Purpose

These policies delineate responsibilities and requirements for development of campus capital improvement projects, Project Planning Guides, and all project planning for construction and remodeling.

Definitions

Capital Improvement Project

Any construction, renovation, alteration, remodeling, or other improvement project undertaken by UCSF at any property it owns or leases. Projects with budgets at/or exceeding $400,000 are classified as major projects; those with budgets less than $400,000 are classified as minor capital improvement projects. Depending on the funding source, projects are classified as state-funded or non-state-funded. Planning policies and procedures may vary depending on the size of the project budget and the funding source.

Construction Cost

The portion of the project cost limited to construction, site clearance, site development, and exterior utilities.

Project Cost

The total cost of the project. It includes construction costs, plus consulting fees for project design, construction administration and inspection fees, utility shutdown costs, contingency and other administrative costs such as document printing, state agency review fees, bid advertising fees, and acquisition costs, if necessary.

Project Planning Guide (PPG)
A formal document required by The Regents for all major capital improvement projects (i.e., those with project budgets at/or exceeding $400,000). It describes the project, its purpose, scope, budget, funding source, schedule, and justification; including information about the project's potential environmental effects, pursuant to the California Environmental Quality Act (CEQA).

**Policy**

Any major capital improvement project requires analysis of compliance under CEQA. This review should occur as early as possible in the planning process prior to implementation of a project.

**A. Major Capital Improvement Projects**

1. PPGs for all non-State major capital improvement projects with a total project cost not to exceed $5,000,000 may be approved by the Chancellor. All major capital projects must be submitted to either the Chancellor or the Office of the President for consideration and approval prior to advertising bids for construction contracts.

2. State-funded major capital improvement projects require approval of the Chancellor, the President of the University, The Regents, the Governor, and the State Legislature. As part of the University's major capital budget, the planning process for such projects is the responsibility of Campus Planning.

3. Non-state-funded major capital improvement projects with an estimated project budget in excess of $20,000,000 shall be submitted to the Office of the President for approval by The Regents. Any major capital improvement project, regardless of cost, which requires external financing must be approved by The Regents, as well as any project, which, in the judgment of the President, merits review and approval by The Regents because of special circumstances, such as having a significant environmental impact or community concern.

4. Non-state-funded major capital improvement projects greater than $5,000,000 but not to exceed $10,000,000 require approval by the President of the University. The President also is authorized to approve projects exceeding $10,000,000 up to and including $20,000,000, provided that concurrence is obtained from the Chairman of the Committee on Grounds and Buildings, the Chairman of the Committee on Finance, and the Chairman of the Board of Regents and that all actions taken in excess of $10,000,000 up to and including $20,000,000 be reported at the next following meeting of The Regents.

**B. Minor Capital Improvement Projects**

1. PPGs are not required for minor capital improvement projects.

2. The Office of the President manages an annual state-funded minor capital improvement program. Campus Planning is responsible for planning and securing funding for state-funded minor capital improvement projects.

3. Non-state-funded minor capital improvement projects may be approved by the Chancellor.
C. Project Planning Guides

Budget and Finance is responsible for the assignment of the UCSF PPG project plant account number, and Campus Planning is responsible for preparing and submitting the UCSF PPG to the Office of the President. Campus Planning works with the departmental project sponsor, Facilities Management (or, in the case of Medical Center projects, with Medical Center Administration), Environmental Health and Safety (EH&S), other campus departments, and UC staff, consulting design professionals as required to develop project information needed for the PPG.

Responsibilities

A. Project Initiation

All capital improvement projects (except those undertaken by the Medical Center) must be initiated with a UCSF Work Requisition (sometimes called a Physical Plant Requisition or PPR) submitted by the departmental project sponsor to Facilities Management. It is the responsibility of Facilities Management to notify Campus Planning, EH&S, and other appropriate departments of minor projects that have campus policy implications and of major projects.

B. Building Committee Chair

A Building Committee will be appointed to oversee a new building project from preliminary planning, programming and schematic design. After the schematic design phase, the Building Committee chair will designate an Executive Committee to be responsible for project oversight. The Executive Committee will be typically composed of key faculty and administrative staff members. The Chair of the Building Committee will be appointed by the Chancellor in all cases involving a new building with a probable total project cost in excess of $10,000,000. After consultation with the vice chancellor, dean or CEO of the Medical Center, whose units will be the primary occupants of the building, the Chancellor shall identify the Chair of the Building Committee who shall be either the Chancellor, a vice chancellor, a Dean, or the CEO of the Medical Center. The Chair of the Building Committee may continue as the Chair of the Executive Committee, with the approval of the Chancellor. In addition, the Chair of the Building Committee will ensure that the Building Committee coordinates its activities during the appropriate phases of design with the campus design review process.

C. Project Planning

1. Facilities Management is responsible for hiring architects and other design professionals needed to plan and design capital improvement projects. Campus Planning assigns a planner to work in conjunction with the departmental sponsor, Facilities Management, EH&S, and other appropriate departments during the project's planning phases. Coordination among these departments is essential to ensure that projects are code compliant as well as technically and financially feasible. Large or complex projects may require preliminary planning studies. Such planning studies may be initiated either by Campus Planning or Facilities Management.

2. Projects undertaken by the Medical Center are managed by Medical Center Administration with the participation of Facilities Management, Campus Planning, and EH&S.
D. Project Implementation

1. For non-state capital improvement projects, it is the responsibility of the departmental sponsor to secure funding approval for its project prior to issuance of bids and commencement of work.

2. It is the responsibility of Facilities Management to ensure that the project consulting design professional (whether employed by Facilities Management or the Medical Center) prepares plans that comply with all building and life-safety codes. It is the responsibility of the Campus Fire Marshal and EH&S to approve all construction drawings prior to submittal to state agencies for review and approval. It is the responsibility of Facilities Management and EH&S to secure plan approval by appropriate state agencies prior to issuance of bids and commencement of work.

3. It is the responsibility of Campus Planning to secure approval of PPGs for major projects. Projects may not proceed to issuance of bids and commencement of work prior to PPG approval.

4. When all approvals to commence work are secured, Facilities Management is responsible for overseeing the implementation of the project. Coordination among all appropriate departments during the construction phases is a joint responsibility.

Related Policies

- 550-12 - Environmental Health and Safety Purchasing Standards [3]
- 600-10 - Architectural and Engineering Services [5]
- 600-11 - Construction Contracts [6]
- 600-19 - Space Leases and Purchases [7]
- 600-23 - Utilities [8]

References

- Facilities Management and Construction, Facilities Manual [9], Office of the President
- UCSF Facilities Guidelines, Facilities Management
- UCSF Facilities Management Website [10]