University of California
Enterprise Risk Management (ERM)

Capital Planning Private Use V3.0: User Guide

Version 3.0

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Important Note (A): Shift in Lease Revenue Bond Reporting

This application is now *only* for reporting Private Use within projects funded from General Obligation Bonds.

In October 2013, all Lease Revenue Bonds (LRBs) issued to UC projects were retired and converted to General Revenue Bonds. Projects *(or portions of projects)* funded with LRBs are longer to be entered into the Capital Planning (CP) questionnaire interface and instead, are now reported within the Capital Markets Finance (CMF) interface.

Both the CP and the CMF questionnaire interfaces contain amended pre-populated project lists that reflect this shift in reporting responsibility.

Projects funded by *both* **General Obligation Bonds** and **General Revenue Bonds** will require a separate questionnaire for each fund source.

Important Note (B): Reporting Use in projects funded from multiple General Obligation Bonds

Any project funded by separate General Obligation (GO) bonds requires the submission of separate Private Activity Questionnaire (PAQ). But, most importantly, an incident of private use should only be sheltered in a single bond issuance (i.e., do not double count).

For example: If **Project A** received $20M for construction from a 2004 General Obligation Bond and $10M for construction from a 2006 General Obligation Bond, this would require the submission of two PAQs-- one for each bond fund (one for 2004 and one for 2006). If **Project A** contained private use (example: Starbucks Kiosk in the lobby), this incident should only be reported in one of the two PAQs. For this example, the use is being "assigned" and reported in the 2004 Bond. As a result, the PAQ for **Project A's** 2006 GO bond would not report private use. There are exceptions to this practice, depending on the details of the private use. Please consult with OP if you have any questions.

Table of Contents

Introduction

Capital Planning Private Use Application

The Capital Planning office partners with campuses in the development of capital projects. The Capital Planning Private Use application helps track Private Use and Private Activity for each project funded through the State General Obligation bonds. The questionnaire assists in detecting any type of private use issues with campus facilities by collecting data on the factors that can influence the tax-exempt status. The purpose of this document is to provide a step-by step User Guide to aid the business users with log-in and use of the updated Capital Planning Private Use application.

User Roles

USER ROLES				
Roles	Description	Read/Write?	Tab Access	Typical Position
Campus Users				
Campus End User	- Enters new private use application into the system	Read/Write	- My Forms - Archives	- Capital Analyst at each Campus
Campus Reviewer	- Reviews the application at the campus level	Read/Write	- My Forms - Review Forms - Archives	- Director, Capital Planning for each Campus
UCOP Users				
OP Approver	- Reviews the application at the OP level	Read Only	- My Forms - Approve Forms - Archives - Campus Reviewers - Admins - Fiscal Year	- Director, Capital Planning, OP

Recommended Browsers

- Firefox, Google Chrome or Internet Explorer (**version 9.0 or lower**) are the recommended browsers for the Capital Planning Private Use application.

Capital Planning Process Flow

The following diagram depicts the typical workflow to create and approve a Capital Planning application. Detailed user instructions on *how* to complete each of the process steps is included in the "User Instructions" section.
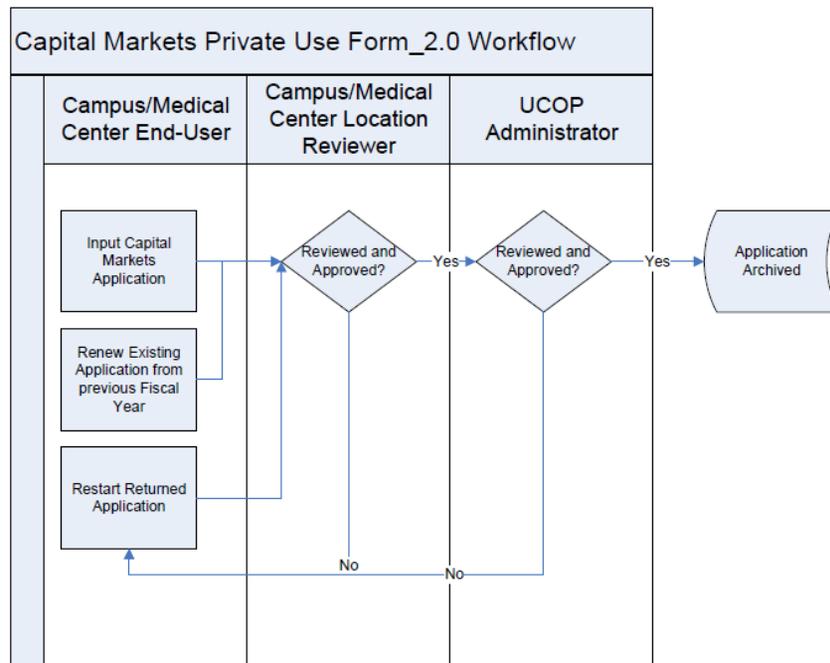
Input:
The Capital Planning Private Use application process will be initiated by the campus end user by logging into the application website and creating a new application or renewing an existing application.

Output:
The Capital Planning Private Use application is finally archived after getting approvals from both the Location Review and the UCOP Administrator.

Scenarios

Scenario 1 – The campus end-user inputs Capital Planning application:
There are two ways to input a new application:
Scenario 1.1 – Create a new application
Scenario 1.2 – Renew an existing application

Scenario 2 – The campus location reviewer approves/returns the application:
The Location Reviewer has an option to either approve the application to the next stage or return the application to the end-user for further review and/or changes.
Scenario 2.1 – The location reviewer approves the application
Scenario 2.2 – The location reviewer returns the application

Scenario 3 – The UCOP Administrator approves/returns the application:
The UCOP Administrator has an option to either approve the application, in which case it gets archived, or return the application to the end-user for further review and/or changes. If returned, the restarted application will need to get approved by Location Reviewer again before coming back to the UCOP Administrator.
Scenario 3.1 – The UCOP Administrator approves the application

Scenario 3.2 – The UCOP Administrator returns the application

Scenario 4 – The End-User restarts an application returned by either the Location Reviewer or the UCOP Administrator

If the application is returned by the Location Reviewer or the UCOP Administrator, it needs to be **reset and restarted** by end-user. The **reset** reuses the data from previous submission and makes the application ready for resubmission.

Login

In order to access the Capital Planning Private Use application, the user will use the direct link
https://ermsp.ucop.edu/capitalplanning/index

Login instructions are provided in the below section.

Capital Planning Private Use Application Login

This section describes step-by-step instructions on how to log into the Capital Planning Private Use application. If you have any initial questions upon logging in, please contact the University of California (UC) Enterprise Risk Management (ERM) Service Desk at ERM@ucop.edu.

For questions regarding policies relating to Private Use, or the reporting of Private Use with projects funded from General Obligation Bonds, please contact Michael Linder at UCOP (510) 987-9104.

- Type https://ermsp.ucop.edu/privateuse/index into your internet's browser. It is also recommended to bookmark and add this link to your trusted sites for ease of navigation.
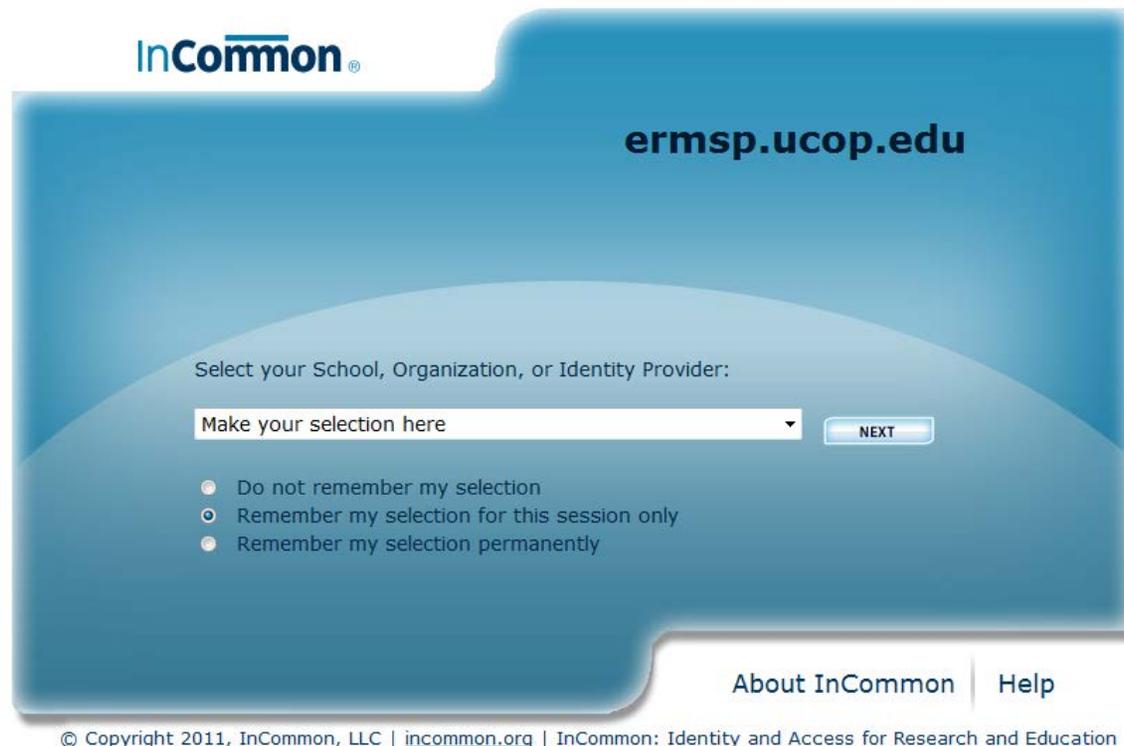
- Select your campus from the list.

- Select an option for one of the three radio buttons. The third option ("Remember my selection permanently") is the recommended option as it will direct the user to his/her campus Single Sign On login screen going forward without going through the InCommon screen. (Caution: if the user selects the wrong campus and then selects Option 3, he/she can recover to select the correct campus by 1) deleting cookies and 2) closing and reopening the browser.)

- Enter username and password (This should be the same as your Campus or UCOP login and password.)
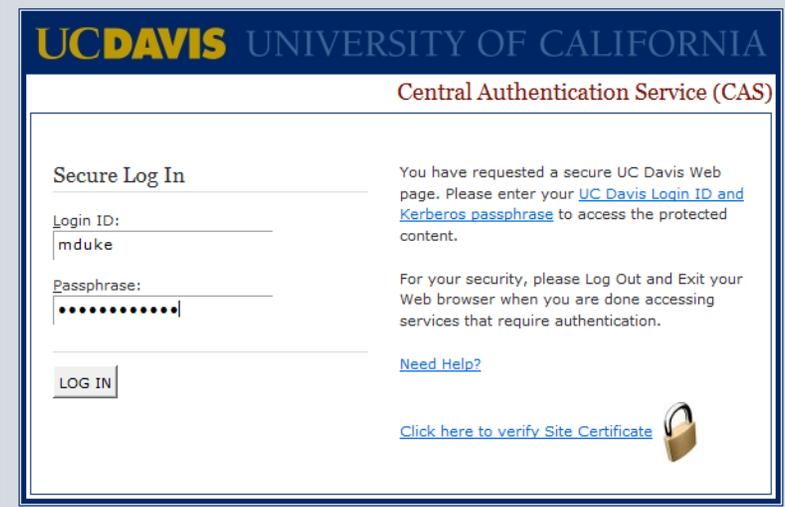
- After logging in, you will be on the landing page of the Capital Planning Private Use application. The section below details the landing page based on user role.

Landing Page

Campus End-User

Tab Name	Description
MY FORMS	Place to view status of forms that end-user has created
ARCHIVE	Shows past year forms for the end-user campus

Campus Location Reviewer

Tab Name	Description
MY FORMS	Place to view status of forms that Location Reviewer has created
REVIEW FORMS	Allows Location Reviewer to approve or return forms
ARCHIVE	Shows past year forms for the Location Reviewer campus

UCOP Administrator

Tab Name	Description
MY FORMS	Place to view status of forms that UCOP Admin has created
APPROVE FORMS	Allows the Admin to approve or return forms
CAMPUS REVIEWER	Allows the Admin to add/remove Location Reviewers
ADMIN	Allows the Admin to add/remove other UCOP Admins
ARCHIVE	Shows past year forms for all campuses
FISCAL YEAR	Allows the Admin to start a new fiscal year

User Instructions

1. Scenario 1 – The campus end-user inputs Capital Planning application:

There are two ways to enter a new application:

1.1 Scenario 1.1 – Create a new application

- Log into the Capital Planning Private Use application. Click on "Click here to create a new Private Use application"

- Fill in emails of any collaborators on the application. It is advised that you have at least another person as a backup on all your applications. Click Submit.

- The new form appears under the "MY FORMS" work tab.

1.2 Scenario 1.2 – Renew an existing application

- Log into the Capital Planning Private Use application. You can renew an existing form on the **MY FORMS** or **ARCHIVE** tabs. A project can only be renewed multiple times until it is submitted. Once submitted, the renew button disappears from the **ARCHIVE** and **MY FORMS** tabs.
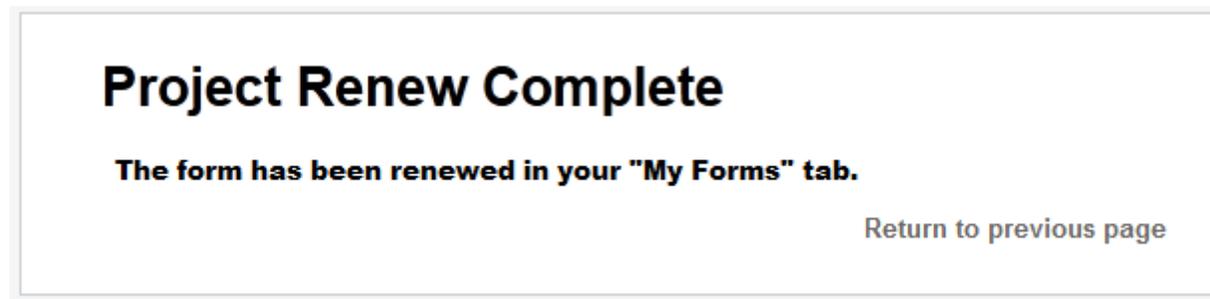

NOTE: Former LRB project PAQs will not be available for *Renewal, please reference Important Note (a) at the front of this guide.*

- From the **ARCHIVE** tab, click renew on a form in a prior year to renew in current fiscal year. The user is presented with a confirmation page.

Project Renew Complete

The form has been renewed in your "My Forms" tab.

Return to previous page

- You can return to previous page by clicking on the link. The renewed form should now appear in the **MY FORMS** tab as a new form. In the picture below, both **Hunt Hall Renovation** and **East Hall** are renewed from FY 2013-14.

MY FORMS   ARCHIVE

My Forms
Fiscal Year: FY 2014-15 ▼   Select

In Progress   Approved

Current Private Use Applications (highlighted rows have Private Use)						
Project ▽△	Project ID	Create Time ▼△	Last Modified	Status ▽△		
Hunt Hall Renovation	950230_,950230B,950230 A	08/20/2014 11:45:50	08/20/2014 11:45:50	Saved	Launch	Delete
East Hall	931930A,931930C,93193 0B	08/20/2014 11:43:15	08/20/2014 11:43:15	Saved	Launch	Delete

1.3 Scenario 1.3 – Completing and submitting an application

- Once you have created a new form or renewed an existing form, you can launch it and fill it out.
- If it is new form, it is blank. If it is a renewed form, all data is copied from the previous year. There is an additional field in a renewed form that asks if any changes need to be recorded for current fiscal year. If so, it is mandatory to add in comments. If not, the comments box can be left empty.

University of California Capital Markets Finance

Private Use Checklist

This checklist is intended to help determine whether a project has potential private use.

For purposes of this checklist, the term "Project" means the project that financed with the bonds, and the term "Private Entity" means any person or entity other than a state or local governmental entity. Please note that the term Private Entity includes the federal government and 501(c)(3) organizations.

A "yes" answer to any question below indicates that there is potential private use of the Project. For Projects with potential private use, UCOP will follow up with additional questions. Please contact Pikka Sodhi at 🅢 (510) 987-9779 in the Office of Capital Markets Finance if you have any questions.

User	Campus	No Private Use
ulidder@ucdavis.edu	UC Davis	

Project Name
East Hall ▼

Project Reference Number (if any)
931930A,931930C,931930B

Bond Reference Number
GRB2005FVP,GRB2011AB,GRB2010SVP

Bond Instrument
General Revenue Bond 2005 Series F,General Revenue Bond 2011 Series AB,General Revenue Bond 2010 Series S

Additional Project Description

Record any changes in the application compared to previous year? Provide comments in the section below regardless of your choice here.   ⦿ Yes ⦾ No

- An appendix is created to enter additional information for each of the questions answered **yes** on the first page. For each appendix, you can add multiple records by clicking on the **Add** button on the top right of the first page of each appendix. The screenshot below indicates that this is Record 1 of 2 records for Appendix A-2, *Lease or Rental of a Project*.

Appendix To Question A-2
Lease or Rental of a Project
East Hall
-- Section not complete --

Record # 1 of 2

Add

1. Lessee

Remove

Is this lessee a(n): ○ Individual ○ Business

2. Purpose of lease

- Once you have filled out all required fields (yellow), click on submit to submit the form for review by the Location Reviewer at your campus or medical center.

| Print | Submit | Save & Exit | Save | Cancel | | Previous Page | Next Page |

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Everyone is a Risk Manager

- You will be shown a confirmation page after successful submission

Confirmation

Form was submitted successfully

Return to previous page

2. Scenario 2 – The campus location reviewer approves/returns the application:

The Location Reviewer has an option to either approve the application to the next stage or return the application to the end-user for further review and/or changes. We will continue to work with the East Hall application submitted in the last scenario.

2.1 Scenario 2.1 – The location reviewer approves the application

- Once the end-user submits an application, the Location Reviewer gets an email notifying them of the submission. They will see the application in the **REVIEW FORMS** tab under the **Ready** subgroup.

MY FORMS   REVIEW FORMS   ARCHIVE

Review Submitted Forms for Campus: UC Davis (9 of 79)

Ready   In Progress   Submitted

Current Private Use Applications (highlighted rows have Private Use)						
Project ▽△	Project ID	Create Time ▼△	Last Modified	Status ▽△		
East Hall	931930A,931930C,9319 30B	08/20/2014 11:43:15	08/20/2014 13:03:41	Ready	Launch	Delete

- The Location Reviewer will launch the application and review it. If satisfied with the content, they can approve the application by
  - selecting the **approve** radio button and
  - signing the form by clicking on **Not Signed (Click to sign)** button. When they click this button, an additional dialog box asks them to **Accept** the signature.

The signature button now shows the email of the person who signed it and the date the application was signed. The signed form is now read only and cannot be modified.
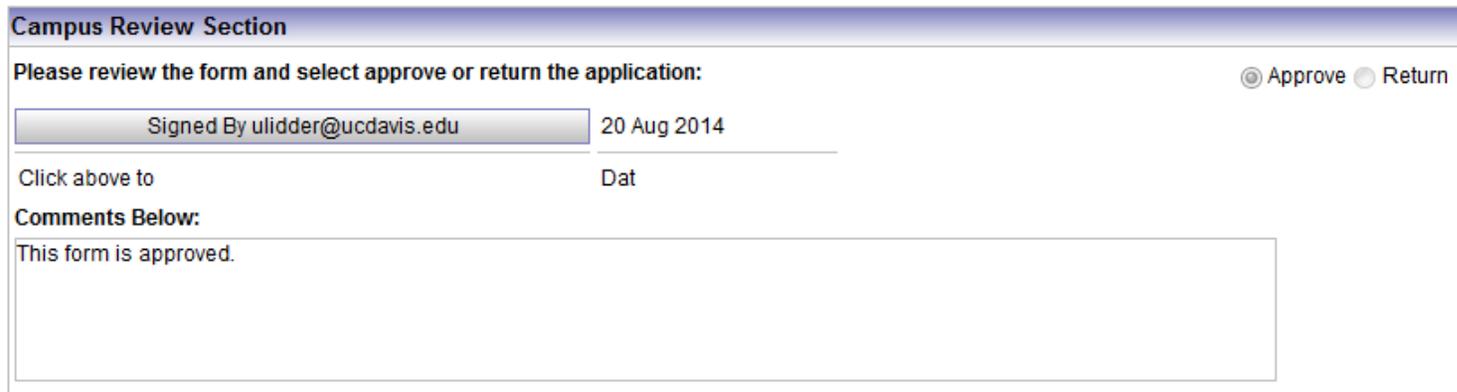
- The Location Reviewer can now submit the form by clicking the **Submit** button. They are shown a confirmation page.

- The form moves from Read subgroup to **Submitted** with a status of **Submitted**. The various subgroups and statuses are explained in Appendix A - Additional Information.

2.2 Scenario 2.2 – The location reviewer returns the application

- Launch the application and review the contents of the form.

- The approve/reject section is at the bottom of the first page. Click on **Return** radio button and enter comments as required. **Signature is not required when returning an application**.

Campus Review Section

Please review the form and select approve or return the application: ○ Approve ◉ Return

Comments Below:

Returned by the Location Reviewer. Please re-check the private use and resubmit.

| Print | Submit | Save & Exit | Save | Cancel |

- Click on **Submit** to return the form. The **Location Reviewer** is shown a successful submission message.

Confirmation

Form was submitted successfully

Return to previous page

3. Scenario 3 – The UCOP Administrator approves/returns the application:

The UCOP Administrator has an option to either approve the application or return it to the end-user for further review and/or changes. If returned, the restarted application will need to get approved by the Location Reviewer again before coming back for review to the UCOP Administrator. We will continue to work with the East Hall application submitted in the last scenario.

- The East Hall application is waiting for the UCOP Administrator in the **Ready** subgroup in the **APPROVE FORMS** work tab.

3.1 Scenario 3.1 – The UCOP Administrator approves the application

- Launch the application and review the contents of the form.
- The approve/reject section is at the bottom of the first page. Click on **Approve** radio button and enter comments as required.

Admin Review Section

Please review the form and select approve or return the application:　　　　　　　　　　　　　　⦿ Approve ◯ Return
Comments Below:

Approved by OP|

| Application approved by | ulidder@ucdavis.e | Date: | 2014-08-27T18:22:44.30 |

Print　　Submit　　Cancel

v1.0

- Click on **Submit** to approve the form. The UCOP Administrator is shown a successful submission message.

Confirmation

Form was submitted successfully

Return to previous page

- The form now appears under the **Approved** subgroup under the **APPROVE FORMS** work tab.

## 3.2 Scenario 3.2 – The UCOP Administrator returns the application

- Launch the application and review the contents of the form.
- The approve/reject section is at the bottom of the first page. Click on **Return** radio button and enter comments as required.
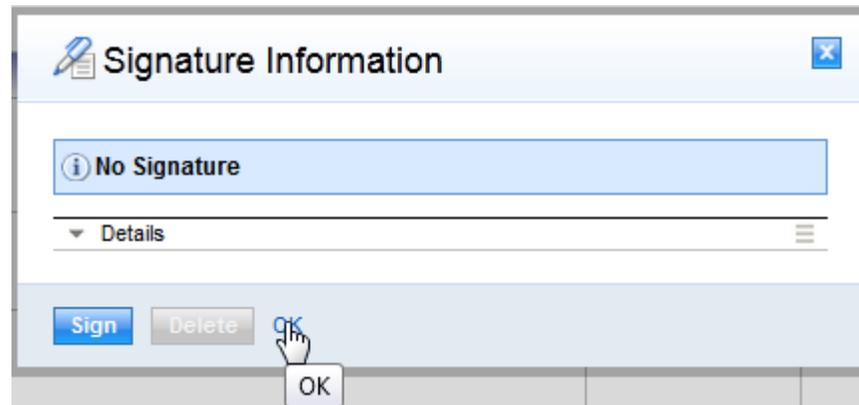
- The approver is asked to first remove the **Campus Reviewer Signature** before returning the form. To do this, click on the signature button in the **Campus Reviewer Section**.

- This will bring up the signature dialog box. Click on **Delete**.
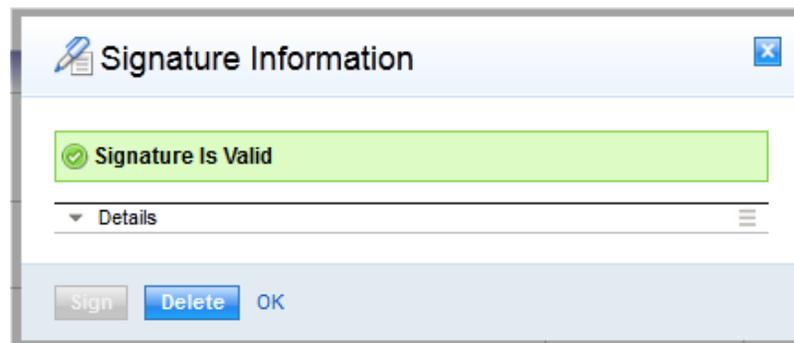
- Finally click on **OK** to close the signature dialog box.

- Now you can submit the form as the **Campus Reviewer Signature** has been removed. Click on the **Submit** button.

Campus Review Section

Please review the form and select approve or return the application:

◉ Approve ○ Return

| Not Signed (Click to sign) |

Click above to   Dat

Comments Below:

This form is approved.

Admin Review Section

Please review the form and select approve or return the application:

○ Approve ◉ Return

Comments Below:

Rejected by OP

| Print | Submit | Cancel |

- The Approver is shown the **Confirmation** page.

Confirmation

Form was submitted successfully

Return to previous page

4. Scenario 4 – The End-User restarts an application returned by either the Location Reviewer or the UCOP Administrator

If the application is returned by the Location Reviewer or the UCOP Administrator, it needs to be **reset and restarted** by end-user. The **reset** reuses the data from previous submission and makes the application ready for resubmission. We will continue to work with the East Hall application submitted in the last scenario.

4.1 The End-User restarts an application returned by the Location Reviewer

- The form is currently sitting in the end-user's **MY FORMS** tab as **Rejected**.

- Launch the application. The end-user can read in the **Campus Review Section** as to why the form was returned. They will now click on the **Press To Reset Form** button toward the bottom of the page to reset the form.

- Once this is done, the **Campus Review Section** will disappear from the form. The user can now save or submit this form after changing the data as needed.

- The user is given a successful confirmation message after submission

Confirmation

Form was submitted successfully

Return to previous page

- The form now has a status of **Submitted** and is waiting for the **Location Reviewer** to approve or return

My Forms

Fiscal Year: FY 2014-15 ▾ Select

In Progress   Approved

Current Private Use Applications (highlighted rows have Private Use)

Project ▽△	Project ID	Create Time ▼△	Last Modified	Status ▽△		
East Hall	931930A,931930C,9319 30B	08/20/2014 11:43:15	08/27/2014 12:47:34	Submitted	Launch	Delete

4.2 The End-User restarts an application returned by the UCOP Administrator

- The form is currently sitting in the end-user's **MY FORMS** tab as **Rejected**.

My Forms

Fiscal Year: FY 2014-15 ▼   Select

In Progress   Approved

Current Private Use Applications (highlighted rows have Private Use)						
Project ▽△	Project ID	Create Time ▼△	Last Modified	Status ▽△		
East Hall	931930A,931930C,9319 30B	08/20/2014 11:43:15	08/20/2014 13:03:41	Rejected	Launch	Delete

- Launch the application. The end-user can read in the admin section as to why the form was returned. They will now click on the **Press To Reset Form** button toward the bottom of the page to reset the form.

6. Will any Private Entity have a special legal entitlement or special arrangement to use the Project?

Examples include, but are not limited to, use pursuant to court order, use of parking pursuant to contractual arrangement, and direct economic benefits derived from the Project.

○ Yes ◉ No   [Press To Reset Form]

Campus Review Section

Please review the form and select approve or return the application: ◉ Approve ○ Return

[Not Signed (Click to sign)]

Click above to   Dat

Comments Below:

This form is approved.

Admin Review Section

Please review the form and select approve or return the application: ○ Approve ◉ Return

Comments Below:

Rejected by OP

[Print] [Submit] [Save & Exit] [Save] [Cancel]

- Once this is done, the **Campus Review Section** and the **Admin Review Section** will disappear from the form. The user can now save or submit this form after changing the data as needed.

- The user is given a successful confirmation message after submission.

- The form now has a status of **Submitted** and is waiting for the **Location Reviewer** to approve or return.

My Forms

Fiscal Year: FY 2014-15 ▾ [Select]

In Progress   Approved

Current Private Use Applications (highlighted rows have Private Use)

Project ▽△	Project ID	Create Time ▼△	Last Modified	Status ▽△		
East Hall	931930A,931930C,9319 30B	08/20/2014 11:43:15	08/27/2014 12:47:34	Submitted	Launch	Delete

Appendix A - Additional Information

1. Capital Planning Private Use work tabs and subgroups

1.1 My Forms Tab

Sub Group	Status	Description
In Progress	New	New application
	Saved	Application saved by the user for later submission
	Submitted	Application submitted to the Campus Reviewer
	Validated	Application submitted to the OP Approver
	Re-Work	Application returned by the Campus Reviewer
	Rejected	Application returned by the OP Approver
	In Progress	The form is open. Either in separate tab, window, browser or another computer.
Approved	Approved	Applications approved by the OP Approver

1.2 Review Forms Tab

Sub Group	Status	Description
Ready	Submitted	Application submitted for the first time by the Campus End User.
	Re-submit	A returned application re-submitted by the Campus End User.
In Progress	Saved	

Submitted	Submitted	Submitted by the Campus Reviewer to the OP Approver
	Approved	Approved by the OP Approver

1.3 Approve Forms Tab

Sub Group	Status	Description
Ready	Ready	New applications ready to be reviewed
In Progress	In Progress	If the approver closes the browser without exiting the form, it appears in "In Progress" tab.
Approved		Applications approved by final approver

Appendix B: Definitions

Word/Acronym	Definition
OP	Office of the President
GOB	General Obligation Bond
LRB	Lease Revenue Bond
PAQ	Private Activity Questionnaire
GRB	General Revenue Bond
CP	Capital Planning
CMF	Capital Markets Finance

Appendix C: Warning and Error Messages

1. Form is not available

This warning is shown when the form is already in use and another user tries to open it.

2. Session has expired

This error is shown the when user has either left the form open for too long and the Single Sign On session expires of if the user loses internet connectivity while the form is open.