DATE: December 9, 1992

TO: Deans, Directors, and Department Heads

FROM: James J. Stukel, Chancellor

The number of planned and funded capital improvement projects has been increasing at a rapid pace. As the relationship among these projects becomes more complicated, the need to coordinate these projects, to ensure efficient and effective usage of our resources, becomes critical. The growth of our capital projects and organizational changes created the need to update our procedures for handling capital improvement projects. Recently, a group of administrative offices completed an update of the current Executive Notice 89-5. As a result of this update, I hereby issue the attached Executive Notice 92-3 to specifically outline procedures for requesting physical improvements in UIC buildings, Campus sites, and other Campus facilities and identify the responsibilities of those units involved in handling such projects.

Physical facilities are a scarce and valuable resource. This Executive Notice promotes sound planning, programming and budgeting of each request for capital improvement and requires a streamlined approval process to complete capital projects within budget and on schedule while ensuring all approved capital projects are programmatically justified, functionally efficient, economically effective and consistent with Campus-wide facilities planning.

I urge your careful attention to this document. If you have any questions, please contact Dr. Marten Kernis at 3-7636 or Mr. Semmy Ju at 3-3610.

Enclosure

cc w/encl: D. Broski
           M. Kernis
           S. Ju
Executive Notice 92-3
Office of the Chancellor
(Issued November, 1992)

This Notice Supersedes Executive Notice 89-5

PROCEDURES FOR HANDLING LOCALLY FUNDED CAPITAL IMPROVEMENT PROJECTS

Purpose
The purposes of this notice are (1) to outline procedures for requesting physical improvements in UIC buildings, campus site, and other campus facilities, and (2) to identify the responsibilities of those units involved in handling such capital improvement projects.

Background
Capital improvement projects include new construction, remodeling and renovation of existing facilities and site improvement projects. Facility remodeling and renovation projects are generally undertaken within or adjacent to existing buildings because of changes in programmatic or functional requirements or because of maintenance needs. Site improvement projects include changes in or additions to campus landscaping, walkways, service drives, signage, and installation or replacement of fixed or moveable equipment such as lighting, benches, and waste containers.

Capital improvement projects can be paid from various funding sources, including campus or departmental operating funds, ICR funds, gifts funds, grants or contracts, Auxiliary Service R&R funds and the University of Illinois revenue bonds. Major capital improvement projects, which are not subject to the procedures described in this notice, are funded through the annual State of Illinois capital budget process.

1 The procedures outlined in this Notice do not apply to requests submitted through the annual capital budget process.

2 Capital improvement projects are eligible for submission through the capital budget process if (a) their cost exceeds $100,000 and (b) timing is such that an 18-36 month lead time and uncertainty with respect to funding can be tolerated. Projects submitted for funding through the capital budget process will compete with other University of Illinois projects, and requests from other state university systems and community colleges. Projects are not eligible for submission through the capital budget process if they involve improvements to facilities constructed with revenue bonds.

A call for submission of capital project requests for consideration in the annual capital budget process is issued in September of each year.
Objectives
The objectives of the procedures outlined in this notice are to ensure that all locally funded capital improvement projects are adequately reviewed to affirm that they:

(1) conform to the Campus Master Plan and, in the case of building remodeling, to long-range plans for the facility within which they are located;

(2) are properly assessed for their impact on the appearance and aesthetic quality of the facility and exterior public areas;

(3) determine its potential impact on space allocations, building systems and other systems such as traffic, parking, pedestrian, and service usage;

(4) are programmatically and economically effective in the use of space, materials and funds; and

(5) have a clear identifiable source of funding for both recurring and non-recurring costs.

Applicability
The following procedures apply to all capital improvement requests, including those for remodeling, building additions, landscaping, walkway repair, signage, driveway construction, installation of major equipment (e.g., chillers, generators and utility lines), and site furnishings (e.g., lighting, benches and other outdoor fixtures).

The only types of projects that are exempt from these procedures are:

(1) requests submitted through the annual capital budget process;

(2) routine renewal and replacement projects funded through the operating budgets of the Physical Plant Department and Campus Auxiliary Services, provided that such projects do not involve changing the function or public appearance of existing space. (Examples of exempt renewal and replacement projects are as follows: replacement of pumps, fans, plumbing fixtures, and light bulbs; roof repairs; maintenance of electrical systems; tuckpointing and masonry repairs).

If there is any question about the applicability of these procedures to specific projects, the projects should be discussed verbally with the Office of Facilities Planning and Space Management to ensure that the proposed action is consistent with long-term plans for the affected facilities.
If there is any question about the impact of the proposed project on the campus master plan, long-term facility plans, circulation and utility systems, or if the proposed project has long-term cost implications, the request should be considered to be subject to these procedures.

Procedures for Submitting Project Requests
The formal procedures for submitting project requests involve development of a program statement, preparation of a formal cost estimate, and processing of the attached "Request for Capital Improvement Project" form (Exhibit A). The following points summarize this process.

1. If the project requires programming (development of a room-by-room description of the work to be undertaken), the requesting unit should contact the Office of Facilities Planning and Space Management for assistance in preparing a program statement. Requests for programming assistance must be accompanied by a letter indicating that the project has been described and agreed to in concept by the Dean or the Director of the initiating unit and the Vice Chancellor to which the unit reports.

   The program statement must include all of the project parameters, including space and movable equipment requirements, budget targets/limits, schedule, and general technical needs (e.g., electrical, plumbing, HVAC, and telecommunications requirements). When completed, the program statement must be approved by the Dean or Director of the requesting unit.

2. Once a space program and/or scope of services statement is developed, the requesting unit should obtain a preliminary cost estimate, by submitting a Request for Estimate form (Exhibit B) to the Physical Plant Department or the Office for Capital Programs, addressed to Engineering & Construction, Physical Construction, 401 ASH (M/C 892). The Physical Plant Department and Office for Capital Programs staff will jointly review these requests and will determine which entity will prepare the cost estimates.  

3. Units may wish to obtain informal "ballpark" cost estimates in order to determine the feasibility of a project before developing a detailed program statement and submitting a formal project request. Such estimates can be obtained from either the Physical Plant Department or the Office for Capital Programs according to these same procedures, subject to the availability of staff time.
3. Once a program and cost estimate is secured, the standard "Request for Capital Improvement Project" form should be submitted (Exhibit A). This form is available from General Stores.

4. Based on receipt of the request, the approved program statement, and initial cost estimate, the Office of Capital Programs and/or Physical Plant will prepare an impact assessment and revised cost estimate for the requesting unit. This estimate will explicitly address the proposed project's:

- conformance to the Campus Master Plan, Campus Design Guidelines, and, where relevant, long-range facility usage plans;

- impact on building systems and/or building infrastructure as well as on the functional use of neighboring space;

- total costs, including recurring costs due to increased or decreased energy usage, campus security requirements, environmental safety requirements, and general operations and maintenance functions;

- impact on service access and pedestrian and vehicular circulation;

- impact on the appearance and aesthetic quality of the facility and/or interior/exterior public spaces.

5. All requests must identify the source of funds for both recurring and non-recurring costs.

6. Each request, with accompanying program statement and cost/impact estimate, will be reviewed and approved, disapproved or conditionally approved at each administrative level above the level of origin, up to and including the relevant Vice Chancellor. If the relevant Vice Chancellor approves a request, conditionally or unconditionally, he/she will forward it to the Office of Facilities Planning and Space Management for review and recommendation. Reviews of capital improvement requests will consider its conformance to unit and campus programmatic plans and priorities as well as to the Campus Master Plan and any existing facility or space utilization plans. Total project costs, including increased or decreased recurring costs, will also be considered.

7. Projects which alter pedestrian or traffic use of an area or have a potential impact on the appearance of interior public spaces and/or the exterior appearance of buildings, landscape areas, other campus sites or physical facilities will also be reviewed by the Campus Design Review Committee.
for conformance to campus Design Guidelines and the Campus Master Plan.

8. Final approval of requests rests with the Chancellor. The Chancellor delegates this authority to the Vice Chancellor for Academic Affairs.

9. The Office of Facilities Planning and Space Management will coordinate the distribution of approved requests to appropriate departments.

Procedures for Design and Construction

1. After final approval, a detailed project design, based on the program statement, will be developed cooperatively by the requesting unit and the Office for Capital Programs/Physical Plant. This final design must be approved by the requesting unit and the project committee, if applicable, to insure the design fully conforms to the intent of the program. Any change in the program statement or final design which results in changes in the scope of work, total cost, or impact of the project will be evaluated by the assigned Project Manager from the Office for Capital Programs or the Physical Plant Department upon written request from the head of the requesting unit with copies to the appropriate Dean, Vice Chancellor, and the Office of Facilities Planning and Space Management.

Any requested program change that will result in additional costs (construction costs and/or professional service fees) shall be incorporated into the project only if the requesting unit indicates in writing its authorization to proceed with the program changes and its commitment to provide the necessary additional funds. Following completion of the construction phase, any funds remaining in the contingency allowance of the project budget will be used to reimburse the requesting unit for the program change cost.

2. Actual construction of the project may be carried out by one of several entities: (i) Physical Plant Staff; (ii) the Physical Plant Construction Company; (iii) a cost-plus contractor; (iv) an outside contractor selected through a bidding process. The coordination of construction is the responsibility of either the Office for Capital Programs or the Physical Plant Department.

3. A final project budget and implementation schedule will be developed by the Office for Capital Programs or the Physical Plant Department based upon design documents or the construction bids.
4. Project management and oversight, including budgeting, monitoring of progress, and communication with the requesting unit and other affected parties is the responsibility of the Office for Capital Programs or the Physical Plant Department. For some major capital projects, the Chancellor may appoint an ad hoc project committee whose Chair will serve as the single source responsibility point for project oversight and coordination.

5. Planning for any temporary or permanent relocation which may be required as a direct consequence of the project is the responsibility of the implementing unit (either Physical Plant or the Office for Capital Programs) in collaboration with the occupying unit and the Office of Facilities Planning and Space Management (see Executive Notice 90-2).

6. Any programmatic or technical change orders which will increase the project budget on projects supported in whole or in part by campus funds must be approved through the same process as the original budget.

Procedures for Project Completion

1. Prior to the final completion of all projects, the requesting unit will review the project with a representative of the Physical Plant Department or the Office for Capital Programs. Items not completed to the satisfaction of the requesting unit will be noted in a punch list. The punch list will be used to monitor the satisfactory completion of the project. Details of the process are provided in a policy and procedure manual that will be distributed jointly by Physical Plant and the Office for Capital Programs.

2. Upon completion of a project, the Office for Capital Programs or the Physical Plant Department will submit as-built floor plans, where applicable, to the Office of Facilities Planning and Space Management for use in updating the campus space inventory. In addition, for projects costing $135,000 or more, the Office for Capital Programs or the Physical Plant Department will submit a report on actual costs to the Office of Facilities Planning and Space Management.

3. The Physical Plant Department and Campus Auxiliary Services will submit end-of-year lists of projects and dollar amounts supported from renewal and replacement funds to the Office of Facilities Planning and Space Management.

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4. At the end of each fiscal year, the Office of Facilities Planning and Space Management will compile an annual report of projects approved, funded and/or completed. The Office of Facilities Planning and Space Management is also responsible for maintaining a current space inventory which reflects all changes made during remodeling work.
REQUEST FOR CAPITAL IMPROVEMENT PROJECT
OFFICE OF FACILITIES PLANNING AND SPACE MANAGEMENT
The University of Illinois at Chicago

Part I: REQUESTOR

Name ____________________________
Department _______________________
Date of request __________/________/________

Project # _______________________
Phone extension ___________________
School/college/unit ___________________

Type of request (check one or more as applicable):

- Program-based renovation/remodeling
- Landscaping/walkways/signage/lighting etc.
- Building systems-based renovation/remodeling
- Other (specify) _______________________

Project title _______________________
Project location (Building(s)/Land Area Room number(s) __________/________/________
Project Description (attach Program Statement) _______________________

Anticipated source(s) of project funding:

- Department funds ________________________ 
  Account number: ________________________ 
  Account title: ________________________ 
  Amount available: $ ________________________
- Campus funds ________________________
  Account number: ________________________
  Account title: ________________________
  Amount available: $ ________________________
- Other (specify) ________________________
  Account number: ________________________
  Account title: ________________________
  Amount available: $ ________________________

Date work can commence __________/________/________
Desired date of completion __________/________/________

Part II: OCP/PP

Project Impact Assessment (attach written Impact Estimate as appropriate)

Does the project (check appropriate response):

Conform to long-range facility plan/master plan? Yes No N/A

Significantly affect functions/use of neighboring space? Yes No N/A

Significantly impact building systems or energy conversation? Yes No N/A

Significantly affect appearance/quality of neighboring space? Yes No N/A

Significantly affect O & M costs? Yes No N/A

Conform to campus design guidelines? Yes No N/A

Comments/Explanation ________________________

Prepared by (Project Manager) ________________________

Cost Estimate:

- Nonrecurring $ ________________________
- Recurring $ ________________________
- Total $ ________________________

Project work schedule:

Beginning Date ________________________
Completion Date ________________________

Part III: APPROVALS/REVIEWS

Director/Head/Chair ________________________

Dean(s) ________________________

Vice Chancellor(s) ________________________

FPSPM ________________________

Chancellor/Vice Chancellor for Academic Affairs ________________________

Approval Comments ________________________
INSTRUCTIONS

Office of Facilities Planning and Space Management
The University of Illinois at Chicago

PREPARATION, SUBMISSION, REVIEW, AND APPROVALS OF CAPITAL IMPROVEMENT PROJECT REQUESTS

PREPARATION/SUBMISSION

A Request for Capital Improvement Project form is to be used for remodelling and renovation projects to be funded by appropriated, grant, contract, revolving user charges, or gift funds or projects to be funded from discretionary department, college, campus, or University funds.

A request may be initiated at any time by any individual authorized by a Department Head/Chairperson, Director, Dean, Vice Chancellor, or Chancellor.

As indicated, Part I is to be completed by the Requestor, Part II by the Office for Capital Programs/Physical Plant.

PART I:
Requestor:
The person responsible for representing the requesting unit in implementation of the project.

Date of Request:
The date of the preparation of the original request.

Type of Request:
Check or specify as indicated.

Project Title:
A brief identification of the proposed project that can be used as a common reference (i.e., remodeling 352; landscape corner of Keating and Harrison; replace signage in front of Alumni Hall; repair overhead walkway).

Project Description:
A concise description of the scope of work to be undertaken.

Program Statement:
Prepared by requestor with assistance from Facilities Planning and Space Management Office, and approved by the unit head. Provides program justification for project, description of space requirements, movable equipment, budget/target limits, schedule, general technical needs, etc.

Anticipated Source(s) of Project Funding:
Check or specify the source of or sources of requested or available funding.

Identify Funds Available:
If funding is available, the account number(s) and account title(s) must be provided with the amount(s) allocated to the project.

Date Work May Commence:
Some capital improvements may be contingent upon the relocation of people and functions. An estimate of the date work can commence uninterrupted must be provided.

Desired Date of Completion:
Some capital improvements may be contingent upon the commencement of a program, delivery of equipment, or some other specified need. If such conditions exist, a desired date of completion should be provided. An explanation may be attached.

PART II:

PROJECT IMPACT ESTIMATE: PROVIDED BY THE OFFICE FOR CAPITAL PROGRAMS/PHYSICAL PLANT, based on an approved Program Statement. Assess impact of proposed project on (1) building systems; (2) functional use, appearance, and aesthetic quality of space; (3) future use of space; (4) conformance to any existing facility plans, the campus master plan, or anticipated capital development projects or other related remodeling and renovation projects; and (5) conformance to campus design guidelines. Some of these criteria will be more applicable to remodeling and renovation or deferred maintenance projects. Others will be more applicable to signage, landscaping, or other exterior projects.

Cost Estimates:
Prepared at the same time as an Impact Estimate is done. These estimates must identify all non-recurring and recurring costs associated with the project, including remodeling/removation costs, O&M costs, telecommunication, asbestos removal, moving/relocation costs, and any site preparation, movable equipment, or security costs. Estimates will not be provided without a Program Statement approved by the unit head.

Work Schedule:
Estimated beginning and completion dates if project is approved.

REVIEWS/APPROVALS

A sequence of reviews and approvals will occur. A project request may be initiated at any level.

Department Head/Chairperson or Director:
The requestor must submit the request accompanied by a written Program Statement to the approver department head/chairperson or director, who may approve, disapprove, or conditionally approve the project.

Dean(s):
Upon approval by a department head/chairperson or director, the dean(s) may approve, disapprove, approve, or conditionally approve the project. Upon approval, a request is submitted to the Office for Capital Programs with a signed copy of the request form.

Vice Chancellor(s):
Upon approval by the dean(s)/director(s), and accompanied by an Impact Assessment and Cost Estimate, the request shall be submitted to the appropriate vice chancellor(s), who may give conditional or complete approval or disapprove the request.

FPKM:
When approved by the appropriate vice chancellor(s), the request, accompanied by the Program Statement, Impact Assessment, and Cost Estimate will be reviewed by FPKM and submitted to the chancellor/vice chancellor for academic affairs for final approval/disapproval. The vice chancellor for academic affairs may request independent review of project by the Campus Design Review Committee.

Approval Comments:
Any approving party providing conditional approval should indicate the nature of the conditions.

ROUTING AND DISTRIBUTION

The routing of requests for assistance in preparing a Program Statement, Impact Assessment, and Cost Estimate, and project approvals is the responsibility of the requestor.

Upon completion of approvals, one copy of the approved request for capital improvements will be distributed by FPKM to:

Approving Vice Chancellor
Dean(s) of Unit Administrator
Department Head/Chairperson
Requestor

Office for Capital Programs
Physical Plant Department
PHYSICAL PLANT DEPARTMENT & OFFICE FOR CAPITAL PROGRAMS
Request for Estimate
REMODELING / CONSTRUCTION

(See Bulletin No. 30 in the Business and Financial Policies and Procedures' Manual)

REQUISITIONING DEPT. ____________________________ COL./DEPT.CODE No. ______
ROOM No. ______ BLDG.NAME: ____________________________ BLDG.No. ______ MAIL CODE ____________
DEPT.CONTACT: ____________________________ EXT. ______ DATE REQUIRED ______

DESCRIPTION OF WORK OR SERVICES REQUESTED
(Use additional sheet, if necessary, and staple to this requisition)

Location of the Proposed Project:
ROOM No.(s) ______ BUILDING NAME ____________________________ BLDG.No. ______

Requested By ____________________________ Signature ____________________________
Approved By ____________________________ Department Head's Signature ______
Date Submitted: ______

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<th>ASSIGNMENT</th>
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Estimated Cost: ______

Estimate Prepared by: ____________________________ (Name) (Ext. No.) Unit ______

Form No. 282001 Rev. 10/27/92 THE UNIVERSITY OF ILLINOIS AT CHICAGO