



**New York University**  
*A private university in the public service*

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To: ULT

From: Dave McLaughlin & Mike Alfano

**Subject: Space and Capital Planning for Schools and Administrative Units**

The Provost and the Executive Vice President have developed a process for allocating new space to schools and administrative units, developing new space, and authorizing planning studies and capital projects. The process ensures that the Provost and EVP have adequate information to vet and prioritize planning studies, capital projects, and new space assignments; and provides for review in the context of all University projects, the University's full space portfolio, and the University's financial capacity. The process begins with the dean or unit head consulting with the Provost, and continues as an iterative discussion between the school or unit and the University advisory committees described below.

In all instances, schools and provostial units should first consult with the Provost (and for Medicine, Nursing and Dentistry, with the Senior Vice President for Health) about the intent to conduct a strategic planning study, request new space, or plan a major capital project, and should obtain authorization as to the general scope of the project and to continue planning for it. The Provost will refer projects at Washington Square to two advisory groups - the Space Planning Working Group (SPWG) and the Capital Funding Committee (CFC). These groups work together to define and frame options for decision and action by the Provost and the Executive Vice President, and as appropriate, the Core and other members of the University's senior leadership.

SPWG is co-chaired by Pierre Hohenberg, Senior Vice Provost for Research, and Lori Mazor, Associate Vice President for Campus Planning & Design (in her absence, Eve Klein, Senior Director of Space Planning). Working iteratively with the unit sponsoring the project, SPWG reviews units' requests for space and proposals for capital projects; reviews schools' strategic plans; develops a space plan that coordinates University priorities; prioritizes academic programs for new University sites; and develops plans for special needs (for example, classrooms). CFC, which is chaired by Marty Dorph, Senior Vice President for Finance & Budget, reviews projects referred by SPWG and confirms project estimates, assesses funding sources and financing, and makes a determination on financial feasibility. The committees include representatives from the Provost's office, Finance office, and facilities offices (Strategic Assessment, Planning & Design, Facilities & Construction Management). The committees work iteratively with the schools and units to prepare information, provide a framework for decision-making, and submit recommendations to the Provost and EVP for their consideration in the context of University priorities.

The attached material includes additional information about the two advisory groups, including membership, and provides guidelines for how to proceed in proposing a strategic planning study, requesting new space, proposing a major capital project, and proposing a major expansion. The process is still being fine-tuned and you should feel free to address questions directly to the committee chairs.



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Executive Vice President

## **GUIDELINES FOR SPACE PLANNING FOR SCHOOLS AND PROVOSTIAL UNITS**

These Guidelines apply to projects in the immediate future and the near future (in a 5 – 10 year time frame). The Guidelines are consistent with long-term planning for the 2031 time frame. The process ensures that:

- All requests from schools and administrative units for space and capital development, including planning and design studies, are in the first instance, vetted and prioritized by Provost and Executive Vice President. Proposals from Medicine, Dentistry, and Nursing require additional early input from the Senior Vice President for Health.
- Proposals for space and capital projects are reviewed with coordinated input from the Provost's office, the Finance Office, the Office of Strategic Assessment, Planning & Design (SAPD), and the Office of Facilities & Construction Management (FCM).
- New space allocations for any one unit are coordinated within the context of all University strategic plans and capital projects, and with a broad view of the University's space portfolio, including new acquisitions and new, renewed, or terminated leases.
- Proposed funding for capital projects is reviewed and approved in the context of the University's overall financial capacity and funding sources.

The process for Washington Square projects features two working groups that act in an advisory capacity: the Space Planning Working Group (SPWG) and the Capital Funding Committee (CFC). For substantial projects, these groups work together to identify and frame options for decision and action by the Provost and the Executive Vice President, and as appropriate, the Core and other members of the University's senior leadership.

### **SPACE PLANNING WORKING GROUP (SPWG)**

SPWG is co-chaired by Pierre Hohenberg, Senior Vice Provost for Research, and Lori Mazor, Associate Vice President for Campus Planning and Design (staffed in her absence by Eve Klein, Senior Director of Space Planning). SPWG, which meets weekly, has representatives from the Offices of the Provost, EVP, and Campus Planning. Working iteratively with the units sponsoring the project, SPWG reviews requests for new space from the schools and administrative units, and reviews requests for major capital projects, particularly projects that require strategic coordination between the units or with University priorities.

In addition, SPWG functions in an advisory capacity to the Provost and EVP in:

- Reviewing schools' strategic plans developed with Planning and Design.
- Developing a 5-year space plan that coordinates the Provost's priorities across academic units and schools and can serve as a basis for the annual development and approval of the University's capital budget.
- Developing preliminary design parameters and/or prioritizing academic programs to be considered for space or sites that the University proposes to be acquired or developed.
- Carrying out special space planning assignments. As an example, a Classroom Capital Planning Subcommittee has been formed as a subcommittee of SPWG to develop a multi-year plan to replace decommissioned classrooms and leased spaces, and to target classrooms for refurbishment and for renovation, to the extent that funding resources permit. This group works in tandem with the Classroom Utilization Committee, headed by Linda Mills, Senior Vice Provost for Undergraduate Education and University Life, which is working with the schools and SAPD to explore pedagogical and scheduling needs that impact utilization.

### **CAPITAL FUNDING COMMITTEE (CFC)**

CFC is chaired by Marty Dorph, Senior Vice President for Finance and Budget, and includes additional representatives from the Finance office, the Provost's office and the facilities offices, SAPD and FCM. CFC reviews the budget implications of the projects referred by SPWG, in consideration of the University's financial priorities. It confirms project estimates (consulting with FCM as necessary), confirms funding sources and financing (e.g. bond funds, operating funds, contributions), and makes a determination on the financial feasibility of the project.

### **PROCESS**

To start the process, schools and administrative units should consult with the Provost and the Executive Vice President (and for Medicine, Nursing and Dentistry, the Senior Vice President for Health) about the intent to conduct a strategic planning study, request new space, or plan a major capital project, and should obtain authorization as to the general scope of the planning project and to continue planning for it. The Provost will refer projects for Washington Square for review by two advisory groups - the Space Planning Working Group (SPWG) and the Capital Funding Committee (CFC). These groups work together to identify and frame options for decision and action by the Provost and the Executive Vice President, and as appropriate, the Core and other members of the University's senior leadership.

SPWG and CFC conduct an iterative review, working with the unit sponsoring the project and University offices to obtain information, and develop plans. The two committees prepare information, provide a framework for decision-making, and submit recommendations to the Provost and the Executive Vice President for their consideration in the context of University priorities.

The process embraces the schools' annual Academic Plans and strategic multi-year space development plans that some schools have conducted. These proposals require the earliest review in the Provost's office, in some cases before detailed planning has been undertaken.

Projects approved for development continue through the process that the Budget Office coordinates, working with project sponsors (the schools, administrative units) to evaluate

funding and operating budget implications; and then through the design and construction process managed by FCM.

## **TYPICAL PROJECTS**

In all instances, the process begins with notification or consultation with the Provost and EVP (and as appropriate, Senior Vice President for Health) of the intent to conduct a strategic planning study, request new space, or plan a major capital project.

*To propose a strategic planning study:* Any initiative to undertake a substantial planning exercise requires discussion with the Provost about academic or administrative growth plans, and prior authorization from the Provost as to scope and purpose of the planning study. With that authorization, schools approach SAPD, which will work with the unit to conduct the programming and feasibility studies, and engage design and engineering consultants as necessary. As part of that process, SAPD consults with SPWG, and SPWG consults with CFC to confirm/ establish funding for the planning study.

*To request new space:* These projects require prior discussion with the Provost, including authorization as to the scope of the project. With that authorization, units may submit a Space Request Form and Worksheet, which can be found at the SAPD website at <http://www.nyu.edu/sapd/space.planning/request.form.html>. SAPD will identify possibilities, conduct a preliminary assessment of programmatic feasibility, and determine additional considerations (including short and long term plans for the space, associated domino moves, and special costs). SAPD will review the options with SPWG, which will in turn consult or refer the project to CFC.

An expedited process will apply to projects that have limited scope and cost, do not impact complicated strategic space plans for the University, and have clear financing plans that the school or unit is prepared to absorb. Decisions will be memorialized in a Space Allocation Approval Form, which details the terms of the allocation, including financing, the timeline for assigning the space, and the term of the assignment. The form will be circulated by SPWG for sign-off by the new user, the relinquishing user, the funding source, the Budget Office, and the Provost and EVP or their designees.

Major requests for new space and its renovation will follow the process outlined below.

*To propose a major capital project to renovate space in a unit's existing portfolio:* For schools, these conversations typically begin with the Annual Academic Plan, in which schools identify and describe substantial space needs triggered by recruitment, programmatic development, and other new or continuing needs. Schools are asked to summarize and indicate the status of plans or proposals for reconfiguring existing space or acquiring new space, provide preliminary cost estimates, and identify funding sources. These Plans should reflect prior consultation with the Provost about project scope, and should be developed in consultation with SAPD, which offers programming, planning, pre-design, estimating, and capital planning services to assist units with defining their project scope and budget. The Plans are reviewed in the Provost's Office and referred to SPWG for consideration. Similarly, projects that emerge during the course of the academic year (and are not enumerated in the Annual Academic Plan) require prior discussion with the Provost, including authorization as to project scope. With that authorization, the sponsor may contact SAPD.

Sponsors will work closely with SAPD to further define project scope and cost estimates. With that information, SPWG will refer the project to CFC for a determination of funding and financing sources. SWPG and CFC will jointly make a recommendation to the Provost and EVP to approve the project to proceed, to modify the project scope, or to abort the project. Recommendations for approved projects will have financing plans; for major projects, it may be necessary to present the project to the Board of Trustees for financing approval.

*To propose a major expansion (a new building or major renovation):* Any initiative of this scope will require multiple conversations with Provost and EVP, leading successfully in the first instance to approval to conduct a programming and feasibility study. As noted above, SPWG may be asked to advise Provost/EVP by considering the request within the context of other needs and in light of new spaces or sites that the University proposes to be acquired or developed. The process for developing the preliminary project scope, and proceeding to finalize project scope and funding follows the steps outlined above.

### **Committee Members**

#### **Space Planning Working Group**

Pierre Hohenberg, Senior Vice Provost for Research (Co-chair)  
Lori Mazar, Associate Vice President for Campus Planning and Design (Co-chair)  
Jess Benhabib, Senior Vice Provost for Planning  
Leah Desantis, Manager of Academic Operations Planning, Provost's Office  
Steven Donofrio, Vice President for Administration  
Eve Klein, Senior Director of Space Planning  
Carol Morrow, Associate Provost, Academic Operations Planning (Chair, Classroom Capital Planning Subcommittee)

#### **Capital Funding Committee**

Martin Dorph, Senior Vice President for Finance and Budget (Chair)  
Catherine DeLong, Associate Provost, Academic Financial Planning & Fiscal Affairs  
Pierre Hohenberg, Senior Vice Provost for Research  
Anthony Jiga, Vice President, Budget and Planning  
John LaMarca, Associate Director, Budget and Planning  
Carol Morrow, Associate Provost, Academic Operations Planning

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