

**Document Code No.:** CON 7-28-EP

**Title:** Planning and Management of Capital Improvement Programs

**Affected Agencies:** All Agencies with Capital Programs

**Authorities:** King County Code, Revised Code of Washington

**Keywords:** Project Management, Capital Project, Capital Improvement Program, Design, Construction

**Sponsoring Agency:** Department of Executive Services, Finance and Business Operations Division, Procurement & Payables Section

Type of Action: Supersedes

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CON 7-9-3 (AEP), February 19, 2014



**King County**

**Executive signature:** \_\_\_\_\_

**Date signed and effective:** May 9, 2025

## **I. Purpose**

This policy establishes minimum standards for the planning and management of capital projects, programs, and portfolios within King County Capital Improvement Programs (CIP). The purpose is to ensure appropriate oversight, clear delegation of activities, thorough documentation, adherence to best practices, and fiscal stewardship in support of completing capital projects.

The procedures and processes for implementing these minimum policies will be outlined in the Capital Project Management Work Group (CPMWG) standards and best practices and are further defined in each agency's Project Management Manual.

## **Applicability and Audience**

This policy applies to the Administrative Offices and Executive Departments supervised by the King County Executive. The audience may also include any King County non-Executive Branch Departments adopting this policy. Further, this policy applies to all Capital Projects, including those within a program or portfolio, that are part of an agency's six-year capital improvement plan.

## **II. Definitions**

"AD" is an abbreviation for Agency Director or designee.

"Agency" refers to the implementing agency (i.e., Executive Department, division, section, unit, or workgroup) responsible for administering the contract.

"Agency PCO" refers to the Project Control Officer appointed by a Division Director within each Agency.

"CPMWG" or Capital Projects Management Work Group as established by Executive Order CIP-8-5-EO.

"County" refers to King County throughout this policy.

"Project" for the purposes of this policy, project means the scope of work issued under any specific contract.

"Project Management Manual" refers to the Agency Project Management Manual that details standards, processes, and procedures for the planning and management of

Capital Projects, programs, and portfolios within that Agency. The Project Management Manual builds upon the minimum standards and best practices established by the CPMWG for the management of capital projects.

### **III. Policy**

#### **A. Project Management Manual**

1. The Agency shall establish and maintain a Project Management Manual that, at a minimum, complies with the standards set forth by the CPMWG for the documentation related to the planning and management of the King County established standard development phases. These phases include the planning phase, preliminary design phase, final design phase, implementation phase, closeout phase, and acquisition phase. The project management manual must be published internally and updated at least annually to reflect changes in County policy, processes, and CPMWG best practices. The expectation is that the Agency follows their Project Management Manual and ensures each project includes documentation in alignment with the Manual.

#### **B. Planning Phase**

1. The Agency shall develop, publish, and update when applicable the following elements within its Project Management Manual during the Planning Phase:
  - a. Project Charter
  - b. Draft Project Schedule
  - c. Initial Project Plan
  - d. Project Budget
  - e. Risk Register / Assessment
2. For additional required deliverables based on project type and size, refer to CPMWG scalable tools and key project deliverables by phase documents.

#### **C. Preliminary Design Phase**

1. The Agency shall develop, publish, and update when applicable the following elements within its Project Management Manual during the Preliminary Design Phase:
  - a. Updated Project Charter Plan
  - b. Updated Resource Assignment Matrix (RAM) / Project Resourcing Plan
  - c. Updated Risk Register / Assessment
  - d. Updated Project Budget
  - e. Updated Project Schedule
2. For additional required deliverables based on project type and size, refer to CPMWG scalable tools and key project deliverables by phase documents.

#### **D. Final Design Phase**

1. The Agency shall develop, publish, and update when applicable the following elements within its Project Management Manual during the Final Design Phase:
  - a. Updated Cost Estimates
  - b. Updated Risk Register / Assessment

- c. Project Schedule Updates/Statusing
- 2. For additional required deliverables based on project type and size, refer to CPMWG scalable tools and key project deliverables by phase documents.

**E. Implementation Phase**

- 1. The Agency shall develop, publish, and update when applicable the following elements within its Project Management Manual during the Implementation Phase:
  - a. Oversee Implementation
  - b. Community Outreach
  - c. Change Management
  - d. Track Substantial Completion and Final Acceptance
  - e. Asset Ownership Identification
- 2. For additional required deliverables based on project type and size, refer to CPMWG scalable tools and key project deliverables by phase documents.

**F. Closeout Phase**

- 1. The Agency shall develop, publish, and update when applicable the following elements within its Project Management Manual during the Close Out Phase:
  - a. Contracts closeout and checklists
  - b. Final Risk Documentation
  - c. Final Project Schedule
  - d. Final Project Budget
  - e. Final Performance Reporting
  - f. Final Records Retention
- 2. For additional required deliverables based on project type and size, refer to CPMWG scalable tools and key project deliverables by phase documents.

**G. Acquisition Phase**

- 1. The Agency shall develop, publish, and update when applicable the following elements, regardless of where these elements might have been included in previous phases, within its Project Management Manual during the Acquisition Phase:
  - a. Real Estate Acquisition Plan
  - b. Update Community Outreach Plan
  - c. Easement Acquisition Plan
  - d. Environmental Assessment/ Regulatory Coordination
- 2. For additional required deliverables based on project type and size, refer to CPMWG scalable tools and key project deliverables by phase documents.

**IV. Implementation Plan**

- A. This policy becomes effective for Executive Branch Agencies on the date that it is signed by the Executive. The Department of Executive Services Finance and Business Operations Division is responsible for the implementation of this policy.

- B. The CPMWG is responsible for communicating this policy to the management structure within their respective agencies and other appropriate parties.
- C. ADs are responsible for ensuring that their staff follow this procurement administrative policy.

**V. Maintenance**

- A. This policy will be maintained by the Department of Executive Services Finance and Business Operations Division or its successor Agency.
- B. This policy will automatically expire five (5) years after its effective date. A new, revised, or renewed policy will be initiated by the Department of Executive Services Finance and Business Operations Division or its successor agency prior to the expiration date.

**VI. Consequences for Noncompliance**

Agencies found to be in noncompliance with this policy shall be required to work with the Agency PCO or a designee on a corrective action plan. If there is more than one instance of noncompliance, the Agency shall submit a letter of justification and corrective action plan, signed by the AD, to the CPMWG chair. This shall be included in an annual report to the CPMWG steering committee. The Agency Division Director shall be informed of all noncompliance issues.

**Appendices:** N/A