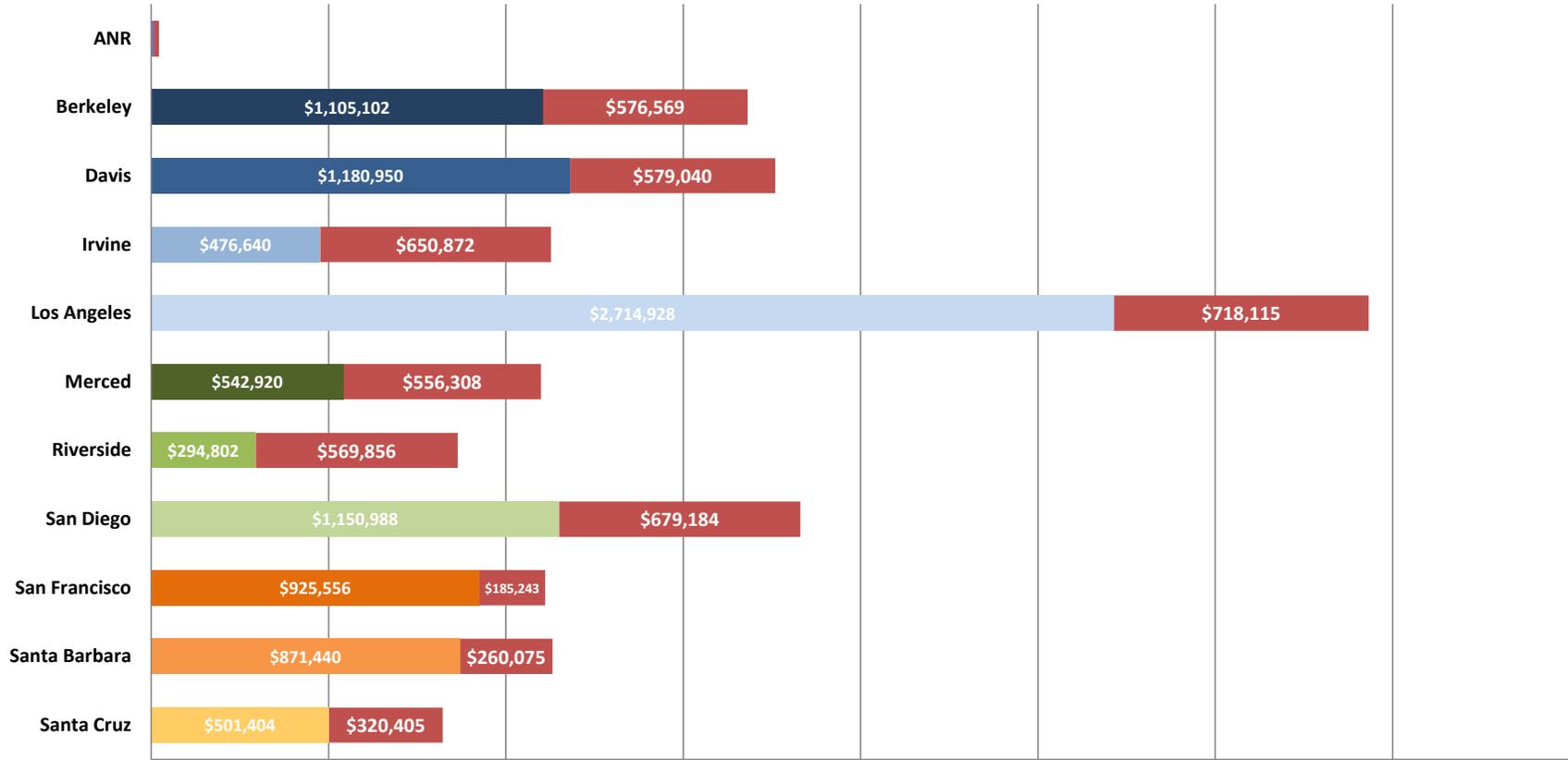
Long-Term Debt Financing

Given the implications of long-term financing commitments, campuses will need to analyze the financial feasibility of debt financed projects. Campuses should analyze the affordability of debt funded projects on a 10-year pro forma basis. At the time debt is actually approved for a project, all campuses are required to test the feasibility of additional debt burden against metrics such as debt service to operations, debt service coverage and expendable resources to debt. Debt is approved as a general matter when a project budget is approved through the Regents or delegated approval process. Medical center project feasibility models are currently being reformulated.

CAPITAL PROGRAM AT-A-GLANCE

2011-21 Capital Financial Plan

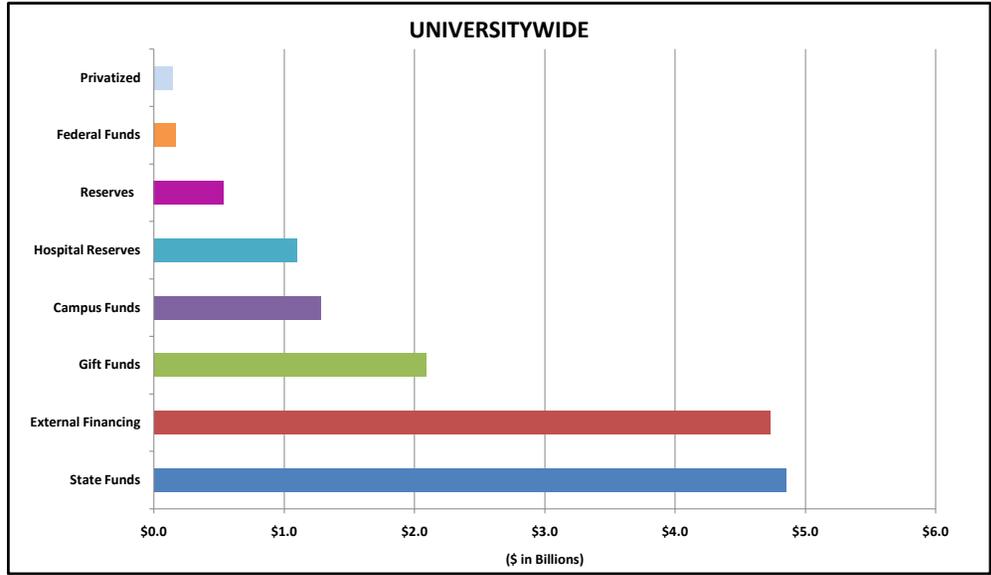
2011-21 Non-State and State Funding by Campus
(FOR ALL CHARTS: \$ IN BILLIONS)



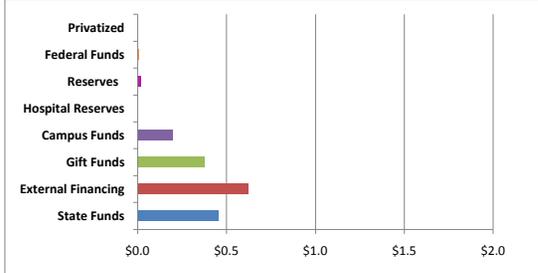
	Santa Cruz	Santa Barbara	San Francisco	San Diego	Riverside	Merced	Los Angeles	Irvine	Davis	Berkeley	ANR
■ Non-State	501404	871440	925556	1150988	294801.87	542920	2714928	476640	1180950	1105102	8400
■ State	320405	260075	185243	679184	569856	556308	718115	650872	579040	576569	12408

*State Funds are in **RED**, all other colors represent Non-State Funds

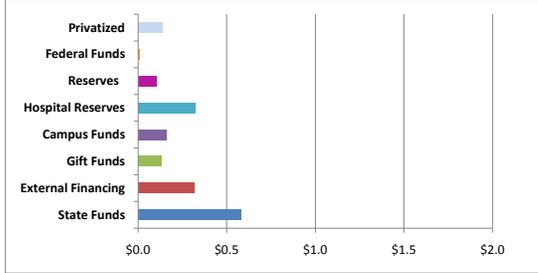
2011-21 CAPITAL PROGRAM BY FUNDING SOURCE



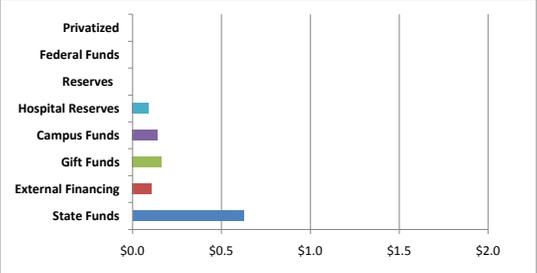
BERKELEY



DAVIS

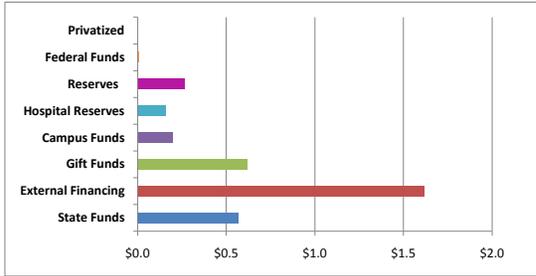


IRVINE

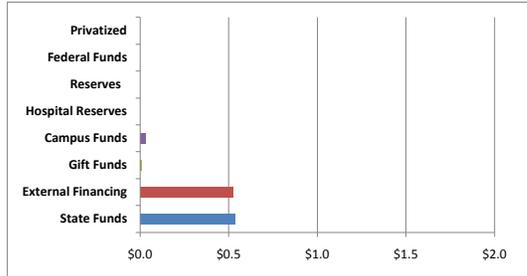


2011-21 CAPITAL PROGRAM BY FUNDING SOURCE

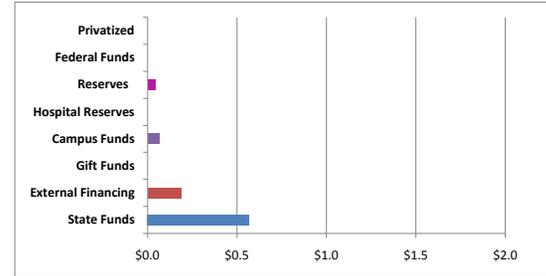
LOS ANGELES



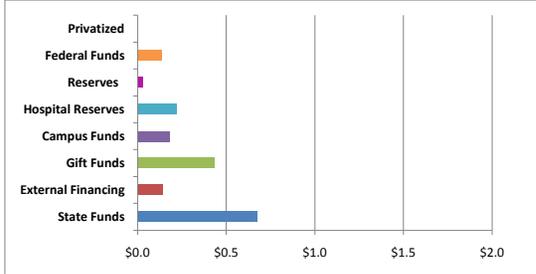
MERCED



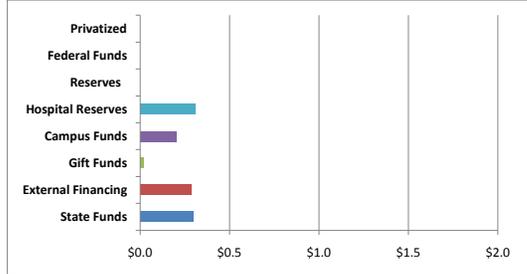
RIVERSIDE



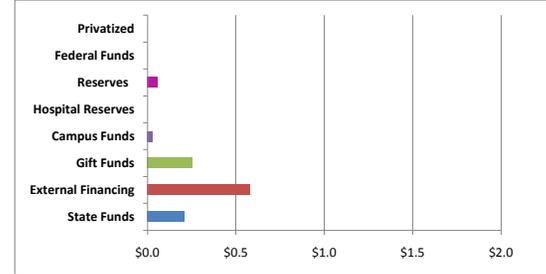
SAN DIEGO



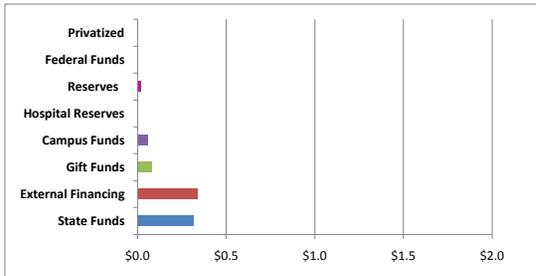
SAN FRANCISCO



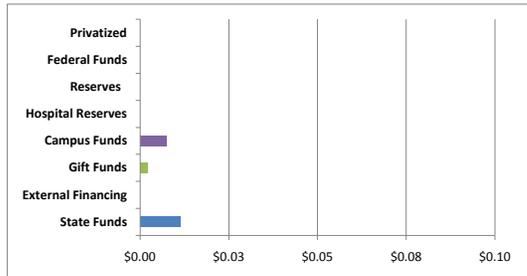
SANTA BARBARA



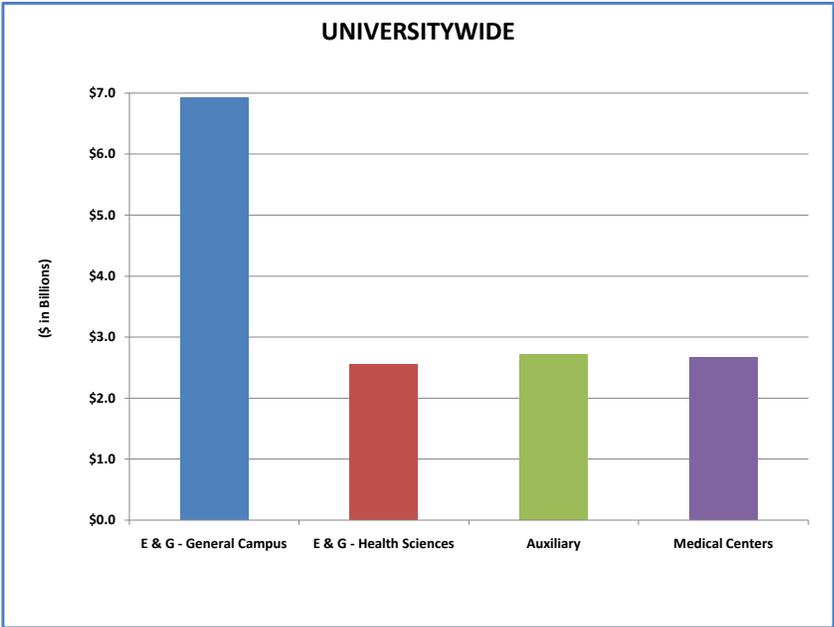
SANTA CRUZ



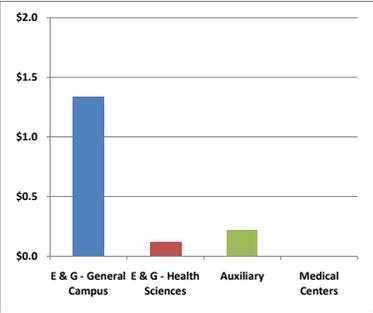
ANR (Different Scale)



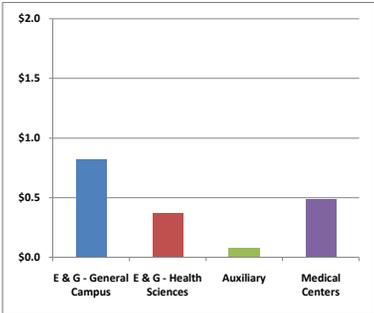
2011-21 FUNDING BY PROGRAM CATEGORY



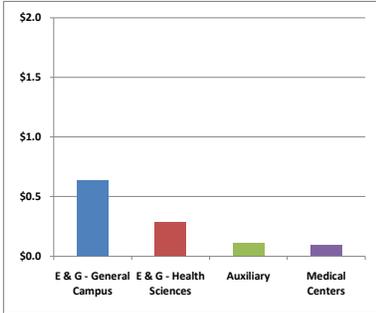
BERKELEY



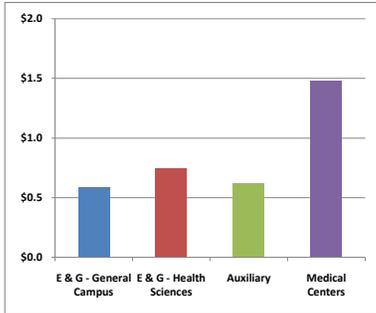
DAVIS



IRVINE

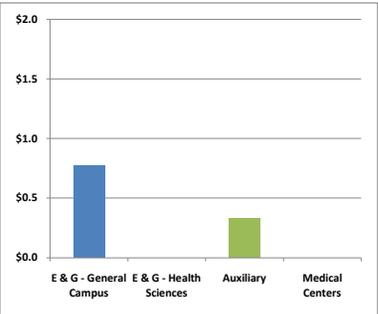


LOS ANGELES

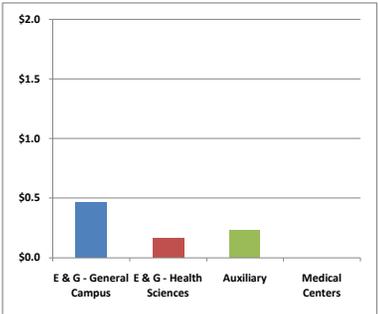


2011-21 FUNDING BY PROGRAM CATEGORY

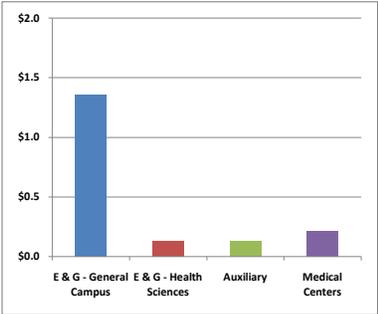
MERCED



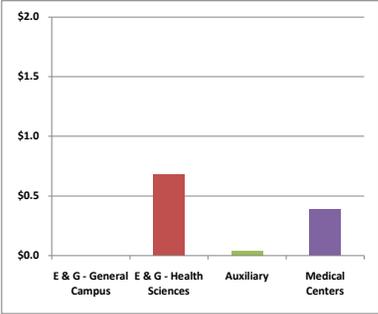
RIVERSIDE



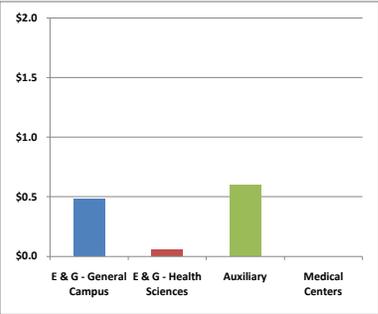
SAN DIEGO



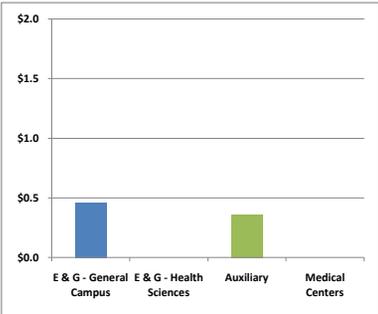
SAN FRANCISCO



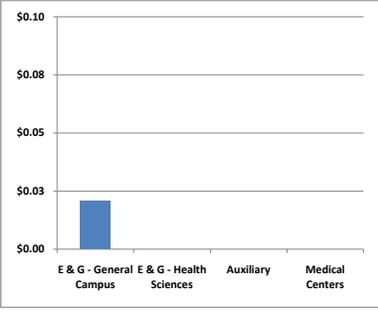
SANTA BARBARA



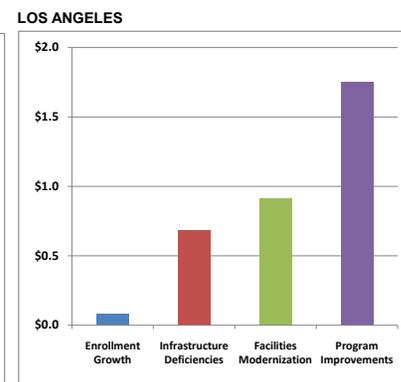
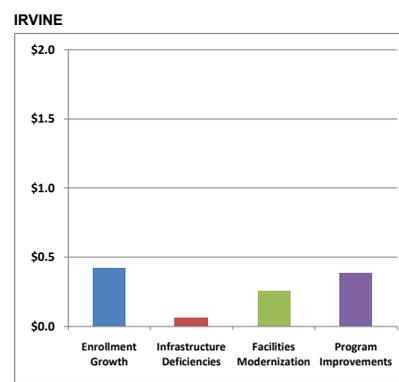
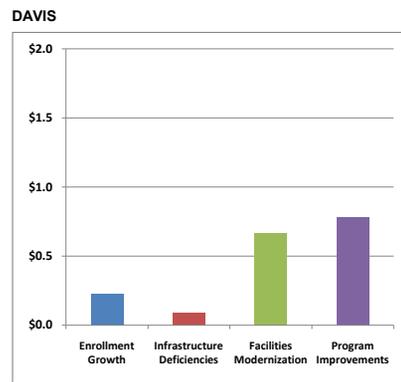
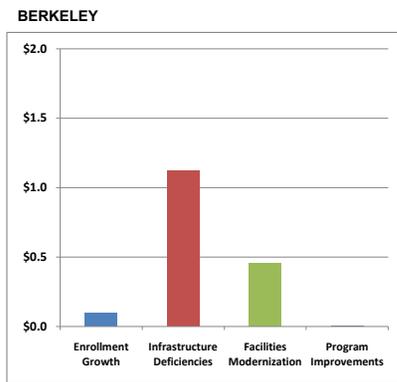
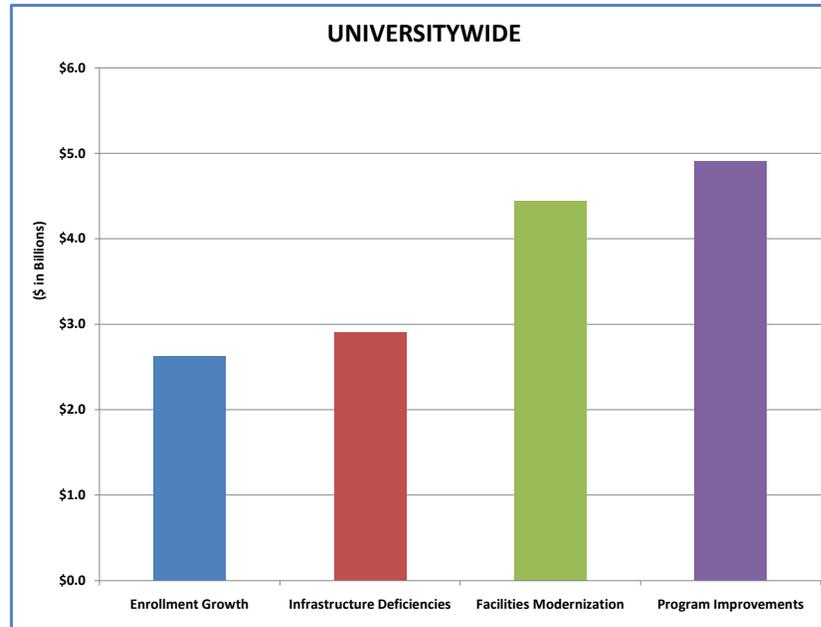
SANTA CRUZ



ANR (Different Scale)

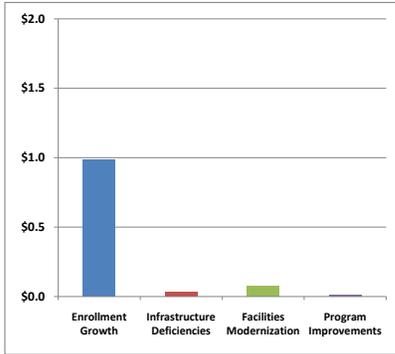


**2011-21 FUNDING BY
PRIMARY PROJECT OBJECTIVE**

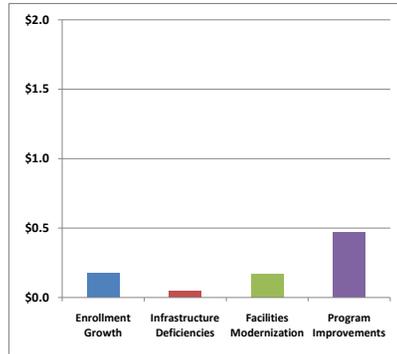


**2011-21 FUNDING BY
PRIMARY PROJECT OBJECTIVE**

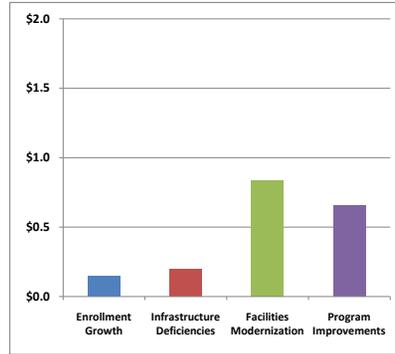
MERCED



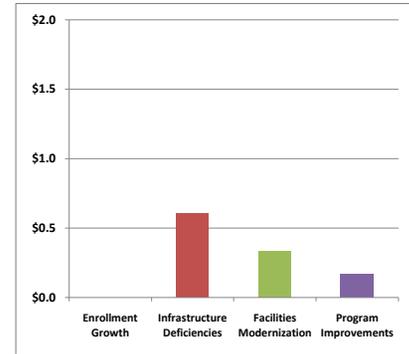
RIVERSIDE



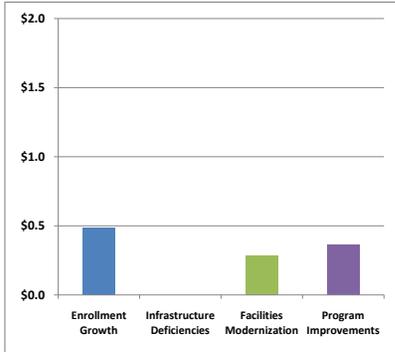
SAN DIEGO



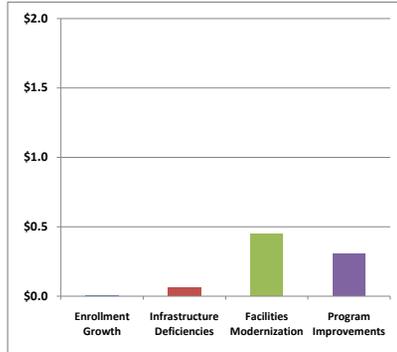
SAN FRANCISCO



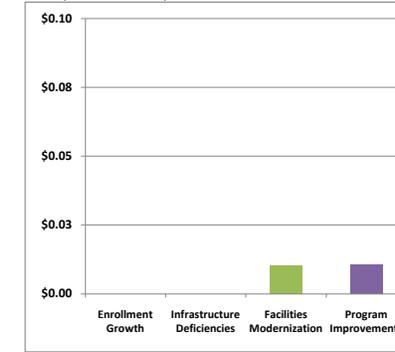
SANTA BARBARA



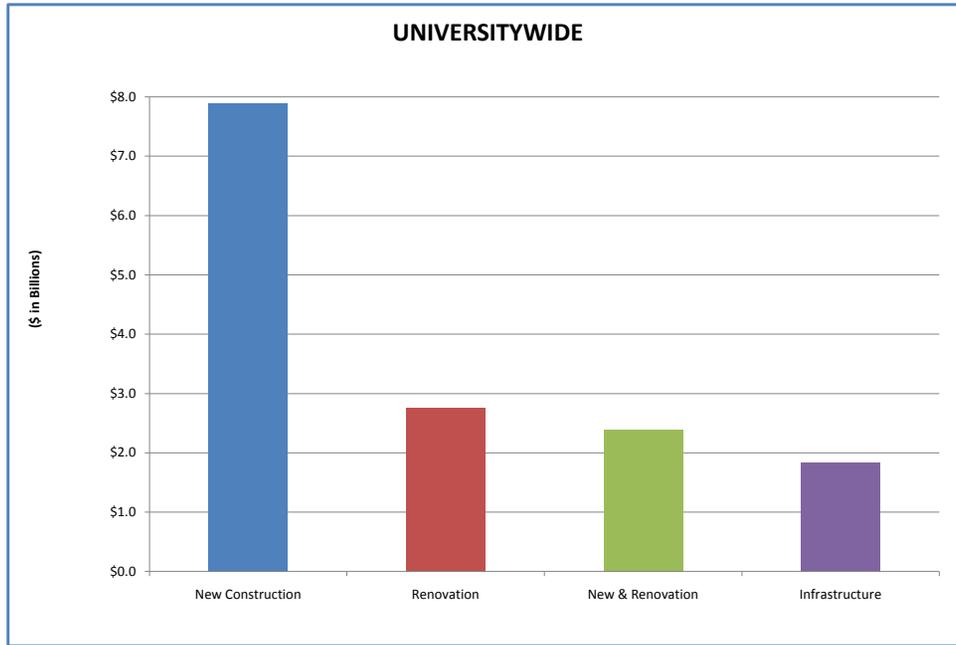
SANTA CRUZ



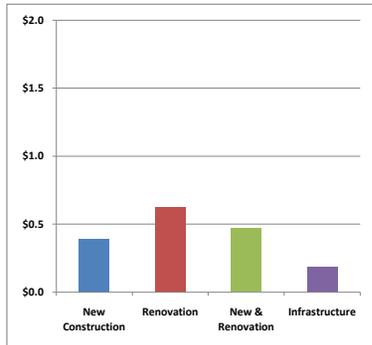
ANR (Different Scale)



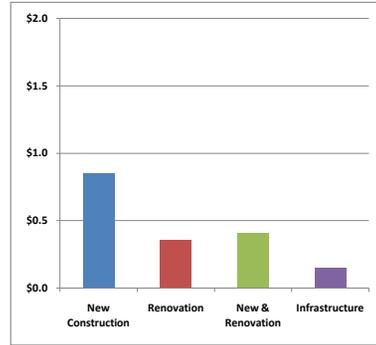
**2011-21 FUNDING BY
TYPE OF CONSTRUCTION**



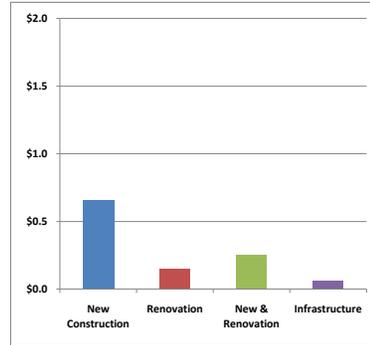
BERKELEY



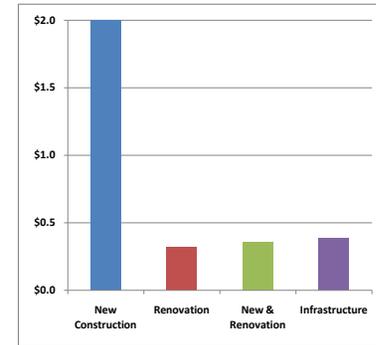
DAVIS



IRVINE

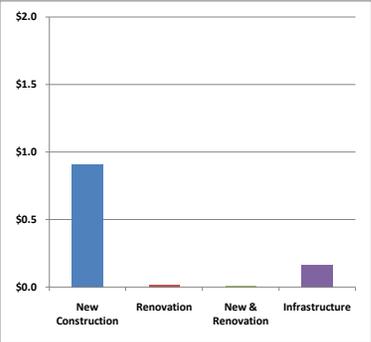


LOS ANGELES

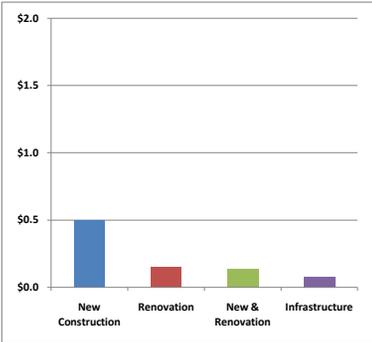


**2011-21 FUNDING BY
TYPE OF CONSTRUCTION**

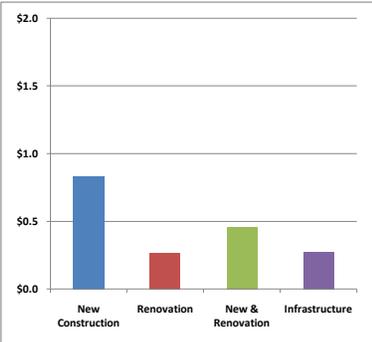
MERCED



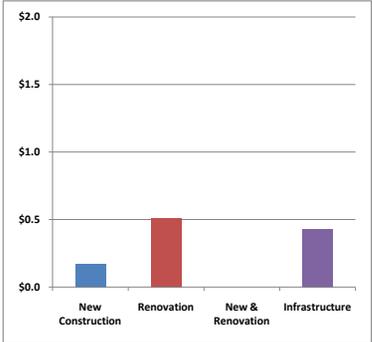
RIVERSIDE



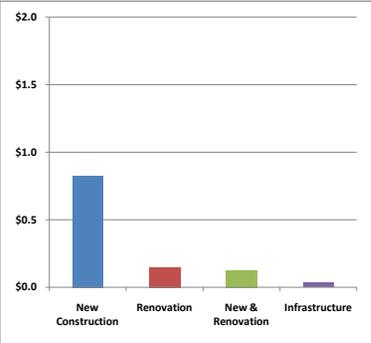
SAN DIEGO



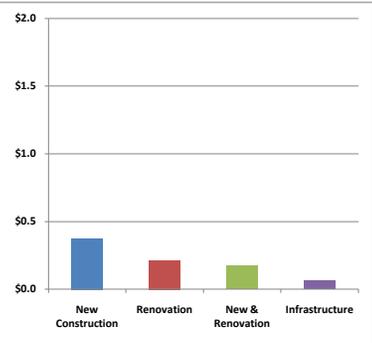
SAN FRANCISCO



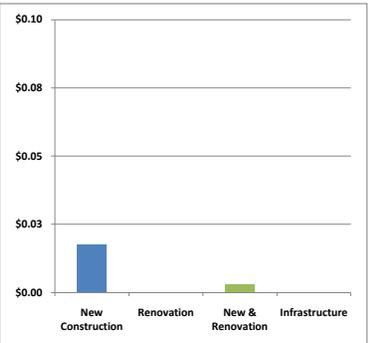
SANTA BARBARA



SANTA CRUZ



ANR (Different Scale)



BERKELEY

2011-21 Capital Financial Plan

BERKELEY

As the founding campus of the University of California, UC Berkeley today remains a national and international leader in education, research, and public service.

Since Berkeley is a densely developed urban campus, its capital investment program reflects a dual strategy of conservation and new construction. When feasible, academic and administrative facility needs are met through more intensive space use and selective renovation of existing buildings. When these measures are inadequate, Berkeley considers expansion or replacement of deficient buildings with new construction. In buildings where seismic and code upgrades are required, those upgrades are often combined with capital renewal and program improvements through multi-source funding plans, which leverage State funds with gifts and other non-State funds to maximize the benefit of each project to the University mission.

BERKELEY CAMPUS FACTS:	
Established	1873
FTE Enrollment 2010-2011	
Undergraduates	27,415
Graduate Students	8,095
Health Science Students	805
Campus Land Area	1,290 acres
Campus Buildings	10.2 million ASF
Nobel Laureates (active & emeritus)	9
University Professors (active & emeritus)	7

CAMPUS GOALS AND PRIORITIES

Capital investment at Berkeley is guided by the following policy documents:

- *Strategic Academic Plan* (June 2002)
- *2020 Long Range Development Plan* (January 2005)
- *Physical Design Framework* (November 2009)

The capital investment program outlined in this 2011-21 update to the UC Berkeley *Capital Financial Plan* is driven by several factors:

Life Safety

Although improvements to 4.9 million gsf of Berkeley space are complete, underway, or in design, 1.6 million gsf with seismic deficiencies remain to be corrected. Seismic improvement, along with related life-safety, access, and other code upgrades, continues to be the primary driver of the Berkeley capital program.

Although State funds have been a primary funding source for seismic improvements, the Berkeley campus has also utilized a variety of other funding sources when the nature of the project permits.

However, non-State funds are not a viable option for the seismic renovation of most academic buildings; for those buildings, State funds remain an essential

resource. For this reason, the seismic program is expected to continue to consume the vast majority of State capital funds allocated to Berkeley for at least the near term.

2011-21 CFP. The plan includes the seismic remediation of 14 buildings. Four would be replaced: Campbell, Tolman, Eshleman, and the Art Museum. Another would be vacated and demolished, and nine other buildings would be retrofitted or renovated.

Although the seismic program continues to depend primarily on State funds, the replacement of the Art Museum would be financed primarily with gifts, and the replacement of Eshleman Hall with funds from a spring 2010 student-fee initiative and other campus funds.

Capital Renewal

Many of our instructors and researchers struggle with spaces and systems compromised not only by age but also by decades of inadequate reinvestment. The renewal of our buildings and infrastructure is crucial to our ability to recruit and retain exceptional individuals and to pursue new topics of research and new models of instruction.

State funds have in the past played a key role in the renewal of both buildings and infrastructure, and more recently have been augmented by campus funds.

However, given the urgency of the seismic program at Berkeley, and the absence of alternate funding sources for those projects, State funds in the *2011-21 CFP* are prioritized for seismic improvements.

At the same time, the need for capital reinvestment is greater than ever. In response to this need, the *2011-21 CFP* includes a significant multi-year increase in campus funding for capital reinvestment.

2011-21 CFP. The plan envisions a program of up to \$45 million per year (in 2011 dollars) in campus equity and debt directed toward capital renewal and program improvements to existing facilities. Expenditures would include:

- Renewal or replacement of existing building, utility, and information systems at or beyond the end of their useful lives.
- Improvement or replacement of existing building, utility, and information systems unable to meet current performance demands.
- Improvement or replacement of existing building and utility systems to reduce operation cost and resource consumption.
- Renovations and reconfigurations of existing spaces to accommodate new initiatives, methods, and work styles and to improve space utilization.
- Major maintenance programs deferred due to inadequate resources.

- Seismic retrofits where modest investments can yield significant reductions in life-safety risk.
- Renewal and enhancement of existing roads, paths, landscapes, and places of interaction.
- Continuing programs in access improvements and hazmat remediation.
- Urgent or unanticipated repairs to buildings and infrastructure.

Academic Programs

Over the past decade, student enrollment at Berkeley has grown from 31,347 in fall 1999 to 35,838 in fall 2010, an increase of 14%. Berkeley also continues to experience growth in sponsored research, as well as transformative trends in instruction and research methods.

Grants and gifts are often a viable source of capital funds for facilities which either house new academic initiatives or expand and enhance existing instructional and research programs. These projects not only provide new space able to meet the performance demands of the 21st century, but also accommodate its increasingly team-based, interdisciplinary work styles. This is already evident in several new projects recently completed or now underway: Stanley Hall, home of the CISI-supported Institute for Quantitative Biosciences; Sutardja Dai Hall, home of the CISI-supported Center for Information Technology Research; the Center for Biomedical and Health Sciences, home of the CIRM-



Stanley Hall

supported Center for Stem Cell Research; and the Helios Energy Research Facility, home of the Energy Biosciences Institute and the Department of Bioengineering. The latter two projects are now under construction.

2011-21 CFP. The plan includes a multi-phase renovation and expansion of the Haas School of Business to accommodate a 70% growth in enrollment as well as significant changes in instructional practices over the past 15 years. A new East Asian Studies Center would unite the various programs focused on Asian languages and cultures into a single, integrated center to complement the recently completed Starr East Asian Library.

Intellectual Community

Berkeley is more than the sum of its programs. A great research university also requires a vital intellectual community, one that provides exposure to

a wide range of cultures and perspectives and generates the encounters and interactions that lead to discovery.

While the compact size of the central campus encourages an interactive culture, until recently the campus had few places conducive to informal interactions. The *Strategic Academic Plan* recognized this need in its goals to enhance the role of the library as an intellectual commons and to create 'places of interaction' at key nodes of campus activity.

The *Strategic Academic Plan* also recognized the critical role of housing. The constrained and expensive housing market near the Berkeley campus has driven both students and faculty to live farther and farther away, making it increasingly difficult to engage fully in campus life. The price of housing also continues to be a formidable obstacle in campus efforts to recruit and retain exceptional graduate students and faculty.

2011-21 CFP. The plan includes the renovation of Moffitt Undergraduate Library and its transformation into a place conducive to group interaction, as well as individual study, with state-of-the-art spaces for team-based projects and presentations.

The *2011-21 CFP* also proposes the multi-building Lower Sproul projects, which include not only the seismic replacement of Eshleman Hall but also the renovation and expansion of King Student Union and

the relocation of the Career Center from seismically poor space. The majority of funding will come from a spring 2010 student-fee initiative.

The *UC Berkeley 2020 Long Range Development Plan*, adopted by the Regents in January 2005, includes several objectives for student housing:

- Increase undergraduate bed spaces to equal 100% of entering freshmen plus 50% of sophomores and entering transfers by 2020.
- Increase graduate student bed spaces to equal 50% of entering graduate students by 2020.
- Maintain and upgrade the supply of university housing suitable for students with children.

Since the adoption of the *LRDP*, UC Berkeley has used housing revenues to complete projects that have significantly increased the number of bed spaces in its inventory.

As a result, UC Berkeley has essentially met the *LRDP* objective of providing university housing to 100% of entering freshmen. At the completion of the Anna Head project now underway, UC Berkeley will also be close to the *LRDP* objective of providing university housing to 50% of sophomores.

However, demand for housing for graduate students, and for juniors and seniors, including but not limited to transfer students, remains significantly greater than the UC supply. To this end, the *2011-21 CFP* includes a new public-private partnership to build

apartments for these students. The precise scope of this project is being finalized. Housing investments in the *2011-21 CFP* also include the third and final phase of the 840-bed renewal of the Clark Kerr Campus.

Environment and Sustainable Design

Capital investment is required not only to preserve the magnificent legacy of historic buildings and landscaping on the Berkeley campus, but also to meet campus and University goals for the reduction of water and energy consumption and the emission of greenhouse gases. Nearly 80% of those emissions are associated with campus buildings. The Berkeley campus's objective is to reduce its emissions to 1990 levels by 2014, six years earlier than required by University policy.

RESOURCES

The Berkeley capital investment program reflects a mix of renovation and new construction, as well as the use of multiple sources of capital funds – a necessity given the decline in State support to the University. Since many of these fund sources are suitable only to certain types of investments, the capital program strives to optimize the value of each funding source. The sequence of projects listed in the *2011-21 CFP* reflects both the priority and urgency of each project and the anticipated timing of funding.

State Funds

State funds in the *2011-21 CFP* are prioritized for seismic improvements. With funding of the Campbell Hall replacement in the 2010 Budget Act, Tolman Hall becomes the campus's highest seismic priority, given the magnitude of risk relative to its size and its structural deficiencies. Other seismic projects in the plan are sequenced to correspond with the assumed future pace of State funding.

Gift Funds

Gift funds are prioritized for new academic initiatives, expansion and transformation of existing academic facilities, and investments in intellectual community. Within this category, the priority of the Art Museum replacement is due primarily to the seismic deficiency of the existing facility, while the priority of the Moffitt Library renovation is due to its central and indispensable role in the undergraduate experience.

Student Fees

Revenue from student fees is prioritized to fund life-safety improvements and those projects approved through student referenda. The Lower Sproul projects – the multi-building program to mitigate seismic hazards and enhance student programs and services – have been added to the *2011-21 CFP* as the result of the spring 2010 student-fee initiative. The fee revenue covers over half the cost, the

remainder of which will be met with other campus funds.

Campus Equity

Campus in-year funds are prioritized for repair and renewal of buildings and infrastructure, as well as for other urgent and unanticipated in-year needs.

External Financing

New capital debt in the plan is directed primarily toward two investment priorities: capital reinvestment

in existing facilities and the Lower Sproul projects. The Lower Sproul debt will be supported partly by campus funds and partly by student fees from the spring 2010 fee referendum.

The strategic use of campus debt may also be warranted in the future for certain projects – for example, for gift projects where a small balance is yet to be raised and the use of debt to complete the funding would avoid a prolonged delay and cost escalation.



Sproul Plaza

Berkeley

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both - Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
State Funded Program																
E & G - GENERAL CAMPUS																
Campbell Hall Seismic Replacement	•		•			N	71,605	11,000 F 2,029 X	2,800 G						87,434	
Tolman Hall Seismic Replacement	•		•			N			186,790			14,950			201,740	
Evans Hall Interim Seismic Retrofit	•		•			R				20,000					20,000	
Hearst Gymnasium Seismic Renovation & Expansion	•		•			B						5,100 G	5,100	50,000 40,900 G	101,100	
McLaughlin Hall Seismic Renovation	•		•			R				2,800	31,100				33,900	
Wellman Hall Seismic Renovation	•		•			R						2,400	27,900		30,300	
Dwinelle Annex Seismic Renovation	•		•			R						400	5,600		6,000	
Giannini Hall Seismic Renovation	•		•			R								47,700	47,700	
E & G - HEALTH SCIENCES																
School of Public Health				•		N			6,000 G	6,000	54,000 54,000 G				120,000	
STATE FUNDING								0	186,790	28,800	85,100	17,750	38,600	97,700	454,740	
NON-STATE FUNDING								13,029	8,800	0	54,000	5,100	0	40,900	121,829	
TOTAL STATE PROGRAM								13,029	195,590	28,800	139,100	22,850	38,600	138,600	576,569	

Berkeley

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both - Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
Non-State Funded Program																
E & G - GENERAL CAMPUS																
Art Museum Seismic Replacement	•		•			B	5,600 G	64,400 G 20,000 LB							90,000	
Greek Theatre Seismic Retrofit	•		•			R		5,000 X 4,350 LB							9,350	
Lewis Hall Interim Seismic Retrofit	•		•			R		750 X							750	
Bioscience Instructional Labs					•	R		6,000 X							6,000	
Moffitt Library Renovation				•		R		50,000 G							50,000	
Haas Business School Renovation & Expansion		•				B		98,500 G							98,500	
Haas Clubhouse Seismic Renovation	•		•			R			6,400 LB						6,400	
2223 Fulton Demolition	•		•							3,300 X					3,300	
East Asian Studies Center				•		N					56,800 G				56,800	
Campus Capital Renewal			•			R		30,000 LB	31,500 LB	33,100 LB	34,800 LB	36,500 LB	38,300 LB	173,300 LB	377,500	
Capital Projects \$750K to \$5M				•		I		15,000 X	15,800 X	16,600 X	17,400 X	18,300 X	19,200 X	86,900 X	189,200	
AUXILIARY - STUDENT HOUSING & DINING																
Southside Student Apartments		•				N			PRI						PRI	
Kerr Campus Renovation - Phase 3				•		R						5,000 N 32,000 LB			37,000	
AUXILIARY - STUDENT ACTIVITIES, RECREATION, ATHLETICS (FEE)																
Lower Sproul Capital Improvement Program (Includes two projects: See Project Sheet)	•		•			B	7,098 X	(6,098) X 12,000 UR 210,200 LB							223,200	
TOTAL NON-STATE PROGRAM								510,102	53,700	53,000	109,000	91,800	57,500	260,200	1,135,302	
TOTAL STATE PROGRAM								13,029	195,590	28,800	139,100	22,850	38,600	138,600	576,569	
TOTAL NON-STATE PROGRAM								510,102	53,700	53,000	109,000	91,800	57,500	260,200	1,135,302	
TOTAL CAPITAL PROGRAM								523,131	249,290	81,800	248,100	114,650	96,100	398,800	1,711,871	

CAMPBELL HALL SEISMIC REPLACEMENT

- Replaces existing Campbell Hall (1959) with new building on same site to house Depts of Physics and Astronomy.
- Existing building has 'poor' seismic rating, inadequate and obsolete building systems.
- Basement will house low-vibration physics labs, with NIST funding for lab improvements.
- P and W state funds appropriated in 2007-08; C funds appropriated by state in 2010-11.
- Equipment to be funded with gifts in 2012-13.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	53,300
GSF	81,600

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$71,605,000
Federal Funds	\$11,000,000
Campus Funds	\$2,029,000
Gift Funds	\$2,800,000
Total Budget	\$87,434,000

TOLMAN HALL SEISMIC REPLACEMENT

- Replaces existing building with a new building on alternate site, to house Dept. of Psychology, School of Education, research units, and general-assignment classrooms.
- Existing Tolman Hall (1962) has 'poor' seismic rating, inadequate and obsolete building systems and space configurations.
- Highest campus priority for seismic correction, based on life-safety risk.
- Budget includes \$9.7m allowance for demolition of vacated Tolman Hall once replacement is complete.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	138,600
GSF	247,000

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$209,740,000
Total Budget	\$209,740,000

SCHOOL OF PUBLIC HEALTH

- Project houses the instruction and research programs of the School of Public Health, including the library, seminar and conference spaces, and student workspaces.
- School is now dispersed in 21 locations, a significant impediment to both instruction and intellectual collaboration.
- Budget envisions 50% contribution from State Health Sciences Expansion Bond, balance from gifts.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	96,000
GSF	160,000

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$60,000,000
Gift Funds	\$60,000,000
Total Budget	\$120,000,000

Gift Campaign Summary	
Gifts in Hand	\$0
Gifts Pledged	\$0
Gifts to be Raised	\$60,000,000
Total Budget	\$60,000,000



Campanile Esplanade

ART MUSEUM SEISMIC REPLACEMENT

- Replaces existing facility (1970) with new facility on downtown site to house Berkeley Art Museum and Pacific Film Archive.
- Existing building has 'poor' seismic rating, inadequate access and building infrastructure, inflexible layout.
- Downtown site would improve transit access and enable synergy with downtown arts venues.
- Adaptive renovation of vacant UC printing plant plus new construction on site cleared by demolition of UC parking structure.
- Campus will proceed to budget approval only when financial strategy is determined to be viable, based on fundraising progress.
- Regents authorized \$5.6 million in P funds May 2010 under the project name of Berkeley Art Museum and Pacific Film Archive Seismic Replacement: UC Printing Plant Adaptive Reuse and Expansion.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$20,000,000
Est. Annual Debt Service	\$1,453,000
Terms: 6%	30 years
Interest During Construction:	\$3,500,000
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Campus Funds	
• Art Museum Revenues	

Project Scope Summary	
ASF	57,600
GSF	90,200

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$70,000,000
External Financing	\$20,000,000
Total Budget	\$90,000,000

Gift Campaign Summary	
Gifts in Hand	\$18,700,000
Gifts Pledged	\$18,000,000
Gifts to be Raised	\$33,300,000
Total Budget	\$70,000,000

BIOSCIENCE INSTRUCTIONAL LABS

- Converts a portion of Koshland Bioscience and Natural Resources Library to two new bioscience instructional labs. The Natural Resources Library will be reorganized to be accommodated within the balance of its current space.
- Accommodates increased demand for Biology 1A & 1B due both to past enrolment growth and to growth in demand for biosciences and related fields of undergraduate study.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	4,400

Summary of Budget by Fund Type	
Campus Funds	\$6,000,000
Total Budget	\$6,000,000

CAMPUS CAPITAL RENEWAL

• \$30 million per year in campus debt to fund reinvestment in existing physical plant (assumed to escalate 5% each year).

Projects financed by the Capital Reinvestment Fund would include:

- Renewal or replacement of existing building, utility, and information systems at or beyond the end of their useful lives,
- Improvement or replacement of existing building, utility, and information systems unable to meet current performance demands,
- Improvement or replacement of existing building and utility systems to reduce operational cost and resource consumption,
- Renovations of existing spaces to accommodate new initiatives, methods, and work styles and to improve space utilization,
- Major maintenance programs deferred due to inadequate resources,
- Seismic retrofits are modest investments that can yield significant reductions in life-safety risk.
- Renewal and enhancement of existing roads, paths, landscapes, and places of interaction.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$377,500,000
Est. Annual Debt Service	varies per year
Terms:	5% 15 years
Interest During Construction:	
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Campus Funds	

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$377,500,000
Total Budget	\$377,500,000

CAPITAL PROJECTS \$750K TO \$5M

• \$15 million per year in campus in-year funds (assumed to escalate 5% each year).

Typical uses of capital funds would include:

- Loans to campus programs with urgent facility needs,
- Continuing programs in access improvements and hazardous-material remediation,
- Urgent or unanticipated repairs to buildings and infrastructure,
- Initial feasibility analyses of alternative capital-investment strategies to meet program needs,
- Detailed technical analyses of buildings with seismic deficiencies to determine the optimal remediation solution.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$189,200,000
Total Budget	\$189,200,000

GREEK THEATRE SEISMIC RETROFIT

- Seismic improvement and historic restoration of Greek Theatre (1903: National Register).
- Building has 'very poor' seismic rating, substantial deterioration.
- \$4.0M project in previous CFP included only partial retrofit to 'poor' rating and no historic restoration; new version will improve seismic rating to a minimum of 'fair.'
- The project also includes life-safety and access upgrades triggered by the seismic work.
- Debt to be financed roughly 50% with contribution from operator revenues, balance with campus funds.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$4,350,000
Est. Annual Debt Service	\$455,233
Terms:	6.25% 15 years
Interest During Construction:	\$260,415
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Operator Revenues	

Project Scope Summary	
ASF	5,400
GSF	11,900

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$4,350,000
Campus Funds	\$5,000,000
Total Budget	\$9,350,000

HAAS BUSINESS SCHOOL RENOVATIONS & EXPANSION

- Renovates spaces in Haas School (1995) to accommodate changes in instructional models and increased team-based work.
- Expansion accommodates 70% enrollment growth in the School since 1995.
- Budget approval date reflects current plan to bring the entire multiphase program to the Regents for a single approval.
- Program comprises seven subprojects; sequence and schedule of construction depends on fundraising. Subprojects include two additions, courtyard improvements, and renovations to Library and Cheit, Bakar, and Student buildings.
- Campus will proceed to budget approval only when financial strategy is determined to be viable, based on fundraising progress.
- Budget will be further scrutinized in the business-case analysis for alternative investment strategies, including alternative delivery models such as public/private partnerships.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Renovation	Amount
Gift Funds	\$98,500,000
Est expansion (new construct)	\$60,800,000
Est renovations	\$37,700,000
Total Budget	\$98,500,000

Gift Campaign Summary	
Gifts in Hand	\$1,500,000
Gifts Pledged	\$2,900,000
Gifts to be Raised	\$94,100,000
Total Budget	\$98,500,000

Project Scope: Renovation	
ASF	131,900
GSF	234,100

Project Scope: New Expansion	
ASF	23,000
GSF	41,800

HAAS CLUBHOUSE SEISMIC RENOVATION

- Seismic improvement of Haas Clubhouse (1959) includes structural reinforcement and required code/life-safety upgrades.
- Existing building has 'poor' seismic rating.
- Clubhouse is part of Strawberry Canyon recreation complex.
- LEED™ target depends on scope of project (if any) beyond seismic and code/life-safety improvements.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	7,800
GSF	11,800

Financing	
Long-Term	\$6,400,000
Est. Annual Debt Service	\$465,000
Terms: 6%	30 years
Interest During Construction:	TBD
Interest During Construction	\$379,000
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Student Fees	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$6,400,000
Total Budget	\$6,400,000

LEWIS HALL INTERIM SEISMIC RETROFIT

- Interim retrofit of Lewis Hall (1948) improves seismic rating of building from 'poor' to 'fair.'
- Existing building has 'poor' seismic rating, inadequate and obsolete building systems.
- Provides wet labs and other spaces for College of Chemistry, as well as two classrooms.
- Precedes comprehensive renovation of building and systems to achieve 'good' rating beyond the ten-year-plan timeframe.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	40,900
GSF	68,100

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$750,000
Total Budget	\$750,000

LOWER SPROUL CAPITAL IMPROVEMENT PROGRAM

- Consists of two projects: Lower Sproul Projects (\$193,200,000) and Future Lower Sproul Improvement Program (\$30,000,000)
- The Lower Sproul Projects replaces seismically poor Eshleman Hall; relocates Career Center from seismically 'poor' space to new space; and renovates Lower Sproul Plaza, King Student Union, Chavez Center, and Anthony Hall.
- The Future Lower Sproul Improvement Program includes replacement of inadequate or obsolete building systems, renovation of existing interior spaces, deferred maintenance, and site and landscape improvements.
- Debt serviced partly by spring 2010 student-fee initiative (\$112.2 million), partly by campus funds (\$98.0 million).
- The Future Lower Sproul Improvement Program is anticipated to be a series of delegated items.

Budget Approval	
Budget Year	2011-12

Project Scope: Renovation	
GSF	136,100

Financing	
Long-Term	\$180,000,000
Est. Annual Debt (yrs 1-10)	\$13,500,000
Est. Annual Debt (yrs 11-20)	\$18,800,000
Terms: 6% tax-exempt, 7.25% taxable interest only	30 years
Interest During Construction:	\$13,100,000
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Lower Sproul Plaza Fee (OP approved 7/2010)	
• Campus Fund Source TBD	

Project Scope: New Construction	
ASF	64,100
GSF	91,400

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$210,200,000
Univ. Fee Reserve	\$12,000,000
Campus Funds	\$1,000,000
Total Budget	\$223,200,000

Note:
Entire project (all stages) to be submitted for budget approval in 2010-11; Budgets are escalated to match fee initiative and budget approval item.

MOFFITT LIBRARY RENOVATION

- Comprehensive renovation of Moffitt Undergraduate Library (1970).
- Renovation will transform Moffitt into a place conducive to group study, including spaces for social interaction and team-based projects and presentations. Will require relocation of most functions to alternate space during construction.
- Renovation will also include universal access and upgrades to obsolete building infrastructure, including state-of-the-art information networks.
- Campus will proceed to budget approval only when financial strategy is determined to be viable, based on fundraising progress.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$50,000,000
Total Budget	\$50,000,000

Project Scope Summary	
ASF	90,600
GSF	130,600

Gift Campaign Summary	
Gifts in Hand	\$10,000,000
Gifts to be Raised	\$40,000,000
Total Budget	\$50,000,000

SOUTHSIDE STUDENT APARTMENTS

- Part of ongoing program to meet 2020 LRDP objective to provide single-student beds to equal 100% of entering freshmen plus 50% of sophomores and 50% of entering transfers and graduate students.
- Targets for freshmen and sophomores are met; this project addresses demand by upper-division and graduate students.
- Conceptual budget includes centralized maintenance facility for Housing auxiliary and below-grade campus parking.
- Project is planned as private-public partnership.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
GSF	207,600

Summary of Budget by Fund Type	
Funding Source	Amount
Privatized	TBD
Total Budget	\$0

DAVIS

2011-21 Capital Financial Plan

DAVIS

Physically the largest of the ten UC campuses with 5,300 acres, the Davis campus has 31,710 students, annual research funding exceeding \$679 million, a comprehensive health science center, and 13 specialized research centers. The campus offers more than 100 undergraduate majors in four colleges – Agricultural and Environmental Sciences, Biological Sciences, Engineering, and Letters and Science – and advanced degrees from six professional schools – Education, Law, Management, Medicine, Veterinary Medicine, and Nursing. Graduate study and research opportunities are offered in nearly 90 programs along with a number of interdisciplinary graduate study programs. The large number of students and faculty engaged in laboratory-intensive science programs is a significant driver of facility and infrastructure needs in the capital program.



UC Davis Medical Center in Sacramento

During the past decade, with rapid growth spurring the expansion of new facilities, the Davis campus has invested more than \$1.6 billion in capital construction. Despite this level of investment, expansion efforts have not kept pace with campus needs. Additional facilities are needed for departments that are not properly accommodated, and a substantial number of aging buildings require renovation or replacement. The campus's unusually extensive network of infrastructure systems requires substantial investment to provide increased capacity, support system renewal, and cover deferred maintenance. High-priority initiatives focused on sustainability and reduction of the campus's carbon footprint compete for limited capital resources.

Complicating this picture is the uncertainty of current economic conditions. State funding for UC Davis's capital program over the past four years has been substantially less than anticipated in earlier *Capital Improvement Plans*, forcing the campus to substitute scarce campus resources to address long-planned and time-critical infrastructure projects originally programmed for State funding.

<u>DAVIS CAMPUS FACTS:</u>	
Established	1905
FTE Enrollment 2010-11	
Undergraduates	24,994
Graduate Students	4,475
Health Science Students	2,241
Campus Land Area	5,300 acres
Campus Buildings	8.4 million ASF
Hospitals and Clinics	1.9 million ASF
Veterinary Hospital	218,000 ASF

Many of the issues that informed the *2010-20 Consolidated State and Non-State Capital Financial Plan (CFP)*, accepted by the Regents in November 2010, remain unchanged – in particular, substantial uncertainty about the State's ability to provide capital funding equivalent to past levels of support. As a result, the campus must now fund the most critical infrastructure projects that cannot wait for resumption of State funding. Another significant funding obstacle continues to be the lack of future State budget allocations for operation and maintenance of new facilities (OMP). One new factor in the updated *2011-21 CFP* is the campus's recent kick-off of a comprehensive fundraising campaign.

CAMPUS GOALS AND OBJECTIVES

Chancellor Katchi's *A Vision of Excellence* articulates six broad goals that build on the land-

grant heritage of UC Davis and span the teaching, research, and public service missions of the campus:

- Foster a vibrant community of learning and scholarship.
- Drive innovation at the frontiers of knowledge.
- Embrace global issues.
- Nurture a sustainable future and propel economic vitality.
- Champion health, education, access, and opportunity.
- Cultivate a culture of organizational excellence, effectiveness, and stewardship.

The campus has developed conceptual strategies and assessment measures for each of the six primary goals of *A Vision of Excellence* (<http://vision.ucdavis.edu>). While many of these strategies will be accomplished on a campuswide basis, the success of each goal is dependent on the individual and combined efforts of the campus's academic schools, colleges, and divisions in creating objectives that embrace and help achieve the vision. These high-level strategies provide a framework from which academic and administrative action plans will emerge. To implement the vision, the academic plans of individual schools and colleges will require varying levels of capital investment.

CAPITAL NEEDS AND PRIORITIES

The Davis campus's capital priorities face many challenges in this era of increasing uncertainty.

They fall into four general categories:

- Continuing need for new facilities
- Need for major building renovations
- Need for renewal of infrastructure systems
- Necessary investments to achieve sustainability

New Facilities

Despite the recent history of investment, new academic facilities are still needed to accommodate growth that has already occurred. In addition, continued underfunding of core instructional programs has increased the need for larger classroom spaces to accommodate larger class sections. The Music Instruction and Recital Building has been deferred for four years, and planning for the Engineering 4 building has been delayed because of fluctuating availability of capital resources. Additional basic research space is needed for health science programs, as are facilities to support the new School of Nursing.



Viticulture & Enology Research & Teaching Winery and Anheuser Busch Brewery and Food Laboratory Building

Renewal

The 2008-09 academic year marked the Davis campus centennial. A source of immense pride for the campus, the event also highlighted one of its significant challenges. Of the more than 950 buildings on the main campus – comprising nearly 10 million gross square feet with an estimated replacement value of \$5 billion – 60% were constructed more than 25 years ago. Many are in need of significant renewal and renovation to adequately serve campus needs.

Construction of new facilities in support of enrollment growth creates secondary effects when departments vacate older buildings. Re-use of such buildings raises many challenges including appropriateness of the space for different programs, deficiencies of aging building infrastructure, hazardous materials abatement, and mandatory upgrades to meet current building, seismic, and accessibility code standards. Currently, fire and life-safety deficiencies in Briggs Hall and the Chemistry

Building remain the highest priorities for renewal projects. The campus has also identified the renovation of Walker Hall as a high priority to address not only seismic concerns but also the need for large classroom facilities and the redevelopment of a key location in the heart of the campus.

As part of a phased renewal strategy, the campus is continuing its analyses of several aging campus buildings (e.g., Wickson Hall, Physics, and Haring Hall) to determine feasibility, cost, and priority. The campus is also evaluating the seismic condition of approximately 90 of its older facilities. Seismic Corrections Phase 5 would correct deficiencies in nine of these facilities. As the assessment of older core campus buildings and seismic studies are completed, specific projects will be articulated in future *CFP* updates; they are currently identified in the *2011-21 CFP* as Building Renewal Phase 1 and Phase 2, and Seismic Corrections Phase 6 and Phase 7.

Implicit in building renewal is the improvement of energy efficiency to reduce operational costs, a high priority for the campus. The campus also is aggressively pursuing energy-efficiency projects as part of the Strategic Energy Partnership program.

Infrastructure Renewal

The Davis campus, which evolved within a rural setting where basic urban infrastructure was not available, owns and operates virtually all of its

infrastructure support systems. In addition to systems for steam and chilled water common to most other campuses, the Davis campus operates its own water supply and distribution system, providing water for domestic use and for irrigation of landscaping and agricultural research lands. The campus also operates its own landfill, wastewater treatment plant, and electrical substation and distribution system, independent of the neighboring community. Although the existence of these systems frees the campus from many of the town-gown issues facing other UC campuses, they create additional demands for campus capital and operating resources. Lack of adequate State funding has created a backlog of capital renewal and deferred-maintenance costs in excess of \$160 million, or nearly 25% of the estimated \$650 million current replacement value.



Memorial Union Coffee House

As a result, the *2011-21 CFP* includes major projects to improve campus electrical system reliability and steam system distribution.

Sustainability

Consistent with State law and Regents' policy, the campus attempts to address sustainability on many levels. Because consumption of electricity and natural gas is a major factor in the campus's carbon footprint, new facilities will be designed and constructed with a particular focus on energy efficiency and use of the best available cost-effective technologies. Similarly, renovation of existing facilities will focus on strategies to reduce energy consumption. The campus also will seek to use energy from renewable sources to reduce environmental impacts.

The campus currently is preparing its *Climate Action Plan* to identify the various initiatives needed to comply with State law and Regents' policy. Although the *Climate Action Plan* will require capital expenditures, at this time it includes only "placeholder" projects for carbon reduction and green-energy procurement until detailed projects and funding strategies can be developed.

RESOURCES

State-Funded Program

Historically, State resources have supplied between one-quarter and one-third of the campus's capital program. For the past four years, however, anticipated levels of State support have not materialized on either the capital or the operating side of the University's budget, and the prospects for a return to prior levels of State support remain unclear.

Although for several years the State capital program has included a number of important infrastructure system improvements for the Davis campus, funding for such projects has not been available since the 2007-08 fiscal year. Further delay of the most critical projects poses unacceptable risks to campus operations. As a result, campus resources have been redirected to the necessary infrastructure improvements, including Chilled Water System Improvements 7A & 7B, Electrical Improvements Phase 5, Domestic Well #4 Replacement, Campus Wastewater System Improvements Phase 1, Steam System Improvements, and Road Maintenance Project Phase 1. Currently, the Davis campus is dedicating nearly \$38 million of campus debt to approved infrastructure improvements.



Student Health and Wellness Center

Another challenge to the infrastructure program is posed by the limitations of lease revenue bond funding, the only State funding option currently available. Lease revenue bonds create State-held liens on campus assets that prove highly problematic for projects with non-specific assets, such as infrastructure, renovation, and seismic corrections projects. As three of the campus's highest priorities, these projects cannot reasonably be paired to this funding source. In addition, the potential amount of lease revenue bond funding in a given year is dependent upon existing State budget considerations, making planning for State resources, both for the University as a whole and for the campuses, even more challenging.

For planning purposes, the *2011-21 CFP* assumes that State support in the form of general obligation bonds will resume in the 2012-13 fiscal year and continue throughout the life of the plan, consistent with the University's assumptions regarding new voter-approved general obligation bonds. The Davis

campus continues to advance the need for a State-supported capital program, and the *2011-21 CFP* assumes State funding that totals \$581.5 million; however, the campus is developing contingency plans in the event that such levels of State funding are not realized.

The *2011-21 CFP* assumes non-State-funded projects that total \$1.161 billion over the ten-year period.

Finally, campuses have been informed to expect no further categorical allocations of OMP funding for new facilities. Therefore, projects on the Davis campus that will significantly increase OMP costs must include a funding plan to pay for operating and maintaining the new space.

External Financing

Projects requiring external financing are evaluated for feasibility based on University-wide policies that assess the business models for auxiliary programs, such as housing and parking, and the project's underlying ability to pay for centrally funded debt (via the campus debt model).

The Health System is currently re-evaluating the balance of reserves and debt used to fund the projects included in the *2011-21 CFP*. The outcome of this analysis will influence the final funding strategies shown in future capital project submittals.

Gift Funding

Successful with fundraising for a limited number of capital projects, the campus will launch a comprehensive campaign this fall with a goal of \$900 million to \$1 billion in private philanthropic support. It remains unclear how much gift funding may be available for capital projects. The campaign will afford opportunities for further feasibility testing and major prospect development. Projects shown to include gift funding in the 2011-21 CFP will be advanced when gift funding targets have been achieved.

Federal Funding

Many campus programs receive funding from various federal sources, notably the National Institutes of Health (NIH) for health-science-related research and the National Science Foundation for research in physical and social sciences and engineering. The campus has competed successfully for federal funding made available under recent economic stimulus legislation; the successful projects are shown in this plan. As the campus continues to secure such funding, it will be reflected in subsequent updates.

PUBLIC-PRIVATE PARTNERSHIPS

UC Davis has successfully implemented several campus projects involving partnerships with third-party entities to deliver capital assets in support of

the campus missions. These partnerships have resulted in the completion of several student housing projects, as well as a Hyatt Place Hotel, which opened in March of this year. Perhaps the most ambitious third-party efforts included in this plan are the West Village project, a mixed-use residential community that includes housing for students, faculty, and staff; the Davis Center of the Los Rios Community College District; and a Village Square at the heart of the community that will include local-serving retail and other services. The first units are available for occupancy. The campus will continue to explore similar opportunities where such partnerships provide advantages for meeting the campus missions in the most cost-effective manner.



The 2011-21 update of the Davis campus CFP continues the relatively conservative approach set out in the inaugural version in 2009 and the 2010 update. Continuing uncertainty about the availability of State resources may require the campus to deploy increasingly scarce resources to address critical needs. In addition, as the Chancellor's vision is translated into implementation strategies by the schools, colleges, and divisions, new capital priorities are expected to be articulated. Finally, the campus's need to balance any necessary additional capital investment against the many competing

needs on the operating side of the campus budget will require careful analysis and thoughtful consideration in a process of continuing consultation with campus leadership and the campus community.



Wall Hall Main Lounge,
Tercero South Student Housing Phase 2

Davis

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
State Funded Program																
E & G - GENERAL CAMPUS																
Music Instruction and Recital Building				•		N	893 X		16,698						18,108	
Engineering 4				•		N	2,350 X		517 X	51,395					54,245	
									500 X							
Briggs Hall Safety Improvements & Building Renewal	•		•			I			2,494		22,446				24,940	
Chemistry Building Renovations Phase 1	•			•		R			1,284		10,476				11,760	
Seismic Corrections, Thurman Laboratory	•			•		I			789						789	
Walker Hall Renewal & Seismic Corrections	•			•		R			27,419						27,419	
Seismic Corrections Phase 5	•				•	R			10,426						10,426	
Chemistry Building Renovations Phase 2	•			•		R					9,766				9,766	
Seismic Corrections Phase 6	•				•	R					15,000				15,000	
Building Renewal Phase 1	•			•		R					31,000				31,000	
Chemistry Building Renovations Phase 3	•			•		R					9,766				9,766	
Building Renewal Phase 2	•			•		R					30,552				30,552	
Chilled Water System Improvements Phase 7A (TES)			•			I						8,468			8,468	
Chemistry Building Renovations Phase 4	•			•		R						9,766			9,766	
Infrastructure Renewal Phase 1			•			I						18,573			18,573	
Seismic Corrections Phase 7	•			•		R						15,000			15,000	

Davis

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE				New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements										
Building Priority Phase 1	•				•	N						70,000		70,000	
Building Renewal Phase 3	•				•	R							28,539	28,539	
Infrastructure Renewal Phase 2			•			I							25,000	25,000	
E & G - HEALTH SCIENCES															
Health Sciences Education Expansion					•	N			4,000 G 56,000					60,000	
Governor's Hall Remodel Chronic Disease Translational Research Institute	•				•	R				10,000				10,000	
UC Davis Institute for Regenerative Cures Phase 4					•	R				3,750 G 11,250				15,000	
MIND Prevention and Treatment Research Building					•	N						28,539		28,539	
UC Davis Health System Priority Phase 1	•				•	B						60,877		60,877	
STATE FUNDING							0	110,505	144,688	61,568	51,807	159,416	53,539	581,523	
NON-STATE FUNDING							0	1,017	4,000	3,750	0	0	0	8,767	
TOTAL STATE PROGRAM							0	111,522	148,688	65,318	51,807	159,416	53,539	590,290	

Davis

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
Non-State Funded Program																
E & G - GENERAL CAMPUS																
Renewable Energy Anaerobic Digester					•	I		8,000 X 8,000 F 8,000 PRI							24,000	
UC Davis Extension Building					•	N		25,000 N							25,000	
Jess S. Jackson Sustainable Winery Building					•	N		4,000 G 1,000 X							5,000	
Electrical Improvements Phase 5					•	I		7,500 LB							7,500	
Center for Neurosciences Renewal					•	R		5,000 X							5,000	
CNPRC Central Plant Improvements and Building Energy Conservation Project					•	R		8,000 LB							8,000	
Dairy Program Relocation					•	N			10,000 LB						10,000	
Steam Improvements Phase 1					•	I			5,000 LB						5,000	
International Students Services Facilities					•	N					25,000 LB				25,000	
Vet Med Teaching Hospital (VMTH) Replacement and Reuse	•				•	B					50,000 G				50,000	
Building Priority Phase 2	•				•	N							70,000 LB		70,000	
Art Museum					•	N							15,000 LB 15,000 G		30,000	
Capital Projects \$750K to \$5M					•	B		14,000 X	14,000 X	14,000 X	14,000 X	14,000 X	14,000 X	56,000 X	140,000	
E & G - HEALTH SCIENCES																
UC Davis Institute for Regenerative Cures Phase 3 (Beijing Genomic Institute)					•	R		6,100 LB							6,100	

Davis

PROJECT	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
	Seismic/Life Safety	Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements										
AUXILIARY - STUDENT HOUSING & DINING															
Castilian Redevelopment	•			•		N			55,000	PR					55,000
Orchard Park Redevelopment		•			•	N			73,500	PR					73,500
Tercero Student Housing Phase 4		•			•	N						21,120	LB		26,400
Housing System Renewal Projects \$750K to \$5M	•			•		R	1,500	N	1,500	N	1,500	N	1,500	N	15,000
Student Housing Projects \$750K to \$5M	•			•		R	1,500	N	600	N	1,300	N	3,500	N	18,100
AUXILIARY - STUDENT ACTIVITIES, RECREATION, ATHLETICS (FEE)															
Silo Renovation				•		R			2,000	LB					5,000
Catering Kitchen					•	R			1,500	LB					5,200
Student Affairs Recreation, MU, Unitrans Projects \$750K to \$5M				•		B	1,550	N	5,500	N				6,000	13,050
Intercollegiate Athletics Projects \$750 to \$5M					•	R	500	G	6,500	G	750	G		2,500	12,000
Intercollegiate Athletics Administrative Space					•	N				14,000	G				14,000
Activities and Recreation Center Expansion		•			•	R					5,000	N			5,000
Aggie Stadium II and III					•	N							12,000	G	12,000
Student Affairs-Division Wide System Renewal \$750K to \$5M	•			•		I	1,012	N	1,013	N	675	N	1,013	N	13,500
							1,013	U	1,012	U	675	U	1,012	U	
MEDICAL CENTERS															
Main Hospital Seismic Compliance (Pavilion Shell Space)	•			•		R	30,400	HR							30,400
Hospital Seismic Upgrade Phase 1	•					N	8,700	HR							8,700

Davis

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE				New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements										
Hospital Seismic Upgrade Phase 4	•					N	18,700 HR							18,700	
North Addition				•		N	50,000 HR							50,000	
Medical Center Projects \$750K to \$5M	•				•	B	30,000 HR	22,250 HR	22,250 HR	22,250 HR	22,250 HR	22,250 HR		141,250	
4875 Broadway Building Acquisition		•			•	N	7,700 HR							7,700	
4875 Broadway Building Renovation				•		R	10,000 HR							10,000	
Emergency Power Upgrade Phase 2			•			I	12,000 HR							12,000	
University Tower 1st Floor Remodel				•		R	11,000 HR							11,000	
Health System Data Center Upgrades				•	•	I	8,000 HR							8,000	
Research IV Building					•	N		4,000 X 46,000 LB						50,000	
Hospital Seismic Upgrade Phase 5	•					N				22,600 HR				22,600	
Ambulatory Care Center Phase 2		•				N			66,000 LB 20,000 G					86,000	
Parking Structure 4		•				N			35,000 LB					35,000	
TOTAL NON-STATE PROGRAM							300,125	245,875	176,150	145,875	73,375	154,775	73,525	\$1,169,700	
TOTAL STATE PROGRAM							0	111,522	148,688	65,318	51,807	159,416	53,539	\$590,290	
TOTAL NON-STATE PROGRAM							300,125	245,875	176,150	145,875	73,375	154,775	73,525	\$1,169,700	
TOTAL CAPITAL PROGRAM							300,125	357,397	324,838	211,193	125,182	314,191	127,064	\$1,759,990	

*Total Project Budget may include prefunding and proposed funding in years after 2020-21.

**BRIGGS HALL SAFETY IMPROVEMENT
& BUILDING RENEWAL PHASE 1**

- Modernizes Briggs Hall building systems.
- First phase of a multi-phase project for five of the seven towers.
- Upgrades fire and emergency power systems; improves electrical transformers and distribution system and HVAC.
- Structured to minimize the impact on research programs in occupied building.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	121,329
GSF	199,005

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$24,940,000
Total Budget	\$24,940,000

ENGINEERING 4

- Constructs a state-of-the-art laboratory and office facility to meet needs of the College of Engineering, including the Department of Chemical Engineering and Applied Sciences.
- Expands needed lab space for a more chemical-intensive form of engineering research; allows for decompression of programs from Kemper and Bainer Halls.
- Replaces inadequate and unsafe research laboratories.
- Expands needed lab space for a more chemical-intensive form of research; allows for decompression of programs from Kemper and Bainer Hall.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	34,610
GSF	60,661

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$51,395,000
Campus Funds	\$2,850,000
Total Budget	\$54,245,000

CHEMISTRY BUILDING RENOVATIONS PHASE 1

- Renews systems in 42-year old building to support contemporary chemistry teaching and research.
- First of four phases to modernize systems, correct code-compliance deficiencies, improve energy efficiency, and renew finishes.
- Includes design of the fire-protection, mechanical, and electrical systems and seismic corrections for the entire building; implements seismic corrections in the majority of the building and renovation of the third floor for Synthetic Chemistry.
- Structured to minimize the impact of construction on operations and research programs.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	77,771
GSF	128,483

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$11,760,000
Total Budget	\$11,760,000

MUSIC INSTRUCTION AND RECITAL BUILDING

- Constructs a facility adjacent to the current music building
- Consolidates the music program and addresses program need for space with appropriate acoustical qualities; corrects deficiencies in the amount and quality of program and performance space.
- Includes instructional studios, practice rooms, faculty offices, administrative offices, and a 325-seat recital hall for large classes and performances.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	10,100
GSF	16,600

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$16,698,000
Campus Funds	\$1,410,000
Total Budget	\$18,108,000

SEISMIC CORRECTIONS PHASE 5

- Addresses seismic corrections for nine buildings.
- Selection and structural analysis of buildings is currently in process.
- Strengthens the seismic resistance of the buildings; includes selective demolition and necessary repair or replacement of building components and finishes.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$10,426,000
Total Budget	\$10,426,000

WALKER HALL RENEWAL & SEISMIC CORRECTIONS

- Corrects seismic deficiencies and renews 1927 mission-style historic building with new building systems.
- Repurposes the facility for classrooms and provides much-needed large classroom spaces, including a 450-seat lecture hall; renovates office, conference, and classroom space, as well as space for the Registrar's Office.
- Provides HVAC (central heating and ventilation) system; also corrects accessibility issues, fire /life-safety systems, and mechanical, electrical, and plumbing systems.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	28,000
GSF	44,415

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$27,419,000
Total Budget	\$27,419,000

SEISMIC CORRECTIONS, THURMAN LABORATORY

- Provides structural seismic-safety corrections to the CAHFS Veterinary Diagnostic Laboratory, a central reference laboratory.
- Corrects seismic deficiencies and improves the lateral load resisting system from "Poor" (DGS Level V) to "Good."

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	27,534
GSF	47,099

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$789,000
Total Budget	\$789,000

4875 BROADWAY BUILDING ACQUISITION

- Provides space for projected program growth in population health, informatics, and clinical translational science.
- Purchases property for “dry” research.
- Provides administration and support offices and collaboration space for faculty, postdoctoral scholars, and other staff.
- Project is related to: 4875 Broadway Building Renovation.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	53,600
GSF	67,000

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$7,700,000
Total Budget	\$7,700,000

4875 BROADWAY BUILDING RENOVATION

- Renovates this property for “dry” research.
- Provides space for projected program growth in population health, informatics, and clinical translational science.
- Provides administration and support offices and collaboration space for faculty, postdoctoral scholars, and other staff.
- Project will be implemented following the acquisition of 4875 Broadway.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	53,600
GSF	67,000

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$10,000,000
Total Budget	\$10,000,000

CAPITAL PROJECTS \$750K TO \$5M (E&G)

- Major capital projects budgeted at a cost between \$750,000 and \$5,000,000. Approximately \$14 million per year.
- Includes smaller renovations, new construction, equipment installation, infrastructure, and other projects.
- Reserves \$4.1M budget for Mouse Biology Expansion project.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	11,000
GSF	18,000

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$140,000,000
Total Budget	\$140,000,000

CASTILIAN REDEVELOPMENT

- Demolishes and replaces undergraduate housing with a new facility delivered via ground lease with a third-party developer.
- Current facility has serious seismic issues, and replacement is the best solution.
- Will be decommissioned after 2010-11; part of the fall 2008 Housing Master Plan.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
Privatized	\$55,000,000
Total Budget	\$55,000,000

Project Scope Summary	
ASF	97,000
GSF	130,000

Units	
	275 Beds

CATERING KITCHEN

- Constructs a new catering kitchen to provide service for events, meetings, and other campus uses.
- The Catering Kitchen program was partially displaced by renovation projects in the Memorial Union and needs a new facility to operate from. Temporary solutions are in place, but a long-term solution is needed.
- Project details are under development.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$1,500,000
Est. Annual Debt Service	\$108,000
Terms:	6% 30 years
Interest During Construction:	\$88,862
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Memorial Union Reserves	

Project Scope Summary	
ASF	8,130
GSF	10,000

Summary of Budget by Fund Type	
Funding Source	Amount
Auxiliary Reserves	\$3,700,000
External Financing	\$1,500,000
Total Budget	\$5,200,000

CENTER FOR NEUROSCIENCES RENEWAL

- Renews building systems within the Center for Neurosciences (built in 1993) to support current and future research.
- Increases distributed electrical capacity in the facility and consolidates laboratory support functions.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$5,000,000
Total Budget	\$5,000,000

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$5,000,000
Total Budget	\$5,000,000

**CNPRC CENTRAL PLANT IMPROVEMENTS
AND BUILDING ENERGY CONSERVATION PROJECT**

- The project would replace two aging inefficient boilers with three new oil media boilers. The new boilers do not require the 7/24 hour supervision the existing boilers do. This results in significant annual operating savings.
- The project would also replace two aging inefficient steam absorption chillers with high efficiency electric chillers. The new chillers will have a much lower operating cost.
- Both improvements would increase the reliability of the systems.
- In addition to the new equipment, energy conservation improvements would also be undertaken.

Financing	
Long-Term Financing	\$8,000,000
Est. Annual Debt Service	\$575,000
Terms: 6%	30 years
Interest During Construction	\$440,000
<u>Anticipated Repayment Source:</u>	
• General Revenue of the Davis Campus	
<u>Anticipated Fund Source:</u>	
• Facilities and Administrative Cost Recovery available to the Davis campus.	

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$8,000,000
Total Budget	\$8,000,000

DAIRY PROGRAM RELOCATION

- Relocate Dairy from core campus to more appropriate setting on the west campus to make room for Tercero Student Housing Phase 4.
- Relocates the Dairy, program classrooms, barns, and covered pens.
- Investigates alternatives to waste lagoons, such as a co-located biodigester.

Budget Approval	
Budget Year	2012-13

Financing	
Interim Financing	\$10,000,000
Est. Annual Debt Service	\$723,000
Terms: 6%	30 years
Interest During Construction	\$280,000
<u>Anticipated Repayment Source:</u>	
• General Revenue of the Davis Campus	
<u>Anticipated Fund Source:</u>	
• Facilities and Administrative Cost Recovery available to the Davis campus.	

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$10,000,000
Total Budget	\$10,000,000

Project Scope Summary	
GSF	27,000

ELECTRICAL IMPROVEMENTS PHASE 5

- Extends and enlarges duct banks and conductors, adds sectionalizing switches and fault interrupters, modifies the capacitor bank at Transformer E, adds new control integration at the Health Sciences District switch station, enlarges overhead electric conductor in an undersized section on the west campus.
- Increases reliability of distribution system by unloading and rebalancing in the central campus.
- Part of a phased strategy to provide adequate capacity, improve system distribution infrastructure, and increase the reliability and efficiency of campus electrical system.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$7,500,000
Est. Annual Debt Service	\$542,000
Terms: 6%	30 years
Interest During Construction:	\$ 402,000
<u>Anticipated Repayment Source:</u>	
• General Revenue of Davis Campus	
<u>Anticipated Fund Source:</u>	
• Facilities and Administration Cost Recovery Available to the Davis campus.	

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$7,500,000
Total Budget	\$7,500,000

EMERGENCY POWER UPGRADE PHASE 2

- Provides code-mandated emergency power to all medical and research buildings on the UCDHS Sacramento campus.
- Adds two self-contained 3-megawatt emergency generators in the central plant yard.
- Includes a bus duct from the generators to the central plant and modifications to the emergency bus duct in the electrical room to handle the full 12 megawatts produced by all emergency generators; adds an 80,000 gallon above-ground diesel fuel tank.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$12,000,000
Total Budget	\$12,000,000

HEALTH SYSTEM DATA CENTER UPGRADES

- Creates redundant services in the data center that supports the entire Sacramento campus.
- Provides for limited increase for Information Services capacity in Building #34, Administrative Support Bldg.
- Provides new mechanical equipment for cooling and increased electrical capacity for power and a new UPS system.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$8,000,000
Total Budget	\$8,000,000

HOSPITAL SEISMIC UPGRADE PHASE 1

- Completes a portion of the make-ready work required for the demolition of the seismically deficient North/South Wing of the hospital.
- Includes relocation of a hydraulic line, construction of a new electrical substation & distribution feeds, demolition of the existing emergency department and of buildings 64 and 95.
- Phase 2 and 3 projects are under \$5M but are related to the overall Hospital Seismic Upgrade project.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$8,700,000
Total Budget	\$8,700,000

HOSPITAL SEISMIC UPGRADE PHASE 4

- Provides for upgrades to the East Wing of the hospital required prior to demolition of the North/South Wing.
- Scope includes constructing new exit stairs and upgrading the exit corridors and restrooms, rerouting plumbing and mechanical systems, constructing a sump pump room, and installing a sump pump.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$18,700,000
Total Budget	\$18,700,000

HOSPITAL SEISMIC UPGRADE PHASE 5

- Completes various work elements after the demolition of the North/South Wing.
- Includes construction of new basement walls (enclosing 8,400 sf), the backfill of the old basement area (25,300 cubic yards), and construction of a new exterior façade (5,890 sf).
- Related to: University Tower 1st Floor; two departments in the North/South Wing are relocating to University Tower.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	128,639
GSF	215,718

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$22,600,000
Total Budget	\$22,600,000

HOUSING SYSTEM RENEWAL PROJECTS \$750K TO \$5M

- Comprises various deferred maintenance, seismic/life-safety, energy-efficiency, and building-upgrade projects to promote cost-savings and improve building management for Student Housing.
- Estimated expenditures will vary year to year.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Auxiliary Reserves	\$15,000,000
Total Budget	\$15,000,000

INTERCOLLEGIATE ATHLETICS PROJECTS \$750K TO \$5M

- Supports Intercollegiate Athletics' major capital projects, achieving the objectives of donor-development programs.
- Completion as funds becomes available. Planned expenditures in 2011-12 amount to \$2.25M, with varying expenditures in future years.

Budget Approval	
Budget Year	2011-12

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$12,000,000
Total Budget	\$12,000,000

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$12,000,000
Total Budget	\$12,000,000

JESS S. JACKSON SUSTAINABLE WINERY BUILDING

- Constructs a new facility to develop sustainable practices for the wine industry.
- Project made possible through gift funding.
- Business Case Analysis may explore alternatives to a new building.

Budget Approval	
Budget Year	2011-12

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	\$4,000,000
Gifts to be Raised	
Total Budget	\$4,000,000

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$4,000,000
Campus	\$1,000,000
Total Budget	\$5,000,000

Project Scope Summary	
ASF	10,000
GSF	12,000

MAIN HOSPITAL SEISMIC COMPLIANCE (PAVILION SHELL SPACE)

- Builds out shelled space within the Surgery and Emergency Services Pavilion.
- Relocates to the Pavilion several acute-care services that remain in the seismically deficient North/South Wing.
- Relocated departments and services will include Acute Infection Management, Vascular Access Lab, Cardiovascular recovery and support, Trauma and Hospitalists offices, GI Procedure Lab (holding/recovery), and Pulmonary Lab.
- Sustainability features will include: energy efficiency exceeding Title 24 by 25%, low-VOC materials and finishes, recycled materials, and low-flow fixtures and lavatories.
- Exempt from LEED™ rating.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$30,400,000
Total Budget	\$30,400,000

Project Scope Summary	
ASF	32,486
GSF	45,282

MEDICAL CENTER PROJECTS \$750K TO \$5M

- Includes clinic, hospital, and office facility renovations; makes significant improvements to infrastructure, including energy efficiency.
- Renovates the East Wing and other portions of the main hospital complex.
- Makes seismic upgrades associated with the demolition of the North/South Wing.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$141,250,000
Total Budget	\$141,250,000

NORTH ADDITION

- Constructs a six-story building connected to the hospital to accommodate administrative departments relocated from the seismically deficient North/South Wing.
- Consolidates other administrative-support and operational departments from other campus locations.
- Relocated departments include: Heart Center, Pastoral Services, Hospital Administration and Operations, Patient Care Administration, Pharmacy Operations, Dieticians, PM&R Therapies, Department of Surgery academic offices, clinical offices, Center for Professional Practice of Nursing, and auditorium and conference center.
- Sustainability features include: efficient building orientation, solar glazing/overhangs, day-lighting, natural ventilation, chilled-beam cooling, rooftop VAV air-handling units, low-flow fixtures/lavatories, water efficiency measures, and recycled materials.
- The campus goal is to achieve LEED™ Gold.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$50,000,000
Total Budget	\$50,000,000

Project Scope Summary	
ASF	56,874
GSF	95,629

ORCHARD PARK REDEVELOPMENT

- Redevelops the 48-year-old Orchard Park apartment community, which currently has 200 one- and two-bedroom units.
- Includes demolition of the existing structures and construction of 200-300 new apartments for family/graduate housing.
- The project will construct approximately 50% two bedroom (100-150) and 50% three bedroom (100-150) units.
- Orchard Park neighborhood provides housing for continuing upper-division, graduate, and professional students. Priority is given to students with families.
- The property was built in 1963 with very modest wood-frame construction. There are deficiencies in the mechanical systems, building envelope, electrical systems, plumbing systems, and structural systems.

Budget Approval	
Budget Year	2012-13

Financing	
Long-Term	
Est. Annual Debt Service	
Terms: 6%	30 years
<u>Anticipated Repayment Source:</u>	
Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
Housing Reserves	

Project Scope Summary	
ASF	239,000
GSF	330,000

Summary of Budget by Fund Type	
Funding Source	Amount
Privatized	\$73,500,000
Total Budget	\$73,500,000

Units
838 Beds

RENEWABLE ENERGY ANAEROBIC DIGESTER

- Constructs an anaerobic digester facility at the UC Davis campus to diversify energy sources, manage green waste, provide an alternate destination for portions of the campus waste stream, and lead the way to a more sustainable future.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Privatized	\$8,000,000
Campus Funds	\$8,000,000
Federal (Grant)	\$8,000,000
Total Budget	\$24,000,000

RESEARCH IV BUILDING

- Provides space for program growth in population health, informatics, and clinical translational science. Research IV will centralize all "dry" research programs, freeing space in existing facilities to expand wet-lab research programs.
- Provides offices and collaboration space, but no wet labs or vivarium space.
- Sustainability measures include energy and greenhouse-gas reduction, water-use reduction (building/landscaping), day lighting.
- Targets LEED™ Silver or better rating.

Budget Approval	
Budget Year	2012-13

Financing	
Interim Financing	\$46,000,000
Est. Annual Debt Service	\$3,310,000
Terms: 6%	30 years
Interest During Construction	\$4,410,000
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Opportunity Funds	

Project Scope Summary	
ASF	48,950
GSF	75,000

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$46,000,000
Campus Funds	\$4,000,000
Total Budget	\$50,000,000

SILO RENOVATION

- Transforms current areas for informal gathering, food service, cultural programs, and marketplace into a major destination spot in the central campus.
- Expands the current food-service area to serve and accommodate greater numbers. When complete, the project will provide an additional service area to complement the Memorial Union and Bookstore.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$2,000,000
Est. Annual Debt Service	\$145,000
Terms: 6%	30 years
Interest During Construction	\$72,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Memorial Union Reserves	

Project Scope Summary	
ASF	25,000
GSF	35,000

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$2,000,000
Auxiliary Reserves	\$3,000,000
Total Budget	\$5,000,000

STEAM IMPROVEMENTS PHASE 1

- The project will replace and renew the 40-year-old central-campus steam system that heats buildings, heats domestic water, and supports laboratory process loads.
- The campus is studying alternatives to traditional central-steam infrastructure (that produces a large carbon footprint), but improvements to the existing distribution system are needed while longer-term alternatives are developed.

Budget Approval	
Budget Year	2012-13

Financing	
Long-Term	\$5,000,000
Est. Annual Debt Service	\$361,000
Terms: 6%	30 years
Interest During Construction	\$140,000
<u>Anticipated Repayment Source:</u>	
• General Revenue of the Davis Campus	
<u>Anticipated Fund Source:</u>	
• Facilities and Administration Cost Recovery	
Available to the Davis Campus	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$5,000,000
Total Budget	\$5,000,000

STUDENT AFFAIRS, RECREATION, MU, UNITRANS PROJECTS \$750K TO \$5M

- Addresses Student Affairs, Recreation, Memorial Union, and Unitrans major capital-improvement needs; implements deferred maintenance projects, cost-cutting upgrades, energy-efficiency upgrades, and health, life, and safety upgrades.
- Focuses on renewal and expansion projects.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$0
Federal (Grant)	\$0
Univ. Fee Reserves	\$13,050,000
Total Budget	\$13,050,000

STUDENT AFFAIRS DIVISION-WIDE SYSTEM RENEWAL

- Major capital improvement projects 2011-12 through the planning period 2020-21
- Addresses various renewal efforts in Student Affairs, including energy efficiency, deferred maintenance, space reconfigurations resulting from Division-wide reorganizations, and cost-cutting upgrades.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Univ. Fee Reserves	\$6,750,000
Auxiliary Reserves	\$6,750,000
Total Budget	\$13,500,000

STUDENT HOUSING PROJECTS \$750K TO \$5M

- Comprises several bundled projects for the Housing Department to accomplish deferred maintenance and building upgrades and corrections.
- Focuses on structural deficiencies rather than infrastructure renewal.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Auxiliary Reserves	\$18,100,000
Total Budget	\$18,100,000

UC DAVIS EXTENSION BUILDING

- Constructs a new facility for the University Extension International Students program to consolidate programs and provide modern classroom, administrative, and academic-office space.
- Includes approximately 22 classrooms, office space for 20 staff, and various support spaces.
- The campus is selecting a site and considering options to co-locate compatible programs in the project.
- Funding for this project is from reserves available to UC Davis Extension.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Auxiliary Reserves (Other)	\$25,000,000
Total Budget	\$25,000,000

Project Scope Summary	
ASF	40,000
GSF	65,000

UC DAVIS INSTITUTE FOR REGENERATIVE CURES PHASE 3 (BEIJING GENOMICS INSTITUTE) BGI

- Builds out space in the UC Davis Institute for Regenerative Cures building.
- Provides space to establish a DNA-sequencing facility.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$6,100,000
Interest During Construction	\$361,000
Terms:	6% 30 years
<u>Anticipated Repayment Source:</u>	
• General Revenue of the Davis Campus	
<u>Anticipated Fund Source:</u>	
• Facilities and Administration Cost Recovery available to the Davis campus.	

Project Scope Summary	
ASF	18,853
GSF	22,852

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$6,100,000
Total Budget	\$6,100,000

UNIVERSITY TOWER 1st FLOOR REMODEL

- Project will remodel existing vacant space in University Tower to accommodate the remaining two clinical departments that must relocate from the seismically deficient North/South Wing
- Scope includes space for the Apheresis and Dialysis units; stem cell and therapeutic beds increase from 5 to 8, and inpatient dialysis beds from 7 to 12.
- Includes administrative and support space.
- Sustainability features include day-lighting, low-flow fixtures and lavatories, and recycled materials.
- The demolition of the North/South Wing will be an expense project, as it is not capitalized. Phase 5 is included in this submission as a separate project.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	11,734
GSF	14,668

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$11,000,000
Total Budget	\$11,000,000



California Telehealth Resource Center

IRVINE

2011-21 Capital Financial Plan

IRVINE

Since opening its doors in 1965, the Irvine campus has grown into an internationally distinguished research university, consistently ranking among the nation's best public universities and among the top 50 universities overall. The campus's status as the youngest institution to be elected to the Association of American Universities (61 of the most distinguished research institutions in North America) is an indicator of its stature in the academic community and of its rapid development.

Growth has been a defining characteristic of the Irvine campus for much of its history. In the decade before the current budgetary uncertainties, enrollment growth averaged approximately 1,000 students per year. In 2010-11, general campus enrollment was 26,797 student FTE, an increase

IRVINE CAMPUS FACTS:	
Established	1965
FTE Enrollment 2010-11	
Undergraduates	23,288
Graduate Students	3,509
Health Science Students	1,468
Campus Land Area	1,543 acres
Campus Buildings	6.3 million ASF
Hospitals and Clinics	905,438 ASF
Nobel Laureates (active & emeritus)	2
University Professors (active & emeritus)	1

of nearly 50% since 2000. The Irvine campus has been very successful in meeting enrollment limitations in accordance with University guidelines, but modest growth is anticipated once adequate State funding is restored. The campus's long-term approach is to work toward its goal of enrolling 32,000 students, as set forth in the [2006 Strategic Plan](#). Should even further enrollment growth be warranted, UCI's [Long Range Development Plan](#), last updated in 2007, provides a framework for accommodating an enrollment of up to 37,000 students.

GOALS AND OBJECTIVES

The goals and objectives driving the proposed *2011-21 Capital Financial Plan* are consistent with those outlined in the *2009-19 Capital Financial Plan* accepted by the Regents in January 2010. A discussion of these goals and how they relate to the priority projects in the proposed plan is provided below:

Provide new facilities to support UCI's instruction and research missions

New construction is needed to address existing space needs related to enrollment and program



Telemedicine Building

growth. In the near term, the campus requires new space largely to accommodate recently established programs. In the last few years, four new programs have been inaugurated on the UCI campus – the programs in Nursing Science and Public Health, the Department of Pharmaceutical Sciences, and the School of Law – without benefit of new space to accommodate them. All these programs, except Law, are currently housed in temporary assignments that are inadequate to meet current needs. Similarly, in Fall 2008, the Paul Merage School of Business inaugurated two new undergraduate majors that are in high demand. Completion of the Business Unit 2 building that is being funded in 2011-12 will

provide the Merage School's first new space in a decade. In the longer term, the anticipated resumption of enrollment growth requires that new buildings be included in the late years of the program to accommodate the projected additional students.

In recent years, one of the strategies for addressing acute space shortages caused by rapid enrollment growth has been to relocate administrative units and some research activities to leased space, releasing expansion space within the campus core for academic units. As a result of this approach, the campus currently leases at considerable expense over 240,000 rentable square feet, primarily of office space, in the surrounding community. In an effort to provide more cost-effective accommodations for the off-campus units, the campus currently is exploring the purchase of an office building.

Provide support facilities to accommodate all aspects of campus life

With the opening of the latest phase of privatized housing in Fall 2010, there is adequate on-campus housing to accommodate current enrollment demand. However, when enrollment growth resumes, more housing will be needed. Moreover, both past enrollment growth and the continued growth of the on-campus population require that additional student-support, recreational, and cultural facilities be provided.



Ring Mall

Address the deterioration and obsolescence of older facilities

The oldest buildings on the main campus are over 40 years old, and nearly 80 general campus and health sciences buildings and scores of housing units are at least 20 years old. A number of the older buildings are exhibiting significant deterioration, and building systems have become inefficient or obsolete. This problem is particularly acute in science buildings where older HVAC systems cannot provide support for fume hoods, building utility systems struggle to meet increased demands, and existing information technology is inadequate to sustain today's modern research activities. The capital program includes several projects to modernize academic buildings; renovation projects to modernize some housing stock are currently underway, and additional work will be undertaken as maintenance projects.

Some buildings on the campus are reaching the end of their useful lives and require replacement. The capital program includes provision for replacement of Medical Surge 1 and 2 (wood-frame research laboratory buildings completed in 1969) and of Biological Sciences greenhouse space that is no longer adequate.

Upgrade and expand the campus's infrastructure systems

In the last decade, campus infrastructure systems have been required to accommodate loads generated by over 1.4 million assignable square feet of new space and nearly 12,000 additional students. The campus's electrical, cooling, sewer, and storm drainage systems currently are operating at maximum capacity, with some systems significantly overloaded. The Central Plant is still operating obsolete boilers and chillers that are at or beyond the end of their intended life span. Campus roadways are overcrowded, resulting in safety issues at intersections and pedestrian crossings. Expansion and upgrade of these systems is imperative for the continued safe and efficient operation of the campus.

Incorporate principles of sustainability in all aspects of the capital program

All UCI projects – including new buildings, renovations of every size and description, and infrastructure improvements – are designed and

constructed using sustainable design concepts and materials to the maximum extent practical. For new buildings, current campus practice is to require a minimum of LEED™ Silver, with a bid alternate for achieving Gold. To date, eight UCI buildings have been certified LEED™ Gold (out of 15 Gold projects in Orange County).



BRC Concourse

ASSUMPTIONS, PRIORITIES, AND RESOURCES

The Irvine campus engages in a multi-faceted and continuing process of refinement and prioritization of needs in the context of anticipated funding. The 41 project proposals contained in the Irvine campus's 2011-21 CFP total approximately \$1.128 billion. The project proposals are generally consistent with the previously accepted plan and are based on the following assumptions:

Enrollment

UCI's *Strategic Plan* originally projected a total enrollment of 32,000 FTE by 2015-16. Given current budget limitations, it is now anticipated that the campus may reach this level in 2020-21. The availability of State funding may impact the campus's ability to meet this goal.

State Funding

The 2011-21 CFP includes 22 projects proposed for State funding at a total value of \$617 million, or 55% of the total Irvine capital program. This level of anticipated State funding is consistent with the University's assumptions regarding new voter-approved general obligation bonds.

In developing the priorities for State funding, the campus strives to create a balanced program that includes new academic space and necessary renovation, infrastructure, and life-safety projects. Therefore, the projects proposed for State funding in the first five years of the plan include new buildings to provide adequate space for new and developing programs (Business Unit 2, Health Sciences Instruction and Research Building); projects to renovate or replace aging or obsolete facilities and building systems (Engineering Renovations, Humanities and Social Sciences Classroom Renovations, Fire and Life Safety Improvements, Medical Surge Replacement); and projects to upgrade and expand the campus

infrastructure system to accommodate current and planned development (Primary Electrical Improvements Step 4, Water, Sewer, and Storm Drain Improvements, Central Plant Renewal, Chilled Water System Expansion, Transportation Infrastructure Safety Improvements). The later years of the plan will continue to prioritize building renewal and replacement and will include projects that will provide facilities needed to accommodate the resumption of enrollment growth.

The current plan includes few changes from the previous year. A renewal project for the Central Plant has been added to address the need for replacement of obsolete chillers and boilers. As a result, funding for the Chilled Water System Expansion project was reduced to allow for this new project. Funding for the Med Sci Renovations project has been increased in recognition of the extensive work needed in these facilities. To accommodate this change, a separate Health Sciences Renovations project has been deferred to a future capital program.

External Financing

The 2011-21 plan reflects a cautious approach toward incurring additional debt. Of a total of \$107 million proposed for external financing, only \$15 million is included in the first two years of the program – to purchase an off-campus office building to replace leased space. The remaining proposed debt is found in the last five years of the

program and would provide funding for an expansion to the Anteater Recreation Center and a new parking structure. External financing for these projects is within the limits outlined by the campus debt model.

Gift Funding

The campus is in the fourth year of a ten-year fundraising campaign that aims to raise \$1 billion for scholarships, fellowships, endowed professorships, new research programs, and facilities.

The proposed program includes approximately \$171 million in gift-funded initiatives. In the early years of the plan, projects with an increment of gift funding include Business Unit 2, an Athletics building and improvements to existing Athletics facilities, and build-out of shell space in Gross Hall, Hewitt Hall, and the Gavin Herbert Eye Institute. The final years of the gift program include ambitious fundraising efforts to provide a building for the Institute for Memory Impairments and Neurological Disorders, an art museum, and at least partial funding for a new Academic Building. Only one gift-funded project has been added to the 2011-21 program: a proposal for improvements to Crawford Hall and other athletic facilities is anticipated for 2011-12.

Public-Private Partnerships

The campus has successfully partnered with third-party entities on a number of projects, most notably student housing. This plan includes another phase of privatized student housing, together with potential partnerships for facilities such as an on-campus conference center, commercial development, and an events center.

OMP

Given the current economic situation and reductions in State operating support for operations and maintenance of plant (OMP), the campus will consider strategies for addressing OMP needs before new projects go forward. One important practice that UCI has implemented for many years is to maximize energy efficiency and reduce maintenance costs. Since the early 1990s, campus design guidelines have required that buildings, other than acute-care facilities, outperform California's Title 24 energy code requirements by 20% or more and that projects be constructed using highly durable building materials and equipment that does not require major maintenance for 25 years. Going forward, the campus will continue to implement these and other cost-reduction strategies and explore alternative fund sources to meet OMP funding needs.



In summary, the proposed 2011-21 *Capital Financial Plan* consists of 41 proposed projects totaling \$1.128 billion. This plan represents a balanced approach to providing new space to accommodate both academic and other campus needs, to addressing the aging of existing facilities, and to providing the infrastructure needed to keep the campus functioning efficiently. Funding is approximately evenly divided between State and non-State sources, with 55% of funding and 22 projects proposed for State funding. Of the \$511 million in non-State funding proposed, approximately \$171 million or 33% is proposed for gift funding, while \$107 million or 21% would be externally financed. Remaining sources of non-State funds include campus funds and hospital reserves.



Anteater – Student Center

Irvine

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					(\$000s)							TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	
State Funded Program														
E & G - GENERAL CAMPUS														
Humanities Building		•				N	25,726 10,000 LB	2,267						37,993
Business Unit 2		•				N		39,595 4,656 G	1,030 3,090 G					48,371
Engineering Renovations				•		R	92 X		8,720					8,812
Primary Electrical Improvements Step 4	•		•			I			14,712					14,712
Humanities and Social Sciences Classroom Renovations				•		R			2,512					2,512
Water, Sewer, and Storm Drain Improvements			•			I			14,685					14,685
Fire and Life Safety Improvements	•		•			I			9,053					9,053
Capital Renewal Program				•		B			3,192	3,192	3,192	3,192	12,731	25,499
Central Plant Renewal				•		I			9,000					9,000
Sciences Building		•				N				71,000		4,000 4,000 X		79,000
Chilled Water System Expansion				•		I				14,000				14,000
Transportation Infrastructure Safety Improvements	•		•			I					4,000			4,000
Building Renewal Phase 1					•	R							30,000	30,000
Biological Sciences Greenhouse Replacement					•	N							15,000	15,000
Sciences Building Renovations					•	R							21,000	21,000
Academic Building		•				N							38,000 20,000 G	58,000

Irvine

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					(\$000s)							TOTAL PROJECT BUDGET		
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17		2017-18 to 2020-21	
Building Renewal Phase 2				•		R								25,000	25,000	
Social & Behavioral Sciences 2		•				N								50,000	50,000	
E & G - HEALTH SCIENCES																
Health Sciences Instruction and Research Building		•				N			48,553		3,000				51,553	
Med Surge Replacement				•		N			76,500			3,500			80,000	
Med Sci Renovations				•		R						45,000			45,000	
Health Sciences Instruction and Research Building 2		•				N								41,000 2,500 X	43,500	
STATE FUNDING									41,862	98,235	89,722	91,192	55,692	7,192	232,731	616,626
NON-STATE FUNDING									4,656	0	3,090	0	0	4,000	22,500	34,246
TOTAL STATE PROGRAM									46,518	98,235	92,812	91,192	55,692	11,192	255,231	650,872

Irvine

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					(\$000s)							TOTAL PROJECT BUDGET										
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both - Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17		2017-18 to 2020-21									
Non-State Funded Program																								
E & G - GENERAL CAMPUS																								
Gross Hall 4th Floor Buildout					•	N		6,400	G						6,400									
Off-Campus Office Building Acquisition					•	B				15,000	LB	5,000	X		20,000									
Center for Awareness, Reflection, and Meditation					•	N				8,000	G				8,000									
East Campus Commerical Development					•	N					PRI				PRI									
Art Museum					•	N								40,000	G	40,000								
Conference Center					•	N									PRI	PRI								
Events Center					•	N									PRI	PRI								
Capital Projects \$750K to \$5M					•	B		10,000	X	10,000	X	10,000	X	10,000	X	15,000	X	15,000	X	60,000	X	130,000		
E & G - HEALTH SCIENCES																								
Hewitt Hall Basement Buildout - Laboratory Shell					•	R				7,740	G										7,740			
Eye Institute - Completion of Shell Space					•	R				8,000	G											8,000		
Outpatient Clinical Center					•	N							PRI									PRI		
Institute for Memory Impairments and Neurological Disorders					•	N															50,000	G	50,000	
AUXILIARY - PARKING																								
Parking Structure 5					•	N																42,000	LB	42,000
AUXILIARY - STUDENT HOUSING & DINING																								
Student Apartments					•	N																	PRI	PRI

Irvine

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					(\$000s)							TOTAL PROJECT BUDGET	
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both - Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17		2017-18 to 2020-21
AUXILIARY - STUDENT ACTIVITIES, RECREATION, ATHLETICS (FEE)															
Athletics Facilities Improvements					•	N		8,000 G							8,000
Athletics Department Building					•	N			15,000 G						15,000
ARC Expansion Phase 4		•				N							50,000 LB		50,000
MEDICAL CENTERS															
H. H. Chao Comprehensive Digestive Disease Center Expansion					•	N		11,500 HR							11,500
Capital Projects \$750K to \$5M					•	B		8,000 HR	8,000 HR	8,000 HR	8,000 HR	8,000 HR	8,000 HR	32,000 HR	80,000
TOTAL NON-STATE PROGRAM								43,900	68,740	26,000	18,000	23,000	23,000	274,000	\$476,640
TOTAL STATE PROGRAM								46,518	98,235	92,812	91,192	55,692	11,192	255,231	\$650,872
TOTAL NON-STATE PROGRAM								43,900	68,740	26,000	18,000	23,000	23,000	274,000	\$476,640
TOTAL CAPITAL PROGRAM								90,418	166,975	118,812	109,192	78,692	34,192	529,231	\$1,127,512

BUSINESS UNIT 2

- Addresses existing graduate-program space deficiencies and supports projected undergraduate growth in the Paul Merage School of Business.
- Constructs 31,950 ASF of instruction, research, and support space and (with gift funds) constructs about 15,085 ASF of shell space, later to be built out as case-study classrooms, an auditorium, and foodservices.
- Supports campus goal to provide new facilities in support of instruction and research.
- Will meet minimum of LEED™ Silver, with a bid alternate for Gold.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$40,625,000
Gift Funds	\$7,746,000
Total Budget	\$48,371,000

Project Scope Summary	
ASF	31,950
GSF	78,250

Gift Campaign Summary	
Gifts in Hand	\$1,558,000
Gifts Pledged	\$2,276,000
Gifts to be Raised	\$3,912,000
Total Budget	\$7,746,000

ENGINEERING RENOVATIONS

- Provides facilities for planned reassignments following occupancy of the new Engineering Hall.
- Includes renovation of Engineering Tower and the Rockwell Engineering Center.
- Replaces old and deteriorated heating/ventilation/air-conditioning system in Engineering Tower and retrofits existing dry laboratories to accommodate wet-lab research.
- Renovates release space in the Rockwell Engineering Center (REC) to accommodate school-wide student services and academic-support units.
- Supports campus goal to renovate or replace obsolete facilities.
- Project will comply with the UC equivalent of a LEED™ Commercial Interiors rating.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$8,720,000
Campus Funds	\$92,000
Total Budget	\$8,812,000

Project Scope Summary	
ASF	50,966
GSF	80,959

FIRE AND LIFE SAFETY IMPROVEMENTS

- Improves fire and life safety and addresses ADA safety code requirements in multiple campus locations.
- Replaces outdated and unreliable fire alarm systems in 17 buildings—including installation of modern pull stations, heat detectors, and audio-visual signal devices.
- Connects fume-hood fire extinguishers to building fire-alarm systems in two physical sciences laboratory buildings.
- Corrects emergency vehicle access issues at eight locations by installing security swing-arm gates to restrict access to emergency vehicle paths of travel.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$9,053,000
Total Budget	\$9,053,000

HEALTH SCIENCES INSTRUCTION AND RESEARCH BUILDING

- Provides space for several recently formed programs in UCI's College of Health Sciences: the Program in Nursing Science, the Program in Public Health, and the Department of Pharmaceutical Sciences.
- Addresses inadequate current space assignments, which consist of leased space or campus space intended for other academic uses and are insufficient to accommodate current activities.
- Provides instruction, research, and office space to meet the highest-priority needs of programs.
- Supports campus goal to provide new facilities in support of instruction and research.
- Will meet minimum of LEED™ Silver, with a bid alternate for Gold.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$51,553,000
Total Budget	\$51,553,000

Project Scope Summary	
ASF	46,000
GSF	73,000

HUMANITIES AND SOCIAL SCIENCES CLASSROOM RENOVATIONS

- Renovates and provides technology upgrades in two of UCI's oldest large lecture halls: Humanities Hall 178 and Social Sciences Hall.
- Corrects HVAC deficiencies, sightlines, acoustics, access and entry-point limitations, and technology deficiencies.
- Completes the campus's phased plan, begun in 2003-04, to renovate and upgrade existing classrooms by improving older rooms in poor condition and providing technological capabilities required for modern teaching practices.
- Supports campus goal to renovate or replace obsolete facilities.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	4,547
GSF	6,800

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$2,512,000
Total Budget	\$2,512,000

PRIMARY ELECTRICAL IMPROVEMENTS STEP 4

- Corrects existing electrical-system deficiencies and addresses infrastructure needs resulting from significant campus development over the last two decades.
- Increases the efficiency and improves the reliability and safety of the campus's electrical distribution system.
- Reconfigures the University Substation and installs a new electrical transformer; constructs a new electrical South Substation and multiple switchgear stations throughout the distribution system.
- Replaces the electrical system's last remaining hazardous oil switches as well as sections of failing lead-jacketed cable.
- Supports campus goal to upgrade and expand infrastructure to support current and planned development.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$14,712,000
Total Budget	\$14,712,000

HUMANITIES BUILDING

- Equips the new Humanities Building (45,605 ASF), completed in August 2009.
- Provides instruction, research, and office space for the School of Humanities, space for humanities-based research programs, and replacement space for two small general-assignment classrooms.
- Supports campus goal to provide new facilities in support of instruction and research.
- Submitted for LEED™ Gold certification; currently under review.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	45,605
GSF	76,000

Financing	
Long-Term	\$10,000,000
Est. Annual Debt Service	\$665,000
Terms:	5.44% 30 years
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Educational Fund	

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$27,993,000
External Financing	\$10,000,000
Total Budget	\$37,993,000

WATER, SEWER, AND STORMDRAIN IMPROVEMENTS

- Upgrades deficient portions of the 45-year old campus storm-drain system.
- Provides additional capacity to manage increased runoff and provides facilities for water treatment to comply with current State and federal storm-water regulations.
- Constructs replacement or parallel sewer piping in deficient sections of the sewer backbone system and constructs a bypass line to handle additional waste.
- Provides an additional potable-water/fire-suppression water line to provide increased water pressure and additional water supply to the campus.
- Supports campus goal to upgrade and expand infrastructure to support current and planned development.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$14,685,000
Total Budget	\$14,685,000

ATHLETICS DEPARTMENT BUILDING

- Constructs a new building to provide administrative offices and meeting and team space for the Department of Intercollegiate Athletics.
- Releases approximately 10,000 ASF in the Humanities Quad that is assigned on an interim basis to Athletics for reassignment to units currently housed off campus.
- Supports campus goal to provide support facilities for all campus activities.
- Requires LEED™ Silver, with an alternate for Gold.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$15,000,000
Total Budget	\$15,000,000

Project Scope Summary	
ASF	29,344
GSF	41,374

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$15,000,000
Total Budget	\$15,000,000

ATHLETICS FACILITIES IMPROVEMENTS

- Addresses need for expansion and improvement of Athletics facilities.
- Renovates Crawford Hall to convert former office space to a new weight and conditioning room, upgrade locker rooms, convert existing weight room to athlete study space, reconfigure sports medicine areas, and add air conditioning to the gym.
- Expands facilities at the baseball field to provide a press box and concession facilities, expand viewer seating, and create an identifiable entrance. Also creates a shade structure over the spectator stands at the Aquatics Stadium; creates a separate, identifiable entry; and enhances restrooms at the soccer field.
- Requires LEED™ Silver, with an alternate for Gold for Crawford Hall improvements.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$8,000,000
Total Budget	\$8,000,000

Project Scope Summary	
ASF	46,847
GSF	59,646

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$8,000,000
Total Budget	\$8,000,000

CAPITAL PROJECTS \$750K THROUGH \$5M (E&G)

- Includes utility and infrastructure improvements, technology upgrades, and renovations of classrooms, laboratories, and administrative, athletic, and performance facilities.

Budget Approval	
Budget Year	2011-21

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$130,000,000
Total Budget	\$130,000,000

CAPITAL PROJECTS \$750K TO \$5M (MEDICAL CENTER)

- Includes seismic retrofits, parking improvements, technology upgrades, and renovations of laboratories and administrative and clinical facilities.

Budget Approval	
Budget Year	2011-21

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$80,000,000
Total Budget	\$80,000,000

EYE INSTITUTE - COMPLETION OF SHELL SPACE

- Addresses the increase in demand for ophthalmologic services in Orange County, due in part to the aging of the population.
- Addresses the lack of space in Gottschalk Medical Plaza, which results in the campus leasing about 18,000 ASF in the local area for clinical services such as Dermatology, Orthopedics, Pediatrics, and Obstetrics & Gynecology.
- Provides additional ophthalmology clinical space and space for other clinical services.
- Builds out shell space in the Eye Institute building.
- Gift-funded project will move forward when sufficient funding is available.
- Bid documents will require LEED™ Silver, with an alternate for Gold.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Gift Funds	\$8,000,000
Total Budget	\$8,000,000

Project Scope Summary	
ASF	23,100
GSF	42,800

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$8,000,000
Total Budget	\$8,000,000

GROSS HALL 4TH FLOOR BUILDOUT

- Addresses the need for additional laboratory space for stem-cell research and regenerative medicine. Gross Hall was constructed with shell space to provide for expansion to meet this need.
- Builds out shell space on the 4th floor of Gross Hall as wet laboratories and support space.
- Project will move forward when sufficient gift funding is available.
- Supports campus goal to provide new or renovated facilities in support of instruction and research.
- LEED™ Gold certification for Gross Hall is currently under review. This project will require LEED™ Silver, with an alternate for Gold.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Gift Funds	\$6,400,000
Total Budget	\$6,400,000

Project Scope Summary	
ASF	7,000
GSF	12,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$6,400,000
Total Budget	\$6,400,000

H.H. CHAO COMPREHENSIVE DIGESTIVE DISEASE CENTER EXPANSION

- Expands the Chao Comprehensive Digestive Disease Center (CDDC) to provide nearly double the current number of procedure rooms, as well as clinical support space and office and conference facilities.
- Increases outpatient volume and net financial contribution of one of UCIMC's most successful clinical programs.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Hospital Reserves	\$11,500,000
Total Budget	\$11,500,000

Project Scope Summary	
ASF	8,000
GSF	12,600

HEWITT HALL BASEMENT BUILDOUT - LABORATORY SHELL

- Builds out shell space in the basement of Hewitt Hall as wet and dry research laboratories and support space.
- Addresses the School of Medicine's lack of laboratory space for its faculty.
- Supports campus goal to provide new and renovated facilities for instruction and research.
- Project will move forward when sufficient gift funding is available.
- Requires LEED™ Silver, with an alternate for Gold.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Gift Funds	\$7,740,000
Total Budget	\$7,740,000

Project Scope Summary	
ASF	7,000
GSF	12,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$7,740,000
Total Budget	\$7,740,000

OFF-CAMPUS OFFICE BUILDING ACQUISITION

- UCI leases more than 240,000 rentable square feet to accommodate past growth in academic and administrative units.
- The campus is investigating opportunities to purchase an office building in the surrounding community to house these units.
- Timing and cost of the project depends on the availability of an appropriate property and successful negotiation of terms.
- Supports campus goal to provide new or renovated facilities in support of instruction and research.

Budget Approval	
Budget Year	2012-13

Financing	
Long-Term	\$15,000,000
Est. Annual Debt Service	\$1,079,000
Terms:	6% 30 years
Interest During Construction:	
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Opportunity Funds	

Project Scope Summary	
ASF	100,000
GSF	150,000

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$15,000,000
Campus Funds	\$5,000,000
Total Budget	\$20,000,000



Humanities Gateway

LOS ANGELES

2011-21 Capital Financial Plan

LOS ANGELES



Janss Steps

UCLA's Westwood campus opened its doors in 1929 with a Teacher's College and the College of Letters and Science occupying the first four permanent campus buildings. Since that time, the campus has continued to expand and evolve into a world-renowned university. Today, with approximately 39,000 undergraduate and graduate students and 20,000 faculty and staff, UCLA offers degree programs through the College of Letters and Science, seven general-campus professional schools, and four health sciences professional schools. The medical enterprise, consisting of four hospitals and affiliated programs, continues to be a leader in medical education, research, and public service.

STRATEGIC CAPITAL INITIATIVES

The *UCLA 2011-21 Capital Financial Plan* provides an update to the *2010-20 Consolidated State and Non-State Capital Financial Plan (CFP)*, accepted by the Regents in November 2010. The framework guides the campus in prioritizing capital investments in support of its academic program and identifies capital investment and facilities needs aligned with UCLA's *Long Range Development Plan*, as amended in March 2009, and *Physical Design Framework* (July 2009). This updated plan is based on the three strategic capital initiatives included in the accepted *2010-20 CFP*: completion of the seismic correction of all remaining deficient structures by 2020, transformation of the campus into a residential academic community, and development of a sustainable campus.

Completion of the Seismic Program

A comprehensive seismic safety program has been underway since the mid-1980s to seismically correct buildings rated "Poor" or "Very Poor." Since the 1994 Northridge earthquake, UCLA has allocated 92% of its State general obligation bond funding to seismic and life-safety upgrades in campus buildings and \$180 million of State lease revenue bond funding to replace seismically unsafe hospital facilities. An

additional \$129 million in State lease revenue bond funding was included in the approved 2010-11 State budget for seismic renovation of a major structure in the seismically deficient Center for the Health Sciences (CHS) complex.

Seismic renovations of most general campus structures have been completed, including all buildings rated seismically "Very Poor," while detailed planning is underway for remaining facilities on and off the campus. To date, the campus has completed seismic corrections to 42 structures representing 5.5 million gsf and has work in progress on nine structures totaling 869,000 gsf, including the seismic renovation of the 443,000 gsf South Tower in the CHS complex. Twelve structures totaling 1.1 million gsf remain, including ten in the CHS (1.0 million gsf), an off-campus library, and one auxiliary structure.

<u>LOS ANGELES CAMPUS FACTS:</u>	
Established	1919
FTE Enrollment 2010-11	
Undergraduates	26,842
Graduate Students	7,923
Health Science Students	3,913
Campus Land Area	419 acres
Campus Buildings	12.2 million ASF
Hospitals and Clinics	2.1 million ASF
Nobel Laureates (active & emeritus)	2
University Professors (active & emeritus)	2



Franklin D. Murphy Sculpture Garden

Transformation of UCLA to a Residential Academic Community

During the past 20 years, UCLA has continued its transformation from a commuter campus to a residential campus by accommodating over 10,000 students in on-campus housing and approximately 2,500 in University-owned off-campus housing. The campus continues to experience housing demand for its undergraduate and graduate students. This demand will be met in part by projects currently underway for 1,511 additional undergraduate beds in the Northwest zone of the campus and 504 additional studio apartments for single graduate and professional students in the Southwest zone.

In addition, UCLA is committed to supplying housing proximate to the campus for faculty and staff. The local housing market, one of the most expensive in the country, presents barriers to UCLA's ability to attract a workforce of the highest caliber. Attracting and keeping an engaged workforce is key to sustaining a high quality of educational programs,

services, and facilities. The primary housing goal for the campus is a workforce housing program, integrated with the *Long Range Development Plan*, which will facilitate the recruitment, retention, productivity, and satisfaction of employees in a manner similar to the student housing system.

Development of a Sustainable Campus

UCLA's Sustainability Committee has been active since 2005 and continues to advance campus sustainability practices and initiatives consistent with University policy. UCLA's *Climate Action Plan* identifies initiatives to reduce greenhouse gas emissions below 1990 levels by 2012, eight years ahead of goals established in the *UC Sustainability Policy*. The Green Building Program has allowed UCLA to reduce the amount of energy used on a square-foot basis in both its new construction and renovation projects. In the coming years, UCLA's challenge will be continued reduction of its carbon footprint as the campus expands and the demand for energy increases.

CAPITAL PRIORITIES

The updated *UCLA 2011-21 Capital Financial Plan* was developed through a capital process described in the accepted *2010-20 CFP*. Areas of high priority are described below.

Seismic Program

With the recent completion and occupancy of the Westwood Replacement Hospital and other replacement facilities under the first phase of the *Academic Health Center Master Plan*, the campus is positioned to proceed – assuming adequate funding is available – with an accelerated program to complete seismic corrections, as well as fire and life-safety



Neurosciences Research Building (Photograph by Steinkamp-Ballogg Photography)

mitigations, in the remainder of the CHS complex. High-priority projects in the second phase of the *Master Plan* include the seismic renovation of the CHS South Tower that is currently underway; the seismic renovation of structures adjacent to the South Tower and installation of backbone fire-suppression and fire-alarm systems in the CHS complex; and renovation of the adjacent Life Sciences Building to accommodate occupants of seismically deficient space throughout the CHS complex.

As renovated, the South Tower will accommodate instruction and research functions currently occupying other seismically deficient structures in the CHS complex – including the School of Medicine (SOM) East, SOM West, and Outpatient Wings – and allow those structures to be seismically upgraded upon completion of the South Tower project. State funding for the South Tower project was provided in the 2010-11 State budget and is supplemented with campus resources.

Construction of replacement facilities is also a part of the campus's integrated strategy to provide safe facilities for the occupants of the health and medical sciences buildings. These will include a Medical Education and Biomedical Library Replacement Building and an addition to the Southern Regional Library (to accommodate a portion of materials from the stacks now housed in the seismically deficient Biomedical Library Tower in the CHS complex). Following completion of these projects, the remaining seismically deficient structures in the CHS complex will undergo seismic corrections and renovation or will be demolished.

The overall goal is to complete the correction of all remaining seismically deficient structures by 2020. Completion of the seismic safety program is largely dependent on the availability of State funds.

Seismic and life-safety improvements in the CHS will be coordinated with the School of Medicine's *Strategic Plan 2011-15* that calls for optimizing the

use of existing space as well as constructing new facilities to ensure the long-term success of its educational and research programs.

Residential Community

The campus is proposing construction of up to 400 additional beds for undergraduate students in the Northwest zone of the campus, renovation of existing on-campus residence halls and dining facilities, and upgrades to off-campus apartment buildings. The additional undergraduate beds will help the campus meet the goals of the *LRDP* to guarantee four years of housing to incoming freshmen and two years of housing to transfer students. The updated plan also includes a multi-phase proposal for the construction of workforce housing proximate to the campus to improve the recruitment, retention, and productivity of campus employees. These proposals will be developed in the context of a *Workforce Housing Master Plan*.

Sustainability

The campus will continue to advance sustainability practices and initiatives. UCLA is committed to achieving a minimum LEED™ Silver certification for all new construction and major refurbishment projects. Currently, 25 projects will reach or exceed this goal. Energy conservation programs include HVAC system retrofit projects and continuation of more energy-efficient lighting installations. Additional sustainability initiatives are focused in the areas of transportation,

housing and hospitality services, information systems, and waste diversion.

CAPITAL FINANCIAL PLAN UPDATE

Since acceptance of the *Capital Financial Plan* in November 2010, information from contemporary planning studies and from analyses of funding availability have resulted in several proposed adjustments. These updates include:

- Consolidation of the CHS Courtyards Seismic Correction, CHS Outpatient Wing Seismic Correction, and SOM High-Rise Fire Safety Phase 1 projects into a single high-priority project to improve life safety for building occupants at an early date. The project is proposed for State funding in 2012-13.
- Acceleration of the UNEX Building Seismic Correction project from 2017-18 to 2015-16 to improve life safety for building occupants at an earlier date.
- Deferral of the Life Sciences Building Renovation Phase 2 project due to lack of State funding for program-improvement projects.
- A decrease in the number of new undergraduate beds to be constructed on the Northwest campus from 2,000 to 400, based on available funding. An updated *Student Housing Master Plan*, completed in 2010-11, shows the need for these additional undergraduate beds based on LRDP goals.

- Adding the renovation of four undergraduate residence complexes in the Northwest campus.
- Provision of alternative power to campus dining facilities during local emergencies.
- Replacement and expansion of the aged Sunset Canyon Recreation Center in the Northwest Campus to accommodate increased numbers of students living on or near campus in a modern facility.
- Construction of a new Student Services Center to consolidate services for students in a central campus location.

CAPITAL RESOURCES

The updated *Capital Financial Plan* provides a financial framework for the campus to provide appropriate facilities to renew aging buildings, upgrade seismic and life-safety systems, expand and renew infrastructure systems, and support growing academic programs.

With an estimated total value of \$3.4 billion, the capital plan is expected to be funded with a combination of non-State resources totaling \$2.7 billion (79%) and State resources totaling \$719 million (21%). Non-State resources include \$1.56 billion of external financing, \$663.7 million of anticipated gift funds, \$199 million of campus funds, \$198 million of Medical Center reserves, \$181 million of auxiliary reserves, \$85 million of student fees, and \$6 million of federal funds.

The campus has a long history of successful fund-raising efforts. Since 1996, UCLA has received approximately \$4.7 billion in gifts, of which 18%, or \$873 million, was given to support the capital needs of the campus. In 2010, the campus received a \$50 million gift – the second largest capital gift in its history – to fund a portion of the recently completed Terasaki Life Sciences Building.

The campus has projects underway or in development that are funded by stimulus grants from a number of federal sources. In addition, the campus

is pursuing other grants and will reflect any funds received in subsequent updates of this plan. Capital reserves and campus discretionary funds comprising the remaining non-State fund sources are used to support appropriate projects.

The *2011-21 Capital Financial Plan* reflects a total estimated need for \$1.56 billion of external financing: \$1.25 billion for Medical Center facilities and \$312 million for auxiliary facilities. The feasibility of external financing is based on existing business models.



Northwest Campus Student Housing – Sproul South

Los Angeles

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE						Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure										
State Funded Program																
E & G - GENERAL CAMPUS																
Clark Library Seismic Correction	•		•				I	305 X	8,561						8,866	
Southern Regional Library Phase 3	•		•				N		1,375 X	34,143					35,518	
Life Sciences Building Renovation Phase 1	•		•				I			16,130					16,130	
Engineering VI - Phase 2		•					N					2,000	3,000	42,142 35,858 G	83,000	
Capital Renewal			•				I			5,000	5,000	5,000	5,000	20,000	40,000	
E & G - HEALTH SCIENCES																
CHS Seismic Correction and Fire Safety	•		•				I	358 X	1,348 X	48,800					50,506	
Electrical Distribution System Expansion Step 6C	•		•				I	281 X		11,453					11,734	
Medical Education and Biomedical Library Seismic Replacement Building	•		•				N	7,600 G	167,000 88,400 G	4,000 G					267,000	
CHS - Marion Davies Seismic Correction	•		•				I			2,000 X	40,000				42,000	
CHS - SOM East Seismic Correction	•		•				I				5,000	66,500			71,500	
CHS - SOM West Seismic Correction	•		•				I				2,000	2,500	25,500		30,000	
CHS - Biomedical Library Tower Seismic Renovation	•		•				I							40,000	40,000	
MEDICAL CENTERS																
Santa Monica Hospital-Pediatric and Adult Intensive Care Units Renovation							R	15,000 7,500 LB							22,500	
STATE FUNDING								15,305	235,814	102,273	74,000	32,500	8,000	102,142	570,034	
NON-STATE FUNDING								16,448	91,775	4,000	0	0	0	35,858	148,081	
TOTAL STATE PROGRAM								31,753	327,589	106,273	74,000	32,500	8,000	138,000	718,115	

Los Angeles

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE						Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure										
Non-State Funded Program																
E & G - GENERAL CAMPUS																
Ostin Music Center						•	N		20,000 G							20,000
Engineering VI - Phase 1						•	N		47,000 LB 6,000 F							53,000
Theater, Film & Television Expansion & Renovation Phase 1						•	B			75,000 G						75,000
UNEX Building Seismic Correction	•		•				I						29,600 X			29,600
Theater, Film & Television Expansion & Renovation Phase 2						•	B							75,000 G		75,000
Capital Projects \$750K to \$5M	•			•			B		15,000 X	15,000 X	15,000 X	15,000 X	15,000 X	15,000 X	60,000 X	150,000
E & G - HEALTH SCIENCES																
CHS - School of Public Health Seismic Correction	•		•				I		8,330 X							8,330 #
Wasserman Tenant Improvements						•	R		43,782 G							43,782
CHS - Reed Bridge Seismic Correction	•		•				I		5,000 X							5,000
Jules Stein Seismic Correction	•		•				I			27,600 G						27,600
Neurosciences Research Facility						•	N							150,000 G		150,000
AUXILIARY - PARKING																
Residential Conference Center Parking						•	N		12,330 LB 4,615 N							16,945
AUXILIARY - STUDENT HOUSING & DINING																
Venice Barry Apartments Units Renovation						•	R		5,900 N							5,900

Los Angeles

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE						Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure										
Residential Conference Center					•	N		103,055 LB 40,000 G							143,055	
Poolside Residence Hall					•	N		77,800 LB 7,500 N							85,300	
Sunset Village - Delta Terrace Renovation				•		R		10,500 N							10,500	
Saxon Residential Suites Renovation				•		R			25,000 N						25,000	
Sunset Village - Canyon Point Renovation				•		R			10,170 N						10,170	
On-Campus Housing and Dining Emergency Power				•		I			7,000 N						7,000	
DeNeve Dining Services Renovation				•		R				6,900 N					6,900	
Hitch Residential Suites Renovation				•		R				26,000 N					26,000	
Capital Projects \$750K to \$5M				•		B		9,500 N	6,500 N	4,500 N	4,500 N	5,500 N	8,500 N	21,000 N	60,000	
AUXILIARY - STUDENT SERVICES																
Sunset Canyon Recreation Center Replacement				•		N			35,000 R 17,500 N						52,500	
Student Services Center				•		N				50,000 R					50,000	
AUXILIARY - FACULTY HOUSING																
Workforce Housing Phase 1				•		N				59,673 LB					59,673	
Workforce Housing Phase 2				•		N						59,673 LB			59,673	

Los Angeles

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE						Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure										
MEDICAL CENTERS																
SMH Inpatient Tower Staircase Modification and Basement						•	N				50,000 LB				50,000	
SMH Office Building						•	N				40,000 LB				40,000	
SMH Merle Norman Pavilion Renovation						•	R							60,000 LB	60,000	
Clinical Lab Expansion						•	R							50,000 LB	50,000	
Westwood Ambulatory Building						•	N							250,000 LB	250,000	
RRUMC Bed Tower						•	N							500,000 LB	500,000	
Capital Equipment Replacement Lease Financing						•	N	33,330 LB 5,500 G	33,330 LB 5,500 G	33,330 LB 5,500 G	33,330 LB 5,500 G	33,330 LB 5,500 G	33,330 LB 5,500 G	99,990 LB 16,500 G	450,000	
Capital Projects \$750K to \$5M						•	R	11,170 HR 12,000 HR	11,170 HR 7,000 HR	11,170 HR 5,000 HR	11,170 HR 5,000 HR	11,170 HR 5,000 HR	11,170 HR 5,000 HR	33,510 HR 20,000 HR	59,000	
TOTAL NON-STATE PROGRAM								478,312	275,770	267,073	114,500	164,773	78,500	1,336,000	\$2,714,928	
TOTAL STATE PROGRAM								31,753	327,589	106,273	74,000	32,500	8,000	138,000	\$718,115	
TOTAL NON-STATE PROGRAM								478,312	275,770	267,073	114,500	164,773	78,500	1,336,000	\$2,714,928	
TOTAL CAPITAL PROGRAM								510,065	603,359	373,346	188,500	197,273	86,500	1,474,000	\$3,433,043	

*Total Project Budget may include prefunding and proposed funding in years after 2020-21.

CHS - SEISMIC CORRECTION AND FIRE SAFETY

- Seismically upgrades the 144,951 gsf Southeast Wing (formerly the Outpatient Wing) and two floors of basement area beneath the east and west courtyards (88,000 gsf) from a seismic rating of "Poor" to "Good."
- Strengthens the lateral force-resisting system; upgrades fire, life-safety, and accessibility deficiencies triggered by the seismic work; and repairs and restores building systems and finishes impacted by the work.
- Installs backbone fire-suppression and fire-alarm systems in the Southeast Wing, the basement courtyards, CHS South Tower, and throughout the remainder of the CHS complex in compliance with the change in the occupancy classification from hospital to high-rise building (following the relocation of Medical Center functions to the Westwood Replacement Hospital in 2008).
- Installs a new water-distribution main that will loop the entire 2.4 million gsf CHS complex to connect all fire system risers; installs a fire-suppression water storage tank and fire pump; and converts existing dry standpipes to wet standpipes and combination fire-sprinkler risers.
- Part of the campus's phased plan to improve seismic and fire safety for occupants of CHS.

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$48,800,000
Campus Funds	\$1,706,000
Total Budget	\$50,506,000

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	176,775
GSF	232,951

CLARK LIBRARY SEISMIC CORRECTION

- Provides structural corrections to the William Andrews Clark Memorial Library, constructed in 1925-26.
- Upgrades the Library's seismic rating from "Poor" to "Good."
- Structural improvements include anchoring the roof diaphragm to the masonry walls, reinforcement of the masonry walls, and anchoring of architectural elements.
- Includes mandatory fire/life-safety and accessibility upgrades triggered by the structural work.
- Part of the campus's Seismic Safety Program.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	12,257
GSF	18,692

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$8,561,000
Total Budget	\$8,561,000

ELECTRICAL DISTRIBUTION SYSTEM EXPANSION STEP 6C

- Completes the implementation of the Electrical Distribution Master Plan, including completion of the conversion of the main central campus substation from 4.8kV to 12.47kV; converts the old 4.16 kV system on the southwest campus to 12.47 kV; provides two inter-ties between north campus and south campus to provide backup electrical pathways.
- Replaces the remaining old 4.8kV radial feeders, connects existing buildings to the new 12.47kV loops, and adds two feeder loops in the Center for the Health Sciences.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$11,453,000
Campus Funds	\$281,000
Total Budget	\$11,734,000

MEDICAL EDUCATIONAL AND BIOMEDICAL LIBRARY SEISMIC REPLACEMENT BUILDING

- Constructs a Medical Education and Biomedical Library building adjacent to CHS complex.
- Enables CHS occupants to relocate to seismically safe space; consolidates educational programs currently scattered throughout the CHS complex, realizes synergies between medical education programs and the biomedical library; and provides the School of Medicine with modern instructional space that cannot be provided in the existing building.
- Includes classrooms and seminar rooms, multi-purpose laboratory space, computer and imaging laboratories, gross anatomy laboratory, a biomedical library, study and meeting space for students, and administrative office and building support space.
- Most print materials currently accommodated in an obsolete stack structure in the Biomedical Library Tower in the CHS complex would be relocated to the proposed Southern Regional Library Phase 3 facility.
- Will move forward when State Health Sciences Education bond funds (HSE) and gift funds are available.
- Part of the campus's Seismic Safety Program.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	144,000
GSF	253,114

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$167,000,000
Gift Funds	\$100,000,000
Total Budget	\$267,000,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$100,000,000
Total Budget	\$100,000,000

**SANTA MONICA HOSPITAL
PEDIATRIC AND ADULT INTENSIVE CARE UNITS RENOVATION**

- Renovates space on the A-Level of the Merle Norman Pavilion at Santa Monica Hospital (SMH) to create a Pediatric Intensive Care Unit (PICU) and an Adult Intensive Care Unit (ICU).
- Includes funding from the California Health Facilities Financing Authority (CHFFA) bond funds under the Children's Hospital Bond Act of 2008 (Proposition 3), and external financing.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$7,500,000
Est. Annual Debt Service	\$544,867
Terms:	6% 30 years
<u>Anticipated Repayment Source:</u>	
• Medical Center Reserves	
<u>Anticipated Fund Source:</u>	
• Hospital Reserves	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds (CHFFA)	\$15,000,000
External Financing	\$7,500,000
Total Budget	\$22,500,000

Project Scope Summary	
ASF	8,300
GSF	12,100

Units
16 Beds



Orthopedic Hospital Research Center

CAPITAL EQUIPMENT REPLACEMENT LEASE FINANCING

- Anticipated lease expenditures for major capital-improvement equipment by the UCLA Health System.
- Ensures that the hospital system is equipped with state-of-the-art technology.

Budget Approval	
Budget Year	2011-12

Gift Campaign Summary	
Gifts in Hand	\$49,500,000
Gifts Pledged	
Gifts to be Raised	
Total Budget	\$49,500,000

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$299,970,000
Hospital Reserves	\$100,530,000
Gift Funds	\$49,500,000
Total Budget	\$450,000,000

CAPITAL PROJECTS \$750K TO \$5M (E&G)

- Major capital projects for Chancellor approval.
- Potential projects include renovations, new construction, and equipment installation.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$150,000,000
Total Budget	\$150,000,000

CAPITAL PROJECTS \$750K TO \$5M (MEDICAL CENTERS)

- Major capital projects for Chancellor's approval.
- Potential projects include renovations, new construction, and equipment installation.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Hospital Reserves	\$59,000,000
Total Budget	\$59,000,000

CAPITAL PROJECTS \$750K TO \$5M (HOUSING AND PARKING)

- Includes major capital projects for Chancellor's approval.
- Potential projects include renovations, new construction, and equipment installation.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Auxiliary Reserves	\$60,000,000
Total Budget	\$60,000,000

CHS - REED BRIDGE SEISMIC CORRECTION

- Seismically upgrades the Reed pedestrian bridge in the Center for the Health Sciences from "Poor" to "Good."
- Strengthens the vertical and lateral load-carrying systems.
- The bridge connects the Reed Research Building to the Brain Research Institute Building within the complex.
- Part of the campus's Seismic Safety Program.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$5,000,000
Total Budget	\$5,000,000

Project Scope Summary	
ASF	985
GSF	985

CHS - SCHOOL OF PUBLIC HEALTH SEISMIC CORRECTION

- Upgrades School of Public Health Building from seismic rating of "Poor" to "Good."
- Strengthens the lateral-force resistance of the building with new exterior shear walls.
- Addresses fire, life-safety, and accessibility deficiencies.
- Part of the campus's Seismic Safety Program.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	90,690
GSF	144,904

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$8,330,000
Total Budget	\$8,330,000

ENGINEERING VI - PHASE 1

- Constructs a six-story 62,500 gsf research laboratory building for the Henry Samueli School of Engineering and Applied Science (HSSEAS).
- Consolidates green-engineering research programs from facilities scattered throughout the engineering complex that need vibrational stability for nano-technology research, modern wet laboratories, and infrastructure capacity.
- Provides quantum metrology, electron microscopy, and materials synthesis and characterization laboratories in a temperature-stabilized low-vibration and low-electromagnetic environment designed to support collaborative research.
- The building would be located on the site of Engineering 1A, a seismically "Poor" structure that was demolished under a separate campus-approved project.

Budget Approval	
Budget Year	2011-12

Financing	
Interim Financing	\$47,000,000
Long-Term	\$47,000,000
Est. Annual Debt Service	\$3,396,000
Terms:	6% 30 years
Interest During Construction:	\$2,240,000
<u>Anticipated Repayment Source:</u>	
• General Revenues LA Campus	
<u>Anticipated Fund Source:</u>	
• Indirect Cost Recovery Funds	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$0
Federal (Grant)	\$6,000,000
Gift Funds	\$47,000,000
Total Budget	\$53,000,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$47,000,000
Total Budget	\$47,000,000

Project Scope Summary	
ASF	35,000
GSF	62,500

JULES STEIN SEISMIC CORRECTION

- Corrections to improve the seismic-force-resisting system of the Jules Stein Eye Institute (a reinforced concrete building constructed in 1967) from a rating of "Poor" to "Good."
- Also includes fire and life-safety upgrades, accessibility improvements, and asbestos removal.
- The project will commence following completion of the Wasserman Building project in 2012-13.
- Part of the campus's Seismic Safety Program.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	49,481
GSF	92,943

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Gift Funds	\$27,600,000
Total Budget	\$27,600,000

ON-CAMPUS HOUSING AND DINING EMERGENCY POWER

- Provides alternative power source for on-campus dining facilities during power outages, as well as emergency power for common area lighting and select community functions.
- The project would provide emergency power for kitchen equipment, dining stations, occupancy lighting, and ventilation and exhaust systems.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Auxiliary Reserves	\$7,000,000
Total Budget	\$7,000,000

OSTIN MUSIC CENTER

- Constructs a 12,749 asf addition to the Schoenberg Music Building, a facility of 77,189 asf constructed in phases between 1955 and 1981.
- Provides needed faculty offices, studios, and spaces for performance, practice, and recording that do not currently exist in Schoenberg.
- A \$10 million gift agreement was completed in April 2011.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Gift Funds	\$20,000,000
Total Budget	\$20,000,000

Financing	
Interim Financing	\$10,000,000
Long-Term	
Est. Annual Debt Service	
Terms:	
<u>Anticipated Repayment Source:</u>	
General Revenues LA Campus	
<u>Anticipated Fund Source:</u>	
Indirect Cost Recovery Funds	

Gift Campaign Summary	
Gifts in Hand	\$10,000,000
Gifts Pledged	
Gifts to be Raised	\$10,000,000
Total Budget	\$20,000,000

Project Scope Summary	
ASF	12,749
GSF	20,691

POOLSIDE RESIDENCE HALL

- Provides 400 undergraduate beds needed in the northwest campus.
- Helps achieve LRDP goals to transform UCLA to a residential academic community and to guarantee four years of housing to incoming freshman and two years to transfer students.
- Estimated scope costs, funding sources, and timing depend on more detailed assessment and analysis.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	106,400
GSF	133,000

Financing	
Long-Term	\$77,800,000
Est. Annual Debt Service	\$5,652,000
Terms: 6%	30 years
Interest During Construction	\$4,608,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Revenues	
<u>Anticipated Fund Source:</u>	
• Parking Reserves	

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$77,800,000
Auxiliary Reserves	\$7,500,000
Total Budget	\$85,300,000

Units
400 Spaces

RESIDENTIAL CONFERENCE CENTER PARKING

- Constructs a parking structure to support the proposed Residential Conference Center.
- Provides parking to replace spaces lost to construction of the proposed Residential Conference Center and to support the Faculty Center.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
GSF	128,000

Financing	
Long-Term	\$12,330,000
Est. Annual Debt Service	\$896,000
Terms: 6%	30 years
Interest During Construction	\$730,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Revenues	
<u>Anticipated Fund Source:</u>	
• Parking Reserves	

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$12,330,000
Parking Reserves	\$4,615,500
Total Budget	\$16,945,500

Units
330 Spaces

RESIDENTIAL CONFERENCE CENTER

- Constructs a residential conference center for collaborative exchanges of research, scholarship, and teaching.
- Includes guest rooms, meeting and conference rooms, a fitness center, a business center, dining facilities, and related support space.
- Constructed on the site of the existing Faculty Center and an adjacent parking lot.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	200,000
GSF	290,000

Financing	
Interim Financing	\$0
Long-Term Financing	\$103,055,000
Est. Annual Debt Service	\$7,487,000
Terms: 6%	30 years
Interest During Construction:	\$6,105,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Housing Reserves	

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$103,055,000
Housing Reserves	\$0
Gift Funds	\$40,000,000
Total Budget	\$143,055,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	\$40,000,000
Gifts to be Raised	\$0
Total Budget	\$40,000,000

SAXON RESIDENTIAL SUITES RENOVATION

- Provides 400 undergraduate beds needed in the northwest campus.
- Helps achieve LRDP goals to transform UCLA to a residential academic community and to guarantee four years of housing to incoming freshman and two years to transfer students.
- Estimated scope costs, funding sources, and timing depend on more detailed assessment and analysis.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	73,208
GSF	86,009

Summary of Budget by Fund Type	
Funding Source	Amount
Auxiliary Reserves	\$25,000,000
Total Budget	\$25,000,000

Units
378 Beds

SUNSET CANYON RECREATION CENTER REPLACEMENT

- Replacement and expansion of aged recreational facilities, originally constructed in 1965.
- Supports the increased number of students planned to be living on or near campus.
- Requires the relocation of existing tennis courts.
- Estimated scope costs, funding sources, and timing depend on more detailed assessment and analysis.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	TBD
GSF	65,000

Financing	
Long-Term Financing	\$35,000,000
Est. Annual Debt Service	\$2,543,000
Terms:	6% 30 years
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Housing Reserves	

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$35,000,000
Auxiliary Reserves	\$17,500,000
Total Budget	\$52,500,000

SUNSET VILLAGE - DELTA TERRACE RENOVATION

- Renovates a 3-story, 415-bed undergraduate residence facility constructed in 1991.
- Scope of work includes refurbishment of student rooms, bathrooms, and common spaces, and replacement of windows, roof, and mechanical equipment to extend the life of building systems for another generation of use.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	77,581
GSF	131,118

Summary of Budget by Fund Type	
Funding Source	Amount
Auxiliary Reserves	\$10,500,000
Total Budget	\$10,500,000

Units
415 Beds

SUNSET VILLAGE - CANYON POINT RENOVATION

- Renovates a 4-story, 419-bed undergraduate residence facility constructed in 1991.
- Scope of work includes refurbishment of student rooms, bathrooms, and common spaces and replacement of windows, roof, and mechanical equipment to extend the life of building systems for another generation of use.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	69,247
GSF	107,419

Financing	
Long-Term	\$0
Est. Annual Debt Service	\$0
Terms:	6% 30 years
<u>Anticipated Repayment Source:</u>	
• Auxiliary Revenues	
<u>Anticipated Fund Source:</u>	
• Parking Reserves	

Summary of Budget by Fund Type	
Funding Source	Amount
Auxiliary Reserves	\$10,170,000
Total Budget	\$10,170,000

Units
419 Beds

THEATER, FILM & TELEVISION EXPANSION & RENOVATION PH 1

- Renovation and expansion of MacGowan and Melnitz Halls to meet curriculum, research, and public service needs of the School of Theater, Film and Television.
- These 1960's era facilities require improvements to better serve contemporary academic needs.
- The project would reorganize existing space, provide improved instructional facilities, upgrade specialized production facilities, and enhance performance and exhibit space.
- Gift-funded project will move forward when sufficient funds are available.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	90,000
GSF	138,000

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$75,000,000
Total Budget	\$75,000,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$75,000,000
Total Budget	\$75,000,000

WASSERMAN TENANT IMPROVEMENTS

- Provides tenant improvements for the Jules Stein Eye Institute and School of Medicine departments in the gift-in-kind Wasserman Building.
- Includes outpatient clinics and related support and administrative and faculty offices.
- The project will commence following completion of the Wasserman Building project.

Budget Approval	
Budget Year	2011-12

Gift Campaign Summary	
Gifts in Hand	\$25,912,000
Gifts Pledged	
Gifts to be Raised	\$17,870,000
Total Budget	\$43,782,000

Project Scope Summary	
ASF	71,708
GSF	83,273

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Gift Funds	\$43,782,000
Total Budget	\$43,782,000



Aerial view of Janss Steps

MERCED

2011-21 Capital Financial Plan

MERCED

UC Merced opened in September 2005 as the tenth campus in the University of California system. The campus significantly expands access to the UC system for students throughout the State, with a special mission to increase college-going rates among students in the San Joaquin Valley. It also serves as a major base of advanced research and as a stimulus to economic growth and diversification throughout the region.



Campus Quad

The campus plans to grow over time to support about 25,000 students as funds become available.

Since its opening, UC Merced has aggressively pursued its founding principles of building the first research university of the 21st century and providing a strong focus on student success through inclusive excellence. Each year, the campus has grown and matured with the addition of new faculty and students.

More than 4,400 FTE students were enrolled at UC Merced during 2010-11, a significant increase from 875 FTE in Fall 2005, the start of the campus's inaugural year. More than 5,000 students are expected to enroll during Fall 2011, following a record number of applications.

The first phase of campus physical development encompasses approximately 100 acres. The current campus space inventory totals approximately 1.2 million gsf (832,000 asf). Instruction and research space includes teaching and research laboratories and laboratory support space, as well as other academic support space necessary for the success of academic programs and students.

In May 2009, the campus received its Clean Water Act Section 404 permit from the U.S. Army Corps of Engineers for the full development of the campus and associated University Community as

outlined in the 2009 *Long-Range Development Plan (LRDP)*. The revised campus layout will total approximately 815 acres. The University Community, situated directly south of the campus, will total approximately 2,115 acres.

As of the conclusion of the 2010-11 academic year, completed projects include three academic buildings (a classroom and office building, a science and engineering building, and a library), three student housing projects, a dining facility, a student recreation and wellness facility, a central utility plant/telecommunications building, and a logistics (physical plant and environmental health & safety) facility. The fourth academic building, Social Sciences and Management, is under construction and scheduled to be occupied by the start of the 2011-12 academic year. A fourth housing project is in construction with occupancy planned for Fall 2013. A fifth academic building, the State-funded Science and Engineering 2, is currently in design with occupancy planned for Fall 2014.

<u>MERCED CAMPUS FACTS:</u>	
Established	1998
FTE Enrollment 2009-10	
Undergraduates	4,247
Graduate Students	241
Campus Land Area	2,930 acres
Campus Buildings	832,000 ASF

CAMPUS GOALS AND OBJECTIVES

A major campus objective in the next few years is to acquire the necessary resources for new academic programs and the expansion of existing ones. An increase in resources is also essential for the support of growing student enrollments and the hiring of new ladder-rank faculty. The ability to accommodate additional faculty, students, and staff will require a flexible approach to space use and assignment and the capital funding to support additional growth.

UC Merced's strategic academic vision identifies high-priority academic programs that will serve the University system, State, and nation. Current programs include the Sierra Nevada Research Institute, the Merced Energy Research Institute, and the Health Sciences Research Institute. Notable areas of faculty expertise in these programs include hydrology, solar-power technologies, stem cell biology, infectious disease, biodiversity and global climate change, air and water quality, and population health. Education and research at UC Merced is enhanced through partnerships with other UC campuses and with entities such as Lawrence Livermore National Laboratory, Sequoia and Kings Canyon National Parks, and Yosemite National Park. Faculty in the School of Social Sciences, Humanities, and Arts are actively engaged in interdisciplinary research

programs such as cognitive science, computer science, psychological sciences, and economics.

Adequacy of space will be a significant challenge during these coming years as enrollments increase. It is important to note that student enrollment growth is intertwined with growth in the faculty ranks and that increases in enrollments will require additional instructional space and research space and offices for faculty. Such growth drives the need for additional student-focused facilities, such as housing and dining, and expanded recreation and wellness, academic support, and student program space. Basic campus support functions (such as physical plant, parking, and infrastructure) also need to expand with increasing workload.



Solar Array

As a new campus, UC Merced has embraced the opportunity to serve as a leader in sustainable planning and environmental design. In constructing the campus, UC Merced committed to green building principles, requiring certification of all new buildings at a Gold level of the U.S. Green Building Council's LEED™ program. The campus's *Long Range Development Plan* continues the commitment to plan, design, build, and operate UC Merced at ever-increasing levels of sustainability.

RESOURCES

UC Merced, the first UC campus constructed since the mid-1960s, faces radically different political, environmental, and economic circumstances from those of earlier campuses. Enrollment and academic program growth are the drivers for UC Merced facilities expansion. The *CFP* and the *LRDP* anticipate that the campus's formative years will be a period of fiscal restraint, putting a primacy on strategic and cost-effective integration of programmatic needs and funding sources, deployment of infrastructure, and multiple uses of land. The campus will need to rely on State support for much of its early instruction and research facilities. The uncertainty of State funding in the near term is a tremendous challenge for the new campus, and it is critical that momentum be maintained to preserve academic quality and student success.

Merced

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
State Funded Program																
E & G - GENERAL CAMPUS																
Social Sciences and Management Building		•				N	43,818	3,908							47,726	
Science and Engineering Building 2		•				N	3,700 X 81,040			4,079					88,819	
Classroom and Academic Office Building		•				N			38,748		2,452				41,200	
Site Development and Infrastructure Phase 5	•		•			I			3,020	27,180					30,200	
Bellevue Gateway Site Development and Infrastructure				•		I				12,400 19,100 LB					31,500	
Castle 1200 Facilities Renewal				•		R				15,271		650			15,921	
Instruction and Research Building 1A		•				N				3,500	4,300	70,200	3,500		81,500	
Campus Instructional Space Renovations				•		R				250	2,750				3,000	
Instruction and Research Building 1B		•				N						4,900	6,000	103,100	114,000	
Site Development and Infrastructure Phase 7/8		•				I							6,400	68,600	75,000	
Instruction & Student Academic Services Building		•				N								51,000	51,000	
Environmental Health and Safety, Facilities Management and Public Safety Facility		•				N								34,000	34,000	
Central Plant Expansion				•		I								25,000	25,000	
Classroom and Office Building 2		•				N								46,000	46,000	
STATE FUNDING								3,908	41,768	62,680	9,502	75,750	15,900	327,700	537,208	
NON-STATE FUNDING								0	0	19,100	0	0	0	0	19,100	
TOTAL STATE PROGRAM								3,908	41,768	81,780	9,502	75,750	15,900	327,700	556,308	

Merced

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
Non-State Funded Program																
E & G - GENERAL CAMPUS																
Student Services Building		•				N		19,820 X							19,820	
Administration Building 1		•				N				4,700 LB	41,800 LB				46,500	
Administration Building 2		•				N						44,500 LB 1,000 G			45,500	
Organized Research Building		•				N							91,500 LB 1,000 G		92,500	
Capital Projects \$750K to \$5M					•	B		1,000 X	1,000 X	1,000 X	1,000 X	1,000 X	1,000 X	4,000 X	10,000	
AUXILIARY - PARKING																
Campus Parking Lot L		•				N				4,600 LB					4,600	
Campus Parking Lot M		•				N				4,000 LB					4,000	
Campus Parking Lot N		•				N						3,000 LB			3,000	
AUXILIARY - STUDENT HOUSING & DINING																
Student Housing Phase 5		•				N				7,200 LB	64,800 LB				72,000	
Bellevue Gateway Dining Facility		•				N				3,000 LB	25,000 LB				28,000	
Student Housing Phase 6		•				N						5,100 LB	45,400 LB		50,500	
Student Housing Phase 7		•				N							LB	59,000 LB	59,000	

Merced

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
AUXILIARY - STUDENT ACTIVITIES, RECREATION, ATHLETICS (FEE)																
Multipurpose Recreation Field		•				N				4,000 LB					4,000	
Basketball Courts		•				N				1,500 LB					1,500	
Bellevue Gateway Recreation Facility		•				N							14,000 LB 1,000 G		15,000	
Student Union		•				N							2,100 LB	45,400 LB 2,000 G	49,500	
Student Aquatics Center		•				N								13,000 LB 2,000 G	15,000	
Baseball and Softball Competition Field Complex		•				N								9,500 LB	9,500	
AUXILIARY - CHILD CARE																
Early Childhood Education Center 2		•				N							13,000 LB		13,000	
TOTAL NON-STATE PROGRAM								20,820	15,800	105,000	42,800	54,600	169,000	134,900	542,920	
TOTAL STATE PROGRAM								3,908	41,768	81,780	9,502	75,750	15,900	327,700	\$556,308	
TOTAL NON-STATE PROGRAM								20,820	15,800	105,000	42,800	54,600	169,000	134,900	\$542,920	
TOTAL CAPITAL PROGRAM								24,728	57,568	186,780	52,302	130,350	184,900	462,600	\$1,099,228	

Merced

	Seismic/Life Safety	PRIMARY OBJECTIVE					(\$ in 000s)							TOTAL PROJECT BUDGET	
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure	PreFunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17		2017-18 to 2020-21
Mitigation Measures															
E & G - GENERAL CAMPUS															
Lake Road/Bellevue Road Intersection Improvements			•			I			400	TBD					400
Lake Road/Yosemite Avenue Intersection Improvements			•			I				100	TBD				100
Federal Environmental Mitigation			•			I						11,200	TBD		11,200
Transportation Improvements			•			I						30,200	TBD		30,200
SUMMARY							0	400	0	100	0	41,400	0	\$41,900	

CLASSROOM AND ACADEMIC OFFICE BUILDING

- Provides instructional, scholarly activity, research, and office space to meet the needs of current and future growth.
- Houses multi-disciplinary programs in flexible, adaptable space.
- The project targets a minimum of LEED™ Gold certification.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	41,538
GSF	68,095

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$41,200,000
Total Budget	\$41,200,000

SOCIAL SCIENCES AND MANAGEMENT BUILDING

- Provides equipment for the new Social Sciences and Management Building.
- Equips classrooms, teaching laboratories, academic and administrative offices, and research and scholarly activity space.
- Assists in the continued growth of the School of Social Sciences, Humanities and Arts.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	61,890
GSF	101,569

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$47,726,000
Total Budget	\$47,726,000

SITE DEVELOPMENT AND INFRASTRUCTURE PHASE 5

- Completes equipment and building systems in the Central Plant; completes roadway improvements; modifies campus storm water system and detention basin; provides a corporation yard for facilities services.
- Roadway completion is a critical life-safety priority; UCM has only a single road for entry to and egress from the campus. Should an emergency restrict access to Rancher's Road, the campus's ability to respond could be seriously compromised.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$30,200,000
Total Budget	\$30,200,000



Housing 2

BELLEVUE GATEWAY DINING FACILITY

- Provides a new kitchen and servery of approximately 600 seats.
- Provides additional dining area for increasing enrollments, primarily related to the Student Housing Phase 5 project.
- The project targets LEED™ Gold certification.

Financing	
Long-Term	\$28,000,000
Est. Annual Debt Service	\$2,000,000
Terms:	5% 30 years
Interest During Construction:	\$1,400,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Transportation and Parking Services Revenue	

Units
600 Seats

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$28,000,000
Total Budget	\$28,000,000

Project Scope Summary	
ASF	24,000
GSF	36,000

BELLEVUE GATEWAY PARKING PROJECT 1

- Provides a new surface parking lot to accommodate growth.
- Additional parking is required for increasing numbers of faculty, staff, and students on campus.

Budget Approval	
Budget Year	2012-13

Financing	
Long-Term	\$4,600,000
Est. Annual Debt Service	\$443,000
Terms:	5% 15 years
Interest During Construction:	\$230,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Transportation and Parking Services Revenue	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$4,600,000
Total Budget	\$4,600,000

Units	
1545 Spaces	

CAPITAL PROJECTS \$750K to \$5M (E&G)

- Undertakes a series of minor projects to construct new space, renovate existing space, or complete tenant improvements for a variety of programmatic needs not addressed by the current group of capital projects.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$10,000,000
Total Budget	\$10,000,000

LAKE ROAD / BELLEVUE ROAD INTERSECTION IMPROVEMENTS (MITIGATION MEASURES, BELOW LINE)

- Intersection improvements, such as turn lanes and traffic-control features, near the campus entrance at Lake Road and Bellevue Road.
- The campus EIR/EIS identifies road segments and intersections that need upgrades to ensure an acceptable level of service.
- Necessitated by the amount of housing and administrative office space constructed on campus, as insufficient on-campus space results in increased trip counts and mitigation expenditures. Also influenced by the success of the TDM program.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Unidentified Funding	\$400,000
Total Budget	\$400,000

Project Scope Summary	
ASF	61,890
GSF	101,569

STUDENT HOUSING PHASE 5

- Constructs approximately 400 bed spaces, primarily for undergraduate students, including upper-division.
- Provides campus housing to accommodate increasing student enrollments.
- The project targets LEED™ Gold certification.

Financing	
Long-Term	\$72,000,000
Est. Annual Debt Service	\$5,230,000
Terms: 6%	30 years
Interest During Construction:	\$3,600,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Transportation and Parking Services Revenue	

Units	
Beds	400

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$72,000,000
Total Budget	\$72,000,000

Project Scope Summary	
ASF	132,000
GSF	195,000

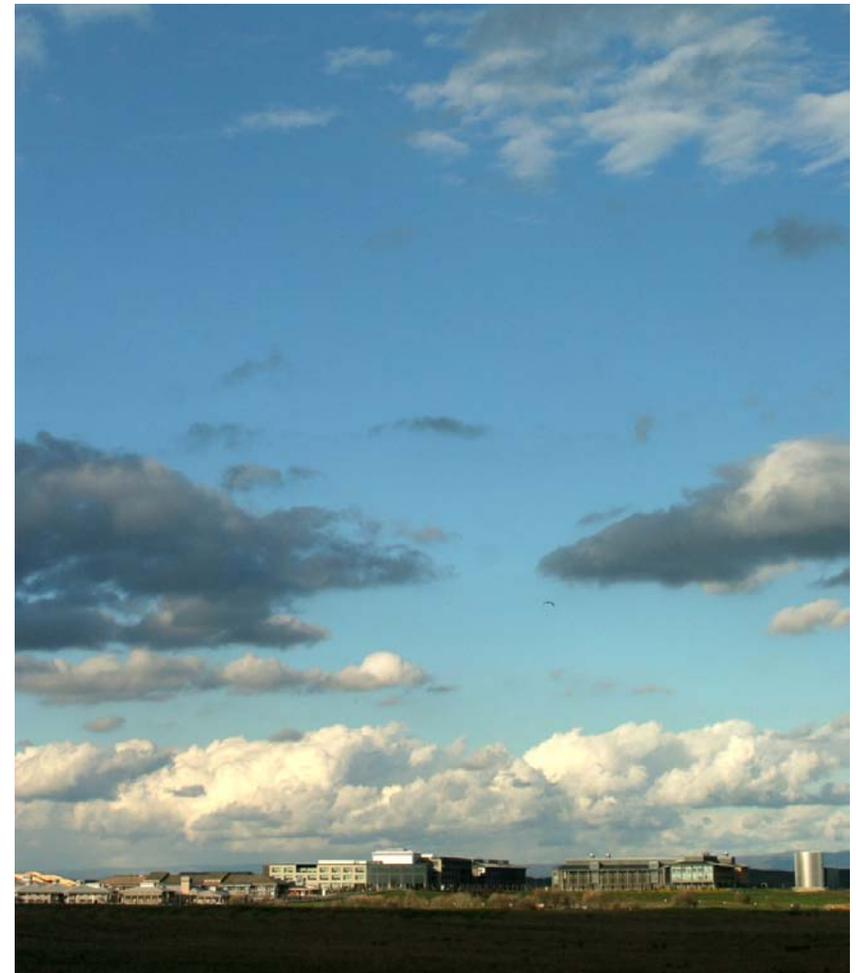
STUDENT SERVICES CENTER

- The campus's student population has grown more than five-fold since 2005, and over that time no additional on-campus student-services space has been provided. This project addresses that significant gap.
- The project targets LEED™ Gold certification.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	20,650
GSF	33,400

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$19,820,000
Total Budget	\$19,820,000



Merced Campus

RIVERSIDE

2011-21 Capital Financial Plan

RIVERSIDE

Originally authorized as a citrus experimental station in 1907, the Riverside campus became a general campus of the University in 1959. Since that time, UCR has become a center of research and learning in the Inland Empire region of southern California. The campus currently occupies 1,144 acres, has over 20,000 students enrolled in degree programs, contributes approximately \$1 billion annually to the regional economy, and has 31 specialized research centers. UCR offers degree programs in six established schools, colleges, and divisions, including the Bourns College of Engineering; College of Humanities, Arts and Social Sciences; College of Natural and Agricultural Sciences; Graduate School of Education; School of Business Administration; and the Division of Biomedical Sciences. Two additional academic units, the School of Medicine and the School of Public

RIVERSIDE CAMPUS FACTS:	
Established	1907
FTE Enrollment 2010-11	
Undergraduates	18,032
Graduate Students	2,208
Health Science Students	55
Campus Land Area	1,144 acres
Campus Buildings	4.6 million ASF
University Professors (active & emeritus)	3

Policy, will begin instruction in conjunction with the admission of students and recruitment of faculty for these programs. Campus enrollment has increased substantially over the past decade, creating a demand for instruction and research facilities, specialized student services, athletic and recreation facilities, housing, and various campus support services. These facilities have, in turn, created additional requirements for communications networks, roadways, pedestrian walkways, open space, underground utilities, and other infrastructure systems. UCR's campus assets currently total 4.6 million asf. Over 49% of these assets are 40 years old or older, creating a demand for either systematic renewal or replacement of building systems.



UCR Sculpture

CAMPUS GOALS AND OBJECTIVES

UCR 2020: The Path to Preeminence. UCR's strategic goals continue to be informed by the *UCR 2020: The Path to Preeminence* document.

UCR commits to transforming the lives of the diverse people of California, the nation, and world – through the discovery, communication, translation, application, and preservation of knowledge – thereby enriching the State's economic, social, cultural, and environmental future. These strategic goals include:

- Academic Excellence
- Access
- Diversity
- Engagement

UCR 2005 Long Range Development Plan (LRDP) Amendment

UCR is amending the *2005 Long Range Development Plan*. The amendment will create a land use specific to the School of Medicine on the West Campus and will refine other land-use designations and planning assumptions (e.g., density, adjacencies, traffic data, sustainability measures) to keep current this policy framework which guides the physical development of the UCR campus.

PRIORITIES

Establishing UCR's priorities for capital investment involves ongoing engagement with campus academic and administrative leadership in a variety of settings. Recommendations for capital investments are discussed by the Capital Program

Advisory Committee and the Physical Resource Committee of the Academic Senate. During 2010-11, the priorities for UCR's capital program have also been reviewed relative to the *UCR 2020: The Path to Preeminence* strategic planning document. The priorities for UCR's *2011-21 Capital Financial Plan* include:

- Strategic investment in campus instruction and research capacity with appropriate new facilities, or renewal or replacement of obsolete facilities.
- Strategic investment in the quality of the student environment through new housing, dining, and support facilities, and renewal of aging student-life assets.
- Development of UCR's West Campus, including professional and graduate facilities, student family housing, and the School of Medicine.
- Reshaping of UCR's portfolio to increase the availability of discretionary funds and provide the campus with greater flexibility to realize strategic objectives.

RESOURCES

Assumptions regarding resources for UCR's *2011-21 Capital Financial Plan* are essentially extensions of the 2010-20 plan. They continue to be dominated by uncertainties regarding the availability of general obligation and lease revenue bond funds, and the stability of major financial

markets in which to place UC long-term debt. The current assumptions are summarized below:

Enrollments. For the purpose of updating UCR's ten-year plan, enrollment is assumed at a minimum 18,030 student FTE by 2012-13. Beginning in 2014-15, an increase of one percent per year is assumed through 2010-21, yielding 19,330 student FTE by the last year of the plan. Future iterations of the plan will reflect updated ten-year enrollment assumptions as they are developed.

State Funding. The *2011-21 CFP* assumes the availability to UC of two- to four-year general obligation bonds funded at \$450 million per year beginning in 2012-13. As such, the ten-year plan includes a total of \$469.7 million in State support for the general campus. Also assumed is a ten-year Health Sciences Expansion general obligation bond measure at \$100 million beginning in 2012-13. Timing of UCR's School of Medicine projects is based on a proportionate share of this funding should it become available within this timeframe. In addition, the absence of permanent State funds for operation and maintenance of plant (OMP) during the life of the plan will impact UCR's operating resources, which will have to be re-directed on a selective basis to provide appropriate levels of maintenance for both existing and new buildings.

External Financing. The *2011-21 CFP* assumes a combination of long-term debt for fee-funded

auxiliaries needs (e.g., housing, dining, parking, student recreation facilities) and central campus debt for strategic initiatives (e.g., Health Sciences Surge Building from 2008-09). Current investment in central debt-funded strategic initiatives limits future investments without growth in other components of UCR's resource portfolio supported by the new debt-model assumptions.

Gift Funding. The campus is currently conducting a fundraising effort to support refurbishment of the gymnasium in the Physical Education building for the UCR Athletics Practice Center. During 2010-11, the academic and administrative leadership of the campus will be engaged in formulating goals for a forthcoming fundraising campaign. The campus will identify potential capital project opportunities and will advance those projects once the associated gift targets have been reached.

Federal Funding. In 2009-10, UCR was notified of a pre-award for \$3.7 million from the Health Resources and Services Administration (HRSA) based on congressional authorization of HRSA funding in December 2009. This funding replaced the same amount of campus funds previously allocated for the School of Medicine Research Building (formerly the Health Sciences Surge Building). UCR will continue to evaluate and pursue all applicable federal facilities grant opportunities during the course of the ten-year plan.

Public-Private Partnerships. In 2009, the campus concluded initial due diligence related to third-party development of West Campus Housing. Based on insufficient demand and unfavorable financials, UCR elected to defer this approach for delivery of the housing until an update to the *Strategic Plan for Housing* can be completed for this portion of the campus. Public-private partnership opportunities are evaluated routinely as part of the development of business case analysis prior to investment in any capital project solution.

TIMING AND SEQUENCE OF PROPOSED PROJECTS

The early years of UCR's 2011-21 CFP focus on responding to past growth to alleviate capacity shortfalls in instruction and research space, providing technologically appropriate space for new initiatives or shared core facilities, and expanding capacity and programmatic flexibility for UCR's student environment. Representative projects include Engineering Building Unit 3, Psychology Building Phase 2, Student Recreation Center Expansion, and the Aberdeen-Inverness Common Area Improvements project.

The latter years of the ten-year plan focus on addressing obsolescence of aging campus facilities and infrastructure. Renewal investments

focus on extending the useful life of targeted facilities to enhance functionality and improve operating and maintenance efficiencies, while simultaneously reducing the environmental footprint for each building. Representative projects include Pierce Hall Improvements, Academic Facilities Improvements projects, East Campus Infrastructure Improvements Phases 3 and 4, and all facets of UCR's capital renewal program.



Psychology Building

RISKS OF PROPOSED CFP

Risks associated with the UCR's 2011-21 *Capital Financial Plan* include impacts to the following areas of capital investment:

Instruction and Research Infrastructure. State bond funds, whether general obligation or lease revenue, represent core investment opportunities for UCR's instruction and research infrastructure. Ongoing uncertainties regarding the future availability of State bonds, in terms of timing and amount, hamper UCR's ability to develop coherent

long-term investment strategies to expand or renew its infrastructure. The absence of general obligation bond measures in both 2008 and 2010, has delayed completion of facilities for several years. This has, in some cases, constrained researchers' abilities to pursue grant opportunities when the anticipated research environments necessary to complete the work have not materialized. Similarly, general assignment classrooms, as well as teaching laboratories, remain oversubscribed as new or replacement facilities have not been realized within originally assumed timeframes. This condition limits the number of course offerings, which can impact a student's time to degree as well as the quality of the learning experience in an ill-equipped or overcrowded teaching environment.

Student Environment. UCR has made significant investments in improving the quality of its student environment, which in turn positively impacts student recruitment and retention. Most student environment-related facilities are funded primarily through external financing, with repayment from fees paid by students (e.g., housing fees, referendum-based fees). The continued development of facilities to support appropriate service delivery to students is critical in establishing UCR as a campus of first choice for prospective students. The campus continues to experience high demand for on-campus housing, as well as for expansion of student recreation

opportunities. Completion of the Glen Mor 2 (approved in 2009-10) and Student Recreation Center expansion projects will significantly address these needs within the ten-year plan. If these projects are deferred, UCR risks compromising its ability to provide an environment which addresses a variety of student needs (including learning opportunities outside structured classroom environments) and, therefore its desirability to prospective students.

West Campus Development. Long-term viability of UCR's graduate and professional schools, as well as the School of Medicine, includes development of the West Campus academic core. Initial development envisions facilities to accommodate the Graduate School of Education, School of Public Policy, and new facilities for the long-term buildout of the School of Medicine. Each of these requires a significant investment in infrastructure both below (e.g., power, steam, chilled water, sewer) and above (e.g., roadways, landscaping) ground. Risks associated with an inability to develop the West Campus include operational constraints for graduate and professional programs in inadequate space, or in locations that do not support functional affinities with related programs. For the School of Medicine, a failure to develop the West Campus facilities within a ten-year horizon would constrain or prevent expanded enrollments and access to the program itself. Similarly, research

opportunities would be compromised from lack of laboratory space and shared core facilities (e.g, dedicated animal facilities) supporting the long-term development of the SOM research enterprise.

Resource portfolio to leverage investment.

Diversification of UCR's resource base is critical for the successful long-term development of its capital program. Without it, the campus risks deferral of new space, fewer renewed facilities, and less renewed infrastructure to address program needs. In an OMP-constrained environment, diversification of UCR's capital resource portfolio is an essential part of a long-term asset management strategy to ensure that adequate levels of maintenance are achievable.

CFP UPDATE

Primary updates to the last year's *CFP* include the following:

Confirmation of alignment with UCR 2020 strategic goals.

Change in timing, particularly in the early years of the *CFP*, for projects assuming some increment of State funding. This is due in large part to the absence of a 2010 bond measure for general campus projects, as well as one for health sciences-related projects.

Revision to some non-State-funded project budgets, the result of additional detailed scope and cost information since the 2009 version of the *CFP*

(e.g., Aberdeen-Inverness Common Area Improvements).

Addition of the Commons Mall and Campus Bookstore Renovation and Enhancement project. The project's conceptual framework and subsequent pre-design phase were initiated and completed in spring of 2010-11.

CONCLUSION

Addressing the priorities of the *2011-21 CFP* will require critical evaluation of alternatives to capital projects themselves, to capital project delivery methods, and to capital project funding strategies within the resource constraints assumed for this plan. From a programmatic standpoint, any capital investment for UCR must by definition be supporting initiatives already deemed mission-critical for the campus. Realizing the *CFP* priorities will also necessitate development or refinement of models for effective asset management to guide strategic resource decisions. These would include life-cycle costing/return-on-investment *pro formas*, metrics for highest and best use of space, and mechanisms for charging for occupancy of space to meet operations, maintenance, and purchased utilities costs.

Riverside

PROJECT	Seismic/Life Safety	Enrollment Growth	PRIMARY OBJECTIVE				New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
			Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
State Funded Program																
E & G - GENERAL CAMPUS																
Environmental Health and Safety Expansion					•	N	17,019 1,082 X			373					18,474	
Batchelor Hall Building Systems Renewal					•	I	402		13,492						13,894	
Engineering Building Unit 3					•	N			72,919		4,498 1,084 X				78,501	
Pierce Hall Improvements					•	R			21,135						21,135	
Psychology Building Phase 2					•	N			16,636		933				17,569	
West Campus Graduate and Professional Center, Phase 1					•	N			1,657	2,258	44,732	3,346			51,993	
West Campus Infrastructure Improvements					•	I			591	789	14,668				16,048	
Capital Renewal Program	•				•	I				5,737	3,745	4,300	4,318		18,100	
East Campus Infrastructure Improvements Phase 3					•	I				7,328					7,328	
Academic Facilities Improvements					•	R				7,800					7,800	
West Campus Infrastructure Improvements 2					•	I						400	700	13,000	14,100	
West Campus Graduate and Professional Center, Phase 2					•	B						1,000	2,000	46,000	49,000	
Academic Facilities Improvements, Step 2					•	R								21,600	21,600	
East Campus Infrastructure Improvements, Phase 4					•	I								10,800	10,800	
East Campus Core Research Facilities					•	N								64,800	64,800	
Academic Facilities Improvements 3					•	R								11,217	11,217	
E & G - HEALTH SCIENCES																
School of Medicine: Infrastructure and Facilities					•	N				113,931	52,069				166,000	
STATE FUNDING								0	126,430	138,216	120,645	9,046	7,018	167,417	568,772	
NON-STATE FUNDING								0	0	0	1,084	0	0	0	1,084	
TOTAL STATE PROGRAM								0	126,430	138,216	121,729	9,046	7,018	167,417	569,856	

^This represents State resources assigned for UCR's School of Medicine. See page 89 for additional details.

Riverside

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE				New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements										
Non-State Funded Program*															
E&G															
Capital Project \$750K to \$5M (E&G)				•	B		5,683 X	5,740 X	5,798 X	5,914 X	5,973 X	6,033 X	24,741 X	59,882	
Corp Yard Facilities Enhancement				•	B		4,600 X							4,600	
AUXILIARY - PARKING															
Parking Structure		•			N			20,399 LB 3,264 N						23,663	
AUXILIARY - STUDENT HOUSING & DINING															
Aberdeen-Inverness Common Space Improvement		•			R		54,750 LB 4,000 N							58,750	
Barn Expansion				•	R			22,680 LB 1,000 N						23,680	
Dundee Residence Halls, Phase 1		•			N			90,388 LB 3,450 N						93,838	
Capital Projects \$750K to \$5M (Auxiliary Enterprises)				•	B		2,125 N	2,147 N	2,168 N	2,211 N	2,233 N	2,255 N	9,250 N	22,389	
AUXILIARY - STUDENT ACTIVITIES, RECREATION, ATHLETICS (FEE)															
Commons Mall and Campus Bookstore Restoration and Enhancement				•	R		8,000 N							8,000	
<i>*The detailed debt affordability assumptions for the Riverside campus are continuing to undergo refinement, and this Capital Financial Plan is subject to a revision based upon the campus debt affordability model</i>															
TOTAL NON-STATE PROGRAM							79,158	149,068	7,966	8,125	8,206	8,288	33,991	\$294,802	
TOTAL STATE PROGRAM							0	126,430	138,216	121,729	9,046	7,018	167,417	\$569,856	
TOTAL NON-STATE PROGRAM							79,158	149,068	7,966	8,125	8,206	8,288	33,991	\$294,802	
TOTAL CAPITAL PROGRAM							79,158	275,498	146,182	129,854	17,252	15,306	201,408	\$864,658	

Riverside

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
Future School of Medicine																
E & G - HEALTH SCIENCES																
School of Medicine Infrastructure Improvements 1						• I					26,931				26,931	
School of Medicine Instruction and Research 1						• N					87,000				87,000	
School of Medicine Instruction and Research 2						• N					41,325	279,675	TBD		321,000	
School of Medicine Infrastructure Improvements 2						• I					10,744	32,250	TBD		42,994	
STATE FUNDING (Incorporated in the State table)								0	0		113,931	52,069	0	0	166,000	
OTHER								0	0		0	311,925	0	0	311,925	
SUMMARY								0	0	0	113,931	363,994	0	0	477,925	

BATCHELOR HALL BUILDING SYSTEMS RENEWAL

- Upgrades or replaces elements of the HVAC (heating, ventilation, and air-conditioning) systems, the electrical system, and the plumbing and fire-protection systems.
- Obsolete infrastructure is not code-compliant, is energy inefficient, and does not effectively support current laboratory science.
- Consistent with CFP goal of investment in UCR's teaching and research infrastructure.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	56,064
GSF	110,091

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$13,894,000
Total Budget	\$13,894,000

ENGINEERING BUILDING UNIT 3

- Constructs a facility for instruction and research programs in the bioengineering, chemical engineering, and environmental engineering program—addressing pressures from past growth.
- Provide modern class laboratories, research laboratories, and office space.
- Consistent with CFP goal of investing in UCR's teaching and research infrastructure.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$77,417,000
Campus Funds	\$1,084,000
Total Budget	\$78,501,000

Project Scope Summary	
ASF	53,475
GSF	90,636

PIERCE HALL INFRASTRUCTURE IMPROVEMENTS

- Renewal and upgrade of building systems to address a number of serious problems.
- Provides an energy-efficient building system to respond to changing instructional and research requirements.
- Cost-effective extension of the useful life of a core campus facility.
- Consistent with CFP goal of investing in UCR's teaching and research infrastructure.

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$21,135,000
Total Budget	\$21,135,000

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	66,723
GSF	114,269

PSYCHOLOGY BUILDING PHASE 2

- Provides modern research and support space for Psychology Neurosciences.
- Provide 18 wet-research laboratories to support Psychology research, replacing substandard research space in the South Wing of the Psychology building.
- Consistent with CFP goal of investment in UCR's teaching and research infrastructure.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	17,204
GSF	25,024

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$17,569,000
Total Budget	\$17,569,000

WEST CAMPUS GRADUATE AND PROFESSIONAL CENTER, PHASE 1

- Provides instructional space, academic office and support space, research space, and shared support space.
- Develops the West Campus Academic Core to support the Graduate School of Education and the School of Public Policy.
- Space vacated in the East Campus will be re-assigned to other programs.
- Consistent with CFP goal of investing in UCR's teaching and research infrastructure.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	44,100
GSF	73,500

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$51,993,000
Total Budget	\$51,993,000

WEST CAMPUS INFRASTRUCTURE IMPROVEMENTS

- Provides circulation and utility improvements to the West Campus.
- Develops the West Campus Academic Core to support the Graduate School of Education and the School of Public Policy.
- Consistent with CFP goal of investing in UCR's teaching and research infrastructure.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$16,048,000
Total Budget	\$16,048,000

ABERDEEN-INVERNESS COMMON SPACE IMPROVEMENT

- Renovation and new construction of common areas and amenities to support residence-life programs and replace outmoded 50-year-old facilities.
- Provides new dining and kitchen areas, food emporium with outdoor seating, game room, and lounge to support current student enrollments.
- Renovates former dining and kitchen area for meeting rooms, computer laboratory, and Resident Service Office to create a physical environment that promotes out-of-classroom learning opportunities.
- Renovates other spaces for fitness area and other support functions, new apartments for live-in professional staff.
- Project eligibility for the delegated process is dependent upon finalization of the campus debt affordability model, the determination of capital plan's financial feasibility, and the plan's acceptance by the Regents.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$54,111,000
Est. Annual Debt Service	\$3,931,000
Terms: 6%	30 years
Interest During Construction:	\$6,131,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Campus housing and dining revenues	

Project Scope Summary	
ASF	43,680
GSF	56,850

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$54,111,000
Auxiliary Reserves	\$400,000
Total Budget	\$54,511,000

BARN EXPANSION

- Renovates and expands the Barn Group facilities (Barn, Barn Stable, and the Cottage). These buildings were built around 1916 and have cultural relevance to the campus.
- Barn Stable and the Cottage will be relocated within the development area. A new courtyard and patio areas will be developed to support dining and campus events currently underserved in this area of the campus.
- Expands the existing kitchen, creates a coffeehouse, provides a meeting room, and increases indoor and outdoor seating.
- Project eligibility for the delegated process is dependent upon finalization of the campus debt affordability model, the determination of capital plan's financial feasibility, and the plan's acceptance by the Regents.

Budget Approval	
Budget Year	2012-13

Financing	
Long-Term	\$22,680,000
Est. Annual Debt Service	\$1,648,000
Terms: 6%	30 years
Interest During Construction:	\$1,602,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Dining and housing facilities revenues	

Project Scope Summary	
ASF	12,030
GSF	16,960

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$22,680,000
Auxiliary Reserves	\$1,000,000
Total Budget	\$23,680,000

CAPITAL PROJECTS \$750K TO \$5M (E&G)

- Constructs new space, renovates existing space, and completes tenant improvements for a variety of programmatic needs.
- The campus estimates a similar value, number, and scope of projects in future years.
- Consistent with the CFP goal of investment in UCR's teaching and research infrastructure.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$59,882,000
Auxiliary Reserves	\$0
Total Budget	\$59,882,000

CAPITAL PROJECTS \$750K TO \$5M (AUXILIARY ENTERPRISES)

- Constructs new space, renovates existing space, and completes tenant improvements for a variety of programmatic needs.
- The campus estimates a similar value, number, and scope of projects in future years.
- Consistent with CFP goal to invest in UCR's student environment.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
External financing	\$22,389,000
Total Budget	\$22,389,000

COMMONS HALL AND CAMPUS BOOKSTORE RESTORATION AND ENHANCEMENT

- Renovates first and second floors to include configured space for UCR Career Center and Card Office; upgrades lobby for Bookstore; provides ADA-required access; and replaces the HVAC to enhance operational efficiencies.
- Upgrades the Commons Mall, adjacent to the Highlander Union building.
- Consistent with CRP goals of investing in the student environment.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	25,510
GSF	32,725

Summary of Budget by Fund Type	
Funding Source	Amount
Auxiliary Reserves	\$8,000,000
Total Budget	\$8,000,000

CORP YARD FACILITIES ENHANCEMENT

- Redevelops portions of UCR's corporation yard to accommodate Mail Services, Special Events, and a new warehouse structure to enhance operational efficiencies.
- Renovates the existing EH&S facility for re-use by UCR's Printing and Reprographics Services.
- Supports CFP goal of investing in teaching and research infrastructure by enhancing campus support services.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	15,230
GSF	20,184

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$4,600,000
Total Budget	\$4,600,000

DUNDEE RESIDENCE HALL, PHASE 1

- Demolishes 88 units of existing Family Housing and constructs new undergraduate residence halls to accommodate 600 beds.
- Provides associated site development (e.g. parking, utility extensions, roadways, etc.).
- Responds to increasing demand for residence-hall housing and brings the campus capacity to approximately 37% of students, approaching the LRDP goal of 50%.
- Consistent with CFP and CPhDF.
- Project will target LEED™ Gold.
- The detailed debt affordability assumptions for this project are continuing to undergo refinement, and the financials are subject to revision based upon the campus debt affordability model.

Budget Approval	
Budget Year	2012-13

Financing	
Long-Term	\$90,388,000
Est. Annual Debt Service	\$6,467,000
Terms: 6%	30 years
Interest During Construction:	\$6,681,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Student referendum fees	

Project Scope Summary	
ASF	124,034
GSF	199,045

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$90,388,000
Auxiliary Reserves	\$3,450,000
Total Budget	\$93,838,000

Units	
Beds	600

PARKING STRUCTURE 1

- Project will construct the first general-campus parking structure, to be used primarily by faculty, staff, and visitors.
- Parking structure will alleviate congestion and will address the anticipated demand for parking. This section of the east campus is particularly impacted, and heavier traffic is expected in the future.
- The BCA may explore the use of PPP and be combined with the BCA required under the Sustainability Policy.
- Project eligibility for the delegated process is dependent upon finalization of the campus debt affordability model, the determination of capital plan's financial feasibility, and the plan's acceptance by the Regents.

Budget Approval	
Budget Year	2012-13

Financing	
Long-Term	\$20,399,000
Est. Annual Debt Service	\$1,482,000
Terms: 6%	30 years
Interest During Construction:	\$1,097,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Campus housing and dining revenues	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$20,399,000
Auxiliary Reserves	\$3,264,000
Total Budget	\$23,663,000

Project Scope Summary	
GSF	1070

Units	
1070 Spaces	

STUDENT RECREATION CENTER EXPANSION

- Provides new and renovated building space and an outdoor swimming pool and deck area.
- Contributes to the department's mission of providing recreation facilities and activities to a growing and increasingly health-conscious campus population.
- A fee referendum to finance this project was passed in April 2010 and approved by the President in July 2010.
- Consistent with CFP goal of investment in UCR's student environment.

Budget Approval	
Budget Year	2010-11

Financing	
Long-Term	\$52,200,000
Est. Annual Debt Service	\$3,792,000
Terms: 6%	30 years
Interest During Construction:	\$3,889,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Campus housing and dining revenues	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$52,200,000
Total Budget	\$52,200,000

Project Scope Summary	
ASF	53,044
GSF	77,185

SAN DIEGO

2011-21 Capital Financial Plan

SAN DIEGO

UC San Diego's origins date to 1912 when the Scripps Institution of Oceanography became part of the University of California. Established as a comprehensive general campus in 1960, UC San Diego has evolved into an internationally renowned research university. A distinguishing academic feature of the campus is found in its six semi-autonomous undergraduate colleges. Each college, with its own residential and academic facilities, has a distinctive educational philosophy that provides academic and extramural opportunities typically found only in small liberal arts colleges.

Professional and advanced degrees, as well as research opportunities, are provided by the general campus's divisions and graduate programs, the Graduate School of International Relations and Pacific Studies, the Rady School of Management, the Scripps Institution of Oceanography, the School of Medicine,

<u>SAN DIEGO CAMPUS FACTS:</u>	
Established	1912
FTE Enrollment 2010-11	
Undergraduates	24,692
Graduate Students	3,975
Health Science Students	1,734
Campus Land Area	2,143 acres
Campus Buildings	9.2 million ASF
Hospital and Clinics	890,000 ASF
Nobel Laureates (active & emeritus)	8
University Professors (active & emeritus)	7

the Skaggs School of Pharmacy and Pharmaceutical Sciences, and the UC San Diego Health System (medical center). In addition, UC San Diego administers associated ancillary programs, including childcare, housing, recreation, transportation and parking services, and public arts programs.

The *Long Range Development Plan* for UC San Diego, approved by the Regents in September 2004, provides a general land use plan which, in conjunction with the *Physical Design Framework*, guides the physical development of the campus. In addition to delineating academic and student life goals, the *LRDP* identifies development objectives, defines real estate goals, and estimates the amount of building space needed to support program expansion through the 2020-21 planning horizon period.

Each year, administrators within the area of each Vice Chancellor reassess capital project priorities that will achieve defined program goals and revalidate the financial feasibility of those projects. All project proposals are then reviewed annually with the Capital Outlay and Space Advisory Committee (COSAC), which advises the Chancellor on capital planning matters. COSAC specifically considers projects proposed for State funding and develops an integrated

campuswide priority listing of those projects for which State funding is warranted.



Bear Garden

CAMPUS GOALS AND OBJECTIVES

The overarching academic and strategic program priorities originally identified in the *2008-18 Capital Financial Plan (CFP)* remain valid, as does the capital process summarized in that plan. The ongoing construction of new facilities and renewal of existing buildings ensures that appropriate opportunities and conditions exist for students and faculty to flourish. Capital plans are driven by academic goals and are produced in collaboration with the Academic Senate through standing administrative committees. As the campus assesses its needs, it takes care to ensure that existing space is used in an effective manner.



View of Matthews Quad and Student Service Center

The goals and objectives supported by the *UC San Diego 2011-21 Capital Financial Plan* are described below.

New Facilities

Over the last decade, the campus has faced a shortage of space because funding for the construction of new facilities was unable to keep pace with the evolution of academic programs and significant enrollment growth. In response to recent economic constraints, enrollments at UC San Diego have been reduced. Nevertheless, without construction of new facilities, the campus will continue to grapple with the space shortages that arose with enrollment expansion, and some programs will be constrained given the limited nature of the space available for their operations. In addition, construction of new non-State-funded facilities to accommodate housing, recreation, and clinical programs is essential.

Renewal of Existing Facilities and Infrastructure

Many of the buildings serving the general campus and the health sciences programs are over 40 years old; a few at the Scripps Institution of Oceanography are nearly 100 years old. Renewal and upgrades are required to respond to health and safety requirements, obsolescence, and changing academic programs. Many older buildings cannot satisfactorily support modern teaching and research activities.

Funding is needed for the systematic renewal of building systems that wear out with normal use and require replacement on a regular basis. Renewal categories include mechanical systems (such as heating, ventilation, and air conditioning), plumbing, elevators, electrical equipment, fire protection, roofs, and built-in laboratory equipment.

In addition to addressing ongoing renewal needs, the campus has a substantial backlog of deferred maintenance in State-supported facilities. The current list of “mission-critical” deferred maintenance and renewal projects totals over \$40 million. Long-term State underfunding of basic ongoing maintenance has exacerbated the campus’s deferred maintenance problem and reduced the useful life of building systems. Modernizing these buildings and providing upgrades to meet fire, life-safety, and other code requirements are high campus priorities.

Over half of UC San Diego’s major research buildings – including biology and chemistry laboratories, high-energy physics laboratories, and animal care facilities –

require complex utility systems. A high proportion of laboratory and specialized research space is necessary to support programs in science, engineering, and other fields that are driven by rapid advances in information technology. Program modernization also is driving the need for renewal projects. Implementation of these projects will ensure the availability of space for cutting-edge research and solidify UC San Diego’s ability to recruit premier faculty, students, and staff.

Improvements to campus utilities plants – including renewal of building systems and introduction of new energy management and energy conservation equipment – have proven to be efficient and cost-effective and will continue to be implemented over the next several years. Improvements to the campus telecommunications network are needed to accommodate expanding computing and instructional technologies.

Sustainability Efforts

An important component of the University’s capital planning and design process entails incorporating environmentally sustainable features, with a special focus on conserving natural resources. UC San Diego’s capital projects comply with the *University of California Policy on Sustainable Practices* and adopt energy-efficient and sustainable features to the fullest extent possible. UC San Diego’s goal is to incorporate sustainability design features that result in a minimum U.S. Green Building Council (USGBC) LEED™ Silver

(or higher) rating, and the campus strives for gold or platinum ratings when possible. The campus also has completed a *Climate Action Plan* that includes goals and timelines for sustainability planning and actions to achieve climate neutrality.



Solar Panels

Life-cycle costing and evaluation of options have been made part of the design process to ensure economy and sustainability in systems designs and equipment selection. Parameters evaluated include cost, energy savings, operation and maintenance costs, replacement cost, and the ability to make future upgrades.

PRIORITIES

Maintaining an inventory of superior facilities is essential to the full engagement of students and faculty in the academic enterprise. During this period of economic recession, UC San Diego endeavors to be especially creative, prudent, and resourceful in its efforts to obtain funding for construction and maintenance of the campus's building and

infrastructure inventory. The projects included in the *2011-21 Capital Financial Plan* reflect the highest priorities for the campus, and all tie to the campus priorities described below.

The General Campus academic plan emphasizes interdisciplinary teaching and research – including collaborative instruction and research in advanced materials, biosystems engineering, chemical physics of biology, micro and macro economics, interdisciplinary humanities, integrative neurosciences, mathematics, mechanical engineering, molecular biology, molecular and nano-imaging, plant biology, renewable biofuel, interdisciplinary social sciences, structural engineering, superconductivity, undergraduate writing programs, and visual arts – as well as general large-class instructional space.

UC San Diego's Health Sciences mission focuses on education, research, and patient care and service; maintaining existing facilities to support expanding programs, such as molecular biology, genomics, and imaging; and repurposing released space for clinical support and laboratory spaces.

Scripps Institution of Oceanography's (SIO) mission is to seek, teach, and communicate scientific understanding of the oceans, the atmosphere, the earth, and other planets for the benefit of society and the environment. This includes coastal ocean-atmosphere research and collaborations related to chemical biology, interdisciplinary earth sciences, global observation, marine biology, marine-derived pharmaceuticals, and related sea-going enterprises.

To support the academic program, UC San Diego administers essential ancillary services including affiliated programs, childcare, housing, recreation, transportation and parking services, and public art programs.

Projects identified for funding in 2011-12 and 2012-13, will support new and expanding instruction and research programs, address critical systems renewal needs, improve capacity and distribution of utilities, and further enhance community relationships.

The first two years of the plan include several projects necessary to enhance the quality of instruction and research in the Division of Biological Sciences, the Division of Physical Sciences, the Division of Engineering, and campuswide academic and research initiatives. These include the Biological and Physical Sciences Building, for which State funding is necessary; the Structural and Materials Engineering Building, for which the final increment of State funding was appropriated in the 2011-12 State Budget; and the Central Research Services Facility project, originally funded with grant funds that created an opportunity for the campus to provide much-needed office and administrative space.

Near-term projects to support SIO's efforts include the SIO Research Support Facilities, to be funded with State resources appropriated in the 2011-12 State Budget; the Nimitz Marine Facility Pier Replacement (critical to maintain SIO's sea-going operations) and the Marine Biomedical Sciences Building, both of which will be funded with debt; and the Southwest Fisheries

Science Center Building D renovations, to be funded with SIO overhead.

Maintaining adequate laboratory space for the health sciences is a significant challenge. Many research programs are expanding in conjunction with new public health initiatives and new collaborations with campus-based programs and prominent research institutes in San Diego.

Among projects to support these programs, which require new types of space to unify instruction and research efforts, is the renovation of the Medical Teaching Facility, for which State funds are necessary.

Finally, aging utilities and infrastructure systems are being stressed by increased use and inadequate maintenance. Expansion of many systems is also essential. The Campus Life-Safety Improvements project, for which State funds are necessary, will provide critical improvements to fire-alarm and sprinkler systems in instruction and research buildings, as well as improvements to the associated infrastructure required for more responsible water management. In addition to providing a critical circulation connection between the west and east campuses, the proposed I-5/Gilman Bridge would provide conduits for expansion of the utility infrastructure. In addition, the campus continues to implement systems supported by renewable energy, such as the Solar Energy Projects for On-Campus Sites, to be funded with Clean Renewable Energy bonds.

RESOURCES

The *2011-21 Capital Financial Plan* includes only projects that both address campus priorities and meet the feasibility criteria of UC's standard financial *pro formas*. Consistent with the *Long Range Development Plan* and the *Physical Design Framework*, this *CFP* provides a framework for new, sustainable, energy-efficient facilities, the renewal of aging buildings and infrastructure, and the provision of essential utilities.

Key elements of the *2011-21 CFP* follow.

- With an estimated total value of \$1.83 billion, the *2011-21 CFP* includes 54 projects and is comprised of \$1.152 billion (63%) in non-State-funded projects and \$677.7 million (37%) in State-funded projects.
- Of the total ten-year plan funded with non-State resources, fund sources include \$434 million (38%) of anticipated gift funds, \$252 million (22%) of capital reserves, \$185 million (16%) of campus discretionary funds, \$142 million (12%) of external financing, and approximately \$139 million (12%) of federal funds.
- The plan reflects an estimated need for \$142 million of external financing, including \$121 million (86%) for academic (or education & general and non-medical-center health sciences) facilities and \$20 million (14%) for infrastructure projects.
- Broken down by function, \$1.259 billion (69%) is expected to be spent on academic (education &

general and non-medical-center health sciences) facilities; \$227 million (12%) for infrastructure projects; \$220 million (12%) for Health System (medical center) facilities; \$30 million (2%) for housing facilities; and the remaining \$94 million (5%) for various other facilities to support parking, student services, and administrative uses.

- Divided into three improvement types, \$959 million (52%) is for new construction, \$658 million (36%) for renovation and capital-renewal projects, and \$213 million (12%) for infrastructure development and renewal.

UC San Diego vigorously pursues gifts from private individuals, foundations, and other governmental agencies, both to supplement State resources and to develop projects that are not eligible for State funding. Gift-funded projects include the International Center Redevelopment, University House Rehabilitation, Wellness Center, Center for Integrative Neurosciences, Institute for Trans-scale Theory, Scripps Earth Exploration Center, ESPP Expansion (partially gift-funded),

University Art Gallery, Mandeville Center Renovation (partially gift-funded), and the Center for Biosystems Engineering. The campus has a long history of successful fundraising efforts. Given the currently weak national economy, which is constraining the capacity of donors to fund capital projects, the timing for the gift-funded projects is conservatively shown in

the *CFP*. These projects will be advanced only if the required gift funds are obtained.

In addition to capital projects, UC San Diego frequently addresses its space needs by acquiring facilities through affiliation agreements and through ground leases with research entities, private parties, and governmental entities. To meet campus needs, UC San Diego also leases over 500,000 rentable square feet of research and office space and strives to identify market opportunities to acquire proximate properties. Although new, specific acquisitions are not reflected in the updated *2011-21 CFP*, the campus continuously monitors real estate opportunities; it is possible that appropriate actions could be proposed if warranted by future circumstances.

Advancement of many projects shown in the *2011-21 CFP* will depend both on the University's ability to secure external financing and on a stable construction market. UC San Diego funds many projects through external financing, including projects which meet the needs of the health system, research programs, student housing, parking, infrastructure, and capital renewal. The feasibility of all projects in the plan that will require external financing has been confirmed using accepted business models for auxiliaries (self-supporting programs and facilities, such as housing and parking), education & general debt (for core instruction, research, and support space), health system debt (for patient care facilities and health

system support space), and plant operations, including energy savings programs. Capital Reserves and relatively minor amounts of campus discretionary funds comprise the remaining non-State fund sources.

CAPITAL FINANCIAL PLAN UPDATE

The projects included in UC San Diego's *2011-21 CFP* are summarized in the following table. Note that this *CFP* reflects an approximate \$215 million decrease relative to the total of \$2.045 billion indicated in the *2010-2020 CFP*.

The projects proposed for State funding remain consistent with previous years' priorities. As requested, the 2011-12 State Budget Act included appropriations for construction funding for the SIO Research Support Facilities and for equipment for the Structural and Materials Engineering Building. The campus resubmitted its request for design and construction funding for the Biological and Physical Sciences Building and for the Campus Life Safety Improvements Project – which includes the Campus Storm Water Management Phase 2 project, for which State funding was previously requested, and a fire- and life-safety project that had been identified for State funding in previous ten-year plans. With the exception of two new projects, the list of State-funded projects remains as previously proposed, with the anticipated years for funding adjusted to reflect limited State

resources. The two new projects include renovations for instruction and research space – Renovation for Large Lecture Hall and Instruction and Research Laboratory Renovation.

Regarding projects to be funded with non-State resources, several have been advanced and are no longer reflected in the ten-year plan, including the Clinical and Translational Research Institute Building and Torrey Pines Center North Renovations. New projects include Galbraith Hall Renovations to repurpose vacated space to support instruction and research activities, and an Algae Biofuel Test Facility to expand activities in renewable-energy research and associated grant funding possibilities.

For the most part, the projects shown in the *2010-20 CFP* continue to appear in the campus plans for 2011-21. Projects slated for budget approval during the first two years of the plan (2011-12 and 2012-13) have a combined total value of approximately \$343 million.

Finally, the *2011-21 CFP* reflects a feasible funding strategy for projects that UC San Diego expects to advance during this ten-year period. This set of projects, however, will not meet all needs. A number of other extremely important projects have been excluded from the ten-year plan – including many eligible for State support. These will advance when increased funding becomes available.

San Diego

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE						Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure										
State Funded Program																
E & G - GENERAL CAMPUS																
Structural and Materials Engineering Building		•					N	77,362	917							82,523
SIO Research Support Facilities				•			N	613	5,735							6,348
Biological and Physical Sciences Building		•					N			86,366		1,500	1,500 X			89,366
Campus Life Safety Improvements	•		•				I			21,946						21,946
Renovation for Large Lecture Hall		•					R				3,635					3,635
Muir Biology Building Renovation	•		•				I				5,450	49,620				55,070
Sverdrup Hall Renewal				•			I				1,165	10,485				11,650
Infrastructure Renewal Phase 1	•		•				I				1,280	11,550				12,830
Capital Renewal Program	•			•			R				3,000	3,400	3,400	3,400	16,800	30,000
Satellite Utilities Plant		•					I					2,670	24,010			26,680
SIO Seawater System Replacement			•				I					800	7,220			8,020
Economics Building Replacement					•		B					4,810	43,310			48,120
Building Systems Improvements Phase 1	•			•			I						1,260	11,325		12,585
Urey Hall Renovation	•			•			R							3,210	28,870	32,080
Engineering Interdisciplinary Facility					•		N							5,025	108,670	113,695
Marine and Earth Sciences Building					•		N							1,495	33,285	34,780

San Diego

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE						Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure										
Building Systems Improvements Phase 2	•			•		I								12,585	12,585	
Infrastructure Renewal Phase 2	•		•			I								12,830	12,830	
SIO Utilities System Improvements Phase 2			•			I								9,090	9,090	
Humanities and Social Sciences Office Building		•				N								13,520	62,545	
E & G - HEALTH SCIENCES																
Medical Teaching Facility Renewal				•		R			6,205	55,815					62,020	
Instruction and Research Laboratory Renovation				•		R					730	6,540		7,270		
Clinical Teaching Space Replacement				•		N							54,760	54,760		
STATE FUNDING								6,652	108,312	20,735	139,150	81,430	30,995	290,410	677,684	
NON-STATE FUNDING								0	0	0	0	1,500	0	0	1,500	
TOTAL STATE PROGRAM								6,652	108,312	20,735	139,150	82,930	30,995	290,410	679,184	

San Diego

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
Non-State Funded Program																
E & G - GENERAL CAMPUS																
Central Research Services Facility					•	B	695 X 14,286 F	8,000 X							22,981	
UCSD Medical Center Hillcrest Emergency Department Remodel					•	R	9,800 HR	4,200 HR							14,000	
Nimitz Marine Facility Pier Replacement					•	R		12,500 LB 9,500 X							22,000	
Algae Biofuel Test Facility					•	B		12,000 F							12,000	
Interstate 5 / Gilman Bridge			•			I		10,400 LB							10,400	
Galbraith Hall Renovations		•				R		9,500 X							9,500	
Solar Energy for On-Campus Sites				•		I		10,000 LB							10,000	
Southwest Fisheries Science Center, Building D Renovations				•		R		6,700 X							6,700	
Marine Biomedical Sciences Building					•	N			21,600 G 20,000 F						41,600	
Scripps Earth Exploration Center					•	B				60,000 G					60,000	
Clean Water Utility Initiative			•			I				60,000 F					60,000	
Institute for Molecular and Nano-Imaging					•	N				20,000 F 6,400 X					26,400	
Scripps Coastal Ocean Atmosphere Research Facility					•	N				10,500 F 2,000 X					12,500	
Urey Hall Renovation to Expand and Enhance Biomedical Research Facilities					•	R				8,200 F					8,200	
Institute for Trans-scale Theory					•	N								75,500 G	75,500	
Center for Integrative Neurosciences					•	N								75,000 G	75,000	
Extended Studies Public Programs (ESPP) Expansion					•	N								35,400 LB 34,100 G	69,500	

San Diego

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE						New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements												
Scripps Second Century Research Building					•	N									60,000 LB	60,000	
University Art Gallery					•	N									45,700 G	45,700	
Mandeville Center Renovation					•	R									13,500 LB 13,000 G	26,500	
Center for Biosystems Engineering					•	N									22,000 G	22,000	
Nimitz Marine Facility Shipping and Receiving Building					•	N									6,500 X	6,500	
Capital Projects \$750K to \$5M					•	B		13,000 X	13,000 X	13,000 X	13,000 X	13,000 X	13,000 X	13,000 X	52,000 X	130,000	
E & G - HEALTH SCIENCES																	
Medical Teaching Facility Renovation of Neural Circuits and Behavior Core					•	R					8,600 F					8,600	
AUXILIARY - PARKING																	
East Campus Parking Structure					•	N	13,840 HR 6,634 N 2,147 R	1,920 HR 105 N 259 R 1,200 X								26,105	
AUXILIARY - STUDENT HOUSING & DINING																	
Capital Projects \$750K to \$5M					•	R		3,000 N	3,000 N	3,000 N	3,000 N	3,000 N	3,000 N	3,000 N	12,000 N	30,000	
AUXILIARY - STUDENT ACTIVITIES, RECREATION, ATHLETICS (FEE)																	
International Center Redevelopment					•	N				18,000 G 2,200 X						20,200	
Wellness Center					•	N				60,000 G						60,000	
AUXILIARY - FACULTY HOUSING																	
University House Rehabilitation					•	R		9,054 G 1,450 U								10,504	

San Diego

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
MEDICAL CENTERS																
UCSDMC Hillcrest Clinical Laboratory Renovation				•		R		8,000 HR							8,000	
Capital Projects \$750K to \$5M				•		B		20,000 HR	20,000 HR	80,000 HR	200,000					
UCSDMC Hillcrest Utilities Infrastructure Improvements			•			I			8,000 HR						8,000	
TOTAL NON-STATE PROGRAM								140,788	105,800	271,700	36,000	36,000	36,000	524,700	\$1,150,988	
TOTAL STATE PROGRAM								6,652	108,312	20,735	139,150	82,930	30,995	290,410	\$679,184	
TOTAL NON-STATE PROGRAM								140,788	105,800	271,700	36,000	36,000	36,000	524,700	\$1,150,988	
TOTAL CAPITAL PROGRAM								147,440	214,112	292,435	175,150	118,930	66,995	815,110	\$1,830,172	

*Total Project Budget may include prefunding and proposed funding in years after 2020-21.

BIOLOGICAL AND PHYSICAL SCIENCES BUILDING

- Constructs a new building to provide teaching and research laboratories, nuclear-magnetic-resonance research facilities, and office and administrative space.
- Divisions of Biological Sciences and Physical Sciences need improved instruction and research facilities.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	51,000
GSF	87,900

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$87,866,000
Campus Funds	\$1,500,000
Total Budget	\$89,366,000

SIO RESEARCH SUPPORT FACILITIES

- Provides new space to support sea-going and remote-location research programs of the Scripps Institute of Oceanography.
- Flexible facility will allow staging and testing of equipment prior to transport and use by research expeditions.
- Existing facilities are inadequate for storage and protections of expensive research equipment and do not provide necessary space or utilities for staging and testing of equipment.
- Existing research-support structures date from the 1940s and are in severely deteriorated condition.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	21,300
GSF	24,500

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$6,348,000
Total Budget	\$6,348,000

CAMPUS LIFE SAFETY IMPROVEMENTS

- This project will address fire and life-safety improvements and improve storm-water-management system.
- Selected instruction and research buildings will be retrofitted with modern automatic sprinkler systems and modern, fully addressable fire-alarm systems.
- Obsolete non-compliant utility systems will be replaced, and storm-drain structural upgrades will comply with more stringent environmental regulations.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$21,946,000
Total Budget	\$21,946,000

STRUCTURAL AND MATERIALS ENGINEERING BUILDING

- Provides new class laboratories, research laboratories, offices, and related support spaces.
- Consolidates program space and accommodates past enrollment growth at the Jacobs School of Engineering and the Department of Visual Arts..

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	110,593
GSF	165,812

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$78,279,000
Campus Funds	\$4,244,000
Total Budget	\$82,523,000

ALGAE BIOFUEL TEST FACILITY

- Provides wet-laboratory research space, greenhouse space, and a pond.
- Constructs a showcase facility, expanding on current research and demonstrating renewable biofuel production from algae.
- The campus continues to be on the cutting edge for research and implementation of renewable energy.
- Project will advance when sufficient grant funds are available.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	6,000
GSF	9,000

Summary of Budget by Fund Type	
Funding Source	Amount
Grant-other	\$12,000,000
Total Budget	\$12,000,000

CAPITAL PROJECTS \$750K to \$5M (E&G - GENERAL CAMPUS)

- Includes facility renovations, equipment installations, and life-safety and infrastructure improvements.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$130,000,000
Total Budget	\$130,000,000

CAPITAL PROJECTS \$750K to \$5M (AUXILIARIES)

- Includes facility renovations, equipment installations, life-safety and infrastructure improvements for housing and dining facilities.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Auxiliary Reserves	\$30,000,000
Total Budget	\$30,000,000

CAPITAL PROJECTS \$750K to \$5M (MEDICAL CENTERS)

- Includes facility renovations, equipment installations, and life-safety and infrastructure improvements in hospital and clinical settings.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$200,000,000
Total Budget	\$200,000,000

CENTRAL RESEARCH SERVICES FACILITY

- Provides centralized research-sanitation support, mainly cage-wash services; renovates some existing space and relocates existing equipment to the new facility.
- Adds two floors of office and administrative space for departments that directly support research, mitigating space shortages in Health Sciences programs and consolidating operations for Resource Management and Planning and Research units.
- Consolidates research-sanitation facilities currently at seventeen locations on campus.

Budget Approval	
Budget Year	Prefunded

Summary of Budget by Fund Type	
Funding Source	Amount
Federal (Grant)	\$14,286,000
Campus Funds	\$8,695,000
Total Budget	\$22,981,000

Project Scope: New	
ASF	28,930
GSF	42,356

Project Scope: Renovation	
ASF	1,195
GSF	1,590

EAST CAMPUS PARKING STRUCTURE

- Provides 1,245 parking spaces and a recreation field under which some of the parking spaces will be constructed. University Fee Reserves will fund costs associated with the recreation field.
- Supports the increased parking needs of patients, visitors, and staff at East Campus.
- Scope augmented to include utility work planned as part of a master utility plan for the East Campus.

Budget Approval	
Budget Year	Prefunded

Project Scope Summary	
GSF	470,200

Units	
	1245 Spaces

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$15,760,000
Auxiliary Reserves	\$6,739,000
Univ Fee Reserves	\$2,406,000
Campus Funds	\$1,200,000
Total Budget	\$26,105,000

GALBRAITH HALL RENOVATIONS

- Space released in Galbraith Hall as the result of operational consolidations will be renovated to provide needed support to undergraduate instruction and to alleviate some academic and administrative space constraints in select departments.
- The utilization of the campus's large lecture halls, with seating capacity above 300 seats, is approximately 134% of CCHE standards; and it is critical that additional teaching space be provided.
- A need for two 400-seat lecture halls has been identified, and the project will implement renovation for one, with the other proposed for State funding in a subsequent year.
- In addition to the lecture hall, space will be renovated to provide study space for undergraduates, expansion for Theatre and Dance programs in the building, and additional administrative-office space for other academic departments.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$9,500,000
Total Budget	\$9,500,000

Project Scope	
ASF	29,500
GSF	36,280

INTERNATIONAL CENTER REDEVELOPMENT

- Provides improved and additional space to support study-abroad programs and international students and scholars at the International Center. The current configuration of space constrains functionality.
- New building provides almost 50% more space than current facilities, including offices, meeting rooms, kitchen facilities, and outdoor gathering spaces.
- Current space provides only a fraction of the space needed to support the growing programs; in addition, the existing space would require major renovation to comply with current building codes, repair serious building deterioration, and replace aging building systems.
- An initial study determined that demolishing existing facilities and building new space was more cost-effective than renovation.
- Project will advance when sufficient gift funding is available; fundraising efforts are ongoing.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$18,000,000
Campus Funds	\$2,200,000
Total Budget	\$20,200,000

Project Scope	
ASF	25,400
GSF	34,200

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$18,000,000
Total Budget	\$18,000,000

INTERSTATE 5 / GILMAN BRIDGE

- Project realigns Gilman Drive on the west campus and constructs a bridge across Interstate 5, linking to the East Campus Medical Center Drive loop road; expands utility connections to provide system improvements and redundancy.
- Interstate 5 freeway divides campus in a north-south direction, with approximately two-thirds of campus development on the west side and one-third on the east.
- With significant development on the east campus, pedestrian and vehicular traffic between the west and east campuses is increasing; the only current options for travel are public streets and one campus crossing (Voigt Bridge).
- A secondary crossing will alleviate traffic on the existing public and campus roads and provide a closer connection between Health Sciences facilities located on both sides of the freeway.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$10,400,000
Total Budget	\$10,400,000

Financing	
Long-Term Financing	\$10,000,000
Est. Annual Debt Service	\$761,000
Terms: 6%	30 years
<u>Anticipated Repayment Source:</u>	
General Revenue Bond	
<u>Anticipated Fund Source:</u>	
Indirect Cost Recovery	

Project Scope	
ASF	
GSF	

MARINE BIOMEDICAL SCIENCES BUILDING

- Constructs new research laboratory and lab-support space and offices to support cutting-edge marine biomedical research.
- Space shortages constrain the current operation and expansion capabilities of research initiatives such as marine biomedical sciences. New facilities are necessary to support research in marine-derived pharmaceuticals, chemical biology, genomics, and molecular and genetic biosynthesis, as well as efforts to promote discoveries benefiting public health.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Gift Funds	\$21,600,000
Federal (Grant)	\$20,000,000
Total Budget	\$41,600,000

Project Scope	
ASF	26,200
GSF	42,800

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$21,600,000
Total Budget	\$21,600,000

NIMITZ MARINE FACILITY PIER REPLACEMENT

- Provides new pier facilities, including concrete pilings, deck panels, and ship-fendering system, as well as associated utilities, including electricity, potable water, and sewage service.
- Existing pier has exceeded its designated service lifespan and must be replaced. Pier structural components and utility systems have deteriorated beyond repair. The pier is essential to the operation of oceanographic research vessels, which are central to the SIO research mission.
- Project will advance when sufficient federal funds are available. Campus did not receive an award for a previous grant submittal; however, other grant opportunities are being explored.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$12,500,000
Campus Funds	\$9,500,000
Total Budget	\$22,000,000

Project Scope	
ASF	
GSF	

SOLAR ENERGY FOR OFF-CAMPUS AND ON-CAMPUS SITES

- Installs photovoltaic systems and associated equipment on selected buildings (both on- and off-campus); includes necessary modifications to support systems.
- In October 2009, the IRS allocated approximately \$15 million in Clean Renewable Energy Bonds for solar energy projects on and off the main campus.
- Project will be implemented in phases, with the off-campus sites completed first. At this time, the campus is limited by the maximum generation capacity for energy incentives and is not yet able to move forward with on-campus projects.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$10,000,000
Est. Annual Debt Service	\$1,200,000
Terms: 5%	15 years
Interest During Construction:	\$700,000
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Savings in energy costs and energy incentives	

Summary of Budget by Fund Type	
Funding Source	Amount
External Financing	\$10,000,000
Total Budget	\$10,000,000

SOUTHWEST FISHERIES SCIENCE CENTER, BUILDING D RENOVATIONS

- With completion of the new NOAA Southwest Fisheries Building, space in Building D will be vacated and returned to the campus.
- Provides necessary research laboratory and teaching space to support academic programs and Scripps, including building-systems improvements.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$6,700,000
Total Budget	\$6,700,000

UCSDMC HILLCREST CLINICAL LABORATORY RENOVATION

- Renovates selected space in the hospital at Hillcrest to provide expanded and more efficient space for core services, such as the blood bank and the rapid-response laboratory. Updates clinical laboratory services to use state-of-the-art automated technology.
- Redistributes specialty services among Medical Center facilities, creating opportunities to improve vacated space.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$8,000,000
Total Budget	\$8,000,000

Project Scope Summary	
ASF	10,000
GSF	16,000

UCSDMC HILLCREST EMERGENCY DEPARTMENT REMODEL

- Provides for expansion and renovation of the Emergency Department and several related hospital units (such as Outpatient Registration, Blood Draw, and CT services).
- Makes significant upgrades to HVAC system, fire alarm, nurse call, code blue, voice/data systems, and impacted emergency power requirements.
- Project scope was increased to include renovation of adjacent space for CT services, providing better support to the Emergency Department.

Budget Approval	
Budget Year	Prefunded

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$14,000,000
Total Budget	\$14,000,000

Project Scope Summary	
ASF	6,930
GSF	8,398

UCSDMC HILLCREST UTILITIES INFRASTRUCTURE IMPROVEMENTS

- Replaces or upgrades major systems including gas, water, storm drain, and sewer systems.
- Much of the underground utilities infrastructure at the Hillcrest campus is more than sixty years old and has deteriorated to such a degree that failures are becoming common.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$8,000,000
Total Budget	\$8,000,000

UNIVERSITY HOUSE REHABILITATION

- Corrects facility and code deficiencies while preserving the historical and cultural character of the property.
- Provides necessary improvements to the existing structure; upgrades utility systems; upgrades public and private-residence spaces while minimizing disturbances at site.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$9,054,000
Campus Funds	\$1,450,000
Total Budget	\$10,504,000

Project Summary: Renovated	
ASF	7,450
GSF	11,400

Gift Campaign Summary	
Gifts in Hand	\$9,054,000
Gifts Pledged	
Gifts to be Raised	-
Total Budget	\$9,054,000

SAN FRANCISCO

2011-21 Capital Financial Plan

SAN FRANCISCO

Founded in 1873, the San Francisco campus is the only campus in the University of California system dedicated exclusively to health sciences. Today, the campus is a leading institution dedicated to promoting health worldwide through advanced biomedical and translational research, graduate-level education in the life sciences and health professions, and excellence in patient care.



UCSF Medical Center at Parnassus

UCSF operates three major, almost equally large, campus sites at Parnassus Heights, Mission Bay, and Mount Zion. Other smaller sites include Laurel Heights, the Mission Center building, the Minnesota Street building, and Buchanan Dental Clinic. UCSF also occupies space at San Francisco General Hospital (SFGH) and at more

than two dozen leased sites throughout the city. The majority of buildings at Parnassus, Mount Zion, and SFGH were constructed prior to 1980 and now require substantial modernization and capital improvement to continue to advance UCSF's strategic goals.

UCSF moved to the current Parnassus site in 1897, and expansion at Parnassus Heights continued through the 1970s. In the 1980s, UCSF decentralized its administrative and support units to sites away from Parnassus to release space for academic and clinical uses. During this period, UCSF acquired facilities at many of its current locations, including Mount Zion, Laurel Heights, and the Mission Center building.

The *1996 Long Range Development Plan (LRDP)* identified the need to acquire a major new site to accommodate programs from Parnassus Heights, to consolidate activities from other sites, and to expand research programs. In 1997, Catellus Development Corporation and the City and County of San Francisco donated a 42.5-acre site at Mission Bay to the University, which approved its establishment as the Mission Bay campus site. Since 1997, over 70% of the planned campus

build-out has been completed or approved for construction. In January 2007, UCSF acquired an additional 14.5 acres immediately south of the campus site for the facilities of the future UCSF Medical Center at Mission Bay.



UCSF Medical Center at Mission Bay Rendering

Among the UC campuses, UCSF is unique in that it has multiple medical research and clinical sites, located in densely developed areas and distributed throughout San Francisco. A part of the urban fabric of the neighborhoods in which they are located, all of UCSF's locations have public streets surrounding, adjoining, and in some cases running through them. The densely urban context of San Francisco and the highly complex nature of UCSF's medical research and clinical facilities pose considerable construction challenges and

contribute to higher project costs at UCSF relative to other UC locations.

SAN FRANCISCO CAMPUS FACTS:	
Established	1873
FTE Enrollment 2010-11	
Undergraduates	0
Graduate Students	0
Health Science Students	4,363
Campus Land Area	198 acres
Campus Buildings	4.0 million ASF
Hospitals and Clinics	1.3 million ASF
All Buildings (owned & leased)	9.3 million GSF
Nobel Laureates (active & emeritus)	4
University Professors (active & emeritus)	1

CAMPUS GOALS AND OBJECTIVES

In 2009, Susan Desmond-Hellmann became the ninth Chancellor of the San Francisco campus and soon conveyed that her priorities include patient care, discovery, education, people, and business. Her priorities reinforce the goals of the *UCSF Strategic Plan*, developed in 2007, and serve as a guide in advancing the four-fold campus mission of education, research, patient care, and community service.

Specifically, the *Strategic Plan* contains seven goals:

- Fostering innovation and collaboration

- Translating discoveries into improved health outcomes
- Educating future leaders
- Providing highest-quality, patient-centered care
- Nurturing diversity
- Promoting a supportive work environment
- Serving our communities

These *Strategic Plan* goals will inform the update of the *1996 LRDP*, which is undergoing a comprehensive revision. The *LRDP* update will build on a group of preliminary planning studies of several campus sites and will provide the physical context for future capital improvement projects.

The campus's *Ten-Year Capital Financial Plan* and *Physical Design Framework* (accepted by the Regents in September 2010) and the *2010-20 Consolidated State and Non-State Capital Financial Plan (CFP)* (accepted by the Regents in November 2010) share common goals and priorities: to ensure safe working and learning environments, to fulfill important clinical and academic priorities, to provide efficient and sustainable infrastructure, to provide needed support facilities, and to enhance the public realm.

UCSF has developed a comprehensive sustainability strategy applicable to new construction and renovations, as well as to campus and Medical Center operations.

Sustainability efforts are practiced across all UCSF constituencies and cover all aspects of ongoing operations, including green building design, clean energy standards, climate-protection practices, sustainable transportation, sustainable operations, waste reduction, environmentally preferable procurement, and sustainable foods.

PRIORITIES

Unlike all other UC campuses, UCSF does not have a large undergraduate student body, only a small population of graduate and professional students in health-science-related fields. Didactic teaching facilities are few in comparison to the number of clinical and research facilities. In consequence, most of UCSF's capital program is focused on clinical and research needs.

Over the past ten years, the bulk of capital investment has been devoted to constructing new buildings for program growth. UCSF's commitment to the new Medical Center facilities at Mission Bay highlights a period of major facility expansion with emphasis on new clinical and academic research facilities.

Over the next ten years, most capital expenditures will be directed toward renovations and upgrades or building replacements to address inadequate infrastructure, seismic and life-safety deficiencies, and obsolete research and clinical-care facilities as

discussed in the *2010-20 CFP* and in the updated *2011-21 CFP*.

Ensure Safe Working and Learning Environments

At Parnassus, UCSF is evaluating how to address the seismically “Poor” condition of UC Hall through remediation and adaptive reuse, as an alternative to the current *LRDP* plan for demolition. To change the campus’s current policy on UC Hall, the *LRDP* would need to be amended – after analysis of any implications for the space ceiling, discussion with the community, and completion of environmental review. The campus is also assessing how to remediate the seismically “Poor” condition of the Clinical Sciences Building at Parnassus and the seismically compromised academic buildings occupied by UCSF staff and faculty at the San Francisco General Hospital site. UCSF is constructing new clinical facilities at Mission Bay as part of a long-term, phased plan of replacing the seismically deficient hospitals at Parnassus and Mount Zion and complying with seismic regulations for acute-care facilities. When these new facilities open, and clinics and other operations at Mount Zion are shifted to Mission Bay, seismically deficient buildings at Mount Zion will be vacated and demolished, or remediated and converted to outpatient clinics.

Over the past decade, the campus has used campus funds and most of its State funding allocation for life-safety and infrastructure projects. While those investments have helped meet critical needs, many of the buildings and much of the utility infrastructure at Parnassus Heights and Mount Zion, as well as some outlying campus sites, are reaching 30 years of age or more. As a result, UCSF continues to be faced with capital need to address fire, life-safety, and code deficiencies, as well as toxic hazards, to ensure the safety of working and learning environments.

Fulfill Important Clinical and Academic Priorities

To provide the most advanced medical care possible within existing clinical settings, the UCSF Medical Center must continually improve its inventory of existing hospitals and clinics through a program of sequenced renovations. After the relocation of women’s, pediatric, and cancer programs to Mission Bay within the next four years, UCSF is planning to construct or lease space at Mission Bay to accommodate the academic-office needs of clinicians and staff critical to the new Medical Center. Once the clinical programs and clinicians move to Mission Bay, vacated space at Parnassus and Mount Zion will be renovated and occupied by other clinical programs. In addition, the campus proposes to

build out the fourth-floor shell space in the Helen Diller Family Cancer Research Building at Mission Bay and renovate existing teaching, research, hospital, and clinic space at Parnassus and Mount Zion.

Provide Efficient and Sustainable Infrastructure

UCSF continues to be engaged in several phased projects to upgrade or replace obsolete building systems and to improve the sustainability of underground site infrastructure at its older campus sites. Similarly, the Medical Center plans to upgrade building systems in existing clinical facilities. The campus also plans a centralized utilities system at Mission Bay, to be constructed in three phases over a period that will extend beyond the next decade and the period of the *2011-12 CFP*.

Provide Needed Support Facilities

Housing is one of the primary support facilities needed at UCSF to attract and retain students, faculty, and staff. The campus is exploring possibilities for future renovation of additional University-owned houses on Third and Fifth Avenues at the Parnassus campus. In addition, expansion of the Third Street parking structure will be needed to support further Mission Bay development.

Enhance the Public Realm

Major capital projects expected to affect the appearance of streets, open spaces, and building facades include the seismic programs for the Clinical Sciences Building and UC Hall at Parnassus and the new Third Street parking structure expansion at Mission Bay. As future funding is identified, major urban-design projects will be added to the capital program.

RESOURCES

Over the next decade, the campus proposes a capital investment of \$1.1 billion, comprising \$176.39 million in State funds and \$934 million in non-State funds.

Medical Center reserves will fund renovations and infrastructure improvements at UCSF's two existing medical centers at Parnassus and Mount Zion. Most of the State funds and campus funds will be used to address seismic problems and infrastructure deficiencies at the Parnassus campus site.

The campus is cautious about identifying specific fund sources for additional near-term and most long-term projects because of the following factors: significant ongoing financial commitments to major buildings under construction, including the UCSF Medical Center at Mission Bay; the current

economic recession; and an operating budget under stress because of budget cuts, rising pension costs, post-employment benefit costs, and increasing facility-operating expenses.

The future role of debt in the capital program will be determined largely by the outcomes of the operating budget issues. The campus anticipates that external financing will be used to construct the second phase of the Third Street parking structure at Mission Bay; this project will be implemented toward the end of the ten-year period, reflecting current projections of expected demand. External financing may also be used to fund adaptive reuse of selected buildings for housing. The campus may also deploy privatized development as a means to construct new faculty-office space at Mission Bay. The future availability of State funds to support capital projects, as well as the availability of campus funds and gifts, remains uncertain.

TIMING AND SEQUENCE

The *2011-21 Capital Financial Plan* reflects the campus's prioritized projects based on the anticipated availability of resources. The proposed projects are aligned to maximize cash flow and are sequenced in accordance with the urgency of need and relationship to other projects. For example, a higher priority occurring early in the plan is the

third phase of the Medical Sciences Building Improvements, which will complete renovations in support of both modern research in the health sciences and the safety and comfort of building occupants.

CHALLENGES OF THE CAPITAL FINANCIAL PLAN

Because funding for them has not yet been identified, the *2011-21 Capital Financial Plan* omits a number of important capital projects.

Without confirmed funding, the campus is unable to pursue construction of major new facilities at Mission Bay for programs in global health and affiliated programs. In addition, the campus envisions the need to construct a major new academic facility for the School of Pharmacy, an educational commons, and renovations to the School of Nursing. The Medical Center will need a new cancer outpatient building at Mission Bay to provide continuity of care for cancer patients at the proposed clinical-facilities complex.

The campus will defer the construction of a utility distribution system at Parnassus that would increase reliability of service, as well as the completion of a full central-utilities system at Mission Bay designed to lower costs of delivery. Deferring the construction of these major projects may inhibit the development of some academic

programs at Parnassus and Mission Bay, as well as prolonging the unreliable distribution of utility services at Parnassus and costly utility distribution at Mission Bay.



This update reflects and is consistent with the content and conservative approach of the accepted 2010-20 CFP. The plan gives priority to renovation and infrastructure improvement of clinical space at UCSF's two existing medical centers at Parnassus and Mount Zion and to capital projects that address the seismic problems and infrastructure deficiencies at the historic Parnassus campus site. Such capital investment will reinforce campus priorities for modernization of space and infrastructure to support evolving clinical and research programs.



UCSF Mission Bay

San Francisco

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure									
State Funded Program															
E & G - HEALTH SCIENCES															
Koret Vision Research Building	•		•			I		445						665	
Emergency Diesel Generator Installation								220 X							
Electrical Distribution Improvements Phase 2	•		•			I	1,417	16,834						18,251	
Medical Sciences Building Improvements Phase 3	•		•			I		28,117						28,117	
Parnassus Fire Water Line Upgrade	•		•			I			4,667	2,333 HR				7,000	
Clinical Sciences Building (CSB) Seismic Program	•		•			I		5,000 X	80,000					85,000	
SFGH Academic Building Seismic Program Phase 1	•		•			N					45,327			45,327	
Mission Bay Central Utilities System Phase 2 (Distribution)				•		I							1,000	48,000	
													1,300 X		
STATE FUNDING							0	45,396	84,667	0	45,327	0	1,000	176,390	
NON-STATE FUNDING							0	5,220	2,333	0	0	0	1,300	8,853	
TOTAL STATE PROGRAM							0	50,616	87,000	0	45,327	0	2,300	185,243	

San Francisco

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE						Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements	New Construction, Renovation, Both, Infrastructure										
Non-State Funded Program																
E & G - HEALTH SCIENCES																
Mission Bay - Academic Building (Faculty Offices)						• N		118,000 LB							118,000	
Parnassus Gross Anatomy Renovation						• • R		7,400 X							7,400	
MB Helen Diller Family Cancer Research Building 4th Floor Buildout						• N			17,039 G						17,039	
Code Correction & Life Safety Projects \$750K to \$5M	•		•			I		11,700 X	11,700 X	11,700 X	11,700 X	11,700 X	11,700 X	46,800 X	117,000	
School of Medicine Renovation Projects						• • R			15,000 X						15,000	
UC Hall Seismic Program	•		•			I				80,000 X 55,000 LB					135,000	
Parnassus Obsolete Building Demolition						• • I				5,500 X					5,500	
SFGH Academic Building Seismic Program Phase 2	•		•			I						80,000 LB 5,000 X			85,000	
AUXILIARY - PARKING																
Mount Zion Parking Structure						• N		16,750 LB							16,750	
Mission Bay - Third Street Parking Phase 2						• N								18,000 LB	18,000	
MEDICAL CENTERS																
Moffitt / Long Hospitals 4th Floor Hybrid Operating Room Renovation						• • R		7,300 HR							7,300	
Ophthalmology Clinic Consolidation						• • R					8,938 HR 9,000 X				17,938	
Moffitt / Long Hospitals 4th Floor IntraOperative MRI						• • R		5,156 HR 4,500 X							9,656	
Moffitt / Long Hospitals L-B Room 52 Linear Accelerator Replacement						• R		5,175 HR							5,175	
Mount Zion Buildings B, D, Structural Seismic Improvements	•		•			I		9,000 HR							9,000	
ACC 4 Malignant Hematology						• R		16,000 HR							16,000	

San Francisco

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
Mission Bay 4 th Street Public Plaza			•		•	I		9,400 HR								9,400
ACC 5 Heart & Vascular					•	R			8,000 HR							8,000
Moffitt / Long 3 Imaging Recovery Remodel			•	•	•	R			5,000 HR							5,000
Moffitt / Long 4 West PACU Expansion			•	•	•	R			5,000 HR							5,000
Moffitt 7 North 6 bed ICU			•	•	•	R				9,000 HR						9,000
Moffitt / Long 4 Surgery Expansion			•	•	•	R					13,000 HR					13,000
ACC 2 Release Space Build-Out					•	R						16,000 HR				16,000
ACC 8 Release Space Build-Out					•	R							8,000 HR			8,000
Moffitt 6 Ancillary Expansion			•	•	•	R							5,000 HR			5,000
Long 6 - 32 Bed Acute Care Unit			•	•	•	R								6,000 HR		6,000
Moffitt 14 - 14 Bed ICU			•	•	•	R								18,000 HR		18,000
Moffitt 15 Acute Care Unit			•	•	•	R								22,000 HR		22,000
Capital Projects \$750K to \$5M - Renovation					•	R		15,510 HR	17,285 HR	17,377 HR	11,239 HR	11,520 HR	11,811 HR	48,181		132,923
Capital Projects \$750K to \$5M - Infrastructure			•	•		I		7,990 HR	8,904 HR	8,952 HR	5,790 HR	5,934 HR	6,085 HR	24,820		68,475
TOTAL NON-STATE PROGRAM								233,881	87,928	187,529	59,667	130,154	42,596	183,801		925,556
TOTAL STATE PROGRAM								0	50,616	87,000	0	45,327	0	2,300		185,243
TOTAL NON-STATE PROGRAM								233,881	87,928	187,529	59,667	130,154	42,596	183,801		925,556
TOTAL CAPITAL PROGRAM								233,881	138,544	274,529	59,667	175,481	42,596	186,101		1,110,799

*Total Project Budget may include prefunding and proposed funding in years after 2019-20.

CLINICAL SCIENCES BUILDING (CSB) SEISMIC PROGRAM

- Remediates or demolishes the Clinical Sciences Building, rated seismically "Poor,"
- Currently houses department offices, classrooms, and research laboratories.
- Includes either renovation or new construction.
- Supports campus goals of Ensuring Safe Working & Learning Environments and Fulfilling Important Clinical and Academic Priorities.

Budget Approval	
Budget Year	2013-14

Project Scope Summary	
ASF	71,274
GSF	107,647

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State	\$85,000,000
Campus Funds	\$5,000,000
Total Budget	\$90,000,000

KORET VISION RESEARCH BUILDING EMERGENCY DIESEL GENERATOR INSTALLATION

- Installs 175-kilowatt emergency generator necessary during power outages for egress lighting, power to the fire alarm system, and power to critical research and instructional functions.
- Corrects code deficiencies for research building that lacks life-safety emergency power required by California Electrical Code.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State	\$445,000
Campus Funds	\$220,000
Total Budget	\$665,000

ELECTRICAL DISTRIBUTION IMPROVEMENTS PHASE 2

- Improves emergency and standby power systems, upgrades system-management capability to balance loads, responds to outages, and addresses code changes.
- Includes programming upgrades to control systems at Central Utility Plant; extension of emergency/standby power to Health Sciences East and West buildings and elevator cores; control-system improvements to Dentistry building, Millberry Union (MU), and Library; distribution of dedicated standby power from CUP to Parnassus Services Building; addition of new diesel emergency power generator next to Nursing Building; and reconfiguration of emergency/standby power distribution to Clinical Sciences and Nursing Buildings.
- Second phase in multi-phase electrical-system-improvements master plan for the Parnassus campus site.
- Supports campus goal of providing efficient and sustainable infrastructure.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$18,251,000
Total Budget	\$18,251,000

MEDICAL SCIENCES BUILDING IMPROVEMENTS PHASE 3

- Upgrades chilled-water distribution, air-handling units, the heating hot-water system, building-management controls, and other mechanical and electrical systems; extends conditioned-air distribution to floors 3 through 14.
- Completes the upgrade of the building's mechanical systems (heating, ventilation, and air conditioning) begun in MSB Phases 1 and 2.
- Supports campus goal of providing efficient and sustainable infrastructure.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State	\$28,117,000
Total Budget	\$28,117,000

ACC 4 MALIGNANT HEMATOLOGY

- Increases space for Malignant Hematology, which has outgrown its capacity to serve additional patients.
- The build-out of the entire floor will increase capacity and provide a better patient experience.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
GSF	800

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$16,000,000
Total Budget	\$16,000,000

CODE CORRECTION & LIFE SAFETY PROJECTS \$750K TO \$5M

- Addresses the campus's highest priorities for code-correction and life-safety projects.
- Corrects smaller-scale facility system problems.
- Supports campus goal of providing efficient and sustainable infrastructure and ensuring safe working and learning environments.

Budget Approval	
Budget Year	2011-21

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$117,000,000
Total Budget	\$117,000,000

ACC 5 HEART & VASCULAR

- The Heart and Vascular Outpatient Clinic and testing areas occupy five different locations on the Parnassus campus. This project will provide for the consolidation of those clinics onto half of the 5th floor in the Ambulatory Care Center (ACC), resulting in operational savings and a better patient experience.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
GSF	11,000

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$800,000
Total Budget	\$800,000

HELEN DILLER FAMILY CANCER RESEARCH BUILDING 4th FLOOR BUILD-OUT

- Fits out shell space for a suite dedicated to clinical cancer-research programs for Neurological Surgery, Urology, and the UCSF Cancer Center.
- Creates 9,100 ASF of wet-laboratory space containing six open-lab neighborhoods, 7,700 ASF of laboratory-support space, and 3,600 ASF of office space.
- Accommodates 12 newly recruited PIs; 112 student, postdoctoral, and staff scientists; and 9 informatics and support staff.
- Supports campus goal of fulfilling important clinical and academic priorities.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	20,400

Summary of Budget by Fund Type	
Funding Source	Amount
Gifts	\$17,039,000
Total Budget	\$17,039,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$17,039,000
Total Budget	\$17,039,000

CAPITAL PROJECTS \$750K TO \$5M (MEDICAL CENTER)

- Includes smaller projects, under \$5 million each, that may not yet be defined but are to be funded from Hospital Reserves.
- Provides renovations, installations of major equipment in a hospital or clinic setting, and minor improvements to building infrastructures.

Budget Approval	
Budget Year	2011-21

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$201,398,000
Total Budget	\$201,398,000

MISSION BAY - ACADEMIC BUILDING (FACULTY OFFICES)

- Provides academic-office space for departments relocating near the new children's/women's/cancer hospitals and clinics at Mission Bay Medical Center. Also provides desktop-research and academic-office space to consolidate several leaseholds. Includes academic-office space for Pediatrics, Obstetrics-Gynecology, Surgery (including Pediatric Surgery), Child Neurology, Anesthesia, Radiology, Global Health, and Epidemiology & Biostatistics.
- May be delivered as a capital project by leasing outside property or by privatized development.
- Supports campus goal of fulfilling important clinical and academic priorities.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	170,000
GSF	251,000

Financing	
Long-Term	TBD
Est. Annual Debt Service	TBD
Terms:	TBD
Anticipated Repayment Source:	TBD
• TBD	
Anticipated Fund Source:	TBD
• TBD	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Privatized	\$0
External Financing	\$118,000,000
Total Budget	\$118,000,000

MOFFITT / LONG HOSPITALS 4TH FLOOR INTRAOPERATIVE MRI

- Installs a 1.5 tesla MRI between Operating Rooms 7 and 8 in Moffitt/Long Hospitals.
- Serves primarily neurosurgery, with other surgical or diagnostic uses anticipated for the future.
- Project is split funded between Medical Center Reserves and the Department of Neurosurgery.
- Benchmarked against cost of comparable renovations at the UCSF Medical Center at Mount Zion.
- Supports campus goal of fulfilling important clinical and academic priorities.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	976

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Hospital Reserves	\$5,156,000
Campus Funds	\$4,500,000
Total Budget	\$9,656,000

MOFFITT / LONG HOSPITALS 4TH FLOOR HYBRID OPERATING ROOM RENOVATION

- Develops a new operating room that includes imaging systems to enable less-invasive cardiac and vascular procedures and to allow surgeons to implement new surgical procedures.
- Creates a new operating room out of existing storage space; includes significant infrastructure upgrades.
- Supports campus goal of fulfilling important clinical and academic priorities.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	800

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Hospital Reserves	\$7,300,000
Total Budget	\$7,300,000

MISSION BAY 4th STREET PUBLIC PLAZA

- Closure of 4th Street will allow two separate plazas to be created for better traffic flow and patient access to the Mission Bay Medical Center.
- Provides for a public plaza on 4th Street in front of the new Mission Bay Hospital; enhances the public realm.
- Contingent on City approval to close 4th Street.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Hospital Reserves	\$9,400,000
Total Budget	\$9,400,000

MOFFITT / LONG 3 IMAGING RECOVERY REMODEL

- Remodels inpatient imaging-recovery, prep, and waiting rooms for improved patient flow and throughput.
- Significant growth of inpatient and outpatient imaging on the 3rd floor of Moffitt/Long Hospital has made existing space inadequate for higher patient volumes.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	8,500
GSF	10,000

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Hospital Reserves	\$5,000,000
Total Budget	\$5,000,000

MOFFITT / LONG 4 WEST PAUC EXPANSION

- Expands the Post-Anesthesia Care Unit (PACU) on the 4th floor of Moffitt/Long.
- Expansion will provide more recovery beds for new operating rooms and additional OR capacity.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Hospital Reserves	\$5,000,000
Total Budget	\$5,000,000

MOFFITT / LONG HOSPITALS L-B ROOM 52 LINEAR ACCELERATOR REPLACEMENT

- Replaces a 15-year-old Siemens Linear Accelerator with a Varian Accelerator, providing greater Central Nervous System (CNS) treatment functionality with Rapid Arc and Brain Lab planning systems; increases CNS Stereotactic (SRS) Treatment volumes with faster treatment throughput; supplies Intensity Modulated Radiation Therapy (IMRT) for CNS patients as well as 3-D and IMRT for non-CNS patients.
- Requires minimal utility upgrades; the project will install new finishes and casework.
- Supports campus goal of fulfilling important clinical and academic priorities.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Hospital Reserves	\$5,175,000
Total Budget	\$5,175,000

MOUNT ZION BUILDINGS B, D STRUCTURAL SEISMIC IMPROVEMENTS

- Remediate structural and seismic deficiencies in Hospital Buildings B and D at Mount Zion.
- If completion of Mission Bay Hospital is delayed and Buildings B and D must remain an acute-care hospital, plans submitted to OSHPD would provide for seismic upgrades and allow continued use as a hospital "I" Occupancy to January 1, 2030.
- Supports campus goals of fulfilling important clinical and academic priorities and ensuring safe working and learning environments.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Hospital Reserves	\$9,000,000
Total Budget	\$9,000,000

MOUNT ZION PARKING STRUCTURE

- Supplies additional parking needed for visitors and staff as more outpatient clinical activity is concentrated at or near the Mount Zion medical complex.
- Provides both public and permit parking; constructed on property in the vicinity yet to be acquired.
- In June 2011, the Regents approved the lease and design.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
GSF	223,300

Financing	
Long-Term	\$16,750,000
Est. Annual Debt Service	\$1,406,000
Terms:	6% 30 years
Interest During Construction:	\$650,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Parking revenues	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Financing	\$16,750,000
Total Budget	\$16,750,000

Units	
228 Spaces	

OPHTHALMOLOGY CLINIC CONSOLIDATION

- Consolidates ophthalmology clinics that are currently in UC Hall and the Ambulatory Care Center (ACC).
- Preferred option is to consolidate both clinics in UC Hall if the community is supportive. Alternative options include relocating both clinics to another site, such as Mount Zion or another location at Parnassus.

Budget Approval	
Budget Year	2014-15

Project Scope Summary	
ASF	11,000

Summary of Budget by Fund Type	
Funding Source	Amount
Hospital Reserves	\$8,938,000
Campus Funds	\$9,000,000
Total Budget	\$17,938,000

SCHOOL OF MEDICINE RENOVATION PROJECTS \$750K TO \$5M

- Various obsolete and outdated SOM laboratories and offices will be modernized.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$15,000,000
Total Budget	\$15,000,000

PARNASSUS GROSS ANATOMY RENOVATION

- Constructs new learning space as a suite that encompasses the entire west wing of Medical Sciences 13th floor. Improves the teaching of gross anatomy, pathology, histology and technical procedures using fixed and unfixed materials. Facilities consist of a gross-anatomy and procedural-instruction Bio Safety level 2 lab with 26-30 tables, cold storage for unfixed materials, 50-person classroom, staff and faculty offices, and male and female locker rooms with 80 lockers.
- The UCSF anatomy teaching lab opened in 1952 and underwent few improvements during the past 60 years. After unsuccessful attempts to reduce formaldehyde fumes, the lab was closed by Environmental Health and Safety in September 2010.
- The Lab is essential to the School of Medicine, since students learn Gross Anatomy through cadaver dissection and procedure-training using cadaveric materials.
- Provides a state-of-the-art, technology-enhanced, multi-disciplinary center for anatomy instruction.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	TBD
GSF	168,000

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$7,400,000
Total Budget	\$7,400,000



UCSF Teaching and Learning Center

SANTA BARBARA

2011-21 Capital Financial Plan

SANTA BARBARA

Established in 1944, UC Santa Barbara has evolved from a state teacher’s college into a top-tier research institution. In 1954, the campus relocated from downtown Santa Barbara to a 408-acre tract of land that had previously been a World War II Marine air base. Today, the campus encompasses 1,055 acres distributed across four principal campuses: Main, Storke, West, and North. UCSB has nearly 4.7 million assignable square feet (asf) of building space supporting nearly 23,000 students and 1,100 faculty.

Over the past decade, Santa Barbara has completed approximately \$1.016 billion of capital project development and initiated a third-party development project. These projects addressed enrollment and academic growth, as well as the upkeep of aging buildings and campus infrastructure. Approximately 651,000 net new asf was added to the campus over this period. In the coming decade, the campus will need an additional 670,000 asf (including

SANTA BARBARA CAMPUS FACTS:	
Established	1944
FTE Enrollment 2010-11	
Undergraduates	19,986
Graduate Students	2,934
Health Science Students	0
Campus Land Area	1,055 acres
Campus Buildings	4.7 million ASF
Nobel Laureates (active & emeritus)	6

replacement of barracks and trailers) by 2019-20, based on the growth estimates in the campus’s *2010 Long Range Development Plan (LRDP)*.

Santa Barbara’s academic programs include education, engineering, fine arts, the humanities, physical sciences, and social science. The campus is world-renowned for its interdisciplinary approach to teaching and research, specifically for the ease with which faculty, students, and staff can collaborate across disciplinary boundaries to pioneer new fields. As a result, the campus is home to major interdisciplinary research centers. Extramural research awards totaled \$184 million in 2010-11, an increase of 63% since 1999-2000.

The campus’s capital strategy outlined in the *2010-20 Consolidated State and Non-State Capital Financial Plan (CFP)*, accepted by the Regents in November 2010, has been constrained overall by the current economic downturn. The *2011-21 Consolidated State and Non-State Capital Financial Plan (CFP)* continues to place emphasis in the first two years on critical renewal projects addressing building seismic and life-safety deficiencies and renewal of campus infrastructure. It also includes the initial phases of a few high-priority new buildings. Affordable faculty



Storke Tower & Lagoon

housing and new student housing, consistent with the *2010 LRDP*, fulfill commitments made to the local community. The outer years of the plan, which anticipate an improved economic climate, continue to address renewal and seismic needs while adding new student and academic buildings, housing, and institutional-support projects in anticipation of planned growth.

CAMPUS GOALS AND OBJECTIVES

Years of collaborative hard work and the investment of significant resources have made possible the campus’s present level of academic distinction. Given today’s economic uncertainty, the campus is faced with critical, sometimes conflicting, questions:



Campbell Hall Aerial

How can the campus continue to advance? How can it be responsive to enrollment pressures? How can it fulfill its obligations to the State? Based on careful planning and analysis, the campus has decided to proceed with a strategy of managed growth. Santa Barbara's *2011-21 CFP* continues to be responsive to the campus's *Strategic Academic Plan*, the *2010 LRDP*, the *Physical Design Framework*, and the *Campus Sustainability Plan*.

An overarching goal of these plans is a sustainable master-planned academic community that will attract the highest quality faculty and administrative staff to deliver world-class teaching and research to 21st-century students. The greatest challenge to achieving this goal is the identification and commitment of sufficient financial resources to fund the projects presented in the plan.

PRIORITIES

The objectives which inform Santa Barbara's *2011-21 Capital Financial Plan* are derived from the campus's *Strategic Academic Plan (SAP)*. The *SAP* articulates the campus's core values and guides long-range capital planning and development. The *2010 LRDP*, which guides the land use and development potential of the campus, includes marginal enrollment growth, with growth-related projects delayed to outer years, consistent with current University enrollment policy.

The campus's priorities reflect current restrained expectations regarding State funding and greater confidence in advancing non-State-funded projects, such as housing, auxiliaries, and student and institutional support. UCSB's capital program continues to rely mainly on State funding to construct and renovate academic facilities. However, the campus increasingly has utilized non-State funding sources (predominately gift funds) to achieve or optimize both academic and capital project program objectives. The campus will continue to utilize all possible funding sources to support campus progress and to maintain the campus's trajectory of success. Campus priorities are linked to the five strategic academic objectives described below.

Support the academic teaching mission and projected student growth

UC Santa Barbara's vision, as articulated in the *Strategic Academic Plan*, is to set new standards of excellence in academic engagement, learning, and discovery. Numerous academic building renewals are identified in the *2011-21 Capital Financial Plan*, including Phelps and Ellison Halls and the key teaching venue of Buchanan Hall. A replacement building is planned for Campbell Hall, which currently houses the largest classroom (860 seats) on the campus, heavily used by classes and numerous arts and music events. Although the campus has historically depended on State funding to construct and renovate instructional facilities, it recently has relied increasingly on supplementary project funding from non-State sources, predominantly gift funds.

To support planned student growth, the *2011-21 CFP* identifies a variety of non-State-funded new building projects, including an expansion of the University Center and other projects supporting student residential life, student services, and recreation. Additional new academic buildings and renewal projects, such as the gift-funded College of Creative Studies, are planned in the outer years of the *2011-21 CFP*.

Support the critical research mission and UCSB’s role in a worldwide network of leading-edge research universities

Interdisciplinary teaching and research has become a cornerstone of the *Strategic Academic Plan*. The *2011-21 CFP* includes five new research buildings or additions, all of which will house interdisciplinary programs. These research projects target bioengineering (with non-State funds), energy, climate change, and physics and engineering. Of these, the approved Bioengineering Building project is an immediate priority and represents the campus’s commitment to a rapidly expanding area of research, teaching, and entrepreneurship. The Institute for Energy Efficiency Building is a high-priority project that will begin program planning in 2012.

Provide affordable housing for faculty, staff, and students to address local housing shortages

Affordable housing to serve faculty and staff is critical to the campus’s future success and is a priority reflected in the *2011-21 CFP*. With an estimated 40% of current faculty and staff expected to retire by 2020, it is essential that the campus be able to provide affordable, high-quality housing to recruit and retain the highest caliber of new faculty and staff. Because of the extremely high cost of housing in Santa Barbara, the plan includes projects to address this goal. The *2011-21 CFP* includes projects for faculty and staff housing that provide over 670 for-sale and rental units. Based on an assumption that the

economic environment improves and some enrollment growth occurs, the plan also includes three student housing projects that will add a total of 1,500 new beds to the campus.

Address critical seismic, safety, and performance upgrades to facilities and infrastructure

The *2011-21 CFP* includes 23 building renovations and four infrastructure improvement projects. Overall, 662,000 asf in 20 buildings is intended for improvement. Goals reflected in the *2011-21 CFP* include correction of all seismically “poor” buildings to a rating of “good,” as well as installation of sprinklers and updated fire-alarm systems in all residence halls and all academic buildings of six stories or more. High-priority projects include the repair of seismic and life-safety deficiencies in the Davidson Library Addition and Renovation project and in the Music Building Seismic Corrections and Addition project, and seismic repair in Ortega Dining. Another critical project is a replacement building for Campbell Hall, which currently houses large lecture classes and several arts and music events but which has substantial life-safety, seismic, and code deficiencies.

Much of the campus infrastructure is over 40 years old, some dating back to when the campus was a Marine Air Base. Immediate renewal priorities include Infrastructure Renewal Phases 1 and 2, which will upgrade the most deficient sanitary sewer, natural gas, and potable-water lines and selected storm-drain

segments. These projects provide upgrades across the main campus that will reduce maintenance costs, improve reliability, and provide capacity necessary for future growth.

Meet modern support needs for faculty, staff, and students in health, public safety, and recreation

In support of the campus community, the *2011-21 CFP* contains projects that promote and support health, recreation, and public safety – including Student Life Services, Aquatics Center, Recreation Facility, and the Public Safety Building Expansion. Other projects include open-space malls, pedestrian areas, paving and landscaping, and parking and road improvements.

The Santa Barbara campus, with its long history of environmental awareness and research leadership in sustainable activities, is at the forefront of green building design, for both new facilities and renewal of existing buildings. Green building principles are integrated into all new projects from pre-planning through occupancy, and all new buildings are required to meet or exceed LEED™ Silver standards. Additionally, the *Campus Sustainability Plan* provides a road map for incorporating sustainability measures into the built environment, energy, operations (materiel), waste, transportation, and landscaping.

RESOURCES

Total funding in Santa Barbara's *2011-21 Capital Financial Plan* is \$1.1 billion, equal to the amount expended in the preceding decade. Of the total funding, approximately \$550.7 million or 50% is proposed for external financing, of which 85% is intended to fund student housing and dining and faculty housing projects. Gifts comprise the next largest source of funding at \$256 million (23%). State funding is assumed at \$210 million (19%), and capital reserves and campus funds account for about \$82 million (8% of overall program funding).



Student Resource Center

TIMING AND SEQUENCE

In the near term, the plan identifies six projects that need \$147 million of State funding and have an estimated total cost of \$220 million. Of the State-funded projects, Davidson Library Addition and Renovation, Infrastructure Renewal Phases 1 and 2, and Phelps Hall were submitted previously for State funding that was not forthcoming; currently the Academic Support Facility and the Campbell Hall Replacement projects are pending State funding approvals. Additionally, the plan includes ten general, auxiliary, housing, and student-activities-fee-related projects with a total cost of approximately \$179 million to be funded from non-State sources. Planning for a new research building to house the new Institute for Energy Efficiency Building (\$50 million in gift funding) will commence in 2012. The outer years of the *2011-21 CFP* contain 32 projects with a combined cost of approximately \$700 million. For the 2011-21 period, the plan includes 47 projects with an approximate cost of over \$1.1 billion.



The campus's *2011-21 CFP* endeavors to maintain the present path of growth and success, while acknowledging growth limitations and funding constraints in the operations and capital budgets. In the near term, the plan reflects current economic and

budgetary challenges and primarily targets high-priority seismic and life-safety renewals, replacements, infrastructure, and faculty and student housing. In the outer years, the plan continues seismic, life-safety, and renewal projects and introduces new growth projects to support academics and research, as well as additional housing and student and institutional-support facilities.

The current economic environment challenges the campus's ability to maintain its stature as a top-tier research university, to enhance and increase its academic and research programs, and to protect and preserve past and current capital investment. Santa Barbara's success has been supported by relatively stable capital program funding. In future years, the campus will need to rely on successful fundraising campaigns and alternative funding sources to help fill the gap created by a shortfall of State funding. Santa Barbara will continue to pursue all funding opportunities – gifts, public-private partnerships, federal funds, external finance, and other sources – to achieve the goals and objectives described in its *Strategic Academic Plan* and expressed in the *2011-21 CFP*, the *2010 LRDP*, and the *Campus Sustainability Plan*.

Santa Barbara

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
State Funded Program																
E & G - GENERAL CAMPUS																
Davidson Library Addition and Renovation	•			•		B	70,003		1,075						71,078	
Phelps Hall Renovation				•		R	1,100			11,508					12,608	
Infrastructure Renewal Phase 1				•		I	741 3,150 X 2,800 LB		11,740						18,431	
Infrastructure Renewal Phase 2				•		I	5,110 X		13,732						18,842	
Bioengineering Building and Academic Support Facility				•	•	N	3,074 LB 2,393 X	546 G	25,951 1,287 X 39,035 LB 6,706 G	830 X 1,265 LB					81,087	
Campbell Hall Replacement Building	•			•		N			28,474						28,474	
Music Building Seismic Corrections & Addition	•			•		B				600	1,233	27,500	667		30,000	
Ellison Hall Renovation				•		R				845	955	17,440			19,240	
Physics/Engineering Building		•				N				1,140	1,288	27,572			30,000	
South Hall and HSSB Renovation				•		R						9,010			9,010	
Buchanan Hall Renovation				•		R							5,000		5,000	
Broida Renovation				•		R							8,000		8,000	
Engineering II Renovation				•		R								7,000	7,000	
Public Safety Building Expansion				•		N								9,676	9,676	
STATE FUNDING								0	80,972	14,093	3,476	81,522	13,667	16,676	210,406	
NON-STATE FUNDING								546	47,028	2,095	0	0	0	0	49,669	
TOTAL STATE PROGRAM								546	128,000	16,188	3,476	81,522	13,667	16,676	260,075	

Santa Barbara

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
Non-State Funded Program																
E & G - GENERAL CAMPUS																
Open Space - Malls		•				I			2,000 X	2,000 X			2,000 X		6,000	
Institute for Energy Efficiency Building					•	N		2,500 G	47,500 G						50,000	
Climate Research Building					•	N							2,500 G	47,500 G	50,000	
Expansion of the U-Cen		•				B							25,000 LB		25,000	
College of Creative Studies					•	N							2,000 G	33,000 G	35,000	
West Campus Ranch House					•	R								26,000 G	26,000	
Capital Projects \$750K to \$5M					•	R	2,500 G 2,500 N		5,000 G	5,000 G				17,000 X	32,000	
E & G - HEALTH SCIENCES																
Bioengineering 2					•	N					2,500 G	52,500 G			55,000	
AUXILIARY - PARKING																
Parking Structure		•				N								15,000 LB 5,000 N	20,000	
AUXILIARY - STUDENT HOUSING & DINING																
Santa Rosa Fire Safety & Renewal	•			•		R	5,000 LB 2,500 N								7,500	
Anacapa Fire Safety & Renewal	•			•		R		5,000 LB 2,500 N							7,500	
Santa Cruz Fire Safety & Renewal	•			•		R			5,000 LB 2,500 N						7,500	
Ortega Dining Commons Renovation				•		R					10,000 LB 1,500 N				11,500	
San Joaquin Apartments		•				N					142,500 LB 7,500 N				150,000	
Mesa Verde Apartments 1		•				N								84,000 LB 6,000 N	90,000	
Mesa Verde Apartments 2		•				N								84,000 LB 6,000 N	90,000	

Santa Barbara

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE				New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements										
Capital Projects \$750K to \$5M	•			•		N	2,100 N	6,200 N				14,800 N 5,750 X		28,850	
AUXILIARY - STUDENT ACTIVITIES, RECREATION, ATHLETICS (FEE)															
Aquatics Center Phase I				•		N			6,000 G					6,000	
Aquatics Center Phase II					•	N			6,000 G					6,000	
Student Services Building		•				N						25,000 LB		25,000	
Student Life Services	•	•				N							25,000 LB	25,000	
Recreation Facility		•				B							25,000 LB	25,000	
AUXILIARY - FACULTY HOUSING															
Faculty Club Renewal				•		B		13,500 LB 2,500 N						16,000	
North Campus Faculty Housing Phase II					•	N		28,390 LB						28,390	
KITP Residence					•	N		7,800 G 3,000 LB						10,800	
North Campus Faculty Housing Phase III					•	N			15,000 LB					15,000	
North Campus Faculty Housing Phase IV*					•	N				12,500 LB				12,500	
North Campus Faculty Housing Phase V*					•	N					17,000 LB			17,000	
TOTAL NON-STATE PROGRAM							68,890	38,000	80,500	181,000	54,500	75,050	373,500	\$871,440	
TOTAL STATE PROGRAM							546	128,000	16,188	3,476	81,522	13,667	16,676	\$260,075	
TOTAL NON-STATE PROGRAM							68,890	38,000	80,500	181,000	54,500	75,050	373,500	\$871,440	
TOTAL CAPITAL PROGRAM							69,436	166,000	96,688	184,476	136,022	88,717	390,176	\$1,131,515	

*The detailed debt affordability assumptions for this project are undergoing refinement.

BIOENGINEERING BUILDING AND ACADEMIC SUPPORT FACILITY

- Constructs building to support academic growth and research in the field of bioengineering .
- Provides wet and dry laboratories, offices, an auditorium, a vivarium, and support space.
- Proposed occupants include the Institute for Collaborative Biotechnologies (ICB), a unit of the Center for Stem Cell Biology and Engineering, and a new interdisciplinary Ph.D. program in bioengineering.
- Includes a gift funded Translational Research Laboratory as part of a larger collaboration with a regional medical center.
- Includes funding using the "Garamendi" mechanism.

Budget Approval	
Budget Year	2012-13

Financing	
Long-Term	\$43,374,000
Est. Annual Debt Service	\$3,151,074
Terms:	6% 30 years
Interest During Construction:	\$2,996,000
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Opportunity and Education Funds under Garamendi funding mechanism	

Project Scope Summary	
ASF	48,764
GSF	92,936

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$25,951,000
Campus Funds	\$4,510,000
External Financing	\$43,374,000
Gift Funds	\$7,252,000
Total Budget	\$81,087,000

CAMPBELL HALL REPLACEMENT BUILDING

- Replaces major campus and community space built in 1961, and used by classes and multiple arts and music events.
- Replaces the campus's largest lecture hall (860 seats) which experiences high utilization rates.
- Continued operation of Campbell Hall during construction of the replacement building enables campus to continue scheduling enormous instructional workload currently accommodated in the building.
- Provides campus with a safe, accessible, modern, state-of-the-art instructional facility that will be energy efficient and minimize carbon emissions.
- Represents most cost effective and appropriate long-term solution to address the life-safety, seismic, code upgrades, and programming problems.

Budget Approval	
Budget Year	2012-13
Project Scope Summary	
ASF	16,000
GSF	24,500

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$28,474,000
Total Budget	\$28,474,000

DAVIDSON LIBRARY ADDITION AND RENOVATION

- Renovates and seismically upgrades space in the two- and eight-story wings of the existing library and constructs new library space.
- Includes addition of 44,646 ASF/63,172 GSF and renovation of 114,679ASF.
- Extends fire and life-safety systems throughout the entire library complex.
- Corrects ongoing overcrowding, accommodates new technology, provides increased instructional and study space and replaces leased book storage space

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	44,646
GSF	63,172

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$71,078,000
Total Budget	\$71,078,000



Davidson Library

INFRASTRUCTURE RENEWAL PHASE 1

- Improves reliability and operational efficiency of the campus infrastructure in first phase of a multi-phase effort.
- Replaces or upgrades major systems, including natural gas, potable water, storm drainage, and sanitary sewer, including most of the main distribution systems and lateral lines connecting the main systems to campus buildings.
- Improves campus infrastructure, most more than forty years old, which has deteriorated to such a degree that failures are common, particularly in lateral sewer lines.
- Campus funds identified.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$12,052,000
Campus Funds	\$5,950,000
Total Budget	\$18,002,000

INFRASTRUCTURE RENEWAL PHASE 2

- Replaces or upgrades major campus infrastructure systems in second phase of a multi-phase effort.
- Addresses system deterioration and hydraulic capacity, responds to regulatory requirements, improves operational efficiency, and accommodates known demand.
- Continues improvements to storm water, sanitary sewer, potable water, and natural gas systems by addressing deficiencies that seriously constrain operations of the campus and includes critical Lagoon Road storm system that eliminates ocean outfalls.
- Campus funds identified.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$13,732,000
Campus Funds	\$5,110,000
Total Budget	\$18,842,000



Social Sciences & Media Studies

AQUATICS CENTER PHASE I

- Constructs a 65-meter regulation pool, pool deck, and support facilities (mechanical, electrical, pumps, and filtration equipment) to accommodate men's and women's intercollegiate swimming and water polo, and recreational activities.
- Replaces non-NCAA-compliant 1943 campus pool and locker rooms.
- Project will proceed when sufficient funding is available; partial gift funding is in hand. Student Fee referendum under discussion to augment the gift funding.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$6,000,000
Total Budget	\$6,000,000

Gift Campaign Summary	
Gifts in Hand	\$500,000
Gifts Pledged	
Gifts to be Raised	\$5,500,000
Total Budget	\$6,000,000

CAPITAL PROJECTS \$750K TO \$5M (AUXILIARIES)

- Constructs utility and infrastructure improvements and building renovations.
- Includes modernization of the Jameson Community Center and the Jameson Café, Residential Life Resource Center, and facilities refurbishments.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$5,750,000
Auxiliary Reserves	\$23,100,000
Total Budget	\$28,850,000

CAPITAL PROJECTS \$750K TO \$5M (E&G)

- Constructs utility and infrastructure improvements and building renovations.
- Includes road improvements, turf and lighting projects, Alumni House 1st floor, West Campus Interpretive Center, Ocean Sciences Education Building Phase III, and Tipton House, a new facility on the Sedgwick Reserve in the Santa Ynez Valley for University classes, public workshops, and visitor orientation.

Budget Approval	
Budget Year	2011-12

Gift Campaign Summary	
Gifts to be Raised	\$0
Total Budget	\$0

Summary of Budget by Fund Type	
Funding Source	Amount
Campus Funds	\$29,500,000
Gift Funds	\$0
Auxiliary Reserves	\$2,500,000
Total Budget	\$32,000,000

INSTITUTE FOR ENERGY EFFICIENCY BUILDING

- The construction of a new facility for the Institute for Energy Efficiency (IEE) is driven by opportunity as much as it is by need. The key opportunity is to capitalize on UCSB's unique position to contribute important solutions to the global energy crisis. A building for the Institute would facilitate this goal by providing focus for an activity that is currently spread over campus in eleven buildings.
- A new building is essential to attain the full potential for growth of this rapidly expanding and important area of research and would be an important asset in securing additional funding for research.
- Project will move forward when sufficient gift funding is available.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
Gift Funds	\$50,000,000
Total Budget	\$50,000,000

Project Scope Summary	
ASF	25,000
GSF	40,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$50,000,000
Total Budget	\$50,000,000

KITP RESIDENCE

- The Kavli Institute of Theoretical Physics (KITP) hosts 1,000 visiting scholars per year with an average visit duration of 36 days. These visitors are currently accommodated in the Santa Barbara community through a network of residential contacts. The Residence will stabilize KITP's ability to secure housing for longer term visitors and enhance scholarly interactions.
- Construct 41 unit apartment complex for visiting physicist and their families during their visits to KITP. Create significant community space to encourage and enhance scientific interactions.
- Create on-campus residence to provide greater interaction time between physicists and campus community
- Redirect per diem grant funding from community rentals into equity within a University owned facility.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$3,000,000
Terms: 6%	30 years
Estimated Annual Debt Service	\$218,000
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Opportunity and Education Funds under	

Gift Campaign Summary	
Gifts in Hand	\$200,000
Gifts Pledged	
Gifts to be Raised	\$7,600,000
Total Budget	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Gift Funds	\$7,800,000
External Financing	\$3,000,000
Total Budget	\$10,800,000

Units	
	41
Project Scope Summary	
ASF	24,000
GSF	30,000

NORTH CAMPUS FACULTY HOUSING PHASE II

- Faculty housing to meet a critical University objective of providing affordable, high-quality housing to recruit and retain distinguished academic personnel.
- Phase II of a six-phase faculty housing development on the North Campus.
- Constructs 35 of total 161 units (adding to 22 units constructed in Phase I).

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$28,390,000
Total Budget	\$28,390,000

Units	
	35 Homes
Financing	
Intermin Financing	\$28,390,000
Terms: 4%	7 years
Estimated Annual Debt Service	\$4,730,047
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Home Sale Proceeds	

NORTH CAMPUS FACULTY HOUSING PHASE III

- Faculty housing to meet a critical University objective of providing affordable, high-quality housing to recruit and retain distinguished academic personnel.
- Phase III of a six-phase faculty housing development on the North Campus.
- Constructs 22 of total 161 units.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$15,000,000
Total Budget	\$15,000,000

Units	
	35 Homes

Financing	
Intermin Financing	\$15,000,000
Terms: 4%	2 years
Estimated Annual Debt Service	\$7,941,952
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
• Opportunity and Education Funds under	

FACULTY CLUB RENEWAL

- Renovates and adds to the physical plant of the Faculty Club to meet increased demand for overnight lodging, conference space, and food services.
- Addresses significant deferred maintenance issues of the aging facility.
- Includes new lodging space and modernization to meet current building codes in this 1967 building.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	21,314
GSF	26,643

Financing	
Long-Term	\$13,500,000
Terms: 6%	30 years
Estimated Annual Debt Service	\$980,760
<u>Anticipated Repayment Source:</u>	
• General Revenue Bonds	
<u>Anticipated Fund Source:</u>	
Funds under	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Auxiliary Reserves	\$2,500,000
External Financing	\$13,500,000
Total Budget	\$16,000,000

OPEN SPACE - MALLS

- Includes several open space malls and view corridors, such as Tower Mall, Pardall Mall, Campus Green, the Quad, and Library Mall.
- Provides diverse public gathering spaces at key campus destinations.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$6,000,000
Total Budget	\$6,000,000



Pardall Corridor with Humanities & Social Sciences Building

SANTA CRUZ

2011-21 Capital Financial Plan

SANTA CRUZ

As a leading research university, UC Santa Cruz serves California, the nation, and the world. It boasts a tradition of innovation in the education of students – built on values of social and environmental responsibility. Santa Cruz faculty are recognized both as excellent teachers and as leaders in major disciplines, including biochemistry, molecular biology, environmental studies, geosciences, astronomy and astrophysics, literature, and international economics. Each of the campus’s ten residential colleges, led by a Provost with a faculty appointment, is a vibrant living and learning community of 1,200 to 1,500 students. The campus’s continued investment in the colleges enables students to experience the intimacy of a small liberal arts school and the intellectual heft of a major research university.

UCSC’s *Physical Design Framework* and its planning model achieve two complementary ideals: enabling the vision and goals of the campus’s *Strategic Academic Plan* and respecting the exceptional setting of the main campus, which is nestled amid 2,000 acres of redwoods and meadows with vistas of the Santa Cruz Mountains and the nearby Pacific Ocean. In addition, the 73-acre Marine Science Campus sits on the shoreline



Marine Science Research

overlooking the Monterey Bay, home to the world’s largest collection of marine research activities. Other campus locations include the 483-acre Monterey Bay Education, Science, and Technology Center (near Monterey) and the 3,600-acre Lick Observatory atop Mount Hamilton (near San Jose).

The rapid growth in both programs and student enrollment, particularly over the last ten years, presents significant challenges for the campus. Enrollment grew by 58% to 16,075 full-time equivalent (FTE) in 2007-08, at the onset of the current State fiscal crisis. As of 2010-11, it reached 17,400 FTE, exceeding the State-funded budgeted level of 16,500 FTE. In the past five years alone, UCSC has introduced 11 new graduate programs and, since 1988, the number of

research doctoral programs has increased from 13 to 32 to address areas of State need and to enhance campus intellectual vibrancy. The number of Ph.D. degrees awarded each year has more than doubled.

Even during periods of past enrollment growth and more a optimistic budget picture, funding for UCSC capital construction has not kept pace. Significant unmet needs exist for new and renovated space and for associated infrastructure to support State-funded student and faculty levels.

SANTA CRUZ CAMPUS FACTS:

Established	1965
FTE Enrollment 2010-11	
Undergraduates	15,946
Graduate Students	1,491
Health Science Students	0
Campus Land Area	2,000 acres
Campus Buildings	3.7 million ASF
University Professors (active & emeritus)	2

CAMPUS GOALS AND OBJECTIVES

This 2011-21 *Capital Financial Plan* balances projects among the following five objectives in support of the *Strategic Academic Plan*. It addresses only the most critical needs required to

support 2007-08 budgeted enrollment and associated faculty levels.

Instruction and Research Program Development

New facilities are needed to support graduate instruction across all disciplines – allowing all interested faculty to participate in graduate education, supporting the research interests of the campus, and providing the trained graduates needed by the State and the nation. There is additional need for new facilities which enhance the quality of the undergraduate experience. At some point in their baccalaureate studies, over half of Santa Cruz's current undergraduates assist faculty with research, an educational opportunity which cannot be sustained without adequate facilities. In addition to the demands of past enrollment growth, the evolution and increased sophistication of campus instruction and research programs has created a shortage of space. Without the construction of new facilities fully justified by 2007-08 budgeted enrollment levels, vital instruction and research program development will be diminished.

Retrofitting and Upgrading of Existing Academic Facilities

Many buildings on the 45-year-old campus require renewal, modernization, and upgrades to comply with health, safety, and accessibility (ADA)

requirements and to respond to obsolescence and changing academic program needs. The campus also is witnessing the evolution of cutting-edge programs in disciplines that depend upon laboratory and computer facilities of a much larger scale. Some of the campus's older buildings lack the advanced infrastructure (e.g., fume hoods, power, and advanced communications networks) or the specialized space needed to support today's academic programs, or the flexible modular design to accommodate changing program needs. Accordingly, there is a need to rebalance, reconfigure, renew, and augment existing space to address both obsolescence and pedagogic requirements.



Undergraduate Research Students

Improvements to Core Infrastructure

Similarly, the campus needs to renew, upgrade, and extend core infrastructure systems to address obsolescence, to improve efficiency and increase energy conservation, and to meet modern program

needs. To support existing programs and enable their next stage of development, the campus takes a programmatically and functionally logical approach to the expansion and renewal of its existing infrastructure and the extension of its utilities and circulation systems.

Student Life/Intellectual Engagement and Residential Life

UC Santa Cruz is recognized for its commitment to academic engagement and a high-quality learning experience at all levels. By providing opportunities for undergraduate and graduate students to work together, the assets of a premier research university further contribute to superlative undergraduate learning environments. UCSC's unique residential experience is another important component of that learning environment. Over the next decade, the campus plans significant investment in on-campus residential facilities, including on-campus housing for graduate students and student-life facilities.

Campus Environment, Sustainability, and Life Safety

Creating connections and public spaces that support a vital intellectual community is a major theme of the campus's approach to physical development, an objective advanced by principles and concepts informing the design of all projects in this plan. Maintaining the campus's strong

traditions of environmental stewardship requires new capital investment to promote sustainable practices in campus operations as well as investments that balance development with sensitivity to the natural environment. Consistent with UC-articulated priorities, the campus has already addressed serious seismic and other life-safety deficiencies in most campus facilities; however, several projects remain to be implemented.

All UC Santa Cruz projects will comply with the *University of California Policy on Sustainable Practices*. As required by this policy, projects will adopt the principles of energy efficiency and sustainability to the fullest extent possible, consistent with budgetary constraints and regulatory and programmatic requirements.

CAPITAL NEEDS AND PRIORITIES

To achieve UCSC's mission, the campus's State capital program reflects a balance of projects which address critical needs for new construction; building and utility renovation, renewal, and upgrades; and expansion of utility systems and infrastructure. Projects funded from non-State sources complement and extend State investment by addressing specific research and infrastructure needs and by meeting student-life and housing needs.



Humanities I

UC Santa Cruz has received no State funding for capital projects for four years (2008-11). The program presented here remains consistent with campus priorities as expressed in the *2010-20 Capital Financial Plan* (and in preceding years), with project timing modified to reflect the delay/gap in funding and with minor scheduling adjustments to re-align the program with the most urgent needs.

STATE CAPITAL PROGRAM

Priorities for the State capital program include the following:

New Buildings for Instruction and Research

Past enrollment growth and the complex nature of space required to support the continued evolution of leading-edge disciplines have driven the need for new buildings. Recent projects have partially addressed these needs, but a shortage of space and limited flexibility remain in virtually all campus

programs. To the extent feasible, this *2011-21 CFP* addresses critical space deficiencies in key academic disciplines, particularly in the science and engineering programs.

The campus's location has influenced the focus and reach of its world-renowned research. Facilities at the Marine Science Campus (MSC) serve as the center for marine and coastal-related research and study, bringing together the Long Marine Lab marine field station, its public outreach center, and the assets of the main campus. To address space shortages at both campuses and the need for specialized I&R facilities, the Coastal Biology Building, to be located at the MSC, is this plan's highest priority for State funding.

UCSC's social sciences disciplines play an increasingly important role in addressing global societal needs in interdisciplinary environmental research, economics, and education. As a result, the Social Sciences Facility is the next priority for State funding. In combination with the Improvements to Instructional Facilities project, it will address campus needs for new and renovated teaching and research laboratory space and will alleviate the shortage of general-assignment classroom space.

Gift-funded and extramural research-funded projects and support facilities will complement needed State-funded facilities. These include the

University Museum of the Arts and Sciences, Expansion of the Center for Ocean Health Phases 1 and 2, and the Oceans Auditorium projects.

Renewal of Existing Facilities

Although Santa Cruz is one of the newer campuses in the UC system, it is in its 45th year. Funding is urgently needed for the systematic renewal and modernization of existing facilities and building infrastructure to respond to changing academic programs; new health, safety, and regulatory requirements; building aging; and program obsolescence. The proposed State-funded program includes three major alteration and upgrade projects involving academic space. The Life-Safety Upgrades project will address life, health and safety issues by installing fire sprinklers, upgrading fire alarms, upgrading emergency power generators, and improving exterior safety lighting. The Alterations for Physical, Biological, and Social Sciences project will create needed teaching laboratory space by upgrading three floors of Thimann Laboratories and one floor of Social Sciences 1. The Alterations for Academic Programs project will provide flexible instruction and research laboratory space.

Long-term underfunding of basic maintenance has exacerbated the campus's renewal efforts by reducing the useful life of building systems and

other infrastructure. As a result, there is a substantial backlog of deferred maintenance associated with State-supported facilities. The list of the campus's maintenance and renewal projects currently exceeds \$125 million.

Infrastructure Improvements

Proposed for State funding are four major infrastructure projects: Telecommunications Infrastructure Upgrades Phase 3 and Infrastructure Improvements Phases 3, 4, and 5. Inclusion of these projects illustrates that UCSC's need for campuswide infrastructure renewal and modernization is as acute as its building renewal needs. Essential infrastructure improvements include the rehabilitation and expansion of basic utilities such as the campus communications, sewer, water (cooling, heating, fire protection, and domestic), electrical, natural gas, and drainage systems. An important component of the infrastructure renewal program entails incorporating environmentally sustainable features, with a special focus on conserving natural resources and reducing greenhouse gas emissions. The introduction of new energy management and conservation technologies has proven to be efficient and cost-effective. The campus has processes in place to improve the sustainability of planned projects.

Complementing these State-funded infrastructure improvement projects are two included in the non-State program: the Cogeneration Plant Replacement Phase 1 and the Telecommunications Infrastructure Upgrades Phase 1 projects.

Circulation Infrastructure

The *2005 Long Range Development Plan* and other planning efforts have identified the need for adequate University campus circulation infrastructure and for improvements in campus access. Changes in elevation, an abundance of ravines, and dense forest create the need for a coordinated system of pedestrian and automobile bridges, roads, and accessible pathways to provide direct and efficient routes through the main campus. This network remains incomplete, and the current system is further strained under the weight of enrollment.

To ensure that projects are optimally sited and integrated with both existing facilities and long-term development objectives, the campus has initiated area planning and infrastructure studies and financial feasibility analyses in support of both academic and student-life facilities in this plan. This State-funded program proposes Circulation and Infrastructure Extensions Phase 1.

NON-STATE CAPITAL PROGRAM

In addition to those projects previously listed as complementary to the State-funded program, priorities for the non-State capital program include:

Auxiliary and Fee-Supported Capital Needs.

Projects funded from non-State sources address facilities needs that are essential to creating a vibrant intellectual community. Capital projects that support student-life and affordable-housing needs help complete the living and learning environment for the student population. By providing places conducive to conversation, socialization, and recreation, these projects enable students and faculty to participate fully in core instruction and research activities.

Student Support Facilities. A number of student fee-supported facilities will be renovated or constructed as they gain approval and become financially feasible. These projects include corrections to mitigate seismic and life-safety deficiencies in student facilities, construction of a student center, and renovation of an outdoor quarry amphitheater.

Housing. Student housing demand and campus projections predict shortages for both on- and off-campus housing. Accordingly, the campus is pursuing both new student housing opportunities and the renovation of older residential college and student living space.

Because affordability limits housing options, faculty and staff housing continues to present a critical challenge. Phased housing projects on campus inclusion-area land are underway.

Transportation Improvements. At 45 years old, the Santa Cruz campus requires improvements to its circulation systems. Non-State-funded capital projects will address parking and transportation needs.

RESOURCES

State funding anticipated under this *2011-21 Capital Financial Plan* addresses only a fraction of the campus's overall programmatic needs. Using established metrics, the campus could fully justify significantly more funding. Because State support for capital construction has been delayed repeatedly, the campus faces a shortage of

instruction and research facilities to support 2007-08 budgeted enrollments.

UCSC continues to pursue alternative funding mechanisms and non-State resources to complement and extend the State capital investment. However, to fulfill its core educational mission in service to California, Santa Cruz will require additional State funding.

TIMING AND SEQUENCE

With no new State capital funding for the past four years, important new academic buildings, renovation and renewal efforts, and infrastructure projects have not advanced. As this backlog of need accumulates, the campus has made adjustments to its program with the consequence that a greater number of State-funded projects are scheduled for the 2012-13 fiscal year.

A more detailed discussion of capital project needs, timing, and sequencing appears in the *2010-20 Capital Financial Plan* accepted by the Regents and in the updated *2011-21 Capital Financial Plan* tables and project sheets.

Santa Cruz

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE				New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements										
State Funded Program															
E & G - GENERAL CAMPUS															
Biomedical Sciences Facility		•				N	69,465 4,832 X 7,192 CRM	2,220						83,709	
Infrastructure Improvements Phase 2	•		•			I	684		7,732					8,416	
Coastal Biology Building					•	N	2,085 X		57,937		1,080			61,102	
Infrastructure Improvements Phase 3				•		I			7,804					7,804	
Telecommunications Infrastructure Upgrades, Phase 3, State-funded Buildings Upgrades				•		R		900 X		7,059	8,149			16,108	
Life Safety Upgrades	•		•			R			9,090					9,090	
Alterations for Physical, Biological, and Social Sciences	•			•		R					14,769			14,769	
Environmental Health and Safety Facility	•				•	N			16,730					16,730	
Infrastructure Improvements Phase 4				•		I				1,297	639	14,048		15,984	
Social Sciences Facility					•	N				2,839	46,447		2,000	51,286	
Circulation and Infrastructure Extension Phase 1					•	I				1,563	14,716			16,279	
Improvements to Instructional Facilities				•		B				1,546	26,562	1,400		29,508	
Silicon Valley Center					•	N					980	700	17,850	470	20,000

Santa Cruz

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE				New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements										
Alterations for Academic Programs					• R							16,544		16,544	
Instruction and Research Building					• N								25,246	25,246	
Infrastructure Improvements Phase 5				•	I								12,088	12,088	
STATE FUNDING							2,220	99,293	14,304	113,342	16,148	36,394	37,804	319,505	
NON-STATE FUNDING							900	0	0	0	0	0	0	900	
TOTAL STATE PROGRAM							3,120	99,293	14,304	113,342	16,148	36,394	37,804	320,405	

Santa Cruz

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements											
Non-State Funded Program																
E & G - GENERAL CAMPUS																
Cogeneration Plant Replacement Phase 1				•		R		2,240 X 23,806 LB							26,046	
Telecommunications Infrastructure Upgrades, Phase 1, Outside Plant Upgrades				•		R		267 X 89 N 3,197 LB							3,553	
Energy Improvements				•		R		750 X 2,250 LB				750 X 2,250 LB		1,500 X 4,500 LB	12,000	
University Museum of the Arts and Sciences					•	N						25,000 G			25,000	
Expansion of the Center for Ocean Health Phase 1					•	N						11,958 G 645 X			12,603	
Oceans Auditorium					•	N							9,472 G		9,472	
Expansion of the Center for Ocean Health Phase 2					•	N								19,081 G	19,081	
Capital Projects \$750K to \$5M				•		R		4,000 X	7,022 X	3,000 X	2,000 X 3,668 G	2,000 X	2,000 X	8,000 X	31,690	
AUXILIARY - PARKING																
Marine Science Campus Parking Phase 1					•	I		1,311 LB 300 N							1,611	
Parking for Social Sciences Facility					•	I				1,430 LB 150 N					1,580	
AUXILIARY - STUDENT HOUSING & DINING																
Family Student Housing and West Campus Apartments				•		B				124,853 LB 6,571 N					131,424	
Kresge College Renovation	•		•			R							30,674 LB 1,614 N		32,288	
Capital Projects \$750K to \$5M				•		R		2,000 X 1,000 N	2,000 X	2,000 X	2,000 X	2,000 X	2,000 X	8,000 X 2,564 M	32,228	

Santa Cruz

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE				New Construction, Renovation, Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET*
		Enrollment Growth	Infrastructure Deficiencies	Facilities Modernization	Program Improvements										
AUXILIARY - STUDENT ACTIVITIES, RECREATION, ATHLETICS (FEE)															
Student Life Seismic Corrections Phase 2	•		•			R			6,175 LB					6,175	
Upper Quarry Amphitheater Renovation and Expansion	•		•			B				9,930 G				9,930	
Lower East Field Improvements				•		R				9,230 LB 3,090 G				12,320	
Student Center				•		N					89,435 LB 1,545 U			90,980	
AUXILIARY - FACULTY HOUSING															
Ranch View Terrace Phase 2					•	N			31,200 LB					31,200	
AUXILIARY - CHILD CARE															
Early Education and Care Center				•		N					9,451 LB 250 G 2,522 X			12,223	
TOTAL NON-STATE PROGRAM							41,210	9,022	176,750	60,254	122,256	48,267	43,645	\$501,404	
TOTAL STATE PROGRAM							3,120	99,293	14,304	113,342	16,148	36,394	37,804	\$320,405	
TOTAL NON-STATE PROGRAM							41,210	9,022	176,750	60,254	122,256	48,267	43,645	\$501,404	
TOTAL CAPITAL PROGRAM							44,330	108,315	191,054	173,596	138,404	84,661	81,449	\$821,809	

*Total Project Budget may include prefunding and proposed funding in years after 2020-21.

BIOMEDICAL SCIENCES FACILITY

- Equipping existing and future critical space needs associated with enrollment and program growth in the Physical and Biological Sciences Division and the Baskin School of Engineering.
- Provide equipment for Molecular, Cell, and Developmental Biology; Chemistry and Biochemistry; Microbiology and Environmental Toxicology; and Biomolecular Engineering.
- Construction of the facility includes additional funding from the campus and a CIRM grant.
- Supports campus CFP objectives for Instruction and Research Program Development.
- Project Planning Guide was approved in FY 2006-07. Construction is underway and funding for E is requested for FY 2011-12.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	59,728
GSF	95,759

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$71,685,000
Campus Funds	\$4,832,000
CIRM Grant Funds	\$7,192,000
Total Budget	\$83,709,000

ENVIRONMENTAL HEALTH AND SAFETY FACILITY

- Constructs a waste handling and storage facility for low level radiation, chemical, and universal waste. Includes an equipment calibration laboratory, shower and locker rooms, and an administrative office.
- The new facility would be located on Heller Drive, within walking distance of the majority of the campus waste generators, but in an isolated area that provides separation for safety and security.
- Provide sufficient space built in compliance with current building and fire codes and waste handling regulations.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$16,730,000
Total Budget	\$16,730,000

Project Scope Summary	
ASF	5,200
GSF	8,660

COASTAL BIOLOGY BUILDING

- Provides research space (labs, offices, and support facilities); academic and administrative offices, meeting and support space; and greenhouses and greenhouse support.
- Consolidates the Ecology and Evolutionary Biology faculty, staff, and researchers now split between main campus and Marine Science Campus; releases space needed on the main campus for Ocean Sciences and Earth and Planetary Sciences.
- Brings together faculty and students to promote scientific collaboration, the sharing of specialized facilities, and the integration of instruction and research activities.
- Will serve as the center for marine-dependent and coastal-related biological sciences research and study.
- Provides the necessary backbone for utility services for Coastal Biology Building and for expansion of the existing seawater distribution system. Also provides necessary and code-compliant stormwater management, soil erosion control, and emergency access.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$59,017,000
Campus Funds	\$2,085,000
Total Budget	\$61,102,000

Project Scope Summary	
ASF	33,235
GSF	47,500

INFRASTRUCTURE IMPROVEMENTS PHASE 2

- Correct failing systems while improving performance, conserving energy, and addressing life, health, and safety concerns for current enrollments. Phase 2 of a multi-phase infrastructure improvement program to provide safe, reliable energy-efficient infrastructure systems with sufficient capacity to meet the needs of existing and planned instruction and research programs.
- Improves electrical, natural gas, stormwater drainage, and campus core heating water systems.
- Supports campus CFP objectives for Improvements to Core Infrastructure.
- Project Planning Guide was approved in FY 2006-07; P and W are complete; funds for C are requested for FY 2012-13.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$8,416,000
Total Budget	\$8,416,000

INFRASTRUCTURE IMPROVEMENTS PHASE 3

- Provides stormwater drainage and electrical system improvements to the main campus.
- Phase 3 of a multi-phase infrastructure improvement program to provide safe, reliable, energy-efficient infrastructure systems with sufficient capacity to meet the needs of existing and planned instruction and research programs.
- Ties to the campus's overall capital goal and objective of improvements to core infrastructure in support of the Strategic Academic Plan.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$7,804,000
Total Budget	\$7,804,000

TELECOMMUNICATIONS INFRASTRUCTURE UPGRADES PHASE 3 STATE-FUNDED BUILDING UPGRADES

- Upgrades are required to avoid immediate failures of communications systems that have exceeded life expectancy and to eliminate single points of failure of communications systems on the main campus.
- Includes in-building cabling, construction or expansion of IT closets, and upgrading critical networking equipment in State-funded buildings.
- Supports campus CFP objectives for Instruction and Research Program Development; Retrofitting and Upgrading Existing Academic Facilities; Improvements to Core Infrastructure.

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$15,208,000
Campus Funds	\$900,000
Total Budget	\$16,108,000

LIFE SAFETY UPGRADES

- Installs fire-sprinkler systems in 12 buildings, upgrades fire alarm end devices in 4 buildings, upgrades emergency power generators at 5 buildings, and improves exterior lighting at 8 locations.
- Addresses life, health, and safety concerns identified by the campus.

Budget Approval	
Budget Year	2012-13

Summary of Budget by Fund Type	
Funding Source	Amount
State Funds	\$9,090,000
Total Budget	\$9,090,000

CAPITAL PROJECTS \$750K TO \$5M (E&G)

- Constructs a variety of projects under \$5 million for education and general programs. Base funding level assumes \$2 million (M) per year for a total of \$20M.
- Includes minor renovations in campus buildings. Also funds EH&S Facility Improvements (2011-12 for \$2M), Campus Natural Gas Upgrades (2012-13 for \$4M), Telecommunications Infrastructure Upgrades, Phase 2, State-funded Buildings Upgrades (2012-13 for \$1.022M), Cell Tower Backup Power Generator (2013-14 for \$1M) and Science and Engineering Library Renovation (2014-15 for \$3.668M).

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$28,022,000
Gift Funds	\$3,668,000
Total Budget	\$31,690,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$3,668,000
Total Budget	\$3,668,000

COGENERATION PLANT REPLACEMENT PHASE 1

- Constructs a new co-generation facility between the Central Heat Plant (which currently houses the cogeneration engine and equipment) and the Central Heat Plant 2.
- The campus cogeneration engine, fuel system and generator are over 25 years old and beyond their useful life.
- The new cogeneration system will nearly double the electrical output while maintaining compliance with American Colleges and Universities President's Climate Commitment, the University of California Office of the President Policy on Sustainable Practices, the regional Climate Action Compact, and the campus Climate Action Plan.

Budget Approval	
Budget Year	2011-12

Financing	
Long-Term	\$23,806,000
Est. Annual Debt Service	\$1,729,000
Terms: 6%	30 years
Interest During Construction:	\$1,311,000
<u>Anticipated Fund Source:</u>	
• Opportunity Fund	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Finance	\$23,806,000
Campus Funds	\$2,240,000
Total Budget	\$26,046,000

Project Scope Summary	
ASF	660
GSF	5,600

CAPITAL PROJECTS \$750K TO \$5M (AUXILIARY AND FEE SUPPORTED UNITS)

- Constructs a variety of projects under \$5M for campus auxiliary and fee-supported units. Base funding level assumes \$2M per year for a total of \$20M.
- Includes minor renovations in campus buildings. Also funds Merrill College Residence Halls Restroom and ADA Improvements (2011-12 for \$1M), Telecommunication Infrastructure Upgrades, Crown College (2013-14 for \$1.371M) and Telecommunication Infrastructure Upgrades - Various Colleges (2014-15 for \$2.336M, 2015-16 for \$2.450M, 2016-17 for \$2.507M, and 2017-18 for \$2.564M).

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Campus Funds	\$20,000,000
Auxiliary Reserves	\$12,228,000
Total Budget	\$32,228,000

ENERGY IMPROVEMENTS

- Renews and retrofits of HVAC systems, lighting, and building controls; monitoring-based commissioning, and replacement of fume hoods and freezers with more energy-efficient equipment.
- \$3M planned for four 3-year programs starting in 2011-12, 2014-15, 2017-18, and 2020-21.
- These projects are needed to increase energy efficiency and reduce overall energy consumption in University buildings and infrastructure.
- Funded by the campus and external financing. The campus may receive partial reimbursement from investor-owned utilities and participating publicly-owned utilities incentive payments.

Financing	
Long-Term	\$9,000,000
Est. Annual Debt Service	\$654,000
Terms: 6%	30 years
Interest During Construction:	\$315,000
<u>Anticipated Fund Source:</u>	
• Opportunity Fund	

Budget Approval	
Budget Year	2011-12

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
External Finance	\$9,000,000
Campus Funds	\$3,000,000
Total Budget	\$12,000,000

MARINE SCIENCES CAMPUS PARKING PHASE 1

- Constructs two surface parking lots for approximately 115 cars at the Marine Science Campus to coincide with occupancy of the Coastal Biology Building in fall 2015.
- Provides additional parking capacity for the Coastal Biology Building, the Expansion of the Center for Ocean Health Phase 1, the Oceans Auditorium, and the Expansion of the Center for Ocean Health Phase 2 in accordance with the Marine Science Campus Master Area Plan and the Coastal Long Range Development Plan.

Budget Approval	
Budget Year	2011-12
Financing	
Long-Term	\$1,311,000
Est. Annual Debt Service	\$95,000
Terms: 6%	30 years
Interest During Construction:	\$22,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Parking Fees	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Auxiliary Reserves	\$300,000
External Financing	\$1,311,000
Total Budget	\$1,611,000

Units
115 Spaces

TELECOMMUNICATIONS INFRASTRUCTURE UPGRADES PHASE 1, OUTSIDE PLANT UPGRADES

- Provides campus wide communications systems design and equipment purchase and installation for outside plant augmentation and data network / voice-system core upgrades per the 2010-2020 Telecommunications Master Plan. Provides fiber to 36 building locations. Create network loops at upper, middle, and lower campus locations.
- Upgrades are required to eliminate single points of failure of communications systems on the main campus.

Budget Approval	
Budget Year	2011-12
Financing	
Long-Term	\$3,197,000
Est. Annual Debt Service	\$232,000
Terms: 6%	30 years
Interest During Construction:	\$111,000
<u>Anticipated Repayment Source:</u>	
• Auxiliary Reserves	
<u>Anticipated Fund Source:</u>	
• Student Seismic Life Safety Fee	

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Auxiliary Reserves	\$89,000
External Financing	\$3,197,000
Campus Funds	\$267,000
Total Budget	\$3,553,000

AGRICULTURE AND NATURAL RESOURCES

2011-21 Capital Financial Plan

AGRICULTURE AND NATURAL RESOURCES

The Division of Agriculture and Natural Resources (ANR) is a statewide network of University of California researchers and educators dedicated to the creation, development, and application of knowledge in agricultural, natural, and human resources. Through strategic planning, ANR achieves scientific and technological breakthroughs that address the challenges facing Californians. ANR's work contributes to a healthy California – through teaching, research, and outreach education programs focused on nutrition and healthy lifestyles and through its work on animal and ecosystem health.

Through the Agricultural Experiment Station and Cooperative Extension, ANR operates the largest system of agriculture and natural resource Research and Extension Centers (RECs) in California. The nine-center system annually manages more than 375 research projects and conducts over 600 educational outreach programs per year. Located throughout California, the centers are focal points for community participation in UC programs and for active UC involvement in identifying and addressing regional agricultural and environmental issues. This statewide system offers a premier research management organization that provides academic researchers with localized services in various agricultural zones throughout the State.

ANR GOALS AND PRIORITIES

Because ANR operates as a network for research and education located throughout California, development of a *Capital Financial Plan* and *Physical Design Framework* similar to those of the campuses is not feasible. However, the division has developed a ten-year capital program that addresses its most critical needs – providing modern research space, expanding outreach, and renewing existing facilities which support sustainability and energy-efficiency goals.

Modern Research

The Research and Extension Centers support multi-disciplinary initiatives in growing methods, pest control, water management, resource conservation, and other areas necessary to respond to new issues and critical needs facing the State. Changes in the technological and environmental nature of these fields drives division needs for modern chemistry laboratories and equipment to support this type of research. However, the existing facilities at

DIVISION OF AGRICULTURE & NATURAL RESOURCES FACTS:	
Established	1952
Research and Extension Centers	9
Land Area	12,653 acres
Buildings	482,000 ASF

the majority of the RECs are outdated, short of space, and ill-equipped to adequately perform the necessary research.

This ten-year plan proposes eight facilities that will provide space for new field and analytic chemistry laboratories, as well as built-in and movable modern research equipment. These facilities are located in different regions of the State, including the agricultural communities of Five Points and Parlier, the coastal community of Irvine, the foothill community of Browns Valley, the high mountain community of Tulelake, and the desert community of El Centro.



Kearney REC Greenhouse Facility

Expanding Outreach

ANR's outreach program provides hands-on opportunities for researchers and their students to evaluate field trials via community and industry

interaction. In addition, ANR provides members of the community with meeting room and classroom space not readily available elsewhere in remote surroundings. Currently, ANR holds these meetings and classes in small rooms or, in some cases, simple conference rooms that have limited technological capabilities. Therefore, in addition to research labs, six of the facilities proposed in the ten-year plan will provide large, modern multi-purpose spaces that will accommodate educational sessions, community meetings, and community-industry interaction forums.

Sustainability and Renewal of Existing Facilities

ANR's goal for all buildings and infrastructure is to be sustainable and energy-efficient and to minimize operating and maintenance costs. All construction will comply with the *University of California Policy on Sustainable Practices* and its requirements for LEED™ certification.

ANR's ten-year plan proposes two capital renewal projects. The first project, the REC Facilities Renewal and Improvements, will replace the HVAC and roof systems in several buildings across the State. These buildings have an average age of 35 years, and these systems have reached the end of their useful lives. The second project, scheduled in 2016-17, will continue the HVAC system and roof replacement efforts, as well as repair roads and renovate outdated laboratories at additional sites.

RESOURCES

Over the next ten years, ANR must rely on State resources as the main source of funds to support its capital program. Although ANR does enjoy industry support of research, such support for capital projects is very limited.

ANR carefully reviews and prioritizes capital projects to meet the most urgent research needs. It also factors in support from agricultural and other industries, which may provide funding and equipment for its projects. ANR actively works with specific industry research groups in the development of research-specific facilities.

Of critical concern to ANR is the operation and maintenance of plant (OMP). As utilities and other costs rise without matching funding, and with no funding for new facilities, ANR has focused on the development of capital-renewal projects to modernize facilities as well as to stabilize or reduce the utility costs of the Research and Extension Centers.

TIMING AND SEQUENCE

Many factors influence the structure of the ten-year capital program and *Capital Financial Plan*. The Facilities Planning and Management staff of ANR is very small. While capital projects are determined by the most urgent needs, staffing issues are also considered in the timing of projects. The availability

and amount of State funding also impact the sequence and feasibility of ANR's projects.

CHALLENGES FOR THE CAPITAL FINANCIAL PLAN

ANR is preparing to meet the future for Californians by articulating a *Strategic Vision* and identifying essential initiatives for implementation. While the capital program aligns with these initiatives to meet the State's most critical needs, it also relies primarily on State resources to realize them. As a result, delays in funding compromise the division's ability to be as effective as it can be in serving the State.



Since acceptance of the *2009-15 State and Non-State Capital Improvement Program*, budgetary constraints required that ANR cease operations at the Shafter Center. All projects previously proposed for the Shafter REC site are no longer in the program. No other changes are anticipated.

With UC's unparalleled scientific capacity, ANR is at the heart of California's unique position as a world leader in agriculture and natural-resource research and innovation. This ten-year capital program supports this future for ANR and for California.

Agriculture and Natural Resources

PROJECT	Seismic/Life Safety	PRIMARY OBJECTIVE					New Construction, Renovation Both, Infrastructure	Prefunded	2011-12	2012-13	2013-14	2014-15	2015-16	2016-17	2017-18 to 2020-21	TOTAL PROJECT BUDGET
		Enrollment Growth Infrastructure Deficiencies	Facilities Modernization	Program Improvements												
State Funded Program																
E & G - GENERAL CAMPUS																
REC Facilities Renewal and Improvements					•	R			1,850	200	G				2,050	
West Side REC Field Laboratory and Multipurpose Facility					•	N				1,590	175	G			1,810	
										45	X					
Kearney REC Insectary Facility					•	N				1,808	200	G			2,083	
										75	X					
Desert REC Field Laboratory and Multipurpose Facility					•	N						1,502	200	G	1,702	
Capital Renewal Program - Phase 2					•	B							1,120		1,120	
Sierra Foothill REC Laboratory and Extension Facility					•	N							1,891	150	G	2,041
South Coast REC Laboratory and Extension Facility					•	N							1,502	100	G	1,602
STATE FUNDING								0	1,850	3,398	0	1,502	4,513	0	11,263	
NON-STATE FUNDING								0	0	695	0	200	250	0	1,145	
TOTAL STATE PROGRAM								0	1,850	4,093	0	1,702	4,763	0	12,408	
Non-State Funded Program																
E & G - GENERAL CAMPUS																
Hansen Agricultural Learning Center Research Facility					•	N						7,200	X		7,200	
Lindcove REC Citrus Clonal Protection Facility					•	N		1,200	G						1,200	
TOTAL NON-STATE PROGRAM								1,200	0	0	7,200	0	0	0	\$8,400	
TOTAL STATE PROGRAM								0	1,850	4,093	0	1,702	4,763	0	\$12,408	
TOTAL NON-STATE PROGRAM								1,200	0	0	7,200	0	0	0	\$8,400	
TOTAL CAPITAL PROGRAM								1,200	1,850	4,093	7,200	1,702	4,763	0	\$20,808	

**REC FACILITIES RENEWAL
AND IMPROVEMENTS**

- Modernize many of the 50-year old structures on the Division's nine Research and Extension Centers.
- Renewal includes seismic corrections, building renovations, and resotring water systems and roofing systing.
- Industry support (gift funding) is anticipated for renovating and equipping the facilities.

Budget Approval	
Budget Year	2012-13

Project Scope Summary	
ASF	N/A
GSF	N/A

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
State Funds	\$1,850,000
Gift Funds	\$200,000
Total Budget	\$2,050,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	
Gifts to be Raised	\$200,000
Total Budget	\$200,000

**LINDCOVE REC CITRUS CLONAL
PROTECTION FACILITY**

- Researches infestation of pests threatening the State's citrus industry.
- Provides protected propagating and growing conditions for the State's citrus budwood environment.
- Includes laboratory space for propagation and research evaluation.
- Project will begin when funding is received from the Citrus Research Board in 2011.

Budget Approval	
Budget Year	2011-12

Project Scope Summary	
ASF	40,000
GSF	40,000

Summary of Budget by Fund Type	
<u>Funding Source</u>	<u>Amount</u>
Gift Funds	\$1,200,000
Total Budget	\$1,200,000

Gift Campaign Summary	
Gifts in Hand	
Gifts Pledged	\$1,200,000
Gifts to be Raised	
Total Budget	\$1,200,000

KEY TO THE TABLES AND FUND SOURCES

2011-21 Capital Financial Plan

KEY TO THE TABLES

PROGRAM CATEGORIES

The list of projects is organized into four program categories.

Education & General - General Campus: Core instruction, research, general campus academic space, academic support space, student support space, institutional support space, infrastructure, and seismic/life safety.

Education & General - Health Sciences: All academic space, academic support space, student support space, institutional support space, infrastructure, and seismic/life safety for the health sciences if developed separately from general campus space (e.g., a separate health sciences library or vivarium).

Auxiliary:

- Parking
- Student Housing & Dining
- Student Activities, Recreation, Athletics (Fee)
- Faculty Housing
- Child Care

Medical Centers: Remediation of patient care facilities, infrastructure, seismic/life safety, and medical center support space.

PROJECT OBJECTIVES

This field identifies the primary purpose(s) of each project.

Enrollment Needs: To provide capacity related to student and faculty growth.

Infrastructure Deficiencies: To correct seismic hazards rated seismically “Poor” or “Very Poor” and/or other life-safety deficiencies.

Facilities Modernization: To address unsatisfactory conditions in existing buildings or infrastructure systems. This may include code deficiencies, systems obsolescence, technological obsolescence, or program modernization needs.

Program Improvements: To accommodate new or expanding programs that are not necessarily related to enrollment growth. Examples are new research centers or institutes or the initiation of new schools or degree programs.

ESTIMATING PROJECT COSTS

Cost Indexing: For State- and Non-State-funded projects, project costs are benchmarked to July of the budget year (e.g., costs in 2011-12 are benchmarked to July 1, 2011 at CCCI 5732 and EPI 3016; costs in 2012-13 and beyond are benchmarked to July 1, 2012 at CCCI 5950 and EPI 3125).

FUNDING SOURCES

Identifies the categories of fund sources used to support the project.

State Funds

(blank) – General obligation (including health sciences expansion), lease revenue bonds, or other State funds

CRM – California Institute for Regenerative Medicine Bonds – CIRM (Proposition 71)

Non-State Funds

LB – External Financing

X – Campus funds or other University sources

G – Gifts in hand, pledges, and amounts expected to be raised

U – University Registration Fee Reserves

HR – Hospital Reserves

N – Auxiliary Reserves (Housing, Parking and Other)

F – Funds expected to be provided from any federal agency

GR – Grants Other

PRI – Privatized

FUND SOURCES

The University depends on a wide range of fund sources to support proposed projects, including State funds, gifts, grants, University equity funds (derived from auxiliary enterprise revenues, certain fees and other discretionary resources), and external financing (long-term debt). UC's general revenue is pledged as security for long-term debt; however, Educational Fees are not used to pay for construction or debt service.

While capital improvements to support academic programs, academic support, core student services and administration, and campus operational support are eligible for State bond funding, they may be funded from both State and non-State sources. Self-supporting activities such as housing, parking, athletics, and medical enterprises generally are not eligible for State funding and must be supported from other sources.

STATE FUNDS

General obligation (GO) bonds, which require voter approval, have been the primary source of State funds to support general campus and medical education facility needs since the mid-1980s. The University has also been the recipient of GO bonds to support expansion and

improvements to children's hospital facilities throughout the State as well as bonds to support regenerative medicine (stem-cell) research facilities. The voters last approved a GO bond measure for higher education in 2006, which was intended to provide funding over a two year period to support general academic projects and expansion of health sciences facilities and telemedicine programs.

State lease revenue bonds also have supported the University's capital improvement program. These bonds require only the approval of the Legislature and the Governor and, unlike GO bonds for which the State's general revenue is pledged as repayment of the bonds, a physical asset is pledged as collateral for repayment. In recent years, the State has utilized lease revenue bonds for selective programs or to support a limited number of high-priority projects.

Limited State General Fund revenues have been provided for selective program purposes.

NON-STATE FUNDS

The University has four principal non-State sources of funds available to support capital projects. These include current funds, gifts, grants, and external financing.

Current funds include reserves generated from specific operations and campus funds available to the Chancellor. These include revenues from hospital operations, housing, parking, athletics, and other auxiliaries. Reserves associated with the University Registration Fee also may be used to support capital improvements, and student-initiated fees can support the construction of recreation, student union, and other student-related facilities. The use of reserves typically is restricted to support the program that generates the reserve revenue.

Gifts include those in hand, pledged, and to be raised. The University has a successful history of acquiring major gifts to fund capital projects. The University's goals for philanthropic support remain highly successful; however, the economic crisis has directly impacted the pace at which private funds have been raised in support of specific capital projects. As a result, projects dependent upon gifts will be advanced when funding targets have been achieved.

Grants include federal, State, and private awards. Campuses are aggressively pursuing State and federal grants to fund capital projects. The campuses have received grant money from the

California Institute for Regenerative Medicine to improve and expand research facilities, and are renovating and constructing new facilities to support children's health with grant funds from the California Health Facilities Financing Authority. In addition, the campuses have been awarded millions of ARRA federal stimulus dollars to fund capital projects.

Grant funds can be used to cover direct capital expenditures, or a portion of grant overhead funds can be used to pay long-term debt service. The "Garamendi" financing mechanism is a specific tool for financing the construction of facilities through which the University has realized a number of projects. Under State Government Code Section 15820.21, the University may seek authorization to pay debt service and maintenance costs for specifically approved research buildings using federal indirect cost recovery from net new research dollars awarded. The University has had 23 facilities approved using this mechanism, including a new facility approved in 2010-11 at San Diego.

External financing under the Regents' authority is a significant financing tool to support capital improvement projects. The University's credit rating allows the Regents to borrow and sell bonds at rates that are more favorable than those for the State at this time. The financial markets are able to evaluate the credit-worthiness of the University using all its many revenue streams. While general

revenue is pledged as security for bonds, Educational Fee revenue is not used to pay for construction or debt service.

Campuses must pledge the use of specific funds for repayment of the debt and must demonstrate that sufficient funds are available from that fund source to repay the debt. In addition, interim financing – the use of short-term financing instruments – may be provided to campuses to backstop pledged gifts or gifts to be raised.



University of California
Office of the President
Budget and Capital Resources
111 Franklin Street, 6th Floor
Oakland, California 94607-5200
510-987-9122
<http://budget.ucop.edu>

