



UCS Capital Plan Format  
Items to be included in Capital Plans and Amendments to Capital Plans

Capital Plan amendments submitted to the First Deputy Chief Administrative Judge should include a **submittal letter** (or planning document) from the chief executive of the municipality, containing a detailed narrative of the municipality's Amendment to, or resubmittal in whole, of their Capital Plan. **The submittal letter, appendices, or support document should include, as applicable:**

- 1) A description of the facility or facilities related to the Capital Plan or Capital Plan Amendment (e.g. courthouse or a combined use-facility);
- 2) The type of project (e.g. new construction, addition, renovation, utility-system upgrades or improvements or energy efficiency upgrade)<sup>1</sup>; and
- 3) The stated need for the project, including any consultant reports, work-product, or studies concerning the need for renovation or additional space needs for court operations (e.g., space programming study).
- 4) Details regarding the project(s), such as (but not limited to):
  - a. Project Overview
    - i. Size of project (e.g., square footage or number of courtrooms);
    - ii. Method of possession or control (e.g., currently own, purchase, lease, lease-to-own, land-lease, sale of municipal-owned property to developer with a lease-back to the government entity or lease with option to purchase); and
    - iii. Building and project features, including whether it is part of a larger complex or public safety building, whether it will be connected to other municipal buildings, and features such as parking and technological aspects.
  - b. Procurement Plan/Schedule
    - i. Method of delivery of construction service (e.g., municipal work force, municipal issuance of procurement, lease with landlord fit-out, single/sole source procurement, use of a public benefit corporation such as DASNY or Industrial Development Authority);
    - ii. Method of procurement, if not municipal work force (e.g., Request for Proposals (RFP), Invitations for Bid (IFB), piggy-back or award criteria such as design-build, best-value source selection, or lowest price);
    - iii. Information related to which parties/entities will prepare the RFP/IFB (e.g., municipality, consultant, etc.), design documents, construction documents, specifications, and any other project documents;
      1. Provide architectural-engineering firms, construction managers, and other consultants involved in the project, if known at the time of

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<sup>1</sup> Please note that for new court space, the political subdivision is responsible for covering the cost for furnishing such new court space. Judiciary Law §39(3)(a) requires a political subdivision to furnish all "goods, service and facilities" that the State did not assume under the provisions of the Unified Court Budget Act of 1976, and furnishing new court space would constitute such goods, services, and facilities under the Judiciary Law.



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submittal to the Court Facilities Capital Review Board, and the roles each of these firms will assume;

- iv. Procurement schedule(s), including RFP/IFB release date(s), response deadline(s), and anticipated award date(s) or, if awarded, the actual award date;
  - v. Public meetings/outreach (if required);
  - vi. Board/Council approval, if necessary, and proposed dates of any presentations to a governing Board or Council, or other public meetings or outreach; and
  - vii. Selection of engineering/design options (if design-build or as otherwise appropriate).
- c. Construction Schedule
- i. Anticipated construction schedule, including the anticipated occupancy date, project milestones, and anticipated completion date.
- d. Financing
- i. Cost estimate and basis for estimate; and
  - ii. Method of financing (e.g., tax revenue; bonds, and bond-issuing entity, public-private partnership), including supporting documentation such as bond authorization, board resolution, or legislative approval.
- e. Drawing/Design Renderings
- i. Inclusion of any conceptual or finalized design drawings and the schedule for any subsequent design drawings (please identify the nature of any such drawings – 30%, 60%, or 90% completion; pre-schematic or schematic); and
  - ii. Space program studies or other information to sufficiently determine that the proposed square footage will meet the existing and future needs of the court.
- f. Site Plan Identification
- i. Provide any information related to the identification of a site, if not previously addressed elsewhere, and how the site meets the needs of the Unified Court System (e.g., proximity to public transit, major corridor, or police station).
- g. Compliance with Applicable Laws
- i. Include a statement that the design will comply with applicable:
    - 1. Building codes,
    - 2. Americans with Disabilities Act (ADA) requirements,
    - 3. Environmental laws, regulations, and ordinances,



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4. Court Facility Guidelines (22 NYCRR Part 34),
5. Unified Court System and local law enforcement security requirements, and
6. Office of Court Administration's technology requirements.