

Instructions for Submitting Projects to the

FEDERAL CAPITAL IMPROVEMENTS PROGRAM

for the National Capital Region

2011-2016

F C I P

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APPENDICES

FORM A. FEDERAL PROJECT PROPOSAL

FORM B. ANNUAL REVIEW OF PROJECT STATUS

This instruction booklet is available on the National Capital Planning Commission website at http://www.ncpc.gov/DocumentDepot/Publications/FCIP/FCIPinstructions_2011_2016_.pdf (About/Principal Activities/Federal Capital Improvements).

If you have any questions about these instructions, please contact: Stacy Wood, Community Planner, tel: 202-482-7237, stacy.wood@ncpc.gov.

I. INTRODUCTION

As the central planning agency for the federal government, the National Capital Planning Commission (the Commission) is responsible for planning the appropriate, orderly development of the federal establishment in the National Capital Region. The agency's congressionally mandated responsibilities include the annual preparation of the six-year Federal Capital Improvements Program (FCIP). The adopted program contains the Commission's recommendations to the Office of Management and Budget (OMB) and to other federal departments and agencies on proposed land acquisitions and development proposals that will be considered for funding in the next six years.

Preparation of this program relies upon each participating federal department and agency (hereafter referred to as agency) to submit its six-year capital improvements program and proposed capital budget recommendations for the Commission's review.

These instructions will guide each agency as it prepares its FYs 2011-2016 capital improvement program. The Commission requests that each agency prepare its submission in accordance with these instructions and meet the deadlines for submitting program materials.

The Commission will review FYs 2011-2016 capital improvements program materials in summer 2009. Once the Commission adopts the draft program, it will be forwarded to the OMB and made available to the public. During fall 2010 Commission staff confirms FY 2012 budget estimates with agencies and then submits capital budget information to OMB for the President's FY 2012 budget.

II. FCIP FUNCTION AND PROCESS

To understand the basis for the preparation of the Federal Capital Improvements Program, the next section provides:

- A. Definition of a capital improvement
- B. Role and function of the FCIP
- C. Office of Management and Budget review
- D. Legal authority
- E. Project submission recommendations

A copy of last year's FYs 2010-2015 FCIP is available at http://www.ncpc.gov/DocumentDepot/Publications/FCIP/FCIP2010_2015_.pdf

A. DEFINITION OF A CAPITAL IMPROVEMENT

For purposes of the FCIP, a capital improvement is defined as a non-recurring expenditure or any expenditure for physical improvements, including costs for acquisition of existing buildings, land, or interests in land; construction of new buildings or other structures including additions and major alterations; construction of streets and highways or utility lines; acquisition of fixed equipment; landscaping; and similar expenditures.

Expenditures for federal capital improvements can be:

- Funds appropriated by Congress.

- Non-appropriated federal funds generated from sources such as retail sales at U.S. postal facilities, military stores, and officers' clubs.
- Funds provided by the private sector for construction on federal property.
- For construction on private land, provided the new structure is for occupancy and/or eventual ownership by the federal government.

Additional information is provided on page 11 under "Supplemental Submission/ Reprogramming of Funds."

B. ROLE AND FUNCTION OF THE FCIP

The FCIP serves as a budgeting and planning tool. The National Capital Planning Commission reviews proposed federal capital projects within the National Capital Region for their conformity with adopted federal plans and policies and makes recommendations based on this review. These recommendations are transmitted to the OMB which, in turn, uses the information as it develops the President's annual budget. The Commission's recommendations and comments do not represent approval of the proposed project and shall not be construed or represented to constitute Commission review of project plans pursuant to 40 U.S.C § 8722(d) and Section 5 of the National Capital Planning Act (40 U.S.C § 8722(b)(1)), or any other applicable statute.

The Commission's recommendations and comments within the FCIP are based on the extent to which proposed projects conform with regional planning and development policies as described in plans and programs adopted by the Commission, regional planning bodies, and local and state governments. The recommendations and comments represent the Commission's assessment of the project's contribution to implementing planning policies and initiatives or support of key federal interests.

As an initial assessment of proposed federal capital projects, the FCIP allows the Commission to identify, at a sufficiently early stage, projects that are important to the orderly development of the federal establishment, as well as projects that have potential adverse impacts or planning problems that require resolution.

Another function of the FCIP is to coordinate proposed federal agency capital projects with agencies' long-range systems plans; Commission-approved master plans; and Commission-approved site and building plans for federal installations or single facilities. The FCIP functions as a vital first step in the implementation of these plans by serving as an early notification and coordinating tool for interested and affected local, regional, and state agencies. State and local governments submit their capital improvements programs to NCPC for review, allowing the Commission to determine, at the earliest possible time, whether federal interests are affected. Such coordination ensures that the schedules of related projects are properly timed, possibly avoiding delays at the time of formal review. This coordination results in cost savings to local and state governments and in overall improvements to the regional economy.

Preparation of the FCIP requires the cooperation and assistance of participating federal agencies in submitting their capital improvements programs to the Commission by the deadlines noted on page 9. In the spring, the Commission's draft recommendations for capital projects for the next six fiscal years are prepared. [The first year of the FCIP represents funding requests contained in the President's budget transmitted to Congress (FY 2011), while the second to sixth years (FYs 2012-2016) represent extended funding of projects or new projects that are scheduled year-by-year until they are ready for funding consideration.] A draft FCIP is circulated for public review and comment, usually in June, and NCPC coordinates with federal agencies in July to ensure that the most current project descriptions and budget estimates are presented. The Commission usually adopts the final FCIP in September.

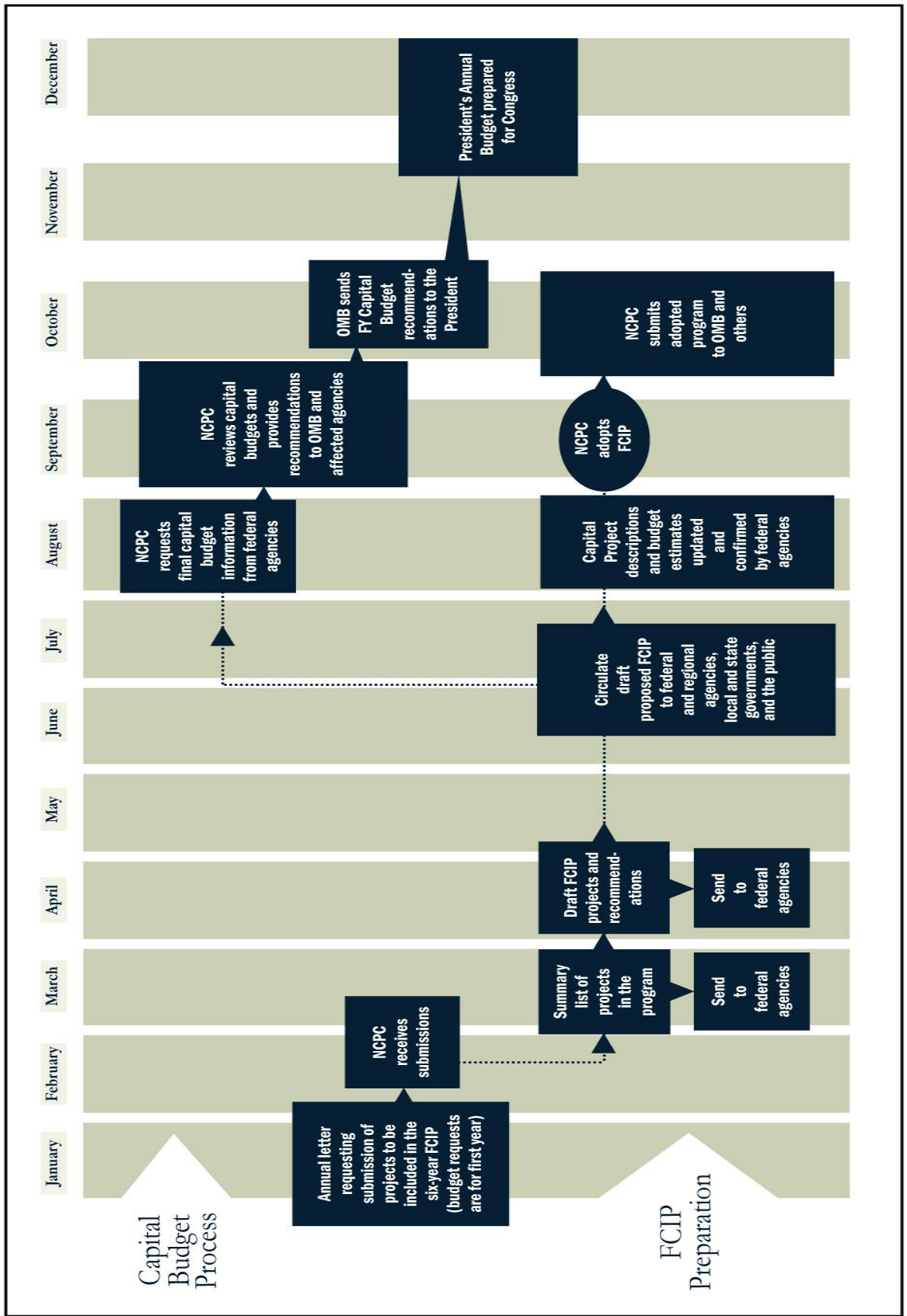
In September, NCPC asks federal agencies for an update on capital budget and program information, which provides an opportunity for agencies to submit revised cost estimates for the President's FY 2011 budget. Following receipt, NCPC reviews these capital budget requests in executive session, which is not open to the public, and transmits the Commission's recommendations to OMB in the fall.

Projects in the FCIP are reviewed for conformity with, and for their contribution to, the following plans:

1. *Extending the Legacy: Planning America's Capital for the 21st Century*
2. *Comprehensive Plan for the National Capital: Federal Elements*
3. *Memorials and Museums Master Plan*
4. *The National Capital Urban Design and Security Plan*
5. **Master plans and strategic plans for federal facilities and installations, and federal agency long-range system plans and programs**

Copies of the Commission's plans, including those noted above, are available in PDF format at [http://www.ncpc.gov/April2009/Main\(T2\)/Planning\(Tr2\)/Planning.html](http://www.ncpc.gov/April2009/Main(T2)/Planning(Tr2)/Planning.html) , or by calling the Commission at (202) 482-7200, or by emailing info@ncpc.gov.

MAJOR STEPS IN PREPARING THE FEDERAL CAPITAL IMPROVEMENTS PROGRAM



C. OFFICE OF MANAGEMENT AND BUDGET REVIEW

With the passage of the Government Performance and Results Act of 1993, OMB is placing increased emphasis on linking federal agency resources with performance, comparing proposed projects with federal agencies strategic plans. OMB has identified the FCIP as an important management reform initiative and uses the Commission's recommendations to assist in analyzing federal capital budget submissions.

D. LEGAL AUTHORITY

Preparation of the FCIP is pursuant to Section 7 of the National Capital Planning Act (40 U.S.C. § 8723(a)), which requires that the Commission annually review and recommend a six-year program of federal public works projects for the National Capital Region. In addition, Section 33.1(d) of the Office of Management and Budget Circular No. A-11 *Preparation, Submission, and Execution of the Budget* (July 2008) states that "you must consult with the National Capital Planning Commission in advance regarding proposed developments and projects or commitments for the acquisition of land in the National Capital area."

E. PROJECT SUBMISSION RECOMMENDATIONS

The Commission requests that the participating departments and agencies comply with the following recommendations, when appropriate, in submitting their capital programs for inclusion in the FCIP.

- Each federal agency should use the *Comprehensive Plan for the National Capital: Federal Elements* as a planning policy guide in preparing submission of proposed projects for the capital improvements program.
- The status of all approved master plans should be assessed approximately every five years by federal agencies. Master plans should be revised, as needed, to incorporate all project proposals before submitting the master plans to the Commission as part of the capital improvements program.
- Proposed development projects should be evaluated for compliance with applicable federal, state, and local requirements regarding historic preservation or environmental protection, including impacts on traffic and nearby properties. Implementation may require review by federal, state, county, and city officials pursuant to historic preservation or environmental regulations, including issuance of permits promulgated under the authority of federal law.
- The Commission urges any agency planning a project that could affect a 100-year floodplain or wetland area, or generate additional stormwater runoff, to identify measures, during the preliminary project plan review stage, that will mitigate any potential adverse impact.
- The Commission requests that federal agencies, in planning for future projects, adhere to the policy in the Federal Facilities Element of the *Comprehensive Plan*, which states that in selecting new locations or relocating federal activities, consideration should be given to the use of existing underdeveloped federal facilities before leasing space or purchasing additional land. In addition, the Commission encourages the OMB and other federal agencies to conform to the *Comprehensive Plan* and Executive Order 12072 regarding the location of federal facilities in the District of Columbia.

- As stated in the Federal Workplace Element of the *Comprehensive Plan*, the federal government should achieve not less than 60 percent of the region's federal employment in the District of Columbia. The Commission uses this policy to preserve the historic concentration of federal employment in the seat of the national government. The Commission encourages federal agencies to help realize this goal by locating and maintaining Cabinet-level departments and independent agencies and commissions, including facilities housing departmental, commission, or agency heads, their assistants, and other staff, within the District of Columbia. Agencies and departments are also encouraged to consider locating and maintaining other types of federal facilities within the District of Columbia, as guided by other policies within the *Comprehensive Plan*.
- The Commission encourages all federal departments and agencies to adhere to the concepts contained in *Extending the Legacy: Planning America's Capital for the 21st Century* as they prepare proposals for development within the monumental core. The plan provides alternatives to preserve and enhance Washington's monumental core, which extends generally from the steps of the Capitol to the Lincoln Memorial and Arlington Cemetery, and from the White House to the Potomac and Anacostia Rivers.
- The Commission encourages all federal agencies to design security improvements that are aesthetically appropriate to their surroundings and enhance the public environment. In particular, security improvements should be designed in accordance with recommendations in NCPC's *National Capital Urban Design and Security Plan* and *Designing and Testing of Perimeter Security Elements*. The Commission strongly supports securing sites in the National Capital Region and making them safe for federal workers and visitors. The Commission, however, encourages a comprehensive approach to the design of permanent security measures and requests that agencies coordinate their security projects with the recommendations contained within *The National Capital Urban Design and Security Plan*.

III. GENERAL SUBMISSION REQUIREMENTS

A. SUBMISSION CONTENTS

Each agency's designated representative should submit to the Commission **ONE COPY** of the agency's six-year capital improvements program, to include the following items:

Form A - Federal Capital Project Proposal: Form A is required for **each** capital project for which the agency is requesting funding in FYs 2011-2016. For all **new** submittals to the FCIP, please complete all of Form A. A site location map showing the location of each proposed project should be attached to Form A. If projects have been submitted previously, agencies may submit an updated version of the previous year's project description, and provide updates to questions 5 through 12 on Form A.

Form B - Annual Review of Project Status: Agencies should provide a review of the status of all capital projects that have been fully or partially funded during the last two fiscal years (FY 2008 and FY 2009) and report the status of any legislative action on FY 2010 capital budget projects under congressional review.

Please Note: To expedite submissions, each agency will be given electronic copies of their project submissions from last year's FCIP, including project descriptions and six-year cost estimates in spreadsheet format.

B. SCHEDULE FOR SUBMISSION OF CAPITAL PROGRAMS (FYS 2011-2016)

Recognizing that agencies develop their capital project information over the course of the fiscal year, the Commission has established the following submission deadlines to ensure agencies have several opportunities to update information.

Initial drafts of FYs 2011-2016 submissions are due by **Friday, March 26, 2010**, including a Form A or equivalent for each project for which FY 2011-2016 funds are requested, and Form B. Since the scope and estimated cost of many projects is limited at this stage in the budget process, please provide as much descriptive information about each project as possible and its estimated total cost. Preliminary cost estimates can be adjusted in April and during the public comment period in June.

In April, following the review of agencies' initial drafts, NCPC will propose recommendations and provide these recommendations to the agencies for review. Agencies then have the opportunity to revise their FYs 2011-2016 submissions and review and comment on NCPC's recommendations. **Revised FYs 2011-2016 submissions** are due to NCPC by **Friday, April 30, 2010**.

NCPC staff will then compile a proposed FCIP for FYs 2011-2016. The Commission usually reviews the proposed FCIP during its June meeting and releases it for a 45-day public review and comment period. Release of the proposed program is tentatively scheduled for the Thursday, June 4, 2009 Commission meeting.

Agencies can make final revisions to the budget request for their FYs 2011-2016 submissions during the public review and comment period. Adjustments to agency submissions are permitted to ensure that the FCIP budget request closely approximates the budget requests agencies submit to OMB.

Final revised FYs 2011-2016 submissions are due to NCPC by **Friday, July 23, 2010**. From these submissions, NCPC will compile the final draft Federal Capital Improvements Program for FYs 2011-2016.

The Commission's adoption of the Federal Capital Improvements Program is tentatively scheduled for the Thursday, September 3, 2009 Commission meeting.

Final agency submissions in July must be approved by an appropriate representative from agency management, confirming that final submissions reflect the most current capital project information as of the submittal date. Commission staff will provide each agency with their project descriptions and cost information, as it appears in the proposed FCIP, and an approval form for agency review and sign-off.

In addition, during late summer 2010, the Commission will request that agencies provide final capital project information, which has been submitted to OMB for the preparation of the President's next budget (FY 2011). The Commission reviews this information, and provides recommendations on new or updated projects, which are then submitted to OMB. The **FY 2011 capital budget submissions** are due by **Friday, September 10, 2010**. The Commission's review of final FY 2011 capital budget submissions is tentatively scheduled for Thursday, October 1, 2010, during the Commission's executive session, which is not open to the public.

FYs 2011-2016 Capital Program	DEADLINE FOR SUBMISSION
Initial draft_____	Friday, March 26, 2010
Revised draft_____	Friday, May 1, 2010
Final revised_____	Friday, July 24, 2010
FY 2011 Capital Budget_____	Friday, September 11, 2010

If your agency is *not* planning any land acquisition, rehabilitation/renovation, or construction projects during FYs 2011-2016, *please notify the Commission* in writing. This can be accomplished by emailing Stacy Wood, Community Planner–FCIP Program Manager, at stacy.wood@ncpc.gov.

C. SUPPLEMENTAL SUBMISSION/REPROGRAMMING OF FUNDS

If, at any time during the year, an agency submits a supplemental request to OMB or reprograms project funds, the agency should also submit this to the Commission.

In addition, should the funding request for any project increase or decrease by 10 percent or more of the original project cost estimate contained in a prior Federal Capital Improvements Program, the agency should submit an explanation, including changes to the project description.

IV. INSTRUCTIONS FOR SUBMISSION MATERIALS

The FCIP is based upon information furnished by each participating agency.

The purpose of the submission materials is to provide the Commission and the OMB with consistent quantitative data and descriptive information about each project and each agency's overall program. It is important that the information on the forms be clear and complete.

The following section defines the kinds of projects that should be included in the program submission and describes the materials that should be submitted.

A. DEFINITION OF PROJECTS TO BE INCLUDED IN THE SUBMISSION

As described on page 3, a "capital improvement" is defined as a non-recurring expenditure or any expenditure for physical improvements, including cost for acquisition of existing buildings, land, or interests in land; construction of new buildings or other structures, including additions and major alterations; construction of streets and highways or utility lines; acquisition of fixed equipment; landscaping; and similar expenditures.

These capital improvement expenditures can be (1) funds appropriated by Congress; (2) non-appropriated federal funds generated from sources, such as retail sales at United States postal facilities, military stores, and officers' clubs; (3) funds generated by the private sector for construction on federal property; or (4) funds generated by the private sector for construction on private land, provided the new structure is for occupancy and eventual ownership by the federal government.

Submissions also should identify major changes to an existing facility that would result in a change in function, intensity of use, the number of employees, or—for historic landmark properties—where the proposed improvement would significantly alter the interior or exterior character of the building.

Certain projects may generally meet the definition of a capital improvement, but may not be included in the scope of this program because they are relatively minor improvements without a long-term impact or because they are recurring items, such as general maintenance or repairs.

The following types of projects fall within this category and **would not be included** in an agency program submission provided that they are not inconsistent with an approved master plan or project plan for the federal property affected:

1. Projects involving the replacement of walks, roadways, and parking areas, if there is no change in location or existing character.
2. Projects involving the rehabilitation, repair, or minor alterations of existing buildings or structures if there is no substantial change in the existing use, character, or extent of the building or structure and no substantial extension of the useful life of the building or facility. Facade alterations and new roofs for existing buildings, or other structural improvements that would change the character or extend the useful life of a building or a facility for 15 years or more, are excepted. These types of projects must be included in the program submission.
3. Projects involving the removal or replacement of trees, shrubs, and other materials, and minor changes in plant material that do not change the concept in an approved landscape plan.

4. Projects involving the replacement, but not the relocation or extension, of existing underground utility lines, such as pipes or cables. However, projects involving the replacement or rehabilitation of major mechanical systems, such as the replacement of boiler plants or air-conditioning systems, or projects involving utility surface structures, significant changes in drainage patterns, or impairment of surface uses are excepted and must be included in the submission.
5. Maintenance projects involving routine or occasional inspections, adjustments, and minor repairs. Examples of items in this category include: daily maintenance; hardware replacement; replacement doors and windows; individual plumbing fixtures, pumps, and valves; electrical switches; elevator maintenance and repairs; partitions; window guards; and ground maintenance improvements.

B. SUBMISSION MATERIALS AND INFORMATION

The following materials and information should be submitted by each agency:

1. MAPS

A site location map must be provided along with each Form A, showing the proposed location of each project and its relationship to existing and proposed facilities. The site development plan of an approved master plan that identifies the location of the proposed project will be sufficient.

2. SUBMISSION FORMS

Each submission should include the following information:

a. Form A: Federal Project Proposal

Provide descriptive text and data on each project being submitted—whether “new” or “previously authorized”—and on any project for which the reprogramming of funds exceeds 10 percent. For “previously authorized” projects that appeared in the adopted FYs 2010-2015 FCIP, agencies may submit an updated version of the previous year’s project description and provide updates to questions 5 through 12 on Form A with any updates clearly marked using the electronic forms described below (Submission Form Availability).

b. Form B: Annual Review of Project Status

Provide information on the status of legislative action on individual FY 2010 capital budget projects currently being reviewed by the Congress as well as information on the status of projects that have been funded during the previous two fiscal years (FYs 2008 and 2009).

Submission Form Availability:

Forms A and B are attached and are available as PDFs on NCPC's website at http://www.ncpc.gov/DocumentDepot/Publications/FCIP/FCIPinstructions_2011_2016_.pdf or by following these links About/Principal Activities/Federal Capital Improvements.

To obtain electronic copies of Form A and Form B, contact Stacy Wood by email at stacy.wood@ncpc.gov.

3. DIRECTIONS FOR COMPLETING FORM A

Each year, approximately 200 projects are submitted for inclusion in the FCIP. Agency cooperation in providing the requested information is imperative for completion of an accurate and up-to-date document. For accurate project tracking, the Commission requests that agencies complete all the information requested on Form A for each "new" project submission.

Questions 1 through 12 are self-explanatory. The following describes the information requested in question 13, Project Description:

Project Description, Question 13

General Description of Project: Provide a concise description of each project including: size of project; intended tenants/users; location; size including gross square feet (gsf); number of parking spaces; number of employees (before and after); whether the project is an addition to an existing building; intended use (e.g., laboratory, office building, warehouse, dormitory, maintenance yard, street improvements, etc.); construction type; and exterior building materials. If the project involves renovation, describe the improvements that will result. If the project contains multiple uses, list these uses and give square footage for each use (e.g., a warehouse that also contains office space, a maintenance shop, and restrooms/locker rooms). If utility, landscaping, and street improvements are a part of the project, include them also.

Project Purpose and Justification: Explain why the project is needed. Give details, such as inadequacies of an existing building or facility, need for space for a specific use or program, or possible relationship with other governmental activities. Also identify any benefits to the government that the proposed project might provide.

Historic Preservation: In accordance with Executive Order 11593, each federal agency is responsible for locating, taking inventory of, and nominating to the Secretary of the Interior all sites, buildings, districts, and objects under their jurisdiction or control that appear to qualify for listing on the National Register of Historic Places. Federal agencies should ensure that federally owned property that might qualify for nomination is not inadvertently transferred, sold, demolished, or substantially altered. Also, Section 106 of the National Historic Preservation Act of 1966 requires federal agencies undertaking, licensing, or funding projects to "take into account the effect of the undertaking on any district, site, building, structure, or object that is included in the National Register" and to "afford the Advisory Council on Historic Preservation a reasonable opportunity to comment with regard to such undertakings."

In the space provided, please briefly state whether the proposed project complies with Executive Order 11593 and Section 106 of the 1966 Act and identify whether **any** historic landmarks would be affected

by the proposed project, including the steps that have been taken, or will be taken, to achieve their preservation.

Environmental Description of Potential Project Effects: The Council on Environmental Quality in 1979 implemented regulations (40 CFR Parts 1500-1508) applicable to all federal agencies to comply with the National Environmental Policy Act (NEPA). NEPA is the federal government’s basic national charter for protection of the environment. It establishes policy, sets goals (section 101), and provides means (section 102) for carrying out the policy. Section 102(2) contains “action-forcing” provisions to ensure that federal agencies act according to the letter and spirit of the Act. The regulations established implement section 102(2). Their purpose is to tell federal agencies what they must do to comply with the procedures and achieve the goals of the Act. The President, the federal agencies, and the courts share responsibility for enforcing the Act to achieve the substantive requirements of section 101.

In view of the potential environmental effects that federal projects may create or maintain, and in view of the Commission’s need to understand potential environmental issues related to proposals in the FCIP, each sponsoring federal agency should, to the extent possible at the programming stage, include the following:

- A. Identification of any planned, completed, or in-progress environmental documents prepared for the project; and
- B. A description of issues associated with the project that the agency has undertaken to date in compliance with NEPA or other environmental statutes. This description should specifically address the following aspects of each proposal, emphasizing those environmental areas or aspects that include:
 - (1) Executive Order 12898, Environmental Justice
 - (2) Clean Air Act, as amended
 - (3) Endangered Species Act, as amended
 - (4) Resource Conservation and Recovery Act
 - (5) Executive Order 11988, Floodplain Management
 - (6) Executive Order 11990, Protection of Wetlands
 - (7) Executive Order 13186, Responsibilities of Federal Agencies to Protect Migratory Birds
 - (8) Executive Order 13123, Greening the Government through Efficient Energy Management
 - (9) Executive Order 13148, Greening the Government through Leadership in Environmental Management
 - (10) Executive Order 13150, Federal Workforce Transportation
 - (11) Executive Order 13423, Strengthening Federal Environmental, Energy, and Transportation Management

The National Capital Planning Commission, at an early point in its decision-making process, considers the environmental aspects of proposed actions that it may review and approve. The FCIP is an element of that early decision process. The environmental information in the FCIP effort will help improve and coordinate the federal plans, functions, programs, and resources to carry out both the policy set forth in NEPA and the purposes of the Planning Act as it relates to the mission and goals of all federal agencies in the National Capital Region. Specific FCIP program submissions should identify a proposal’s impacts or the compliance efforts of the project or program to adhere to the objectives of the above environmental laws and policies. The submission should also include reports or required filing documentation developed by the federal applicant in support of compliance with the above measures—either in the context of the specific proposal or in annual reporting requirements of the Executive Order or law.

4. DIRECTIONS FOR COMPLETING FORM B

Include information on (1) the status of legislative action for projects included in FY 2010 capital budget submitted by the President to the Congress, and (2) the status of construction of those projects that have been funded by the Congress during the past **two** fiscal years (2008 and 2009) or are expected to begin in the near future.

If legislative action on certain FY2010 projects has been delayed by the Congress and information on authorization and appropriation is not known at the present time, this information should be indicated in the Legislative Action column for that project. Later, in the winter of 2010, the Commission staff will contact liaison representatives to obtain this data. To assist agencies in accurately reporting FY 2010 project data, the due date will be extended to **May 1, 2009**. Commission staff will also coordinate with agency representatives to obtain this information as it becomes available.

The list you submit should include *all* land acquisitions or development projects that have been funded by the Congress, even if they were not submitted as part of the FCIP.

This progress report provides a way of tracking federal development within the National Capital Region.

5. SUBMISSION ADDRESS, FAX NUMBER, AND EMAIL

The Commission is committed to assisting federal agencies in preparing their FCIP information. Please contact Stacy Wood, Community Planner, if you need additional information or have questions.

Maps and Forms A and B can be submitted by mail, fax, or email.

Contact Information

NCPC
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