January 17, 1997

To: Deans, Directors and Department Heads

From: David C. Broski
Chancellor

Subject: Executive Notice 97-1, Request for Estimate and Renovation and Remodeling Services

Due to recent incidents involving unauthorized construction projects in University buildings, I am issuing a revised Executive Notice. It is important to work with the Office of Capital Programs and the Facilities Management Department for all modifications to University facilities.

The procedures described in this Notice will take effect immediately and supersede those outlined in Executive Notice 94-2. If you have any questions about the details of this policy, please contact Jim Foerster at 3-8724.

DCB:lk
enclosures
Executive Notice 97-1

REQUEST FOR ESTIMATE AND RENOVATION AND REMODELING SERVICES

This Notice supersedes EN 94-2.

PURPOSE

To provide the University community with procedures for initiating facility projects involving remodeling, renovation, or construction.

APPLICABILITY

All remodeling, renovation, and construction projects in University-owned facilities.

POLICY

Occupants of University-owned facilities (designated as “users”) may not remodel, build, demolish, or in any manner alter any portion of a building or building system without consulting with the Facilities Management Department and obtaining the approval of the Vice Chancellor to whom they report or the Vice Chancellor’s designee.

All requests for estimates and design services of facility remodeling, renovation, or construction must be approved by the responsible Vice Chancellor. Vice Chancellors may delegate this authority to deans or other unit heads. The user must prepare a Request for Services (RFS) form (Exhibit 1) which must be signed by the responsible director or department head.

Estimates must be prepared by the Office for Capital Programs (OCP) or the Facilities Management Department (FM) before requesting project funding in the UIC Capital Plan.

PROCEDURE

<table>
<thead>
<tr>
<th>RESPONSIBILITY</th>
<th>ACTION</th>
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<tbody>
<tr>
<td>User</td>
<td>1. Identify and define the project request.</td>
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<td></td>
<td>Prepare the RFS, indicating (a) the nature of the services being requested and (b) the name and phone number of the user representative.</td>
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<td></td>
<td>2. Submit the RFS to the department head or director for review and approval.</td>
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<tr>
<td>Director/Department Head</td>
<td>3. Approve or disapprove the RFS.</td>
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<td></td>
<td><strong>If Disapproved:</strong></td>
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<td></td>
<td>Indicate “disapproved” on the RFS and return it to user’s Department.</td>
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<tr>
<td></td>
<td><strong>If Approved:</strong></td>
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<td></td>
<td>Sign the RFS and Submit it to the Dean or Vice Chancellor or designee for approval.</td>
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<tr>
<td>RESPONSIBILITY</td>
<td>ACTION</td>
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<tr>
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<td>------------------------------------------------------------------------</td>
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<tr>
<td>Vice Chancellor or Designee</td>
<td>4. Approve or disapprove the RFS.</td>
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<td></td>
<td><strong>If Disapproved:</strong></td>
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<td></td>
<td>Indicate &quot;disapproved&quot; on the RFS and return it to the department head or director.</td>
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<td></td>
<td><strong>If Approved:</strong></td>
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<td></td>
<td>Sign the RFS. Send a copy of the signed RFS to the user department, retain a file copy, and send the original to the Facilities Management Project Assignment Desk.</td>
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<tr>
<td>Facilities Management Department and Office for Capital Programs</td>
<td>5. The Project Assignment/Review Panel will log in the RFS and assign the request to the Office for Capital Programs or the Facilities Management Department based on type or service required, assign a project number, and send an acknowledgment to the user, noting the assigned project number (Exhibit 2).</td>
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<tr>
<td>Facilities Management Department and Office for Capital Programs</td>
<td>6. Assign the Project Manager. The Project Manager meets with or contacts the user within five working days of the acknowledgment letter to determine whether the project requires outside consultants.</td>
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<td></td>
<td><strong>If the project does not require outside consultants</strong> for preliminary program and cost estimates, skip to step 9.</td>
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<tr>
<td>Consultant</td>
<td>7. Identify the appropriate consultant(s) and recommend that the user obtain funding for the planning phase only.</td>
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<tr>
<td>Consultant</td>
<td>8. Prepare design and the project budget estimate.</td>
</tr>
</tbody>
</table>
Facilities Management Department or Office for Capital Programs

9. Send a project budget estimate memorandum and estimate documents to the user (Exhibit 3).

User

10. Accepts or rejects written estimate within 90 days.

Vice Chancellor (or Designee)

11. Approve project budget estimate, identify source of funds and approve any required funds transfer, so that project may proceed.

EXCEPTIONS

GENERAL MAINTENANCE AND REPAIR

This policy does not apply to general maintenance and repair services provided by the Facilities Management Department.

LEASED SPACE

Procedures for build-out and remodeling of leased space will be addressed in a separate document.

MINOR PROJECTS

User should send a RFS directly to the Facilities Management Department’s Routing Desk [156 PPB, M/C 271; 6-7511] if the user believes that:

1. The project will cost less than $5,000;
2. The project does not require design services; and
3. The work can be accomplished through the Facilities Management Department.

In this case it is not necessary to have the responsible Vice Chancellor or Dean sign the RFS.

The Facilities Management Department will return the RFS form to the user if it is determined that the project will cost $5,000 or more, in which case the procedure described above should be followed.
REQUEST FOR ESTIMATE AND RENOVATION
AND REMODELING SERVICES

PURPOSE

This form is to be used by academic departments and administrative units to request estimates and to initiate projects involving remodeling, renovation, or construction of new buildings and other facilities.

APPLICABILITY

All remodeling, renovation, and new construction projects in University-owned facilities.

POLICY

Occupants of University owned facilities (designated as "Users") may not remodel, build, demolish, or alter in any manner any portion of a building or building system without consulting with the Facilities Management Department/Office for Capital Programs and obtaining the approval from the Vice Chancellor to whom they report or from the Vice Chancellor's designee.

All requests for estimates and design services for facility remodeling, renovation, or new construction must be approved by the appropriate Vice Chancellor. Vice Chancellors may delegate this authority to Deans or other unit heads. The User shall prepare a Request for Services form (RFS), which must be signed by the responsible director or department head. Each request should include a program or detailed description of work clearly defining the magnitude of the proposed project.

Estimates shall be prepared by the Office for Capital Programs (OCP) or the Facilities Management Department (FM) as appropriate, based on type of project or description, before requests for project funding will be included in the UIC Capital Plan.

Procedures for processing this form are specified in Executive Notice 97-1.
REQUEST FOR ESTIMATE AND
RENOVATION AND REMODELING SERVICES (RFS)
FACILITIES MANAGEMENT DEPARTMENT & OFFICE FOR CAPITAL PROGRAMS

Requisitioning Dept. ____________________________ Col/Dept No. __________

Room # ______ Bldg. Name ______________________ Bldg. # ______ M/C ______

User Contact: __________________________ Ext. ______ Request Date ______

Location of the proposed project:

________________________________________

Room #(s) Bldg. Name Bldg. #

Services requested (check one): ______ estimate only ______ estimate and remodeling

Project Description (add additional pages as required):

Requested by: __________________________ Signature __________________ Date

Approved by: ____________________________ Director/Dept. Head (signature) Date

________________________________________

Dean (VCAA units only) (signature) Date

Vice Chancellor or Designee (signature) Date

Forward completed form to:
Project Assignment Desk
165 PPB  M/C 271

(FOR FM/OCP USE ONLY)

ASSIGNMENT Date Received: __________

Unit Designated to Coordinate Project: FM ______ OCP ______

Project Manager: __________________________ Project # ______

Ext. __________ Date Assigned: ____________

Rev. 1/97
Assignment of Project Manager

DATE

SUBJECT: UIC Project No. ______________

We have reviewed your request for a cost estimate and have determined that the (Office for Capital Programs or Facilities Management Department) shall be responsible for the subject project. ______________, Ext. _____, has been assigned as Project Manager. He/She will contact you within five working days to discuss the details of your project so that the scope of the proposed work may be confirmed and a cost estimate developed. As a general rule, estimates should be available within three weeks after final agreement is reached on the scope of work.

If you have any immediate questions, please do not hesitate to call ______________ or us. It will be helpful if you would refer to the UIC Project Number indicated above when calling or writing to us regarding this project.

Sincerely,

Ronald G. Giles
Associate Director
Capital Programs
Ext. 6-5093

James F. Foerster
Acting Assistant Vice Chancellor
for Administration
Ext. 3-8722

c: M. Tristano
   D. Ebel
   J. Gimpel
   T. Mihalik
   T. Craddock

M. Donovan
R. Ziemek
W. D’Keidek
Project Manager

Rev. 1/97
TRANSMITTAL OF ESTIMATE AND USER/VICE CHANCELLOR
APPROVAL OF BUDGET ESTIMATE

To: Requesting Unit

From: ___________, Project Manager
       Office for Capital Programs/Facilities Management Department

Date: ___________

Subject: PRELIMINARY BUDGET ESTIMATE

Project Title: ________________________________  User: ________________________________

Project No: ___________  ___________

Based on our review of the project you defined, the preliminary estimated cost will be approximately
$ _______. A detailed breakdown of this estimate is attached for your information. If you wish to review or
cancel this project, please call (Project Manager) at extension ________.

If this preliminary estimate is satisfactory and you wish to proceed with the project, please obtain your Vice
Chancellor's (or designee's) approval for the proposed work and identify the UFAS account number to be
charged. This can be accomplished by securing the appropriate signatures and returning this form to our
office. Please retain a copy for your files.

NOTE: Estimates will be based on current labor and material costs. If work is not initiated within three months
from the date of estimate, or if it is determined that this project must be phased due to budgetary constraints,
an updated estimate must be requested before a project budget can be established. Estimates requested for
purposes of the annual Capital Budget Process will include appropriate escalations.

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PROJECT AUTHORIZATION
To be completed by Business Manager and responsible
Vice Chancellor

We hereby authorize implementation of this project. Funds for this project are available in UFAS Account No.
_________  Account Title ________________________________.

If this account is not a Plant Fund Account, we authorize the Office for Business Affairs to transfer funds to
cover the total preliminary budget estimate stated above from the source authorized to an appropriate account
for this purpose. If additional funding is required as a result of change of project scope or unforeseen
technicalities, the responsible unit will send an amended estimate to the user. Any unexpended funds will be
returned to the user at the completion of the project.

Business Manager  Dean or Director  Vice Chancellor or Designee
Signature  Signature  Signature

Business Manager  Dean or Director  Vice Chancellor or Designee
PRINTED Name  PRINTED Name  PRINTED Name

Dated: ___________  Dated: ___________  Dated: ___________

Rev.1/97