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.
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November 2014
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

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

<table>
<thead>
<tr>
<th>Tab Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>MY FORMS</td>
<td>Place to view status of forms that end-user has created</td>
</tr>
<tr>
<td>ARCHIVE</td>
<td>Shows past year forms for the end-user campus</td>
</tr>
</tbody>
</table>
Campus Location Reviewer

<table>
<thead>
<tr>
<th>Tab Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>MY FORMS</td>
<td>Place to view status of forms that Location Reviewer has created</td>
</tr>
<tr>
<td>REVIEW FORMS</td>
<td>Allows Location Reviewer to approve or return forms</td>
</tr>
<tr>
<td>ARCHIVE</td>
<td>Shows past year forms for the Location Reviewer campus</td>
</tr>
</tbody>
</table>
# UCOP Administrator

![Capital Planning Form Application](image)

<table>
<thead>
<tr>
<th>Tab Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>MY FORMS</strong></td>
<td>Place to view status of forms that UCOP Admin has created</td>
</tr>
<tr>
<td><strong>APPROVE FORMS</strong></td>
<td>Allows the Admin to approve or return forms</td>
</tr>
<tr>
<td><strong>CAMPUS REVIEWER</strong></td>
<td>Allows the Admin to add/remove Location Reviewers</td>
</tr>
<tr>
<td><strong>ADMIN</strong></td>
<td>Allows the Admin to add/remove other UCOP Admins</td>
</tr>
<tr>
<td><strong>ARCHIVE</strong></td>
<td>Shows past year forms for all campuses</td>
</tr>
<tr>
<td><strong>FISCAL YEAR</strong></td>
<td>Allows the Admin to start a new fiscal year</td>
</tr>
</tbody>
</table>
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](image)

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.

![Current Private Use Applications](image)
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 a 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.

![Private Use Checklist](image)
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

1. Lessee
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.

Submit
- 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.

<table>
<thead>
<tr>
<th>Project</th>
<th>Project ID</th>
<th>Create Time</th>
<th>Last Modified</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>30B</td>
<td>11:43:15</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

November 2014
• The Location Reviewer will launch the application and review it. If satisfied with the content, they can approve the application by
  o selecting the **approve** radio button and
  o 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.

![Confirmation Page](image)
• 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.

### Review Submitted Forms for Campus: UC Davis (8 of 79)

<table>
<thead>
<tr>
<th>In Progress</th>
<th>Submitted</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current Private Use Applications (highlighted rows have Private Use)</strong></td>
<td></td>
</tr>
<tr>
<td>Project</td>
<td>Project ID</td>
</tr>
<tr>
<td>East Hall</td>
<td>931930A,931930C,9319</td>
</tr>
<tr>
<td>30B</td>
<td>11:43:15</td>
</tr>
</tbody>
</table>

#### 2.2 Scenario 2.2 – The location reviewer returns the application

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

<table>
<thead>
<tr>
<th>In Progress</th>
<th>Submitted</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current Private Use Applications (highlighted rows have Private Use)</strong></td>
<td></td>
</tr>
<tr>
<td>Project</td>
<td>Project ID</td>
</tr>
<tr>
<td>East Hall</td>
<td>931930A,931930C,9319</td>
</tr>
<tr>
<td>30B</td>
<td>11:43:15</td>
</tr>
</tbody>
</table>
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.**

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

**Confirmation**

*Form was submitted successfully*
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:
Comments Below:
Approved by OR

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

- 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**.


![Signature Information]

• 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:

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:

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*

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

| Status   | Project   | Project ID               | Create Time | Last Modified | Status  
|----------|-----------|--------------------------|-------------|---------------|--------
| In Progress | East Hall | 931930A,931930C,931906/20/2014 | 11.43.15    | 09/27/2014    | Submitted
| Approved | 30B       | 12.47.34                 |             |               |        |
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

<table>
<thead>
<tr>
<th>Project</th>
<th>Project ID</th>
<th>Create Time</th>
<th>Last Modified</th>
<th>Status</th>
<th>Launch</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>East Hall</td>
<td>931030A, 931030C, 9310</td>
<td>08/20/2014</td>
<td>08/20/2014</td>
<td>Rejected</td>
<td></td>
<td></td>
</tr>
<tr>
<td>30B</td>
<td>11:43:15</td>
<td>13:03:41</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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.
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.

4. If any portion of the Project will be used for electrical generation, transmission or distribution, or for water facilities, will the electricity or water be sold to any Private Entity?
   - [ ] Yes  [ ] No

5. Will any scientific research be conducted at the Project, where that research is sponsored by a Private Entity (for example, research sponsored by a federal grant or a private business), and where the Private Entity sponsor has the right to a license or to otherwise use any technology that will result from such research in a manner that requires an exception to the policies and procedures of the Office of Technology Transfer?
   - [ ] Yes  [ ] No

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

---

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

**In Progress**    **Approved**

<table>
<thead>
<tr>
<th>Project</th>
<th>Project ID</th>
<th>Create Time</th>
<th>Last Modified</th>
<th>Status</th>
<th>Launch</th>
<th>Delete</th>
</tr>
</thead>
<tbody>
<tr>
<td>East Hall</td>
<td>931930A,931930C,93190820/2014</td>
<td>08/27/2014</td>
<td></td>
<td>Submitted</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>30B</td>
<td>11:43:15</td>
<td>12:47:34</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Appendix A - Additional Information

1. Capital Planning Private Use work tabs and subgroups

1.1 My Forms Tab

<table>
<thead>
<tr>
<th>Sub Group</th>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>In Progress</td>
<td>New</td>
<td>New application</td>
</tr>
<tr>
<td></td>
<td>Saved</td>
<td>Application saved by the user for later submission</td>
</tr>
<tr>
<td></td>
<td>Submitted</td>
<td>Application submitted to the Campus Reviewer</td>
</tr>
<tr>
<td></td>
<td>Validated</td>
<td>Application submitted to the OP Approver</td>
</tr>
<tr>
<td></td>
<td>Re-Work</td>
<td>Application returned by the Campus Reviewer</td>
</tr>
<tr>
<td></td>
<td>Rejected</td>
<td>Application returned by the OP Approver</td>
</tr>
<tr>
<td></td>
<td>In Progress</td>
<td>The form is open. Either in separate tab, window, browser or another computer.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sub Group</th>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approved</td>
<td>Approved</td>
<td>Applications approved by the OP Approver</td>
</tr>
</tbody>
</table>

1.2 Review Forms Tab

<table>
<thead>
<tr>
<th>Sub Group</th>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ready</td>
<td>Submitted</td>
<td>Application submitted for the first time by the Campus End User.</td>
</tr>
<tr>
<td></td>
<td>Re-submit</td>
<td>A returned application re-submitted by the Campus End User.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Sub Group</th>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>In Progress</td>
<td>Saved</td>
<td></td>
</tr>
</tbody>
</table>
# 1.3 Approve Forms Tab

<table>
<thead>
<tr>
<th>Sub Group</th>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ready</td>
<td>Ready</td>
<td>New applications ready to be reviewed</td>
</tr>
<tr>
<td>In Progress</td>
<td>In Progress</td>
<td>If the approver closes the browser without exiting the form, it appears in “In Progress” tab.</td>
</tr>
<tr>
<td>Approved</td>
<td></td>
<td>Applications approved by final approver</td>
</tr>
</tbody>
</table>
## Appendix B: Definitions

<table>
<thead>
<tr>
<th>Word/Acronym</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>OP</td>
<td>Office of the President</td>
</tr>
<tr>
<td>GOB</td>
<td>General Obligation Bond</td>
</tr>
<tr>
<td>LRB</td>
<td>Lease Revenue Bond</td>
</tr>
<tr>
<td>PAQ</td>
<td>Private Activity Questionnaire</td>
</tr>
<tr>
<td>GRB</td>
<td>General Revenue Bond</td>
</tr>
<tr>
<td>CP</td>
<td>Capital Planning</td>
</tr>
<tr>
<td>CMF</td>
<td>Capital Markets Finance</td>
</tr>
</tbody>
</table>
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.

![Form is not available](image)

2. Session has expired

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

![Session has expired](image)