



Capitol Area Architectural and Planning Board

204 Administration Building
50 Sherburne Avenue
Saint Paul, Minnesota 55155
Phone: 651.757.1500
Fax: 651.296.6718
TTY: 800.627.3529

Capitol Area Architectural Advisory Committee

MN Statutes 15B.11 and 15B.10, Subd. 4

August, 2013

1) Mission

The Advisory Committee must advise the CAAPB on all architectural and planning matters prior to the Board approving a plan for a new public building, memorial, or change to public lands or public buildings in the Capitol Area.

2) Membership List and Compensation

Rosemary McMonigal, AIA – AIA Minnesota Appointee \$55/day per diem

Bryan Carlson, FASLA – Arts Board Appointee \$55/day per diem

Thomas Blanck, RA – CAAPB Appointee \$55/day per diem

3) Budget

Approximately \$4,500 is budgeted for Advisory Committee meetings and also their attendance at Board meetings each year of the biennium.

4) Recent/Future Meeting Dates

Recent: July 2, 2013 – 2 ½ hours

July 11, 2013 – 2 ½ hours

July 17, 2013 – 2 ½ hours

July 24, 2013 – 2 ½ hours

August 5, 2013 – 2 ½ hours

Note: Two of the three Advisors have participated in technical review services of the new

Legislative Office Building proposals and been jury members for the three new parking ramp proposals in the Capitol Area. The recent Advisory Committee meetings have involved in-depth discussions of CAAPB design guidelines and criteria for all these new projects in the Capitol Area. The Advisors will be participating in all design scoping workshops on these projects through the fall 2013, the schematic phase, and each project's design development.

5) Reports or Recommendations

Soon to be issued are design guidelines from the Advisory Committee, representing CAAPB for the new Legislative Office Building (with underground parking) and new parking ramps on Lots F, L, and C in the Capitol Area. The following are major CAAPB documents the Advisory Committee has been involved with developing and recommending to the Board for adoption.

- 1998 Comprehensive Plan for the Minnesota State Capitol Area, amended in 2009;
- Rules Governing Zoning and Design for the Minnesota State Capitol Area, rewritten in 2009;
- Policy for Works of Art in the Minnesota State Capitol, 1998;
- Commemorative Works in the Capitol Area, 1993, rewritten and adopted in 2012

In addition, the Advisory Committee, along with staff, continue to be actively involved in the light rail transit (LRT) system running through the Capitol Area. They have been involved in review and approval of design details, landscape elements, station design, alignment, and artwork. They continue to review installation of the LRT.

6) Website link

<http://www.caapb.state.mn.us>

Note: The CAAPB presented a report to the Sunset Advisory Committee in January, 2012. The committee recommended no CAAPB sunset.



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MN State Capitol Preservation Commission

MN Statutes 15B.32

August, 2013

1) Mission

The MN State Capitol Preservation Commission must exercise ongoing coordination of the restoration, protection, risk management, and preservation of the Capitol Building.

Responsibilities of the Preservation Commission include:

- The commission shall develop a comprehensive multiyear predesign plan for the restoration of the Capitol Building, review the plan periodically, and, as appropriate, amend and modify the plan.
- The commission shall develop and implement a comprehensive financial plan to fund the preservation and restoration of the Capitol Building.

2) Membership List and Compensation

1. Governor Mark Dayton
2. Lieutenant Governor Yvonne Prettner Solon
3. Attorney General Lori Swanson
4. Chief Justice Lorie Skjerven Gildea
5. Majority Leader Tom Bakk (Senate)
6. Speaker Paul Thissen (Representative Mary Murphy, designee)
7. Senator Ann Rest (Majority Party)
8. Senator Warren Limmer (Minority Party)
9. Representative Diane Loeffler (Majority Party)
10. Representative Dean Urdahl (Minority Party)
11. Representative Alice Hausman (Chair, Capital Investment)
12. Representative Matt Dean (Minority Member, Capital Investment)
13. Senator LeRoy Stumpf (Chair, Capital Investment)
14. Senator David Senjem (Minority Party, Capital Investment)
15. Administration Commissioner Spencer Cronk
16. Public Safety Commissioner Ramona Dohman
17. Minnesota Historical Society Director and CEO D. Stephen Elliott

18. Capitol Area Architectural and Planning Board Executive Secretary Nancy Stark
19. Ted Lentz (Public Member)
20. James Dayton (Public Member)
21. Dana Badgerow (Public Member)
22. Peter Hilger (Public Member)

Only the four public members are eligible for a \$55/day per diem compensation and expenses per MN Statute 15.059, Subd. 3.

3) **Budget**

Currently there is no budget for Preservation Commission expenditures.

4) **Recent/Future Meeting Dates**

Recent:	July	22,	2013
	July	08,	2013
	January	30,	2013
	February	29,	2012
	January	11,	2012
	December	08,	2011
	November	01,	2011
	October	14,	2011 (First meeting)

In the most recent Preservation Commission meeting on July 22, 2013, the Commission voted and approved the Work Package I, the schematic design for the Capitol's restoration. Future meetings to be determined to continue the approval of various stages of design and issuing of bid packages.

5) **Reports or Recommendations**

At each Preservation Commission, reports were shared by all Consultants in the form of PowerPoint presentations and hardcopy. They include:

July	22,	2013	Schematic Design, Work Package I
July	08,	2013	Schematic Design, Work Package I
January	30,	2013	Presentation of Progress
January	15,	2013	Report from the Capitol
January	11,	2012	Report from the Capitol

Members of the Commission have participated in scoping workshops led by Consultants in 2012 and 2013. These also produced numerous reports and summaries of information gathering applicable to the design documents for the Capitol's restoration. All documents are public information.

6) **Website link**

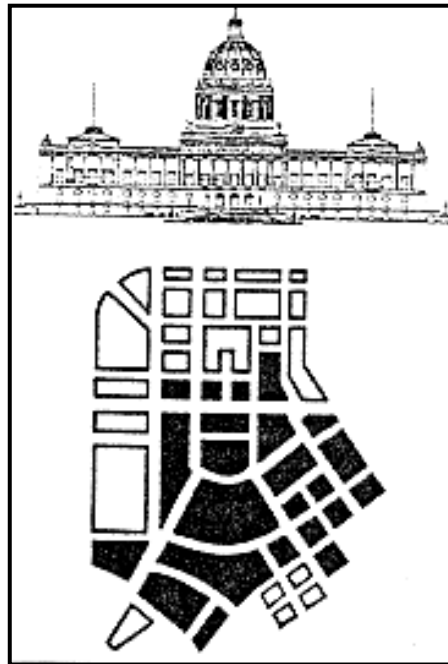
<http://www.mn.gov/capitol/preservation>

CAPITOL AREA ARCHITECTURAL AND PLANNING BOARD

Report to the Sunset Advisory Committee

January, 2012

Additional Information Requested



Nancy Stark, Executive Secretary

204 Administration Building
50 Sherburne Avenue
Saint Paul, Minnesota 55155

PHONE: 651.757-1500
TELEFAX: 651.296.6718
WEB SITE: www.caapb.state.mn.us

Governance

1. Board Data

- a. Number of Members** 12
- b. Gender Balance** 5 Men, 7 Women
- c. Metro vs. Greater MN** 9 Metro, 3 Greater MN
- d. Professional vs. Public** 6 Professional, 6 Public
- e. Number of meetings in each of last five years**
2011: 3 2010: 2 2009: 4 2008: 4 2007: 2
- f. List of ex officio positions** CAAPB Chair (the Lt. Governor)

2. Organization

- a. Board Name:** Capitol Area Architectural and Planning Board (CAAPB)
- b. Year established:** 1967
- c. Number of Staff:** FY11: 3 FTE FY12: 3 FTE
- d. FTE of Director:** Executive Secretary

3. Salary roster

a. Position title, FTE, Annual salary with benefits

Executive Secretary	FTE	\$90,232
Planner Principal State	FTE	\$78,856
State Program Admin	FTE	\$58,682

4. NA

5. Other

a. Brief description of measurable outcomes:

- Four new Board-approved buildings and eight memorials in last 15 years
- The CAAPB amended its 1998 Comprehensive Plan in 2009
- Board acts on requests within 60 days in enforcing zoning regulations
- City's building permit issued only after CAAPB zoning permit
- Zoning Rule received award from MN American Planning Association
- New draft policy for commemorative works for approval in 2012
- Board approved LRT alignment and three station design with CAAPB monitoring through 2014
- CAAPB reviews any capital budget requests in Capitol area on compatibility with the Comprehensive Plan
- The CAAPB is known for its responsiveness, keeping of the historical record, accessibility, and transparency
- Current Comprehensive Plan and Zoning Rules on web site

b. Brief discussion why this function can't be carried out in the private sector:

The Capitol Area Architectural and Planning Board (CAAPB) was created in 1967 to restore a higher standard of quality to the Capitol Area (sixty blocks surrounding the State Capitol Building), after buildings deemed inappropriate to the setting were added during the 50's-60's. This has been accomplished in part by means of a Comprehensive Plan (developed with input from stakeholders including state agencies, the City of Saint Paul and the general public) and reinforced by well-established zoning and design rules, all developed, maintained and safeguarded by an independent Board and codified in the Zoning and Design Rules for the Capitol Area. In addition, it was intentional that the Board, created by the Legislature, would be comprised of gubernatorial, mayoral, public and legislative appointees, and report to the Legislature, unfiltered by any one party, special interest or person, and protected from political influences.

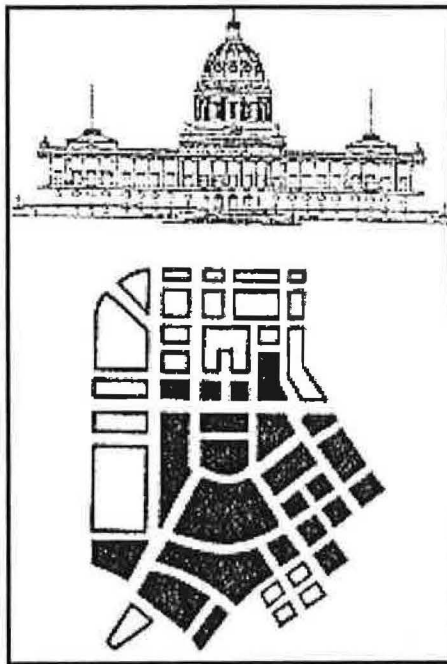
The very structure and size of the CAAPB helps to make its operations both effective and cost efficient, as well as transparent, accessible and sensitive to input of the general public.

When the CAAPB was first created in the late 60's, it was a commission, with zoning responsibilities handled by the City; but problems with enforcement of rules unique to the needs of the Capitol Area proved problematic. As a result, the legislature then converted it to a Board with its own zoning authority, something which has served the Capitol Area, its surrounding neighborhoods and the City well. CAAPB zoning rules, as of latest rewrite, have strengthened application of design guidelines, and these are reinforced in all design competitions.

There have been times when planning for non-State-owned land might run counter to or clearly out of the realm for the normal Executive branch state agency such as the Department of Administration, possibly even leading to conflicts of interest, and the Board has served as an effective, impartial third party with a consistent set of guidelines and rules fair to all and partial to none.

CAPITOL AREA ARCHITECTURAL AND PLANNING BOARD

Report to the Sunset Advisory Commission December, 2011



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Appendix A: CAAP Board & Advisors

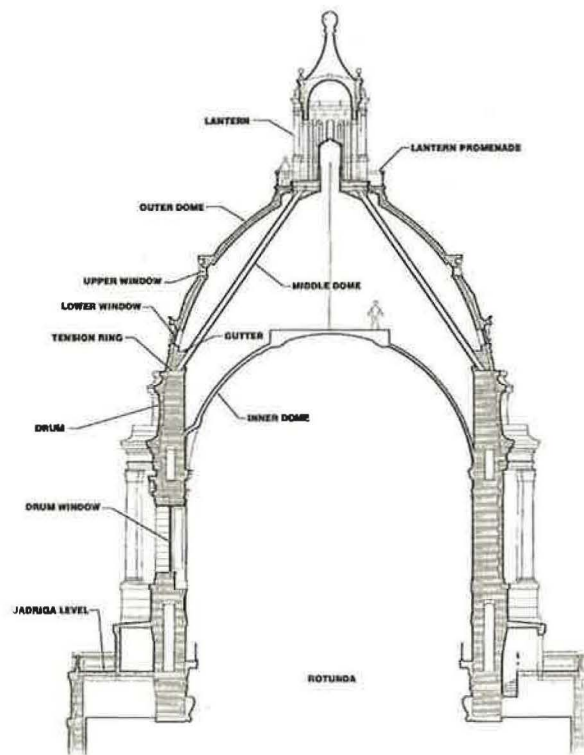
Appendix B: CAAPB Organizational Chart

Appendix C: CAAPB Awards

I. Executive Summary: The Capitol Area Architectural and Planning Board's (CAAPB) 2010-2011 statutorily required Biennial Report is being submitted as our Executive Summary. (it can also be found on the CAAPB's web site: www.caapb.state.mn.us/publication.html)

Capitol Area Architectural and Planning Board

**Biennial Report
2010 – 2011**



The Capitol Area Architectural and Planning Board (CAAPB)—then a Commission—was established by the 1967 Legislature. One of the CAAPB's statutory responsibilities is to prepare a comprehensive use plan for the Capitol Area. In 1974, legislation was enacted to require the CAAPB to prepare and submit biennial reports to the Legislature and the Governor on the status of implementation of the comprehensive plan together with a program for capital improvements and site development. The CAAPB is entering its 44th year in 2011.

Acknowledgement

**Cover photograph and drawing is courtesy of
Hammel Green and Abrahamson (HGA)
and Schooley Caldwell Associates (SCA).**

This report was prepared by
the Capitol Area Architectural and Planning Board Staff.

December 2010

CAAPB MISSION

The Board's statutory authority per MN Statute 15B is to:

- 1) Preserve and enhance the dignity, beauty, and architectural integrity of the Capitol, the buildings immediately adjacent to it, the Capitol grounds, and the Capitol Area.
- 2) Protect, enhance, and increase the open spaces within the Capitol Area when deemed necessary and desirable for the improvement of the public enjoyment thereof.
- 3) Develop proper approaches to the Capitol Area for pedestrian movement, the highway system, and mass transit system so that the area achieves its maximum importance and accessibility.
- 4) Establish a flexible framework for growth of the Capitol Complex buildings that will be in keeping with the spirit of the original Cass Gilbert design.

CAAPB'S PROFILE & RESPONSIBILITY

The Board is comprised of 12 members, chaired by the Lieutenant Governor. The 11 other members are appointed as follows: four by the Governor, three by Mayor of Saint Paul, two by the President of the Senate, and two by the Speaker of the House of Representatives. An Advisory Committee of three design professionals is required by law to advise the Board on all architectural, planning and landscape matters affecting the Capitol Area. Three staff currently serve the Board.

The Board normally meets every two to three months to review or approve issues directly affecting zoning, planning development or design within the 60-block area of the Board's jurisdiction. Their standards are based on quality of design, long-range planning, efficient use of the public dollar, and timely processing and review. The CAAPB works closely with the Department of Administration, the City of Saint Paul, neighborhood planning district councils, development groups, and with private sector architects, engineers, and developers.

As overseer of Capitol Area development, the CAAPB's responsibility for public projects cover all phases of design and construction. Individual project planning occurs within a long-range framework for the area's physical development. The Board's 1998 *Comprehensive Plan for the Minnesota State Capitol Area*, amended in 2009, is the framework for its daily agenda, along with the *Rules Governing Zoning and Design for the Minnesota State Capitol Area*, rewritten in 2009. These rules include design review procedures and standards for any proposed construction in the Capitol Area. The Rule, which was adopted under the Administrative Procedures Act, won an award in 2010 from the American Planning Association, MN Chapter and was recognized specifically for its form-based, user-friendly approach and use of graphics.

State agencies and other public bodies considering building projects in the Area are also required to consult with the Board before developing plans. Designs for any new public building and memorials are obtained through CAAPB architectural competitions. In addition, the Board must review and approve any plans for substantial alterations or improvements to public lands or building in the Area. The Board also coordinates the implementation of major public projects in the Area, such as the Central Corridor Light Rail Transit and previously the I-94 freeway overpasses linking the Capitol with downtown Saint Paul.

The Capitol is Minnesota's most important public building. The Board therefore takes seriously its responsibility to preserve that structure. Any significant changes to the Building's appearance must be approved by the Board and in this role the Board must consult with the Minnesota Historical Society regarding the historic fidelity of any changes. The Board also shares responsibility with the Department of Administration for developing standards for the repair, alteration, furnishing, appearance, and general maintenance of the building's public and ceremonial areas. These standards are binding upon the Administration Department. The Board also shares with the Historical Society, responsibility for the design, structural composition, and location of artwork within the public and ceremonial areas of the Capitol, per the *1998 Policy For Works of Art in the Minnesota State Capitol*.

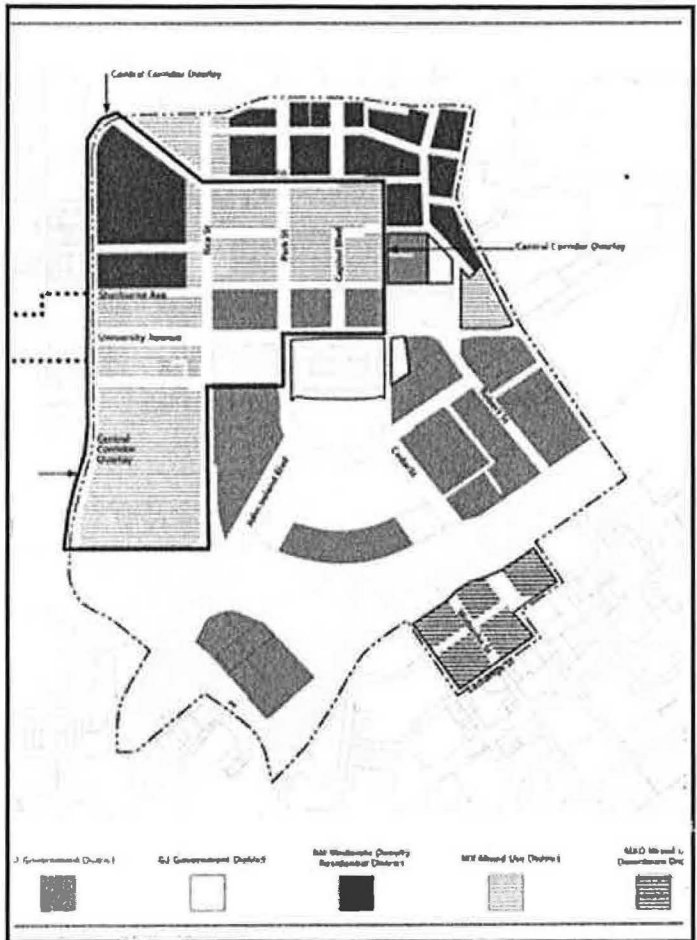
CAPITOL AREA ZONING and DEVELOPMENT

As the planning and regulatory agency responsible for architectural design and long-range planning for the Capitol Area, the CAAPB has zoning jurisdiction and design review over the state government complex and the surrounding commercial and residential neighborhoods.

The Capitol Area contains 15 state office buildings (over three million gross square feet of office, ceremonial, and public spaces), nine blocks of commercial/retail space, 12 residential blocks, and one primary care hospital campus.

Based on solid planning tools and guidelines developed in concert with the *Comprehensive Plan* and the *Zoning and Design Rules*, the Board's influence has positive impact on the overall appearance of the Capitol Area and beyond. The CAAPB continues to work with the Capitol River Council in downtown Saint Paul and with the Saint Paul Design Center on a variety of planning efforts, and the advice of the CAAPB staff and Advisors is sought after by other state capitol area representatives in their approaches to policy, planning, and development.

Several memorials on the Capitol Mall are in either design or fundraising stages, including a Firefighters Memorial, a Hubert H. Humphrey Memorial, a Memorial to the Special Forces in Laos, and the Minnesota Military Family Tribute. As ongoing maintenance of these state assets remains critical, the CAAPB and the Department of Administration have established policy that any new memorial's project budget must include 20% of the total construction budget for future maintenance. There is still the need to create long-term maintenance funding sources for existing memorials.



LIGHT RAIL TRANSIT (LRT)

For twenty years, CAAPB Staff, Architectural Advisors, and the Board have been involved in planning efforts focused on the Central Corridor LRT, following the Board's statutory charge regarding the Capitol Area. Plans call for a route out of downtown Saint Paul on Cedar Street, crossing the Interstate on Cedar Street Bridge, east along Twelfth Street, north on Robert and west on University Avenue to the University of Minnesota and Minneapolis. Capitol Area stations are planned for Cedar at Tenth Street, Robert at Fourteenth, and at Leif Erikson Park on University Avenue.

Since fall of 2007, CAAPB Staff, Architectural Advisors, and representatives of the Department of Administration have reviewed preliminary engineering documents, station area plans, streetscape details, and LRT station artwork as it applies to the Capitol Area. CAAPB review of the project will continue until the Central Corridor LRT is completed in 2014, along with review of new area development spurred by the LRT.

CAPITAL IMPROVEMENTS

1988-1992

- Redesign of all freeway bridges linking the Capitol Area with downtown Saint Paul.
- Construction of the History Center and the Judicial Center, with designs secured through CAAPB-sponsored competitions.

1985-2010

- Since the mid-1980s, over \$61 million for exterior restoration, stabilization, and some interior restoration of the Capitol Building that included the dome and lantern, rebuilding exterior terraces, Rathskellar, both House and Senate chambers, and the third floor.

1992-2010

- Capitol Mall development, including the Vietnam Veterans Memorial (1992), the Korean War Veterans Memorial (1998), the Woman Suffrage Memorial (2003), the World War II Memorial (2007), the Minnesota Workers' Memorial (2010). Design work is in progress on the Humphrey Memorial, while the Memorial to Special Forces in Laos and the Minnesota Military Family Tribute have secured design concepts and are in a fundraising stage.

1993-2010

- Approved alignment of the future LRT route through the Capitol Area with three station stops servicing state government and the surrounding neighborhoods. Design review work continues with the Metropolitan Council, the Department of Administration and SHPO.

1996

- Redesign of campus lighting to improve safety, and a more efficient system of architectural lighting for the Capitol Building's exterior.

1998

- Zoning and design review of the Stassen Building and the Fourteenth Street parking ramp.

2005

- Zoning and design review of the Orville Freeman Office Building, the Ag/Health Lab Building, and the Elmer Anderson Building.
- Staffed and facilitated a 14-member Capitol 2005 Commission in the celebration of the Capitol's 100th Birthday.

2001, 2006-2008

- Completion of the *Minnesota State Capitol Building Predesign Study* in June 2001, and more recently a Predesign Update completed in 2006 by Hammel Green and Abrahamson (HGA) and Schooley Caldwell Associates (SCA) in coordination with the Administration Department and MHS for comprehensive restoration of the Capitol Building.

MINNESOTA STATE CAPITOL RESTORATION

Restoration and maintenance of the Minnesota State Capitol Building is one of the highest priorities of the CAAPB.

Today, Minnesota's premier building suffers from one hundred and five years of hard use. Its heating and air conditioning systems are worn out and prone to failure, it does not meet **basic life safety codes** (for example, it has a limited sprinkler system), and it is not **fully accessible** to people with disabilities. The Capitol is not equipped for the complexities of a modern legislature, for the number of Minnesotans that come to the Capitol to participate in government, or for the thousands of visitors who come to the building. Greatly influencing all future restoration work is the advance of technology in a 105-year-old building, the integrity of some of the building, **compliance with codes**, and the need to **re-examine security** in a post 9/11 world.

The 2000 Legislature funded a Predesign for the Capitol's restoration, which identified numerous critically important issues, but attempts to move forward with any implementation failed to garner the necessary support.

Then in 2005, as the Capitol celebrated its 100-year birthday, the Legislature funded further study and a schematic design of the Capitol's entire restoration.

In 2006, the design team of Hammel Green and Abrahamson (HGA) of Minneapolis, and Schooley Caldwell Associates (SCA) of Columbus, Ohio, confirmed the earlier Predesign issues, investigated the building's ailing infrastructure, and proposed a comprehensive solution. That plan would have cost \$260 million over a phased, six-year schedule.

In 2007, the Legislature authorized the Legislative Coordinating Committee (LCC) to facilitate a Capitol Restoration Working Group consisting of legislators, stakeholders, and the public to build consensus for a restoration strategy, but this process yielded no consensus. It is recognized and assumed that unless and until all the decision makers are of one mind regarding the scope and financial approach to this project, including allocation of space, the State will continue to address the needs of this historically significant and iconic building on an as needed and piecemeal basis.

Since then, the Capitol Building continues to be in critical need of repair and rehabilitation.

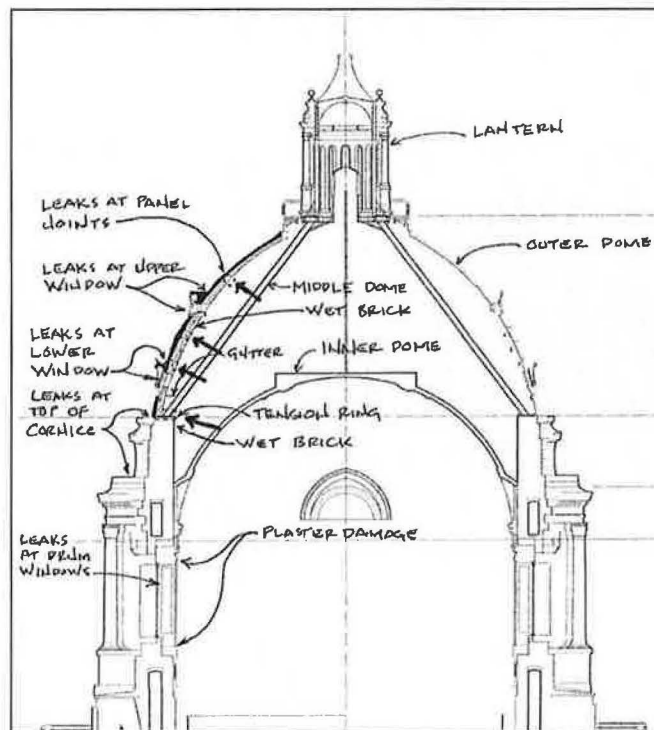
To put this project in perspective, since 1985, approximately \$61 million has been spent on the building, with more than 70% for emergency repairs on life-safety remedies. In comparison, over that same time, close to a dozen state capitol buildings have been partially or completely restored, at costs ranging from \$75 - \$287 million (the largest figure for Texas in 1990, which included an underground expansion). **The longer the wait, the more expensive it will become to do it right, and more money will have been spent simply to patch or apply a band-aid to an ever-worsening asset preservation need.**

The restoration of the Capitol is intended to achieve the following results at a minimum. Other needs such as improved visitor accommodations, dining facilities, additional and improved hearing rooms, and modernized and secure technology may be included in the restoration plan as determined by the Predesign planning.

- Full accessibility for persons with disabilities in accordance with all applicable regulations and codes.
- A safer Capitol Building, including a comprehensive system for dealing with fire and smoke, and other life-safety measures for the safety of all in the building.
- Implementation of recommendations of the 2009 National Guard's Homeland Security Assessment, which found significant building and occupant vulnerabilities.
- Energy efficient mechanical and electrical systems that meet life-safety standards and provide adequate levels of air.
- Control of physical deterioration and damage, and preservation of the building for future generations.

MINNESOTA STATE CAPITOL RESTORATION (continued)

Failure to move forward with an agreed-to plan will cost the State significantly more, first, through continued deterioration, and second, through further cost escalation for restoration. If unaddressed, the deteriorating condition will affect the building's ability to effectively serve the people of Minnesota in the same manner that it has since completion of the Capitol Building in 1905.



CAAPB BUDGET

The CAAPB's Base Budget is appropriated from the General Fund.

The Board's Base Budget is as follows:

- | | |
|-----------------------|-----|
| • Salary & Benefits | 81% |
| • Rent | 12% |
| • LAN & IT Charges | 2% |
| • Business Operations | 5% |

Legislative language passed in 2007 allows that the CAAPB charges for Board, Advisors, and Staff time when projects, pursuant to MN Statutes 15B.17, Subd. 1, require Board review and approval, are reimbursed to the Board on a permanent basis (Laws of 2007, Ch. 148, Art 2, Sec. 10, Subd. 1(b)). To date, this language has provided the agency with an additional \$7,700 in FY 2010-11.

As early as 1998, the CAAPB was proactive in achieving efficiencies of budget and shared services. Having already reduced operations to 4 FTEs, in lieu of 5 (per MN Statutes 15B), the agency relocated into a building with a Cabinet agency where savings are achieved by a sharing of space, equipment, LAN connections, IT support, and purchasing programs. The agency currently has three full-time employees.

Trends or projects that influence the agency's level of activity outside CAAPB control are contingent upon others who require CAAPB review or approval for development. Many, if not all, of these projects, including memorials, require future funding in various phases of private or public sources, and have the potential to increase the number of Advisor review meetings, Board meetings, and payments of per diems. Not to mention the potential need to upgrade CAAPB planning tools such as district plans, maps, mall plans, and through technology upgrades, the agency's ability to receive and transmit engineered documents from outside agencies.

Future projects influencing the CAAPB's basic business operations:

- 25% - Zoning issues and permit request review and processing.
- 20% - Central Corridor LRT project and new area development spurred by the LRT.
- 20% - The Capitol Building's individual projects, decisions by the legislature, and the Capitol's ultimate full restoration.
- 25% - Design and construction of four Mall memorials, plus other artwork, and overall mall maintenance planning and landscaping.
- 10% - CAAPB response to other agency initiatives such as SWIFT and Continuity of Operations Plan (COOP).

Critical to the CAAPB's operations is its web page, www.caapb.state.mn.us, and the ability to maintain an easy flow of information to the public. All primary documents of the Board are posted on the site, as well as future Board meetings, zoning forms, and items of architectural and zoning interests on a national level.

CAPITOL AREA ARCHITECTURAL AND PLANNING BOARD

BOARD MEMBERS

Lieutenant Governor Carol Molnau, Chair
M. Ann Buck, Vice-Chair

Don Grundhauser
Representative Matt Dean
David Lanegran
Senator-Elect Carla Nelson
Troy Olsen
Catherine Hartnett
Senator Sandy Pappas
Senator Ann Rest
Representative Morrie Lanning
Representative Diane Loeffler

ARCHITECTURAL ADVISORS

Thomas Blanck, RA - CAAPB Appointee
Rosemary McMonigal, AIA - AIA Minnesota Appointee
William Sanders, FASLA - Arts Board Appointee

STAFF

Nancy Stark, Executive Secretary
Paul Mandell, Principal Planner, Zoning Administrator
Renita Dellwo, Accounting, Financial Officer & Administrative Assistant

LAYOUT and DESIGN of REPORT

CAAPB Staff

With the election of Governor-Elect Mark Dayton in November 2010, the CAAPB welcomes Lieutenant Governor-Elect Yvonne Prettner Solon as the new Chair of the Capitol Area Architectural and Planning Board.

II. Statutory Requirements:

1. the efficiency and effectiveness with which the agency or the advisory committee operates: The Capitol Area Architectural and Planning Board (CAAPB) was created in 1967 to restore a higher standard of quality to the Capitol Area (sixty blocks surrounding the State Capitol Building), after buildings deemed inappropriate to the setting were added during the 50's-60's. This has been accomplished in part by means of a Comprehensive Plan (developed with input from stakeholders including state agencies, the City of Saint Paul and the general public) and reinforced by well established zoning and design rules, all developed, maintained and safeguarded by an independent Board and codified in the Zoning and Design Rules for the Capitol Area. In addition, it was intentional that the Board, created by the Legislature, would be comprised of gubernatorial, mayoral, public and legislative appointees, and report to the Legislature, unfiltered by any one party, special interest or person, and protected from political influences. (Appendix A)

The very structure and size of the CAAPB helps to make its operations both effective and cost efficient, as well as transparent, accessible and sensitive to input of the general public.

2. an identification of the mission, goals, and objectives intended for the agency or advisory committee and of the problem or need that the agency or advisory committee was intended to address and the extent to which the mission, goals, and objectives have been achieved and the problem or need has been addressed: The mission and goals of the CAAPB, per MN Statute 15B, include the following:

- To preserve and enhance the dignity, beauty and architectural integrity of the Capitol, the buildings immediately adjacent to it, the Capitol grounds and the Capitol Area.
- To protect, enhance, and increase the open spaces within the Capitol Area when deemed necessary and desirable for the improvement of the public enjoyment thereof.
- To develop proper approaches to the Capitol Area for pedestrian movement, the highway system, and mass transit system so that the area achieves its maximum importance and accessibility.
- To establish a flexible framework for growth of the Capitol Complex buildings that will be in keeping with the spirit of the original Cass Gilbert design.

3. an identification of any activities of the agency in addition to those granted by statute and of the authority for those activities and the extent to which those activities are needed: The Board has no activities beyond those specifically granted to it by statute, other than those programs and activities required of all state agencies, such as COOP and SWIFT.

4. an assessment of authority of the agency relating to fees, inspections, enforcement, and penalties: The Board, per MN Stat. 15B.03, Subd. 7(b) and 15B.13 must review, approve and be reimbursed for its work on any federally-funded project. This includes Light Rail Transit (LRT) with regard to station design as well as the alignment and track design. In addition, per MN Stat.15B.17, any state agency or public body with plans for a capital improvement within the Capitol Area must consult with and pay for any review and planning work related to the project. In both of these cases, funds are deposited in a special revenue fund and appropriated to the board

The Board in providing for all its mandatory zoning reviews and permitting, charges minimal fees adequate to serve as a handling fee except when an extraordinary level of review, either by staff and/or Advisory Committee, or formal public comment and hearings are required as part of official Board action is necessary. In such cases, fees cover those extraordinary costs. Inspection and enforcement are both handled administratively by the Board designated zoning administrator. Any violation of the Zoning and Design Rules is a misdemeanor, with the zoning administrator or, if needed, the Board's designated representative from the Attorney General's Office first trying to arrive at a resolution; otherwise, any legal action is dependent on the City attorney.

5. whether less restrictive or alternative methods of performing any function that the agency performs could adequately protect or provide service to the public:

No.

For over 45 years, the CAAPB has accomplished and continues to maintain the highest quality of service with a minimal budget by working closely and cooperatively with the Department of Administration, the City of Saint Paul, the MN Historical Society, neighborhood planning district councils, and the private sector including architects, landscape architects and other design professionals. Since the early 70's, the Board has maintained and, as needed, updated its two guiding documents, the 2009 *Zoning and Design Rules for the Minnesota State Capitol Area* (which in its latest rewrite using form-based zoning, won an award from the MN Chapter of American Planning Association) and the 1998 *Comprehensive Plan for the Minnesota State Capitol Area, amended in 2009*. These and other documents are all available at www.caapb.state.mn.us/publication.html.

When the CAAPB was first created in the late 60's, it was a commission, with zoning responsibilities handled by the City; but problems with enforcement of rules unique to the needs of the Capitol Area proved problematic. As a result, the legislature then converted it to a Board

with its own zoning authority, something which has served the Capitol Area, its surrounding neighborhoods and the City well. CAAPB zoning rules, as of latest rewrite, have strengthened application of design guidelines, and these are reinforced in all design competitions.

There have been times when planning for non-State-owned land might run counter to or clearly out of the realm for the normal Executive branch state agency such as the Department of Administration, possibly even leading to conflicts of interest, and the Board has served as an effective, impartial third party with a consistent set of guidelines and rules fair to all and partial to none.

Likewise, there have even been times (Governor's portraits, lighting of the Capitol Building, and the capital budgeting process) where, with responsibility to report directly to the Legislature, the Board has been able to bring forth information without any filters for consideration by both the Governor and the Legislature, based on application of its professional standards. Most recently, in dealing with the restoration needs for the Capitol Building, the CAAPB, reporting directly to the Legislature, has been able to exercise unique candor and transparency that other cabinet-level agencies do not have the ability to do.

6. the extent to which the jurisdiction of the agency and the programs administered by the agency overlap or duplicate those of other agencies, the extent to which the agency coordinates with those agencies, and the extent to which the programs administered by the agency can be consolidated with the programs of other state agencies: When working with the Capitol Building itself, the CAAPB operates as one of the three legs of the stool, taking the lead on design issues and planning studies, working in cooperation with the Department of Administration (who administrates all contracts) and the Minnesota Historical Society. The Board must serve as the constant, consistent voice advocating for the big-picture, comprehensive, most effective and most efficient plan with the best long term value (both in cost-effectiveness and in safeguarding the integrity of the building and its systems) of taking on the entire program via a comprehensive, phased commitment.

We believe and strive to safeguard against redundancy in favor of a coordinated, comprehensive, grounded approach to our responsibilities. Our streamlined, transparent, highly public procedures make the operations far more efficient and accessible than if our functions were handled by a larger, public agency. Having already reduced operations to three FTEs, the agency is located in a building with a large cabinet agency where savings are achieved by sharing of space, equipment, LAN connections, IT support, and purchasing programs. Lastly, with the Board's recently re-designed web site, we believe the Board delivers service beyond the level of expectations for a State body of such limited resources and size. (Appendix B)

7. the promptness and effectiveness with which the agency addresses complaints concerning entities or other persons affected by the agency, including an assessment of the agency's administrative hearings process: The Capitol Area Architectural and Planning Board, comprised of gubernatorial, mayoral, public and legislative appointees, holds public meetings and has an extensive mailing list for its notices, while also maintaining a website that is not only transparent but also very informational on related matters. It is not an issue if a party needs to bring a matter to the Board in a timely manner. Lastly, in its rulemaking experience in both 1999 and 2009, the Board created numerous outlets for soliciting ideas, input and response from not just those state entities cited in our statute, but from neighborhood groups and others who might have occasion to deal with the CAAPB.

8. an assessment of the agency's rulemaking process and the extent to which the agency has encouraged participation by the public in making its rules and decisions and the extent to which the public participation has resulted in rules that benefit the public: The Capitol Area zoning rules are revised generally once every decade, following APA (Administrative Procedures Act), which allows for review and input from the Governor's Office, the Legislature, other state agencies, the City of Saint Paul, surrounding district councils and the general public. In the Board's 2009 rewrite of the *Zoning and Design Rules for the Capitol Area* (Rules Chapter 2400), the CAAPB formed a task force with representatives from all stakeholder groups that was involved throughout the actual development and writing of the proposed rule, prior to and even following the required public hearings.

9. the extent to which the agency has complied with federal and state laws and applicable rules regarding equality of employment opportunity and the rights and privacy of individuals, and state law and applicable rules of any state agency regarding purchasing guidelines and programs for historically underutilized businesses: The CAAPB has complied with Federal and State laws and applicable rules regarding equality of employment, the rights and privacy of individuals, the Americans with Disability Act, and Affirmative Action. The CAAPB also complies with the Code of Conduct, Authority for Local Purchasing (ALP), and the Purchasing Policies and Procedures as set forth by Minnesota Management and Budget requirements.

10. the extent to which the agency issues and enforces rules relating to potential conflicts of interest of its employees: The CAAPB issues and enforces rules relating to potential conflicts of interest by complying with the Campaign Finance and Public Disclosure Board to ensure that the requirements of the Ethics in Government Act are met by filing a yearly Statement of Economic Interest.

11. the extent to which the agency complies with chapter 13 and follows records management practices that enable the agency to respond efficiently to requests for public information: The CAAPB complies with records management practices and responds efficiently to public requests for information. Critical to the CAAPB's operations is its web site (www.caapb.state.mn.us), and its ability to maintain an easy flow of information to the public. All primary documents of the Board are posted on the site, as well as future Board meetings, zoning forms, and items of architectural and zoning interests on a national level.

12. the effect of federal intervention or loss of federal funds if the agency is abolished: The CAAPB does not receive any federal funding.

13. Priority Based Budgeting:

	<u>Statute, Activities, Results/Outcomes, and Measurements</u>	<u>Cost/Year</u>
a.	<p>15B.01 Mission Responsibilities</p> <p>Results:</p> <ul style="list-style-type: none"> • Current Comprehensive Plan and Zoning Rules on web site • Board approves memorials, buildings, and LRT • Board enforces zoning regulations <p>Measurements:</p> <ul style="list-style-type: none"> • Four new Board-approved buildings in last 15 years • LRT alignment and station design under construction • Eight memorials per Mall Plan • Policy for commemorative works in Capitol Building and Area 	\$10,000
b.	<p>15B.03 and 15B.11 Service to the Board</p> <p>Results:</p> <ul style="list-style-type: none"> • Staff supports all Board activities per statute • Staff consults with Advisory Committee <p>Measurements:</p> <ul style="list-style-type: none"> • The Board meets quarterly; or as needed 	\$36,000

- c. **15B.05 Development and maintenance of a comp
plan for the area** **\$23,000**
- Results:
- Board maintains its Plan for the Capitol Area
 - Board works with Saint Paul Planning Department and others
- Measurements:
- The CAAPB amended its 1998 Plan in 2009
- d. **15B.06, 15B.08 & 15B.28 Maintain zoning regulations,
standards, design review** **\$27,000**
- Results:
- Rewrote Zoning Rules (Chapter 2400) in 2009, using form-based zoning
 - Approx. 50 zoning requests per biennium
- Measurements:
- Board acts on requests within 60 days
 - City's building permit issued only after CAAPB zoning permit
 - Zoning Rule received award from MN American Planning Assoc.
- e. **15B.10 Conduct competitions for new public buildings,
or major changes in Capitol Area** **\$12,000**
- Results:
- Competitions meet national AIA standards
 - Competitions guided by specific conditions to assure impartiality
 - Competition juries include client, professionals, and stakeholders
- Measurements:
- Board approves competition results
 - New draft policy for commemorative works for approval in 2012
- f. **15B.13 Review and approval for LRT alignment and station
design in the Capitol Area** **\$20,000**
- Results:
- CAAPB involved for 20+ years for LRT
 - CAAPB collaborates with Department of Administration, City of Saint Paul, and Metropolitan Council
- Measurements:
- Board approved LRT alignment and three station designs
 - Staff and Advisory Committee to monitor through 2014

- g. **15B.15 Develop standards and policy on the Capitol's public and ceremonial areas, also major internal campus building changes** **\$39,000**

Results:

- CAAPB and Department of Admin. collaborate on capital budget requests, policy upgrades, building sites, and design standards
- CAAPB and Department of Admin. review Capitol Building's restoration and maintenance, and projects within the Capitol Area.

Measurements:

- CAAPB reviews any capital budget requests in Capitol Area
- Board consults Department of Admin. and MHS in decisions

- h. **15B.17 & 15B.21 Report to and update the legislature on capital and biennial budget request, and mall enhancements.** **\$21,000**

Results:

- The CAAPB provides the legislature with review comments on capital budget requests

Measurements:

- The Board approves proposals and capital budget requests on compatibility with the Board's Plan
- The agency is timely in Biennial Reports and capital budget requests preparation for the legislature

- i. **15B.03 subd. 7 Daily agency business operations, accounting, payroll, etc., and response to other agency initiatives such as SWIFT and Continuity of Operations Plan (COOP)** **\$40,000**

Results:

- The agency maintains effective, efficient, and participating business operations
- The agency adheres to all state policy and directives in a timely manner

Measurements:

- 6% of agency base budget is business operations
- Agency is timely and current in statewide programs such as SWIFT & COOP
- The CAAPB is known for its responsiveness, keeping of the historical record, accessibility, and transparency

\$228,000

AGENCY BUDGET

\$228,000	Salaries w/benefits (a.-i. amounts listed above)
29,000	Vacant position
43,000	Rent
7,000	LAN/IT Charges
18,000	Business Operations
<u>\$325,000</u>	Total

III. Other requirements

1. An organizational chart (see Appendix B)
2. A link to the organization's web site: www.caapb.state.mn.us
3. & 4. A six year history of full time equivalent staffing levels and funding:

Fiscal Year	General Fund	Other Funding	Employees	Leave Salary Savings Hours (MN Stat. 43A.49)
FY06	\$269,000 *	\$9,995	4	600 Hours
FY07	\$270,000 *	\$8,145	4	336 Hours
FY08	\$362,000	\$3,207	4	-0-
FY09	\$373,000	\$4,508	4	-0-
FY10	\$354,000	\$9,613	4 (retiree May)	-0-
FY11	\$343,000	\$1,623	3	100 Hours
FY12	\$325,000	-0-	3	-0-

* Base budget reduced by 20% in FY04. Staff voluntarily reduced hours in FY06-07 to avoid layoffs, as well as in FY04-05. Base level funding restored in FY08-09.

Other Funding FY06-11 were from state monies for work on Capitol Building (per MN Stat. 15B.17) and federal monies for LRT related work (per MN Stat. 15B.13[c]).

5. A list of all advisory councils whose primary function is to advise the organization: Per MN Statute 15B.11 an Advisory Committee of two professional architects and one landscape architect must advise the Board on architectural and planning matters.

6. Citation of the statute creating the organization and to other statutes governing or administered by the organization: MN Statute 15B.

7. Citation to the administrative rules adopted by the organization: Rules 2400.

8. A copy or link to any other governance documents adopted by the organization: The CAAPB maintains a very active web site with all agency documents and permit applications readily available for public access, as well as links to other Minnesota state agencies, and national web sites. The Board's web site has recently added a link to access information for people with disabilities to enhance their experience while visiting Minnesota's Capitol Building and surrounding area.

The following CAAPB documents adopted by the Board and found on www.caapb.state.mn.us/publication.html are as follows:

- 1998 Comprehensive Plan for the Minnesota State Capitol Area, amended in 2009
- Rules Governing Zoning and Design for the Minnesota State Capitol Area, rewritten in 2009
- Policy for Works of Art in the Minnesota State Capitol, 1998
- Commemorative Works in the Capitol Area, 1993. Note: The Board is in process of rewriting this document for adoption in early 2012.

Appendix A

BOARD MEMBERS

Lieutenant Governor Yvonne Prettner Solon, Chair

M. Ann Buck, Vice-Chair

Representative Matt Dean

Don Grundhauser

Catherine Hartnett

Senator Benjamin Kruse

David Lanegran

Representative Morrie Lanning

Representative Diane Loeffler

Senator Carla Nelson

Senator Gen Olson

Senator Ann Rest

ARCHITECTURAL ADVISORS

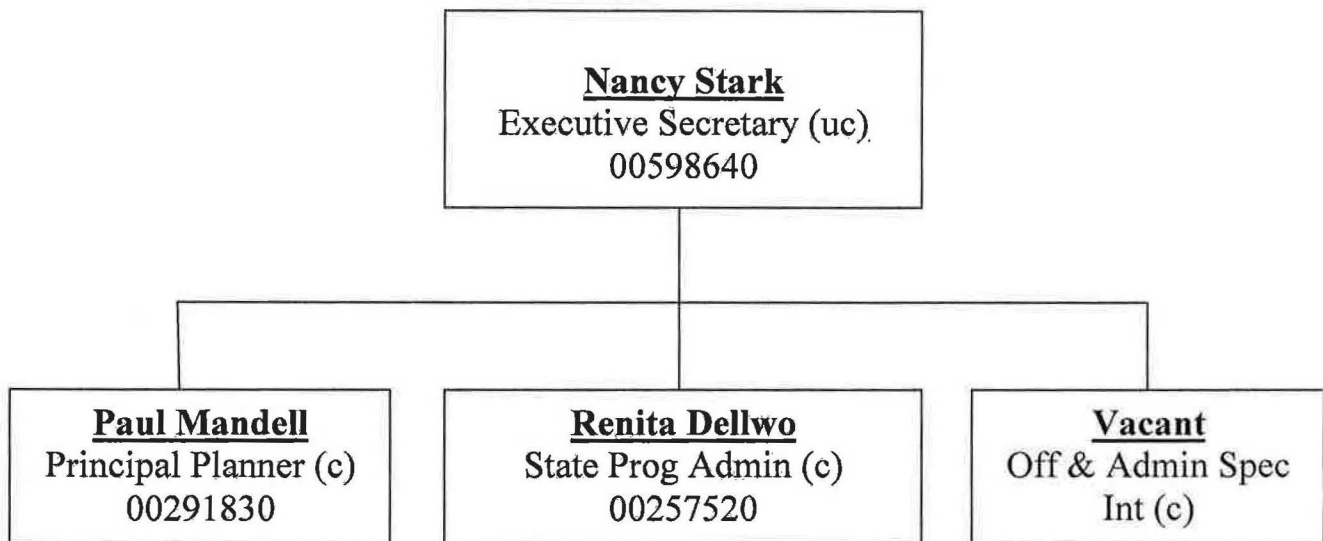
Thomas Blanck, RA - CAAPB Appointee

Rosemary McMonigal, AIA - AIA Minnesota Appointee

William Sanders, FASLA - Arts Board Appointee

Appendix B

CAPITOL AREA ARCHITECTURAL AND PLANNING BOARD (CAAPB)



uc=unclassified position
c=classified position

Updated 6/15/10

Appendix C

AWARDS Received by CAAPB

- 2010 Planning Award for an Implementation Tool on Program, the CAAPB for Zoning and Design Rules for the Minnesota State Capitol Area
By: Minnesota American Planning Association
- Special Award, accepted by the CAAPB for the Minnesota State Capitol 100 year celebration
By: American Institute of Architects Minnesota (AIA MN), 2005
- 2000 Honor Award, accepted by the CAAPB for the Minnesota State Capitol Rathskeller
By: Preservation Alliance of Minnesota
- Award of Recognition, the CAAPB accepted for the State of Minnesota “for the painstaking and beautiful renovation of the Capitol Rathskeller”
By: Saint Paul Heritage Preservation Commission & Saint Paul AIA Chapter, 2000
- Award of Recognition, the CAAPB and the State of Minnesota “for giving form to Minnesota’s collective sorrow and need to remember the Vietnam War Heritage”
By: Saint Paul Heritage Preservation Commission & Saint Paul AIA Chapter, 1993
- Award of Recognition, the CAAPB “for its cooperative efforts to develop historically compatible freeway bridge entrances in Saint Paul”
By: Saint Paul Heritage Preservation Commission & Saint Paul AIA Chapter, 1990
- Honor Award, to the CAAPB for the State Office Building Parking Structure
By: Minnesota Society of AIA, 1990
- Award of Recognition, the CAAPB “for the historically sensitive design of the State Office Building Ramp”
By: Saint Paul Heritage Preservation Commission & Saint Paul AIA Chapter, 1990
- Special Award to the CAAPB for their quality of design in the Minnesota Capitol Precinct
By: Minnesota Society of AIA, 1989