

UNIVERSITY OF ILLINOIS

Office of Business and Financial Services
University Office of Capital Programs & Real Estate Services

CAPITAL DELIVERY PROCESS

A Guide for Campus Construction Units

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Get Started

This reference guide presents the University of Illinois' capital project delivery process at a high level, in an attempt to provide a broad framework for all who participate in providing their expertise to the design and construction of capital facilities on the University's three campuses.

This document should help Campus Construction Unit employees:

- Appreciate the relative steps, stages, general timelines, and stakeholders involved in a project on its way to approval.
- Gain a clear understanding and focus on the phases through which an approved project must move in order to complete its design and construction objectives, ensure that it complies with all applicable laws and policies, and becomes a safe and habitable space for its intended purposes.

Capital Projects Process

An Overview of the Policies, University and Campus Capital Units, and Processes that Guide Capital Projects

Introduction

This guide follows a proposal from an idea through completion of a project, which helps the user understand what to expect, who is involved, when events occur through each stage of the project, and what governs each type of capital project throughout its lifecycle.

When to Follow These Guidelines

The following table of approvals outlines the requirements for project initiation, based on the estimated cost of a capital project. Approvals assure that projects align with institutional priorities and needs.

Activity	Dollar Limit	Authority to Sign
Project Approval Approvals are to be completed in FCPWeb for each level	≤ \$2,500,000	Campus Construction Unit Head
	< \$5,000,000	Senior Associate Vice President of Business and Finance and Deputy Controller (via UOCP&RES)
	≥ \$5,000,000	Board of Trustees (via UOCP&RES)

Roles of Capital Units

Four units comprise capital programs at the University of Illinois.

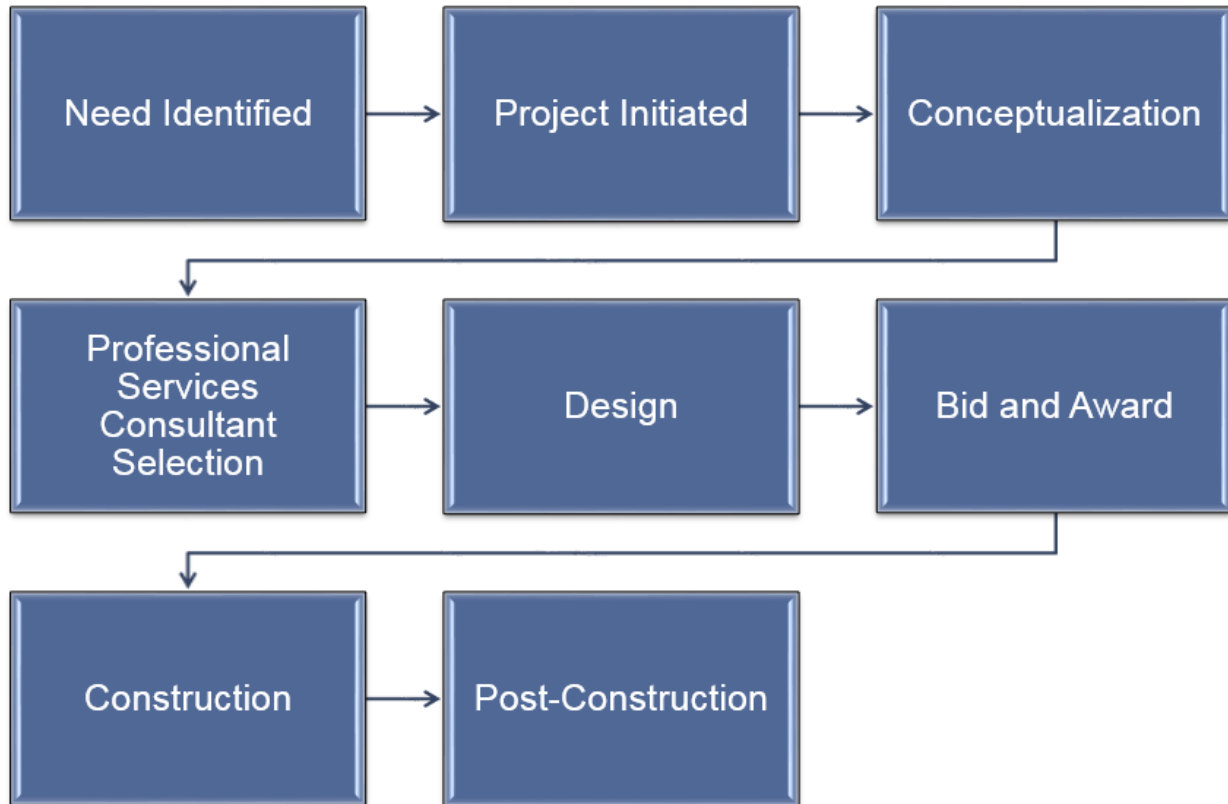
1. University Administration: University Office of Capital Programs and Real Estate Services (UOCP&RES)
2. Chicago Campus: Office of Capital Programs
3. Springfield Campus: Facilities and Services
4. Urbana Campus: Facilities and Services

<i>Role</i>	<i>Responsibility</i>
University Office of Capital Programs & Real Estate Services	<ul style="list-style-type: none">• Campus master planning.• Capital delivery oversight.• Capital performance measurement and auditing.• Contract documents.• Design guidelines.• Consultant selection.• Capital systems.• Liaison with the Capital Development Board, Procurement Policy Board, and Chief Procurement Office.• Presentation of all capital-related agenda items for the Board of Trustees and its committees.
Campus Construction Unit	<ul style="list-style-type: none">• Coordinates project requests.• Participates in decision-making on project priorities.• Participates in Consultant selection.• Oversees and manages project programming and design.• Oversees and manages project bidding, construction and warranty.
Campus Client Group	<ul style="list-style-type: none">• Reviews and approves project designs for overall total cost of ownership and maintenance concerns.

Capital Delivery Process Overview

The process of capital project implementation entails eight parts, listed here and further defined through the document.

Capital Delivery Process Overview



For a high-level overview of the process and the various offices and committees involved in each part of the process, please refer to the flowcharts for each step, as represented through this reference guide.

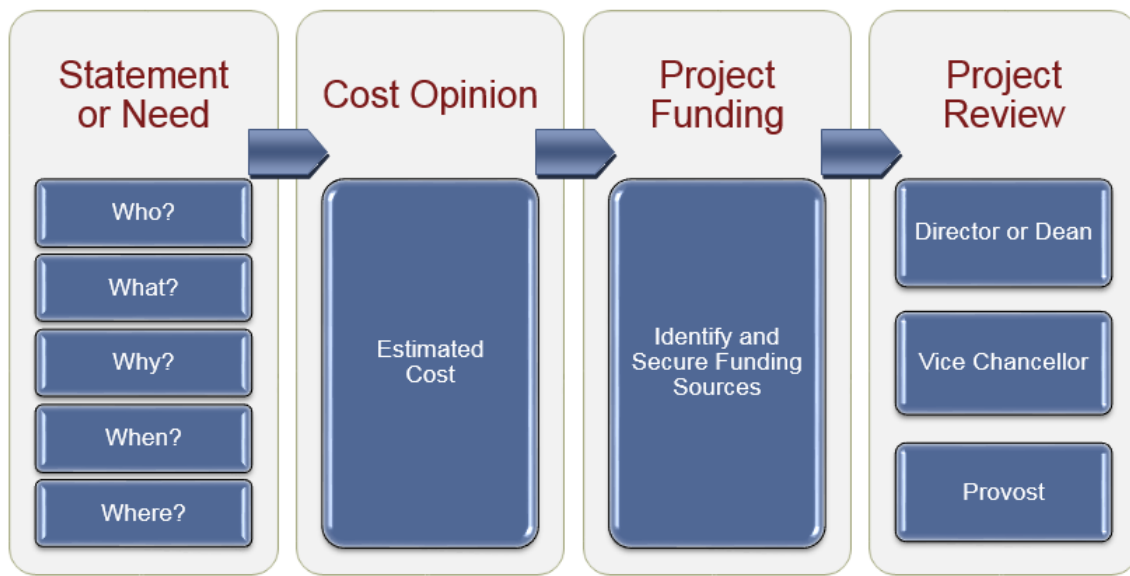
To access the flowchart go directly to the website for the University Office of Capital Programs and Real Estate Services:

1. Navigate to www.uocpres.uillinois.edu.
2. Click the **Design Professionals** or **Contractors** tab on the sub-menu.
3. Select the **UI Delivery Process** link.

Step 1: Need Identified

1 Need Identified

This phase is completed by the campus department that has identified the need, with support from the Campus Construction Unit (CCU). The campus department will translate an idea into a proposal, which will describe the merits of the idea and will be reviewed by the Director or Dean, Vice-Chancellor, and Provost.



Campus Construction Units (CCU):

- UIUC – Facilities and Services
- UIC – Office for Capital Programs
- UIS – Facilities and Services

Most projects are proposed at the departmental level of the University of Illinois campus organizational structure. Those who propose projects are considered the Campus Client Group of the facility. Project proposals must meet the missions of the University and have the support of the appropriate Director or Dean, Vice-Chancellor, and Provost (of a free-standing unit).

The Project Proposal

The first step in the capital project process is to clearly define the strategic and functional issues that drive the need. Capital project needs may manifest as a result of changes in volume, demand, technology, academic, administrative, or research functions; unit missions and priorities; and internal and external competitive environments.

Statement of Need

The unit developing the statement of need should contact their respective Campus Construction Unit (CCU) to obtain the necessary forms for approval submission. Contact the Campus Construction Unit at your campus:

- **Chicago:** Office of Capital Programs <http://www.uic.edu/depts/ocp/>
- **Springfield:** Facilities and Services <http://www.uis.edu/ppo/>
- **Urbana-Champaign:** Facilities & Services <http://www.fs.illinois.edu/>

Cost Opinion

As part of the Project proposal, the requesting unit must provide a cost opinion. The Client would contact the CCU to request comparable cost data and contingency information for the particular project.

Project Funding

Facilities-related projects vary tremendously in scope and cost. Some can be implemented by using funds available within the budget of the unit initiating the project, but the more likely scenario involves the unit head seeking additional resources beyond those available in the unit budget. Sources of such funds vary, and the CCU is available to discuss various alternatives with the unit heads.

Unit Funding Plan Financing Principles and Options

Once costs of the project are estimated, a funding plan must be developed that covers the cost of the entire project.

The first and foremost consideration is that the required funding be available and can be committed to the project before any encumbrances in support of the project are created. No indebtedness should be created. Exceptions to this policy require justification and approval.

Multiple funding sources may be needed to cover the entire project costs, including unit funds, non-unit funds, gift funds, grants and contracts, and debt financing.

Fund Source Guidelines

All commitments of non-unit funds must be approved in writing as project approvals begin. Use the Funding Commitment Form to identify and verify funding and the funding source for a project. The form must be completed and all affected parties must sign before the project can move forward.

The fund sources may have certain restrictions for use in capital projects, depending on the anticipated use of the building, whether for administration, academic, research, or auxiliary purposes. Whatever the fund source that is used, plant funds for each unique capital project must be created to track the project's expenses.

Following is a list of fund sources available:

- **State Funds**
These funds are appropriated on a fiscal year basis by the State of Illinois to the Income Fund received from student tuition. The funds are held and disbursed by the State and University and should be spent entirely during the state appropriation fiscal year.
- **Educational and Administrative Allowances**
The Educational and Administrative Allowance funds are funded by various assessments of campus departments by campus or University administration. The source of the revenue and budget in these funds mainly consist of administrative overhead charges assessed to various auxiliary units, as well as other miscellaneous sources. The campus also receives Educational and Administrative Allowance funds from certain grants, loan funds, and fellowship/trainee programs.
- **Institutional Costs Recovered (ICR)**
Indirect Cost Recovery funds (or ICR funds, as they are commonly referred to) are funds which the University collects from the indirect cost recovery (F&A) rates charged to grant funds. These Facilities and Administrative funds are captured to cover the University's overhead costs incurred in supporting federal and other sponsored research.
- **Gifts**
Gifts funds are received from individuals or companies and may be restricted by the sponsors of the gifts, or may be donated for general purposes.
- **Sponsored Programs**
These are funds from grants and contracts executed with various federal agencies, the State of Illinois, foundations, and other and private entities.
- **External Debt Financing**
The University occasionally will obtain external debt financing for large capital projects, and these are funds derived from the sale of bond issues or certificates of deposit.
- **Capital Development Board Funds**
Funds appropriated by the State of Illinois to the State of Illinois Capital Development Board to finance the acquisition of long-lived plant assets and their associated liabilities.
- **Auxiliary Facilities System Repair and Replacement Pool**
Funds accumulated in the Pool are required to maintain the System auxiliary facilities and may be used to pay the cost of unusual or extraordinary maintenance or repairs, renewals and replacements, and renovating or replacement of fixed equipment not paid as part of the ordinary facilities maintenance and operation of the system.

-
- **Energy Performance Contracting Financing**
Externally financed loans that are executed to fund energy conservation projects with the expectation the reduction in energy costs can be utilized to repay the external loan.
 - **Academic Facilities Maintenance Fund Assessment Fund**
Student Fee Assessment is to support the deferred maintenance on academic facilities.

Financial Review of Budget and Funding Plan

The University needs to ensure that there is a fiscally sound plan that funds the entire project costs and any applicable interim relocation and operating costs. The University Office of Capital Programs and Real Estate Services or the Campus Financial Manager will review the funding plan. The review will consider, but is not limited to the following:

- How much risk is involved?
- What are the proposed fund sources?
- Are the funding assumptions conservative or aggressive?
- How financially sound will the Campus Client Group be after the capital project commitments?
- Is the funding plan sufficient to cover inflationary cost increases?
- Are market conditions positive for external financing?

If, during the review, any questions or concerns arise, the unit may be contacted to provide further information. A decision made by members of the funding review committee will be communicated to the unit initiating the project.

Business Processes

After the financial review of the budget and funding plan is complete, and the financial commitment has been made, the Campus Financial Manager is responsible for confirming and documenting that the funding sources are available.

Project Proposal Review

When the project proposal is ready and reviewed by the Department Head and Vice-Chancellor, the campus Provost will review it and decide when the proposal may go forward for further study.

Stakeholders for This Phase

<i>Stakeholder</i>	<i>Responsibility</i>
Campus Client Group	Project Proposal
Campus Construction Unit	Providing Cost Data/Proposal Review
Dean, Director, Department Head	Proposal Review
Vice-Chancellor	Proposal Review
Provost	Proposal Review
University Office of Capital Programs and Real Estate Services and Campus Financial Managers	Verification of Funding

Applicable Policies and Business Rules, Systems, and Reference Documents

- Office of Management and Budget
OMB Circular A-21 – Cost Principles for Educational Institutions

To access the applicable laws and policies, go directly to the website for the University Office of Capital Programs and Real Estate Services (UOCP&RES):

1. Navigate to www.uocpres.uillinois.edu.
2. Click the **Design Professionals** or **Contractors** tab on the sub-menu.
3. Select the **Policy and Laws** link.

Policies and Business Rules

- OBFS Policy Manual Sections with Capital Related Materials

Accounting Definitions

- Business and Financial Functions – defines fund accounting, expenditure authority, basis of accounting, and asset accounting (carried at cost, or FMV at date of donation).
- Property Accounting – defines types of capital assets, thresholds for capitalization, major building component categories, and capitalization policies.
- Financial Reports – defines types of plant funds.

Approval of Documents

- Signature Authority
- Approval of Financial Documents
- Initiation, Review, and Approval of University Contracts and Leases
- Funding Language for Board of Trustees Roll Call Items and Contracts

Capital Financing Guidance

- Apply for an Internal Loan – has links to Internal Loan Application, Loan Agreement Forms, and **Banner** Code Request Forms.

Other

- Establishing University Facilities Outside the State of Illinois – references Space Needs Assessment by Real Estate Planning Services.

Systems

- **Banner** – The **Banner** Administrative Forms component of the UI-Integrate System provides an interface through which payments and other financial transactions are managed.
- **FCPWeb** – FAMIS Capital Projects Web (**FCPWeb**) serves as the official financial management system for capital programs and has data integration points with the **Banner** system.

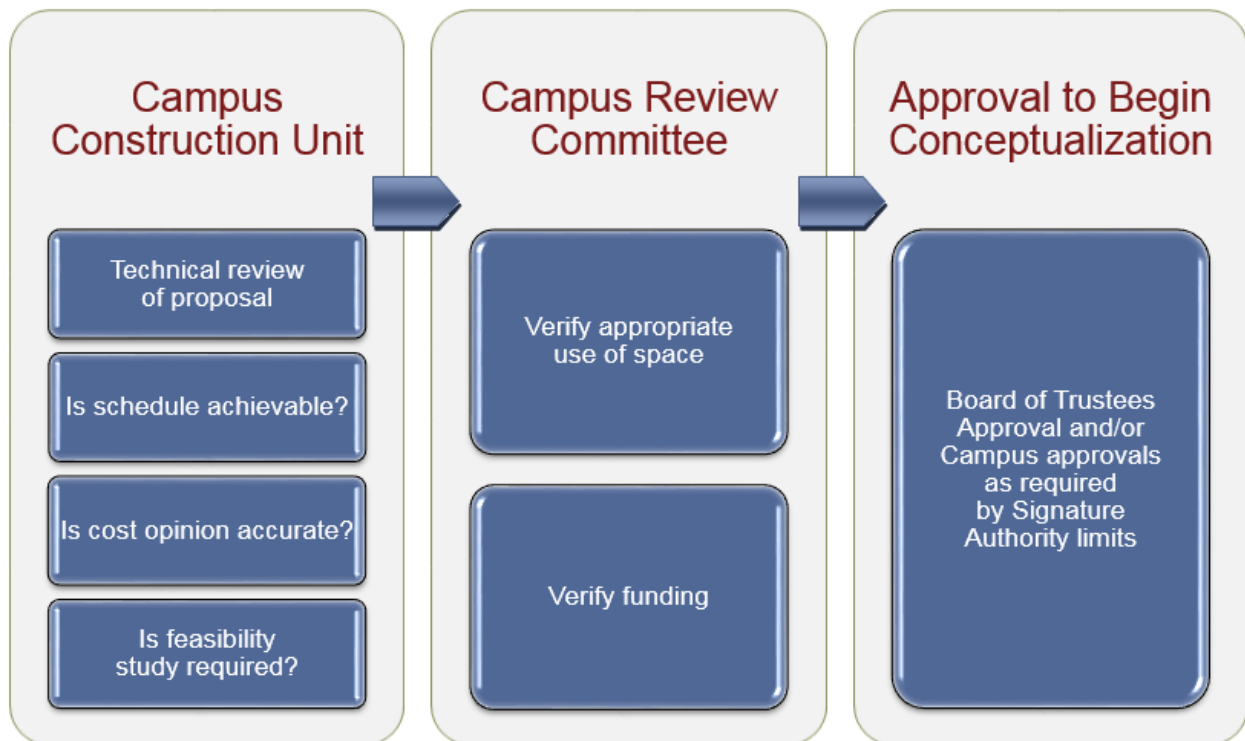
Reference Documents

- Campus Strategic Plan
- Campus Capital Plan
- Campus Master Plan
- Campus Facilities Standards
- LEED Standards

Step 2: Project Initiated

2 Project Initiated

Once a project has been defined by a department, the Campus Construction Unit (CCU) will help refine the proposal schedule and cost opinion. The CCU will prepare the necessary documentation and, as required by the signature authority limits, will submit to the Campus Review Committee and University Administration for approvals.



After the Campus Provost reviews the project proposal and has approved moving forward, the Campus Construction Unit (CCU) leads an effort to better define the project. A technical review of the proposal is led by the CCU and includes program needs, space needs, site requirements, utility requirements, desirable or undesirable adjacencies, the feasibility of the schedule, and the accuracy of the probable cost and budget. The end product of this review will result in a Project Data Summary (PDS) sheet. If key questions are not able to be answered, a need for a feasibility study may be determined.

If the CCU agrees with the verification of the project, the project is brought to a Campus Capital Review Committee (CCRC). (The CCRC takes a different form on each campus.) The CCRC reviews the proposal and identifies any issues, verifies the appropriate use of resources and space, confirms the proposed funding, and determines if the proposal moves forward for approval.

Once the CCRC approves the project, the project may begin conceptualization or may move forward for the appropriate subsequent approval.

Meetings and Decision-Making

Stakeholders Involved: Campus Clients, Campus Facilities and Services Units affected by the project, Campus Construction Units, Department Chairs, Provost, Chancellor, and Campus Capital Review Committee.

1. After the Provost has approved the project proposal, the CCU meets with the Client to discuss and further define the project scope to allow the development of an expanded cost estimate. The outcome is a completed PDS.
2. After The PDS is complete, the CCU and the Client meet with the Provost to decide if the project should proceed with subsequent reviews.
3. Once the Provost agrees the project should move forward, the project is reviewed by a campus capital review committee as required.
4. If the CCRC approves the project, subsequent approvals occur as required depending on the estimated project cost.

Sample Project Data Summary (PDS)

As a project is initiated, it is entered into the **FCPWeb** system by the CCU Director. The Project Manager or Project Assistant may then add information as it becomes available with the intention that the project will go forward for approval. A Project Data Summary (PDS) contains information about the project, which may include:

- Number
- Title
- Scope
- Funding
- Budget
- Schedule
- Preliminary Program Information:
 - Anticipated Delivery Method
 - Anticipated LEED Sustainable Design Level
 - Master Plan Coordination
 - Project Rationale
 - Project Location
 - Project Goals and Description
 - Site Elements Affected by the Project
 - Utilities Affected by the Project
 - Special Design Considerations

My Projects > Project Data Summary

Project Data Summary: VET MED ESCO (U11026)

Go To...

General Information

Building: MULTIPLE
Site: UIUC
Floor:
Room:
GSF: 534,086
NASF: 0
SF Cost: \$39.81
Start Date: Oct 06, 2010
Status: CONSTRUCT
Project Approval Status: BOT APPROVED
Project Approval Date: 12/16/2010
Closure Status:
Project Manager: WHITSON
Capitalized:
Research Project: Yes
Project Category: UTILITIES
CDB No:
CDB Fiscal Year:
VFA No.: See Other
Scope Statement: THIS IS APPROXIMATELY A \$21,600,000 PERFORMANCE CONTRACT GUARANTEED TO REDUCE ENERGY CONSUMPTION BY APPROXIMATELY \$1,000,000 PER YEAR. THE PROJECT WILL CONSIST OF SELECT AIR HANDLER REPLACEMENTS AND ROOF REPLACEMENTS AT THE TEACHING HOSPITAL, VARIABLE AIR VOLUME CONVERSION AND FUME HOOD CONVERSION AT THE BASIC SCIENCES BUILDING, COOLING TOWER REPLACEMENT AT THE VET MED CHILLER PLANT, AND COMPLEX WIDE CONTROLS UPGRADE, LIGHTING RETROFIT, AND EFFICIENT MOTOR UPGRADES. MANY MINOR IMPROVEMENTS WILL ALSO OCCUR WHICH WILL REDUCE DEFERRED MAINTENANCE BACKLOG. EXPECTED PAYBACK FOR PROJECT: APPROXIMATELY 15 YEARS.

Department

Department: **Department Name:**

Funding Accounts

Account	Amount	Fund Source Type	Fund Source Subtype	Confirmed	Promise Date	Received Amount	Description
Energy Services Financed	\$18,355,000.00	Institutional Funds		Yes	12/10/2010	-	

Current Budget

Budget Code	Description	Current Budget	Total Anticipated Cost	Payments
10000	CONSTRUCTION	\$21,262,345.00	\$21,262,345.00	\$0.00
20000	FURNITURE, FIXTURES, & EQUIPMENT	\$0.00	\$0.00	\$0.00
30000	OWNER'S COST	\$309,670.00	\$309,670.00	\$0.00
40000	PROFESSIONAL SERVICES	\$0.00	\$0.00	\$0.00
GRAND TOTAL:		\$21,572,015.00	\$21,572,015.00	-
Total Funding:		\$21,572,015.00		

Current Schedule

Milestone	Duration (days)	Planned Dates		Forecasted Dates		Actual Dates		% Complete
		Begin	End	Begin	End	Begin	End	
FEASIBILITY	52	Oct 21, 2009	Dec 11, 2009			Oct 21, 2009	Dec 11, 2009	
PLANNING								
PROJECT APPROVAL	7	Dec 09, 2010	Dec 15, 2010			Dec 13, 2010	Dec 16, 2010	
ARCHITECT/ENGINEER SELECTION	94	Dec 14, 2009	Mar 17, 2010			Dec 14, 2009	Mar 17, 2010	
SCHEMATIC DESIGN	86	Mar 17, 2010	Jun 10, 2010			Mar 17, 2010	Jun 10, 2010	
DESIGN DEVELOPMENT	106	Jun 10, 2010	Sep 23, 2010			Jun 10, 2010	Sep 23, 2010	
CONSTRUCTION DOCUMENTS								
BID AND AWARD	78	Sep 23, 2010	Dec 09, 2010			Sep 23, 2010	Dec 09, 2010	
CONSTRUCTION	288	Dec 16, 2011	Sep 28, 2012			Jan 10, 2011		
SUBSTANTIAL COMPLETION	1	Sep 28, 2012	Sep 28, 2012					
PUNCHLIST	32	Sep 28, 2012	Oct 29, 2012					
FINAL CLOSEOUT	1	Oct 29, 2012	Oct 29, 2012					
WARRANTY	366	Oct 29, 2012	Oct 29, 2013					

Preliminary Program Data

Anticipated Delivery method for construction: Design-Build
Anticipated LEED Sustainable Design Level: LEED Silver - non-certified
Master Plan Coordination: N/A - Existing Building or Site
Project Rationale: ENERGY CONSUMPTION IS A CONCERN FOR THE UNIVERSITY, AND THIS PROJECT WILL REDUCE CONSUMPTION AT THE VET MED COMPLEX (2 OF THE BUILDINGS RANK IN THE TOP 10 ENERGY USERS ON CAMPUS) IN THE AMOUNT OF \$1,000,000 ANNUALLY (APPROXIMATELY), ROUGHLY A 30% REDUCTION.
Project Location Description: CLINICAL SKILLS LEARNING CENTER, 1102 W. HAZELWOOD DR., URBANA; VETERINARY TEACHING HOSPITAL, 1008 W. HAZELWOOD DR., URBANA; VET MED BASIC SCIENCES BUILDING, 2001 S. LINCOLN, URBANA; VETERINARY MEDICINE CHILLER PLANT, 1009 W. ST. MARY'S ROAD, URBANA
Project Goals and Objectives: THE GOALS OF THIS PROJECT ARE TO REDUCE ENERGY CONSUMPTION, REDUCE DEFERRED MAINTENANCE, AND TO ACHIEVE A PAYBACK OF APPROXIMATELY 15 YEARS. THESE GOALS CAN BE ACHIEVED WITH LITTLE UPFRONT CAPITAL INVESTMENT AND WILL BE PAID OUT OF THE UTILITIES OPERATING BUDGET OVER THE COURSE OF THE LOAN (APPROXIMATELY 15 YEARS).
Site elements affected by the project: NO SITE ELEMENTS ARE EXPECTED TO BE AFFECTED BY THE WORK OF THIS PROJECT.
Site utilities affected by the project: NO SITE UTILITIES ARE EXPECTED TO BE AFFECTED BY THE WORK OF THIS PROJECT.
Special Design Considerations: THE ARCHITECTURAL REVIEW COMMITTEE HAS APPROVED THE INSTALLATION OF FULLY ENCLOSED AIR HANDLER UNITS THAT WILL BE PLACED ON THE ROOF OF THE THREE WINGS AT THE SMALL ANIMAL CLINIC, A FULLY ENCLOSED AIR HANDLER UNIT ON THE ROOF OF THE CENTRAL MECHANICAL SPACE AT THE LARGE ANIMAL CLINIC, HIGH VELOCITY FANS TO BE PLACED ON THE ROOF OF THE BASIC SCIENCES BUILDING, AND SLIGHTLY TALLER COOLING TOWERS TO BE INSTALLED ON THE ROOF AT THE VET MED CHILLER PLANT.
Other: THIS PROJECT WILL ADDRESS A LARGE NUMBER OF VFA ITEMS INCLUDING THE FOLLOWING:
REO-52890. REO-52110. REO-56838. REO-56987. REO-59420. REO-59345. REO-59264. REO-59996. REO-59994. REO-59995. REO-60072. REO-59364. REO-59263.

Sample Project Data Summary (PDS)

The following are fields available on the PDS; those marked with asterisks are required to initiate project approval in **FCPWeb**.

- **Capital Project Number*** – automatically assigned by **FCPWeb**.
- **Capital Project Type*** – automatically populated as Standard Project.
- **Project Manager** – select from drop down list.
- **Project Category*** – New Building, Remodeling, Remodeling/Addition, Deferred Maintenance, Infrastructure, Utilities, Feasibility, Master Planning or Site Work.
- **CDB No.** – Capital Development Board Number, if applicable.
- **CDB Fiscal Year (YYYY)** – Capital Development Board Fiscal Year, if applicable.
- **Start Date** – year and month project expected start.
- **Project Status *** – Pre-Planning, Planning, Feasibility, A/E Selection, Design, Bid & Award, Construction, Substantial Completion, Punchlist, Warranty, Complete, Canceled, Hold, Open, or Master.
- **GSF** – gross square footage of project area.
- **NASF** – net assignable square footage of project area.
- **Is Research Project*** – yes or no.
- **VFA#** – if project includes deferred maintenance, provide the VFA deficiency number(s) that is being addressed.
- **Site*** – UIS, UIC or UIUC; NOTE: Site will default to the organization of user.
- **Building *** – provide building number or use *See List* link to select building name and number.
- **Floor** – provide floor number or use *See List* link to select available floors. This field is reserved for future use; we do not collect floor or room number information.
- **Room** – provide room number or use *See List* link to select available rooms. This field is reserved for future use; we do not collect floor or room number information.
- **Department: **** – provide department number or use **Search** link to select department.
- **Campus Priority Request** – not currently used.
- **Pre-planning Checklist Type** – short or long.
- **Project Grouping** – defaults to *This project is a standalone project*. Other options include making this project a master project or a sub-project of an existing master.
- **Title of Capital Project *** – provide the name of the project. This should match the name used on documents and in other systems.
- **Scope Statement** – provide a verbal description of the work to be completed.
- **Project Comments** – any additional information related to the project.
- **Anticipated Delivery Method**** – N/A, Design Build, Design-Bid-Build, Design-Bid-Build Single Prime (CDB only), or CM.
- **Anticipated LEED Design Level**** – N/A, LEED Silver Certified, LEED Silver Uncertified, LEED Gold Certified, LEED Gold Uncertified LEED Platinum Certified, or LEED Platinum Uncertified.
- **Master Plan Coordination** – Part of Master Plan, Change to Master Plan/BOT approval required, or N/A – Existing building or site.

-
- **Project Rationale**** – WHY? Provide a short description of why this project is needed. What are the drivers? This should be information provided by the client as part of their project request.
 - **Project Location Description**** – WHERE? Provide a short description of where this project is located. For example, the building address or nearest street intersection if address not available, the area within the building that a remodel will occur (e.g., northwest corner of the second floor), or general area of a site or landscaping project (e.g., east side of Quad between buildings X and Z).
 - **Project Description**** – HOW? Provide a short description of the anticipated solution to meet the client's needs. This should include required spaces, systems that will be modified, aesthetic considerations, etc.
 - **Site elements affected by the project**** – What site elements - typically above ground - do you anticipate will be affected by the project (e.g., site grading and drainage, parking, paving, landscaping, site furniture)?
 - **Site utilities affected by the project**** – What site utilities - typically below ground - do you anticipate will be affected by the project? This should be completed with input from the utilities department.
 - **Special Design considerations**** – Are there any special design considerations that do not meet campus design and facilities standards (e.g., the project will be a signature building, special requirements for lab space, requirements for equipment that is not typical)?
 - **Other** – Is there anything unusual that may affect the schedule or budget (e.g., a remodel in a historical building or a donor who wants to be involved in the design process)?

*Required fields to be able to save the project.

**Required fields on the *Setup New Project* screen to get the *Initiate Project Approval* command button (PM or Director Roles only).

In addition to the fields identified above, the **Project Budget**, **Project Schedule**, and **Project Funding** must be provided for the *Initiate Project Approval* command button to appear.

Business Processes

The Campus Financial Manager requests the fund sources and provides determination on capitalization. A fund is created by University Accounting and Financial Reporting (UAFR) with a suggestion on the proper account codes. Information from UAFR is added to **FCPWeb** by the Campus Financial Manager (CFM).

UAFR determines capitalization for the project, which allows the CFM to request **Banner** fund creation with accounting information (CFOAP). Once the funds have been created, the CFM receives an email confirmation with the capitalization decision and accounting information. The results of these decisions are entered into **FCPWeb**; in this system, funding and charge accounts are controlled by Financial Managers. In order for the Project Manager to initiate

project approval, at least one confirmed funding account must have been entered into **FCPWeb** by the CFM.

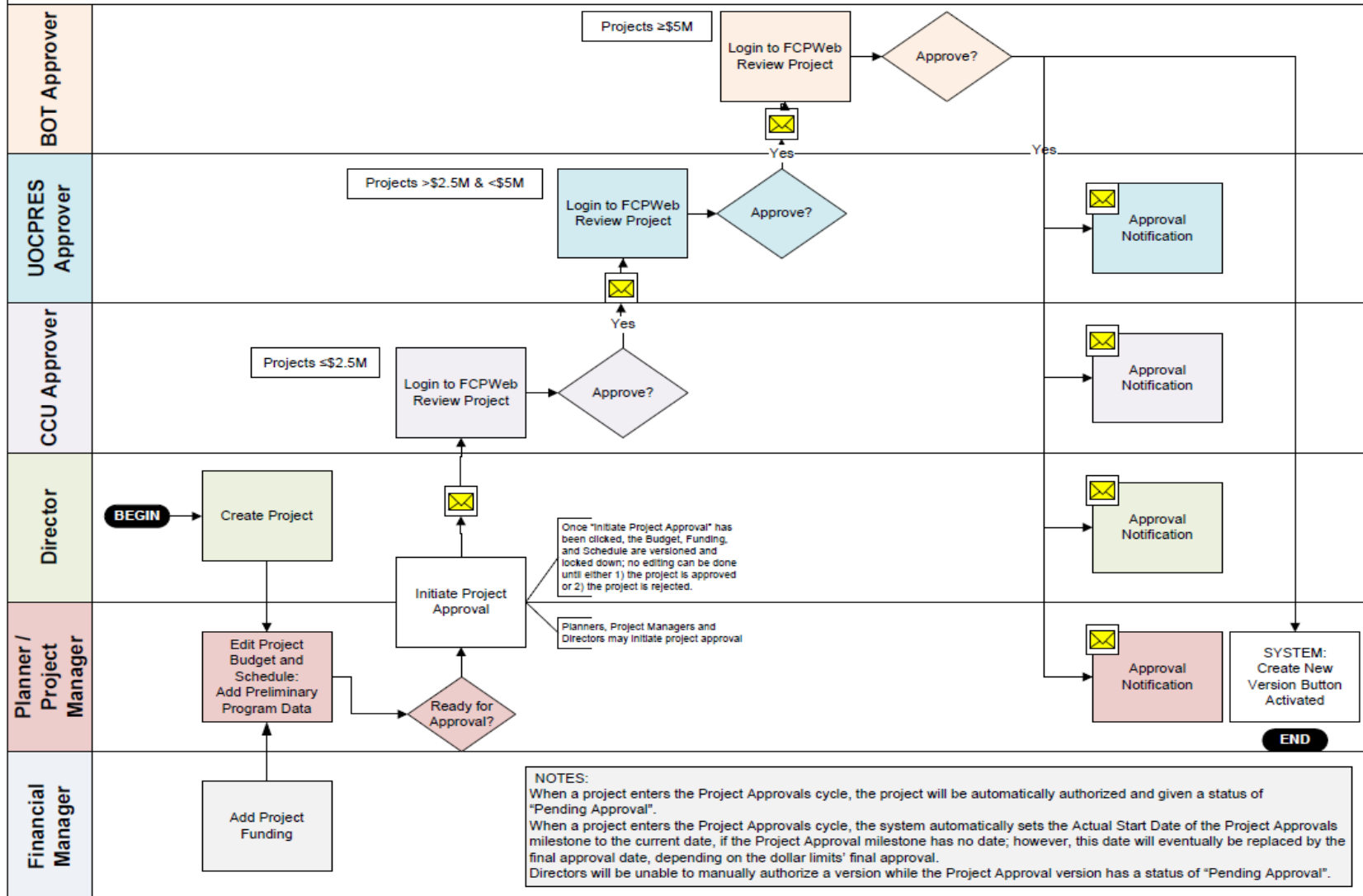
Approvals Required

Activity	Dollar Limit	Authority to Sign
Project Approval Approvals are to be completed in FCPWeb for each level	≤ \$2,500,000	Campus Construction Unit Head
	< \$5,000,000	Senior Associate Vice President Business and Finance and Deputy Controller (via UOCP&RES)
	≥ \$5,000,000	Board of Trustees (via UOCP&RES)

Project approval takes place in the capital financial management application, **FCPWeb**. The CCU must enter the project into **FCPWeb** in order for project approval to occur. The following diagram illustrates the approvals process which takes place within **FCPWeb**.

Project Approvals in FCPWeb

July, 2013



Next Steps

- Conceptualization Phase, or
- Professional Services Consultant Selection Phase

The next steps in this phase depend upon the scope and requirements of the individual project. If a Professional Services Consultant (PSC) will be involved in the Conceptualization phase, then the next step would be to proceed to Professional Services Consultant Selection.

Stakeholders for This Phase

Description	Stakeholder
Non-Capital Campus Stakeholders	<ul style="list-style-type: none">• Campus Client• Campus Department Chair• Provost• Chancellor• Campus Capital Review Committee
Campus Client Group Stakeholders	<ul style="list-style-type: none">• University Accounting and Financial Reporting• Representatives of Campus Facilities and Services Units affected by the project:<ul style="list-style-type: none">○ Utilities○ Space Management○ Parking○ Telecommunications○ Office of Sustainability○ Safety and Compliance
Capital-Related Stakeholders	<ul style="list-style-type: none">• Campus Planner/Project Manager• Campus Financial Manager• Campus Construction Unit• University Office of Capital Programs and Real Estate Services

Applicable Laws, Systems, and Reference Documents

Laws

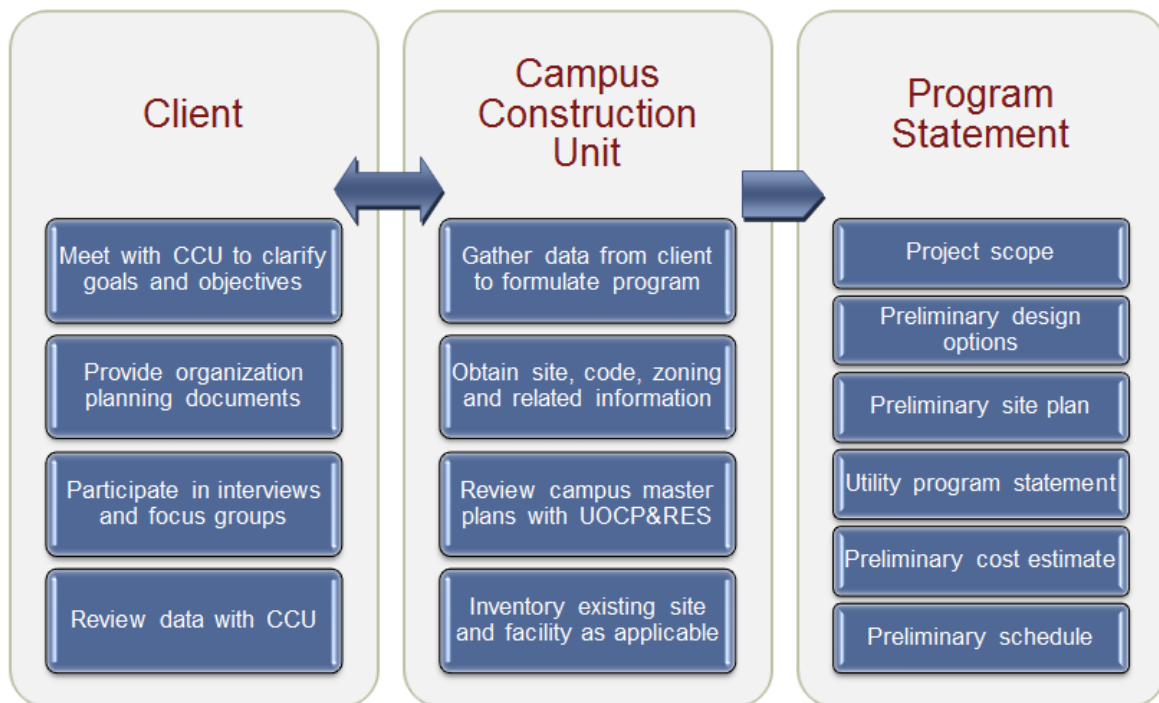
- Local, State and Federal Codes, and Permits

Systems

- **FCPWeb** – FAMIS Capital Projects Web (**FCPWeb**) serves as the official financial management system for capital programs and has data integration points with the **Banner** system.

3 Conceptualization

This phase includes the process to sufficiently define the project so a reliable project budget and schedule can be provided. This phase often involves resolving site, utility, and other existing building limitations to assess the true cost and impact of the project.



- Campus Strategic Plan
- Campus Capital Plan
- Campus Master Plan
- LEED Standards
- Design and Facilities Standards – Each campus has developed standards for design and facilities that the PSC must adhere to during the design process.

Step 3: Conceptualization

The Project Conceptualization Phase gives sufficient definition to a proposed project to allow the completion of a program statement that includes a realistic schedule and accurate cost estimate. Every major project requires a program statement.

The Conceptualization phase may be led by the Campus Construction Unit (CCU) and documented internally or may include and be documented by the Professional Services Consultant (PSC).

Components of a Program Statement

The following components are typically included in a program statement:

- Project Summary:
 - Brief statement of the project and the project's purpose
- Project Scope:
 - Assumptions
 - Recommended project delivery
 - Life safety
 - LEED goals
 - Accessibility
 - Compliance with campus building standards
 - Elevator requirements
 - Exterior building shell
 - Mechanical, electrical, telecommunications, and security systems
 - Furnishings
 - Equipment
 - Assumptions
 - Project delivery team
 - Project phases with roles and responsibilities
 - Room list
 - Descriptions of general requirements
 - Descriptions of specific requirements by each room
 - Functional relationships diagram or conceptual design
- Project Schedule:
 - Dates
 - Number of days
- Financial Analysis:
 - Funding commitments
 - Total budget
- Utility Requirements:
 - Utility program statement
 - Telecommunication program statement
- Site:
 - Site selection summary
- Project requirements:
 - Design guidelines
 - Historical preservation requirements
 - Building provisions required by law
 - Accessibility
 - Construction standards
 - Safety and compliance
 - Energy conservation
 - LEED certification goals

-
- Project location and site development
 - Parking
 - Utility extensions and laterals
 - Fire alarm systems
 - Energy monitoring
 - Building security
 - Fire protection system
 - Structural requirements
 - Artificial lighting
 - Natural lighting
 - Telecommunications and building network cabling
 - Heating/ventilation/air conditioning
 - Electrical requirements
 - Building efficiency
 - Programmed areas planning efficiency
 - Separation of conflicting uses
 - Versatility
 - Floor treatment
 - Acoustical treatment
 - Maintenance and custodial service
 - Recycling
 - Public/campus telephones
 - Storage, utility closets, and key cabinets
 - Vending machines
 - Directory and signage
 - Appendix:
 - Supplemental documents relating to the information above, such as funding commitment letters and site plan

The CCU gathers relevant information about the project by interviewing the client and any other affected parties. The CCU also should anticipate any resultant consequences of the project and associated required remedies and costs. If the project will result in displaced programs, those issues should also be identified in this phase.

If questions about the site for a project exists or if the desired site for a project varies from the Master Plan, the University's site selection process should be included during conceptualization. A site selection report is generated from this process and includes the selection criteria used, the top sites considered, the site recommended, and the rationale for the recommendation. If the site is different from the Master Plan, the site must be approved by the Board of Trustees.

If the conceptualization process results in unanswered questions, unresolved issues, or various options to pursue, a feasibility study may be recommended.

Feasibility Studies

This phase of the project development process tests assumptions made during the conceptualization of a project. It is undertaken to determine under what circumstances a proposed project is feasible. The information developed during conceptualization is a point-of-departure for the analysis of feasibility. In addition, the project campus client group, with the assistance of the Facility Delivery Team, must develop program needs, including a room list. A Professional Services Consultant is hired to examine the feasibility of a project. The appropriate facility support office will further research each issue which may affect the project, and a specific plan for overcoming any difficulties will be defined.

The feasibility study confirms that the site will be able to accommodate the program needs; includes floor plans which indicate the various components of the program; and confirms that the square footages programmed will meet the campus client groups' needs. Drawings which indicate the proposed facility exterior conceptual design and a preliminary cost estimate are developed.

An expanded version of the Project Fact Sheet (first developed during project conceptualization) results from the feasibility process. Components added are strategy for funding, program needs for the facility, a schematic design, descriptive graphic material, and a detailed project cost estimate based on the information presented during conceptualization. If there are related projects which must be accomplished to make the proposed project possible, then descriptions of these projects are completed.

The result of the feasibility study will be a report from the Professional Services Consultant (PSC). The report will be evaluated at a meeting of a Campus Review Committee (CRC). After consultation with the committee, one of the following will occur:

- Modify the proposal.
- Proceed with the planning process.
- Place the project on timed or conditional hold (e.g., for a gift-funded project, until construction funds and operating endowment are in hand).
- Place the project on indefinite hold.
- Reject the proposal.

Business Processes

Once the project has gone through the conceptualization phase and a feasibility study, if necessary, is complete, the Campus Financial Manager should review the funding needs again to be certain adequate funds are available for any changes in scope or budget.

Approvals Required

Activity	Dollar Limit	Authority to Sign
Project Approval Approvals are to be completed in FCPWeb for each level	≤ \$2,500,000	Campus Construction Unit Head
	< \$5,000,000	Senior Associate Vice President of Business and Finance and Deputy Controller (via UOCP&RES)
	≥ \$5,000,000	Board of Trustees (via UOCP&RES)

The CCU must enter the project into **FCPWeb** prior to project approval.

Next Steps

One of the following steps will occur next, depending on the scope and requirements of the project:

- Feasibility Study, or
- Professional Services Consultant Selection, or
- Schematic Design

The Capital Development Board

As the construction management agency for Illinois state government since 1972, the Capital Development Board (CDB) oversees the construction of new state facilities, such as prisons, college and university classroom buildings, mental health hospitals, and state parks. In addition, CDB is responsible for renovation and rehabilitation projects at the State's 8,441 state-owned buildings which contain more than 96 million square feet of floor space.

An Executive Director selected by the Board manages the agency's staff of approximately 175 employees located in Springfield, Carbondale, and the Northern Region Office (NRO) in Chicago. The Capital Development Board does not initiate projects, but rather responds to capital improvement needs identified by other state agencies and governmental units that are approved by the Governor and enacted by the General Assembly.

Relationship of the Capital Development Board to University Capital Projects

Administrative coordination of funding issues, project approvals and scope modifications, interagency agreements and letters of understanding, Board item actions, and Professional Services Consultant recommendations forwarded to the Capital Development Board are the responsibility of the University Office of Capital Programs and Real Estate Services.

Stakeholders for This Phase

Description	Stakeholder
Non-Capital Campus Stakeholders	<ul style="list-style-type: none">• Campus Client• Campus Department Chair• Provost• Chancellor• Campus Capital Review Committee
Campus Client Group Stakeholders	<ul style="list-style-type: none">• Representatives of Campus Facilities and Services Units affected by the project including:<ul style="list-style-type: none">○ Utilities○ Space Management○ Parking○ Telecommunications○ Office of Sustainability○ Safety and Compliance
Capital-Related Stakeholders	<ul style="list-style-type: none">• Campus Planner/Project Manager• Campus Financial Manager• Campus Construction Unit• University Office of Capital Programs and Real Estate Services
External Vendor(s)	<ul style="list-style-type: none">• Professional Services Consultant (if applicable)

Applicable Laws, Policies and Business Rules, and Reference Documents

Laws

- Local Codes and Permits

Policies and Business Rules

- Projects with the Capital Development Board (CDB), follow CDB rules and procedures.

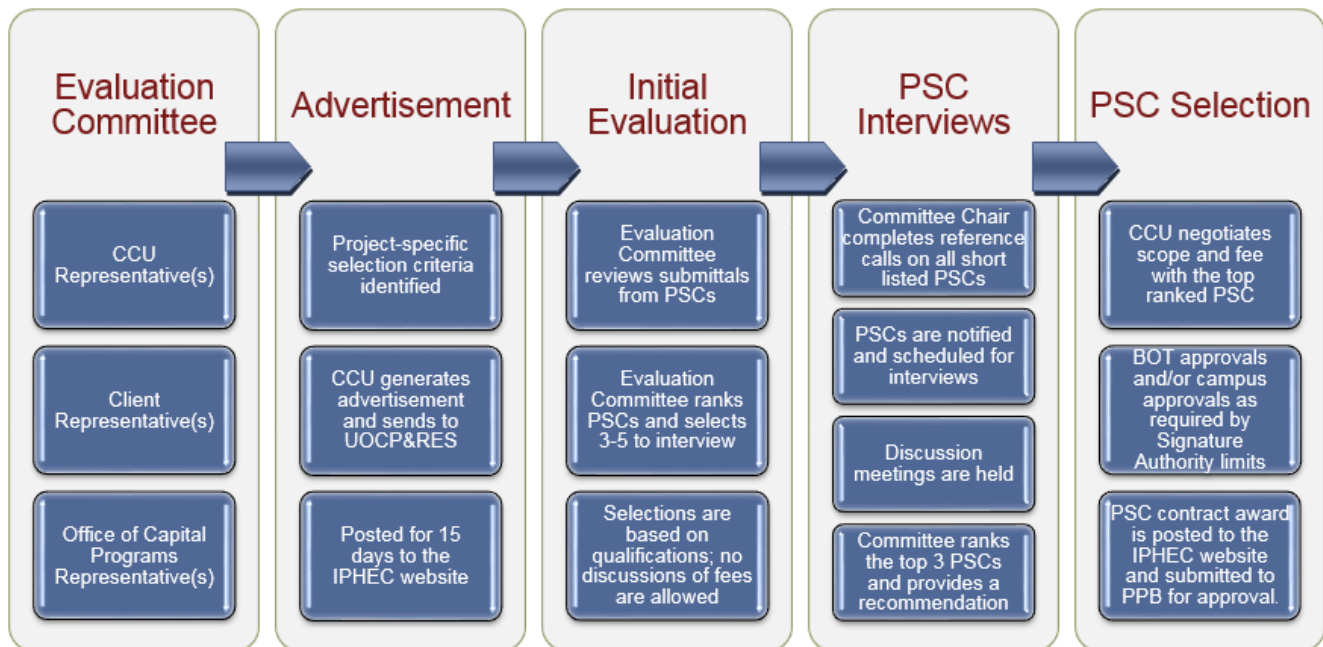
Reference Documents

- Campus Strategic Plan
- Campus Capital Plan
- Campus Master Plan
- Campus Facilities Standards
- LEED Standards
- Design and Facilities Standards – Each campus has developed standards for design and facilities that the PSC must adhere to during the design process.

Step 4: Professional Services Consultant Selection

4 Professional Services Consultant (PSC) Selection

This phase includes the process to identify and contract with consultants to provide design and construction services for the project. The process of selecting Architects, Engineers, and Land Surveyors is governed by the Illinois Architectural, Engineering, and Land Surveying Qualifications Based Selection (QBS) Act and University of Illinois policy. This step is not required for projects with PSC fees under \$25,000 or for projects using PSC Retainer Contracts as determined by the Campus Construction Unit. PSC selections for other professions such as Construction Managers, Landscape Architects, and Interior Designers must follow a similar process for a Request for Proposal for Professional and Artistic Services governed by the Illinois Procurement Code.



Law and Policy

State law and University policy guide the selection of Professional Services Consultants (PSC). For Professional Services Consultant fees estimated to be greater than \$25,000, the selection process must follow the State of Illinois Architectural, Engineering and Land Surveying Qualifications Based Selection Act (QBS). The Act requires state agencies to:

- Publicly announce all requirements for architectural, engineering, and land surveying services.
- Procure those services on the basis of demonstrated competence and qualifications.
- Negotiate contracts at fair and reasonable prices.
- Evaluate the performance of firms.

The University's QBS Policy seeks to standardize and clarify the Act as it is applied to the University; for all selections over \$25,000, the University's policy must be followed.

Selecting and employing other PSCs not specified by the QBS Act, such as Construction Managers, Landscape Architects, or Interior Designers, follow the Illinois Procurement Code specifically section 30 ILCS 500 Procurement of Professional and Artistic Services, the Joint Committee on Administrative Rules section 4.2035 (Competitive selective procedures for Professional and Artistic Services and section 3005 (g) Construction and Construction Related Professional Services).

Leadership of Professional Services Consultant Selection

The Consultant Selection Process for all projects except for Master Plans is typically led by the Campus Construction Unit (CCU). Master Plan studies are led by UOCP&RES.

Meetings and Decision-Making

- **Committee**

The CCU assembles the evaluation committee that minimally consists of representatives from the CCU and the Client. A representative from the Campus Physical Plant may serve on the committee depending on the nature of the project. A representative from the UOCP&RES must serve on the committee for projects that must be approved by the Senior Associate Vice President and Deputy Comptroller, University Office of Business and Financial Services (OBFS), or the Board of Trustees. If the project is being managed by the State's Capital Development Board (CDB), the selection will still be led by the CCU but a member of CDB must be invited to participate. The representative of the CCU shall chair the committee except for Master Plan projects when the representative of UOCP&RES will chair the committee.

- **Process**

The Chair of the committee will electronic prepare an advertisement for services using the boilerplate developed by UOCP&RES in the Upside Contract system. The advertisement should clearly state the criteria to be used by the committee to evaluate the submittals. Once complete, the advertisement is sent to UOCP&RES for review and posting to the State's Procurement Bulletin. The team receives and reviews proposals, deciding which teams will be recommended.

- **Approvals**

The Consultant Selection Policies outlines intermediate approvals by the CCU and the UOCP&RES which are required during the process including approval of the initial evaluation for selecting firms to interview, approval of the recommended firm after the interview and prior to negotiation, and final approval of the firm after the fee has been negotiated.

- **Professional Services Consultant Agreements**

The CCU develops the actual Professional Services Consultant (PSC) agreement in the ***Upside Contract*** system and routes a contract for signature by the PSC, the CCU, the University Legal Counsel and the appropriate signature authority after the State Procurement Policy Board has approved the award. Awards may not proceed until approved by the Chief Procurement Office.

Business Processes

The Campus Financial Manager, upon receipt of a copy of the executed PSC agreement, will request and confirm the funding to cover the encumbrance has been transferred to the plant fund CFOAP, and subsequently create an encumbrance in **Banner** using the appropriate account codes for capitalized versus non-capitalized PSC services. A contract entry will also be created in **FCPWeb** and the contract should be entered using budget codes for each phase of PSC services.

Approvals Required

Activity	Dollar Limit	Authority to Sign
Professional Services Agreements	< \$250,000	Campus Construction Unit Head
	< \$1,000,000	Senior Associate Vice President of Business and Finance and Deputy Controller (via UOCP&RES)
	≥ \$1,000,000	Board of Trustees (via UOCP&RES)

For projects managed by the CDB, the recommendation of PSC employment must first be approved by the Board of Trustees prior to being reviewed by the CDB. The CCU should request the UOCP&RES submit a recommendation for review by the CDB.

IMPORTANT: All contracts greater than \$25,000 must be approved by the State Chief Procurement Office and Procurement Policy Board prior to award.

Next Steps

- Post Award
- Award
- Contract Issuance
- Proceed with Schematic Design

Stakeholders for This Phase

<i>Description</i>	<i>Stakeholder</i>
Non-Capital Campus Stakeholders	<ul style="list-style-type: none">• Campus Client
Campus Client Group Stakeholders	<ul style="list-style-type: none">• As appropriate
Capital-Related Stakeholders	<ul style="list-style-type: none">• Campus Planner/Project Manager• Campus Financial Manager• Campus Facilities and Services Physical Plant Representative• University Office of Capital Programs and Real Estate Services (for projects which must go to the Board of Trustees)
External Stakeholders	<ul style="list-style-type: none">• Capital Development Board (for CDB projects)• Others as appropriate
External Vendor(s)	<ul style="list-style-type: none">• Professional Services Consultant

Applicable Laws, Policies and Business Rules, Systems, and References

To access the applicable laws and policies, go directly to the website for the University Office of Capital Programs and Real Estate Services (UOCP&RES):

1. Navigate to www.uocpres.uillinois.edu.
2. Click the **Design Professionals** or **Contractors** tab on the sub-menu.
3. Select the **Policy and Laws** link.

Laws

- **Illinois Higher Board of Education and Procurement Code 30 ILCS 500:** The guidelines and procurement rules that the University operates under with regards to contracting for the design and construction of facilities and selection of Consultants not covered by QBS.
 1. **Public Act 096-795**, effective for all solicitations on or after July 1, 2010, makes significant revisions to the Procurement Code. (Also known as Senate Bill 51)
 2. **Public Act 096-920** amends and clarifies the original Act.
- **Illinois Architectural, Engineering, and Land Surveying Qualifications Based Selection Act 30 ILCS 535:** The state statute that governs the process of selecting Professional Services Consultants.
- **Joint Committee on Administrative Rules section 4.2035** (Competitive Selection Procedures for Professional and Artistic Services and Section 4.3005 Construction and

Construction Related Professional Services) for selection of Consultants not covered by QBS.

- **Business Enterprise for Minorities, Female, and Persons with Disabilities Act 30 ILCS 575 et seq.** also known as Senate Bill 351.
- **Illinois Human Rights Act:** This statute must be adhered to by the University and the Vendors that the University hires to perform work.
- **Illinois Architectural Practice Act of 1989:** The statute that governs the profession of Architecture in Illinois.
- **Illinois Landscape Architectural Practice Act of 1989:** The statute that governs the profession of Landscape Architecture in Illinois.
- **Illinois Professional Engineering Practice Act of 1989:** The statute that governs the profession of Engineering in Illinois.
- **Illinois Structural Engineering Practice Act of 1989:** The statute that governs the profession of Structural Engineering in Illinois.
- **Illinois Interior Design Title Act:** The statute that governs the profession of Interior Design.
- **Illinois Professional Land Surveyor Act of 1989:** The statute that governs the profession of Land Surveying in Illinois.

Policies and Business Rules

- OBFS Policy Manual Sections with Capital Related Materials

Section 17 – Consultants and Independent Contractors

- Consultants and Other Contractors for Professional and Artistic Services
 - Classification of Independent Contractors Versus Employees
 - Capital Professional Services Consultant (PSC) Error and Omission Policy
- UOCP&RES Design Professionals Policy
<http://www.uocpres.uillinois.edu/architects/policies>
 - **Qualifications Based Selection (QBS) Policy** – The University’s policy and process for selecting Professional Services Consultants.
 - **Brand Name Policy** – This policy applies to the specifying and/or purchase of specific brand name products for use in capital projects.
 - **Capital Professional Services Scope and Fee Negotiation Policy** – The guidelines for negotiating fees with a PSC after a firm has been selected using the QBS policy and law.
 - **Change Order and Amendment Policy** – This policy governs expenditures in excess of a capital contract’s original price.
 - **Capital Professional Services Consultant (PSC) Error and Omissions Policy** – This policy explains how the University assesses errors and omissions on the design of a construction project.

-
- **Retainer Agreement Policy** – Each campus has retained the services of professional Consultants to assist on small capital improvement projects. These firms are under contract and “on-call” to be able to start work on a project in a timely manner.
 - **Consultants Guide for Capital Projects Requiring University of Illinois Board of Trustees Approval** – Requirements for the review process and information requirements for projects that require Board of Trustees approval.
 - **Professional Services Consulting at the University of Illinois** – A guide for PSCs who currently or want to do work for the University and are interested in learning about the University’s processes.
 - **Capital Contracts Limits** – Authority limits for contracts related to capital projects and approval required.
 - **Business and Financial Policies and Procedures** – The Office of Business and Financial Services manual that contains policies that apply to the University and its campuses. General information for any Consultants, Contractors, or Vendors that plan to or currently do business with the University.
 - **Policy on Minority and Female Business Enterprise (MBE/WBE) Goals in Capital Construction Procurement** – The procedures and guidelines established by the University to implement the goals established by the Board of Trustees for the utilization of MBE/WBE construction Vendors.
 - **Professional and Artistic Services Request for Proposals** – Selection policy for Consultants not covered under QBS.
 - **Equal Employment Opportunity Compliance Program** – The University’s policy regarding the implementation and review of a Contractor’s Affirmative Action Plan for capital projects.

Systems

- **Vendor Services Application (VSA)** – The Vendor Services Application (**VSA**) collects basic information about a Vendor (or other external organization) and its related employees in a central location.
- **Upside Contract** – **Upside Contract** allows for creation and management for all capital-related contract documents, including:
 - Professional Services Consultant Agreements
 - Front-End Documents
 - Construction Contracts
 - Letters to Contractors, such as Notice of Award, Notice of Intent to Award, and Notice to Proceed
 - Letters to Professional Services Consultants
 - Professional Services Consultant and Construction Bid Advertisements
 - Retainer Agreements and Renewal Letters
- **Banner** – The **Banner** Administrative Forms component of the UI-Integrate System provides an interface through which payments and other financial transactions are managed.

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- **FCPWeb** – FAMIS Capital Projects Web (**FCPWeb**) serves as the official financial management system for capital programs and has data integration points with the **Banner** system.
 - **PRZM** – **PRZM** is the capital project management system for the University. It offers a begin-to-end approach to capital project management, and includes project information from conceptualization through warranty.
 - **PSC Selection Platform**

References

University Policy: <http://www.uocpres.uillinois.edu/architects/policies>

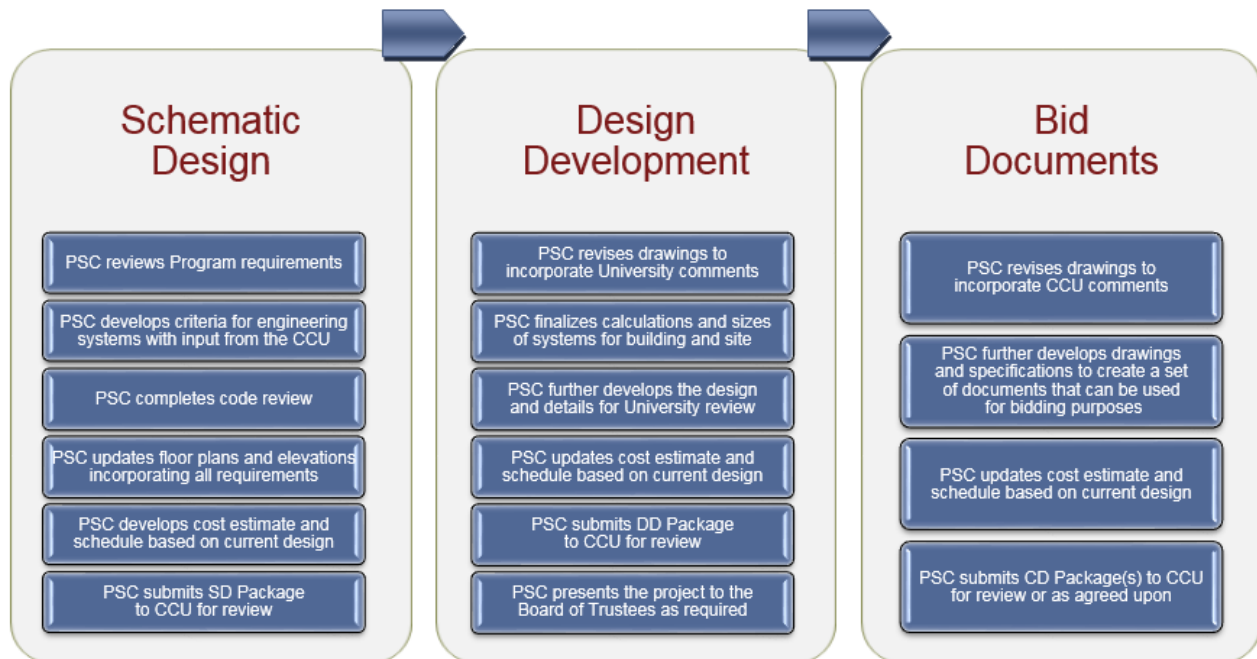
- QBS Reference Material; Qualifications Based Selection Act
 1. Checklist for Committee Chair
 2. Public Notice of Construction Related Professional Services Consultant (Advertisement)
 3. Project Approval
 4. Initial Evaluation – Minimum Qualifications
 5. Initial Evaluation
 6. Approval for Firms to be Interviewed
 7. Sample Letter for Interview Waiver
 8. Interview Evaluation
 9. Reference Call
 10. Sample Letter - Selected Team for Interview
 11. Sample Letter - Team Not Selected for Interview
 12. Approval form to Negotiate Recommended Professional Services Consultant
 13. Sample Letter - Firm Selected from Interview
 14. Sample Letter - Firms Not Selected from Interviews
 15. Professional Services Consultant (PSC) Approval Request with Negotiated Fees
 16. Required Procurement Posting Information
 17. PSC Evaluation Overview
 18. PSC Preconstruction Phase Evaluation (Required)
 19. PSC Construction Evaluation (Required)
 20. PSC Conceptualization Evaluation (Required)
 21. PSC Retainer Evaluation (Required)
 22. PSC Design Phase Evaluation (Optional)
 23. PSC Post Construction Phase Evaluation (Optional)
 24. PSC Evaluation Summary
 25. PSC Evaluation Storage Process

-
- RFP Consultant Evaluation Policy; RFP Reference Material
 1. PSC Evaluation Committee Chair Checklist
 2. Request for Professional Services Consultant Qualifications (RFP)
 3. Initial Evaluation
 4. Approval Form for Firms to be Invited to Discussion Meeting
 5. Sample Letter for Discussion Meeting Waiver
 6. Discussion Meeting Evaluation
 7. Sample Letter – Selected Team for Discussion Meeting
 8. Sample Letter – Team Not Selected to Attend a Discussion Meeting
 9. Approval to Negotiate with Recommended Professional Services Consultant from Discussion Meeting
 10. Sample Letter for Firm Selected from Discussion Meeting
 11. Sample Letter for Firms Not Selected from Discussion Meeting
 12. Professional Services Consultant Approval Request
 13. Required Procurement Posting Information
 14. Professional Services Consultants (PSC) Evaluation Process Overview
 - a. Standard Contract at Substantial Completion
 - b. Conceptualization Contract at the end of the contract
 - c. Retainer Contract at the end of the contract, prior to renewal
 - d. PSC Evaluation Average Scores at the completion of the evaluation
 - e. Standard Contract at the end of Preconstruction phase
 - f. Standard Contract at the end of each Design phase (SD, DD, and CD)
 - g. Standard Contract at the end of the Post-Construction phase
 - h. PSC Evaluations – Electronic Storage Process document
 - Design and Facilities Standards – Each campus has developed standards for design and facilities that the PSC must adhere to during the design process.

Step 5: Design Process

5 Design

This phase evaluates the program as the foundation for the design plan, information review, and project refinement. Through drawings and specifications, the PSC will provide direction of the project's design and construction strategy. At the end of each phase, the design and cost estimate will be submitted to the Campus Construction Unit for review and comment to verify that the project aligns with the program, scope, schedule, and budget established during Conceptualization.



The Design Process interprets the information from the Program Statement into drawings and specifications for review by the University and stakeholders that will eventually be used as bid documents for the project.

Schematic Design tests and explores alternative solutions for the program. Drawings, outline specifications including criteria for engineering systems, code evaluation and a cost/schedule estimate are prepared in sufficient detail for the project team to understand and approve. The Campus Construction Unit coordinates document review and submits comments to the Professional Services Consultant (PSC) for response. Ideally, schematic designs are presented to the Chancellor's Design Advisory Committee (CDAC) for comment.

Design Development moves forward from the Schematic Design and refines Schematic Design to sufficient detail to define and describe all aspects of the project to enable bid documents to proceed. Drawings and specifications are products of this effort. Products of projects that require Board of Trustee approval for design will also include an electronic presentation of the proposed design. As noted in the graphic above, the Design Development Phase finalizes calculations for building systems and updates the cost estimate and schedule. During Design Development, the interior design process begins to allow furniture, fixtures and equipment

(FF&E) to be selected. At the conclusion of Design Development, the project design should be complete and the project team should be confident that the project is within budget and meets the program needs. The CCU coordinates document review and submits comments to the Professional Services Consultant for response. Design Development designs are presented to the CDAC for comment.

The Construction Documents Phase further details the documents from the Design Development Phase to fix and illustrate the tasks required for construction and to ready the documents for the bidding phase. At a minimum, two reviews of the documents by the CCU are performed: one review at 50% completion and another at 95% completion.

Business Processes

Through the Design Process, as the PSC completes a percentage of the design work, the PSC firm will submit through payment applications through an approval process within **PRZM**. Once the Project Manager has approved the payment application, it is the responsibility of the Campus Financial Manager to give final approval and forward the application to University Payables. **Banner** will be updated as the payment process is completed. The Campus Financial Manager will then post the payment in **FCPWeb**.

Next Steps

- Bidding and Contract Award

Stakeholders for This Phase

<i>Description</i>	<i>Stakeholder</i>
Non-Capital Campus Stakeholders	<ul style="list-style-type: none">• Campus Client• Campus Department Chair• Provost• Chancellor• Chancellor's Design Advisory Committee
Campus Client Group Stakeholders	<ul style="list-style-type: none">• Representatives of Campus Facilities and Services Units affected by the project including:<ul style="list-style-type: none">○ Utilities○ Space Management○ Parking○ Telecommunications○ Office of Sustainability○ Safety and Compliance
Capital-Related Stakeholders	<ul style="list-style-type: none">• Campus Planner/Project Manager• Campus Financial Manager• Campus Construction Units• University Office of Capital Programs and Real Estate Services
External Vendor(s)	<ul style="list-style-type: none">• Professional Services Consultant• Construction Manager<ul style="list-style-type: none">○ When a Construction Manager is involved in a project, the CM plays an important role with critical input on budget, schedule, and constructability.

Applicable Laws, Policies and Business Rules, Systems, and References

To access the applicable laws and policies, go directly to the website for the University Office of Capital Programs and Real Estate Services (UOCP&RES):

1. Navigate to www.uocpres.uillinois.edu.
2. Click the **Design Professionals** or **Contractors** tab on the sub-menu.
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Laws

- **Illinois Higher Board of Education and Procurement Code 30 ILCS 500:** The guidelines and procurement rules that the University operates under with regards to contracting for the design and construction of facilities and selection of Consultants not covered by QBS.
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- **Joint Committee on Administrative Rules section 4.2035** Competitive Selection Procedures for Professional and Artistic Services and Section 3005 Construction and Construction Related Services for selection of Consultants not covered by QBS.
- **Business Enterprise for Minorities, Females, and Persons with Disabilities Act 30 ILCS 575 et seq.** also known as Senate Bill 351.
- **Illinois Human Rights Act:** This statute must be adhered to by the University and the Vendors that the University hires to perform work.
- Elevator Safety & Regulation Act
- Applicable State Plumbing, Electrical, Fire and Safety Codes

Policies and Business Rules

- UOCP&RES Design Professionals Policy and Laws
 - **Brand Name Policy** – This policy applies to the specifying and/or purchase of specific brand name products for use in capital projects.
 - **Capital Professional Services Scope and Fee Negotiation Policy** – The guidelines for negotiating fees with a PSC after a firm has been selected using the QBS policy and law.
 - **Change Order and Amendment Policy** – This policy governs expenditures in excess of a capital contract’s original price.
 - **Capital Professional Services Consultant (PSC) Error and Omissions Policy** – This policy explains how the University assesses errors and omissions on the design of a construction project.
 - **Retainer Agreement Policy** – Each campus has retained the services of professional Consultants to assist on small capital improvement projects. These firms are under contract and “on-call” to be able to start work on a project in a timely manner.
 - **Consultant Guide for Capital Projects Requiring University of Illinois Board of Trustees Approval** – Requirements for the review process and information requirements for projects that require Board of Trustees approval.
 - **Business and Financial Policies and Procedures** – The Office of Business and Financial Services manual that contains policies that apply the University and its campuses. General information for any Consultants, Contractors or vendors that plan to or currently do business with the University.
 - **Policy On Minority and Women Business Enterprise (MBE/WBE) Goals in Capital Construction Procurement** – The procedures and guidelines established by the University to implement the goals established by the Board of Trustees for the utilization of MBE/WBE construction Vendors.
 - **Equal Employment Opportunity Compliance Program** – The University’s policy regarding the implementation and review of a Contractor’s Affirmative Action Plan for capital projects.

Systems

- **Banner** – The **Banner** Administrative Forms component of the UI-Integrate System provides an interface through which payments and other financial transactions are managed.
- **FCPWeb** – FAMIS Capital Projects Web (**FCPWeb**) serves as the official financial management system for capital programs and has data integration points with the **Banner** system.
- **PRZM** – **PRZM** is the capital project management system for the University. It offers a begin-to-end approach to capital project management, and includes project information from conceptualization through warranty.

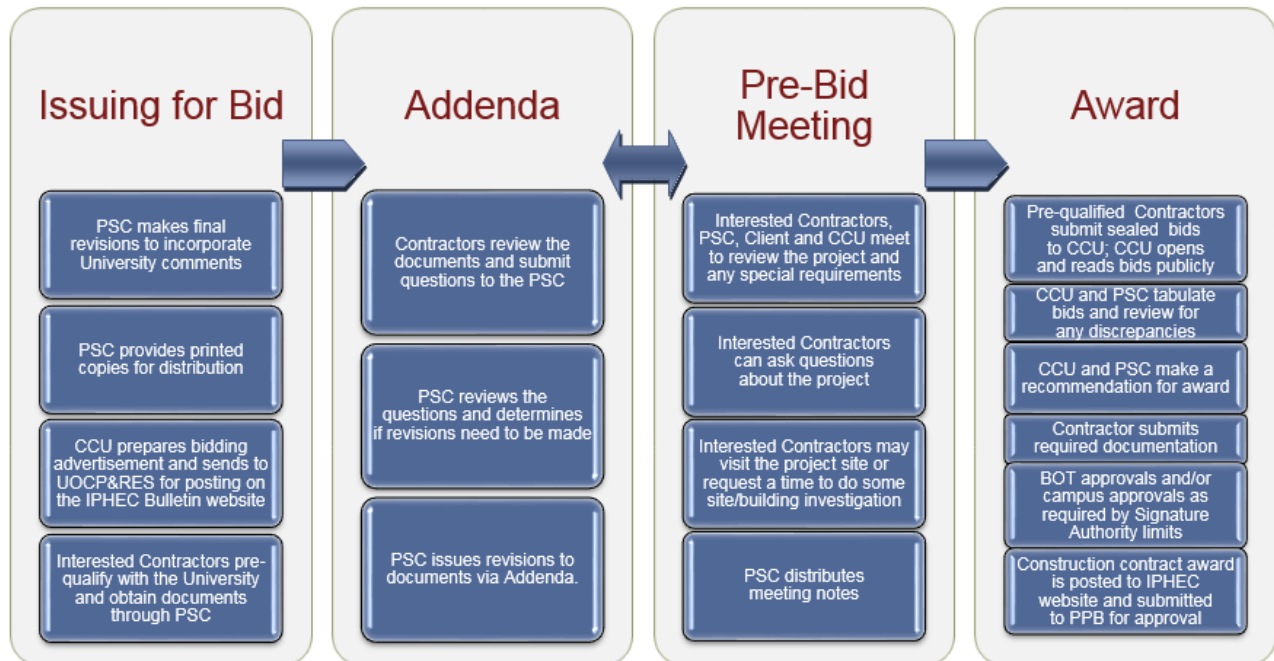
References

- Design and Facilities Standards – Each campus has developed standards for design and facilities that the PSC must adhere to during the design process.

Step 6: Bidding and Award

6 Bid and Award

In this phase, the project documents are available for the purpose of providing a bid to the University. The procurement of construction services by the University is governed by the provisions of the Illinois Procurement Act. The method of determining the vendor or contractor will be through a formal, sealed-bid process with the lowest responsible and responsive bid getting the award.



Once the Professional Services Consultant (PSC) has incorporated final review comments and the Campus Construction Unit (CCU) approves, the documents (plans and specifications) are released for bid. The PSC provides copies for distribution.

The CCU prepares the documents and sends them to the PSC. The CCU also prepares the bidding advertisement and sends them to the UOCP&RES for posting on the Illinois Public Higher Education Procurement Bulletin (IPHEPB).

In order to bid, Contractors must be prequalified with the University through the CCU, using the Contractor Annual Prequalification System (**CAPS**).

In consultation with the CCU, the PSC reviews questions about the documents and issues addenda as required.

A Pre-Bid meeting is held to publicly review the project, to point out critical elements of the project, and to explain required bid policies such as goals for minority and women business

enterprise participation. The meeting is conducted by the PSC and attended by representatives of the Campus Client and the Project Manager (PM) from the CCU as well as interested Contractors and Vendors. Contractors may be required to attend mandatory Pre-Bid meetings in order to bid the project. Contractors and Vendors may ask questions during the meeting and responses may generate addenda.

The CCU opens and reads the sealed bids publicly while the PSC records the information. The CCU and the PSC review the bids for any discrepancies and qualifications; representatives from UOCP&RES review the bids for compliance with Minority and Female Business Enterprise goals and good faith efforts. The CCU and the PSC make a recommendation for the lowest responsible and responsive bidder according to the approval policy. The selected Contractor submits their required documentation including the required identification of Subcontractors, Vendors and Suppliers and their diversity status. The CCU requests the UOCP&RES to post the contract award to the IPHEC website for review by the Chief Procurement Office (CPO) and submit to the Procurement Policy Board for approval. The actual contracts are developed by the CCU using the UPSIDE system and routed for signature by the Contractor. The contracts are then electronically routed by the CCU, University Legal Counsel, and appropriate University signature authority through the Contracts+ system.

Business Processes

After the approval of the contract award, the CCU is responsible for the preparation and execution of the construction contracts for the various divisions of work. A construction contract worksheet is provided to assist the CCU in the collection of pertinent data that is contained in the construction contract. No award may proceed until approved by the CPO/PPB.

The Campus Financial Manager, upon receipt of a copy of the executed Construction Contracts, will create request and confirm the funding to cover the encumbrance has been transferred to the plant fund CFOAP, and subsequently an encumbrance in **Banner** using the appropriate account codes for capitalized versus non-capitalized services. A contract line item will also be created in **FCPWeb** and the contract entered using budget codes appropriate to the Contractor's division of work.

Approvals Required

Activity	Dollar Limit	Authority to Sign
Construction Contracts	≤ \$1,000,000	Campus Construction Unit Head
	< \$2,500,000	Senior Associate Vice President Business and Finance and Deputy Controller (via UOCP&RES)
	≥ \$2,500,000	Board of Trustees (via UOCP&RES)

- All publicly bid contracts must be reviewed by the CPO and/or the SPO.
- All contracts must be approved by the State Procurement Policy Board (PPB) prior to award.

For projects managed by the Capital Development Board (CDB), the contracts are approved and posted to the Procurement Bulletin by the CDB.

About the Procurement Policy Board

Sole source procurements and awards made pursuant to a competitive bid process are subject to review by the PPB. The PPB was established as an independent State agency with the authority to hold hearings regarding the implementation and administration of the Illinois Procurement Code, to review specific procurement transactions, and to recommend policy regarding those transactions.

Public Act 93-0839 requires that the PPB review procurements prior to the issuance of a contract or purchase order. The PPB reviews sole sources and awards posted on the Illinois Higher Education Procurement Bulletin and has 15 days to grant a waiver from review, request more information about the transaction, or conduct a more in-depth review. **A purchase order or contract cannot be issued by the University until approval has been received from the PPB or the 15-day review period has expired.**

Next Steps

- Construction

Stakeholders for This Phase

<i>Description</i>	<i>Stakeholder</i>
Non-Capital Campus Stakeholders	<ul style="list-style-type: none">• Campus Client
Campus Client Group Stakeholders	<ul style="list-style-type: none">• Representatives of Campus Facilities and Services Units affected by the project including:<ul style="list-style-type: none">○ Utilities○ Space Management○ Parking○ Telecommunications○ Office of Sustainability○ Safety and Compliance
Capital-Related Stakeholders	<ul style="list-style-type: none">• Campus Planner/Project Manager• Campus Financial Manager• Campus Construction Unit• University Office of Capital Programs and Real Estate Services
External Vendor(s)	<ul style="list-style-type: none">• Professional Services Consultant• Construction Manager<ul style="list-style-type: none">○ When a Construction Manager is involved in a project, the CM plays an important role with critical input on budget, schedule, and constructability.

Applicable Laws, Policies and Business Rules, Systems, and References

To access the applicable laws and policies, go directly to the website for the University Office of Capital Programs and Real Estate Services (UOCP&RES):

1. Navigate to www.uocpres.uillinois.edu.
2. Click the **Design Professionals** or **Contractors** tab on the sub-menu.
3. Select the **Policy and Laws** link.

Laws

- **Illinois Higher Board of Education and Procurement Code 30 ILCS 500:** The guidelines and procurement rules that the University operates under with regards to contracting for the design and construction of facilities and selection of Consultants not covered by QBS.
 1. **Public Act 096-795**, effective for all solicitations on or after July 1, 2010, makes significant revisions to the Procurement Code. (Also known as Senate Bill 51)
 2. **Public Act 096-920** amends and clarifies the original Act.
- **Business Enterprise for Minorities, Females, and Persons with Disabilities Act 30 ILCS 575 et seq.** also known as Senate Bill 351.

-
- **Illinois Human Rights Act:** This statute must be adhered to by the University and the Vendors that the University hires to perform work.
 - Elevator Safety & Regulation Act
 - Applicable State Plumbing, Electrical, Fire and Safety Codes

Policies and Business Rules

- OBFS Policy Manual Sections with Capital Related Materials

Section – Purchasing

- Purchasing Operations
 - Purchase of Goods and Services
-
- UOCP&RES Design Professionals Policy and Laws
 - **Brand Name Policy** – This policy applies to the specifying and/or purchase of specific brand name products for use in capital projects.
 - **Change Order and Amendment Policy** – This policy governs expenditures in excess of a capital contract's original price.
 - **Consultant Guide for Capital Projects Requiring University of Illinois Board of Trustees Approval** – Requirements for the review process and information requirements for projects that require Board of Trustees approval.
 - **Capital Contracts Limits** – Authority limits for contracts related to capital projects and approval required.
 - **Business and Financial Policies and Procedures** – The Office of Business and Financial Services manual that contains policies that apply the University and its campuses. General information for any Consultants, Contractors or Vendors that plan to or currently do business with the University.
 - **Policy On Minority and Women Business Enterprise (MBE/WBE) Goals in Capital Construction Procurement** – The procedures and guidelines established by the University to implement the goals established by the Board of Trustees for the utilization of MBE/WBE construction Vendors.
 - **Equal Employment Opportunity Compliance Program** – The University's policy regarding the implementation and review of a Contractor's Affirmative Action Plan for capital projects.

Systems

- **Vendor Services Application (VSA)** – The Vendor Services Application (**VSA**) collects basic information about a Vendor (or other external organization) and its related employees in a central location.
- **CAPS** – The Contractor Annual Pre-qualification System (**CAPS**) allows Contractors to pre-qualify so that they may bid on upcoming capital projects.
- **Upside Contract – Upside Contract** allows for creation and management for all capital-related contract documents, including:
 - Professional Services Consultant Agreements
 - Front-End Documents
 - Construction Contracts
 - Letters to Contractors, such as Notice of Award, Notice of Intent to Award, and Notice to Proceed
 - Letters to Professional Services Consultants
 - Professional Services Consultant and Construction Bid Advertisements
 - Retainer Agreements and Renewal Letters
- **Banner** – The **Banner** Administrative Forms component of the UI-Integrate System provides an interface through which payments and other financial transactions are managed.
- **FCPWeb** – FAMIS Capital Projects Web (**FCPWeb**) serves as the official financial management system for capital programs and has data integration points with the **Banner** system.
- **PRZM** – **PRZM** is the capital project management system for the University. It offers a begin-to-end approach to capital project management, and includes project information from conceptualization through warranty.

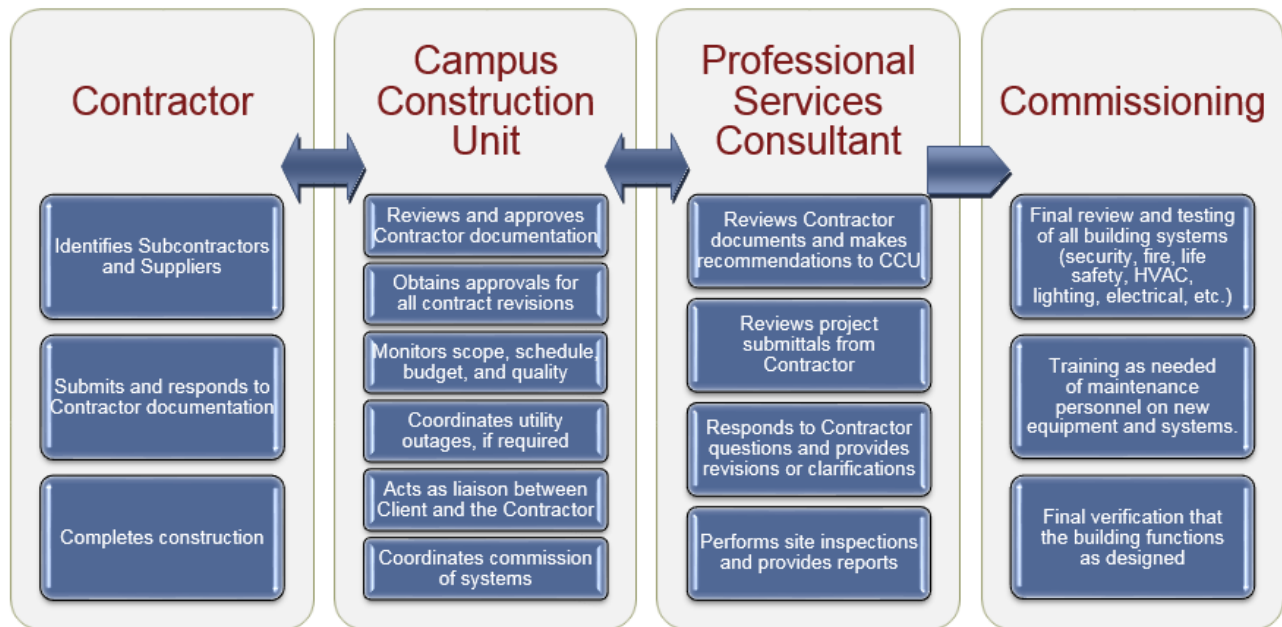
References

- Design and Facilities Standards – Each campus has developed standards for design and facilities that the PSC must adhere to during the design process.

Step 7: Construction

7 Construction

This phase includes the process to deliver the project that meets the requirements of the documents within the construction budget and schedule.



The goal of the construction phase is to deliver the project in compliance with the specifications on time and within budget. The process involves the close interaction of three participants: the Contractors, the Campus Construction Unit (CCU), and the Professional Services Consultant (PSC). When a Construction Manager is employed for a project, the Construction Manager (CM) plays a critical role in keeping the project on schedule and within budget. The Contractor submits via the PSC and/or CM a schedule of values and detailed project schedule for review and approval. After the PSC and/or the CM recommends the Contractor's documentation, the CCU approves. The process of reviewing and approving is the same for all documents such, as pay applications and change orders. To manage the flow of work and approvals, projects utilize the **PRZM** system.

During this phase, the Contractor may submit questions to the PSC or the CM in the form of a request for information. If the CCU wants to inquire about the cost or feasibility of making a change, a request for information is made to the Contractor through the PSC or the CM. Once all parties accept the terms of the Request for Information (RFI), a Request for Proposal (RFP) is generated for Contractor pricing. This may result in a Change Order if approved and processed through the CCU. At the end of construction, the Contractor notifies the PSC or the CM that the Contractor believes the work to be substantially complete. The commissioning and inspection of the systems of a facility and operation training is scheduled by the CCU. The construction

phase ends with the successful commissioning and inspection and if the PSC or the CM with the concurrence of the CCU issues a certificate of substantial completion and a punch list of items to complete.

The roles of each of the participants is detailed in the diagram above with the Contractor performing the work to meet the requirements of the contract documents; the PSC reviewing and making recommendations to the CCU on all documentation, submittals and inspections; and the CCU approving the documentation, contract revision, and changes to the scope, schedule, or budget. The CCU acts as a liaison between the campus Client and the Contractor and the PSC. All communication should flow through the CCU. The CCU also acts as a liaison between the Contractor and the campus facilities and services operations to coordinate all interactions, such as utility outages required. The CCU also coordinates the commissioning and inspection efforts.

Roles of the Campus Construction Unit (CCU)

The Campus Construction Unit (CCU) typically performs the following duties:

- a. Participates in bid document development and the Art in Architecture program.
- b. Coordinates utilities outages and street closures with campus for the Contractors.
- c. Oversees the arrangements for temporary and permanent utilities services.
- d. Makes periodic site visits to review the progress of the work.
- e. If a problem arises on the job, CCU assists in identifying the appropriate contractual party responsible for ensuring the problem is addressed. CCU then monitors the situation to ensure that the appropriate follow-up is taken.
- f. Reviews and concurs, on behalf of the Client and campus, with change orders and pay requests on the project.
- g. Reviews Client-requested program changes with the campus to determine whether or not a specific change is warranted.
- h. Keeps the Client, the campus, and electronic systems updated as to the schedule and anticipated project completion.
- i. Advises and assists the Client and the campus in organizing and implementing their activation and occupancy of the building.
- j. Organizes operation and maintenance demonstrations so that the Contractors and equipment Vendors can familiarize the Physical Plant personnel and the Client with the new facility's equipment.
- k. Organizes and participates in punch list and substantial completion inspections. (Participation of the Physical Plant, Contractors, Professional Services Consultants, and the Capital Development must be coordinated.)
- l. Receives and transmits shop drawings and Operation and Maintenance manuals to Facilities & Services.
- m. Ensures that the keys are turned over to Facilities & Services so that they can begin their marking and duplicating prior to issuing them to the department.

-
- n. Reviews and coordinates warranty-related items after the finished project is accepted by the University.

Business Processes

Usually on a monthly basis, the Contractors will submit payment applications through **PRZM** as a percentage of work completed, which is based on the schedule of values each Contractor entered after the award of the contracts. Payment applications go through an approval process within **PRZM**. Once the Project Manager has approved the payment application, it is the responsibility of the Campus Financial Manager to give final approval and forward the application to University Payables. **Banner** will be updated as the payment process is completed. The Campus Financial Manager will then post the payment in **FCPWeb**.

Approvals Required

Most approvals for activities during the Construction phase follow the workflow designs within the **PRZM** system.

- Approvers involved include the CCU, Campus Client, UOCP&RES, PSC, and in some cases, the Board of Trustees, with contract approval levels according to delegated authority levels.
- For change orders and professional services agreements amendments cumulatively greater than 25% for the medical school and 5% for the rest of the campus, the Board of Trustees will review. For change orders greater than \$50,000, the Senior Associate Vice President for the Office of Business and Financial Services (OBFS) approves. For change orders less than or equal \$50,000, the Campus Construction Unit (CCU) Head approves.

Construction Documents

1. Construction Contract Items.

- a. References **Contract Documents** as part of contract and includes: the contract, construction documents / specifications (including Front Ends) / drawings and any future change orders.
- b. Include state certifications and financial disclosure forms.
- c. Include insurance certificates and bonds.

2. Bidding Documents 00 10 00 through 00 46 00.

- a. Division of work base bids and all alternates.
- b. Contractor assignment or not.
- c. Include IDOL prevailing wage rates (and PLA for UIUC only).
- d. Builders Risk Insurance – coverage by CM or GC or Contractor with most work.
- e. Pre-bid conferences – mandatory or not.
- f. Diversity/pre-bid/GFE requirements – CMS certified ONLY. UIC 30%; all others 20%.
- g. Bid bonds / deposits – 5% of base bid price.
- h. Prequalification requirements – annual and project-specific.
- i. Construction duration in calendar days (can request dates if warranted).
- j. Bid opening process.
- k. Bid material deficiencies.

3. Insurance Items – Part of General Conditions Document 00 70 00.

- a. Performance Bond and Payment Bond – Article 15.
 - i. Each Bond totals to sum of all contracts (for Contractor with assigned subs only).
- b. General Liability Insurance – Article 18.
 - i. Meet all required minimum limits.
 - ii. Ensure Board of Trustees are identified as *Additional Insured on a primary and non-contributory basis*.
 - iii. Waiver of subrogation clause.
- c. Builders Risk Insurance – Article 19.
 - i. Coverage to include sum of all contracts AND owner purchased equipment that is permanently installed.
 - ii. Ensure Board of Trustees are identified as *Additional Insured on a primary and non-contributory basis*.
 - iii. Waiver of subrogation clause – no right of recovery against the University.
 - iv. Loss of income / delay in completion, flood and earthquake insurance considerations – for new construction / Additions.

Next Steps

- Post Construction (Warranty, Post Occupancy)

Stakeholders for This Phase

<i>Description</i>	<i>Stakeholder</i>
Non-Capital Campus Stakeholders	<ul style="list-style-type: none">• Campus Client• Risk Management
Capital-Related Stakeholders	<ul style="list-style-type: none">• Campus Planner/Project Manager• Campus Financial Manager• Campus Construction Unit• University Office of Capital Programs and Real Estate Services• University Accounting and Financial Reporting (UAFR)
External Vendor(s)	<ul style="list-style-type: none">• Professional Services Consultant• Construction Manager<ul style="list-style-type: none">○ When a Construction Manager is involved in a project, the CM plays an important role with critical input on budget, schedule, and constructability.• Contractors/Vendors

Applicable Laws, Policies and Business Rules, and Systems

To access the applicable laws and policies, go directly to the website for the University Office of Capital Programs and Real Estate Services (UOCP&RES):

1. Navigate to www.uocpres.uillinois.edu.
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- **Business Enterprise for Minorities, Females, and Persons with Disabilities Act 30 ILCS 575 et seq.** also known as Senate Bill 351.

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- **Illinois Human Rights Act:** This statute must be adhered to by the University and the Vendors that the University hires to perform work.
 - Applicable State Plumbing, Electrical, Fire and Safety Codes
 - **Federal Executive Order 11246 – Contractor Requirements:** Department of Labor regulations pertaining to Equal Employment Opportunity specific to Contractors and Subcontractors.
 - **Illinois Professional Land Surveyor Act of 1989:** The statute that governs the profession of Land Surveying in Illinois.
 - [Elevator Safety and Regulation Act:](#) The statute that governs elevator safety requirements.
 - [Fire Sprinkler Contractor Licensing Act:](#) The statute that governs the minimum standards for fire sprinkler Contractor licensure.
 - [Illinois Plumbing License Law:](#) The statute that governs the minimum standards for plumbing Contractor licensure.
 - [Illinois Roofing Industry Licensing Act:](#) The statute that governs the minimum standards for roofing Contractor licensure.

Policies and Business Rules

- OBFS Policy Manual Sections with Capital Related Materials

Purchasing

- Purchasing Operations
 - Purchase of Goods and Services
- UOCP&RES Design Professionals Policy and Laws
 - **Brand Name Policy** – This policy applies to the specifying and/or purchase of specific brand name products for use in capital projects.
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 - **Consultant Guide for Capital Projects Requiring University of Illinois Board of Trustees Approval** – Requirements for the review process and information requirements for projects that require Board of Trustees approval.
 - **Policy on Minority and Female Business Enterprise (MBE/WBE) Goals in Capital Construction Procurement** – The procedures and guidelines established by the University to implement the goals established by the Board of Trustees for the utilization of MBE/WBE construction Vendors.
 - **Equal Employment Opportunity Compliance Program** – The University’s policy regarding the implementation and review of a Contractor’s Affirmative Action Plan for capital projects.

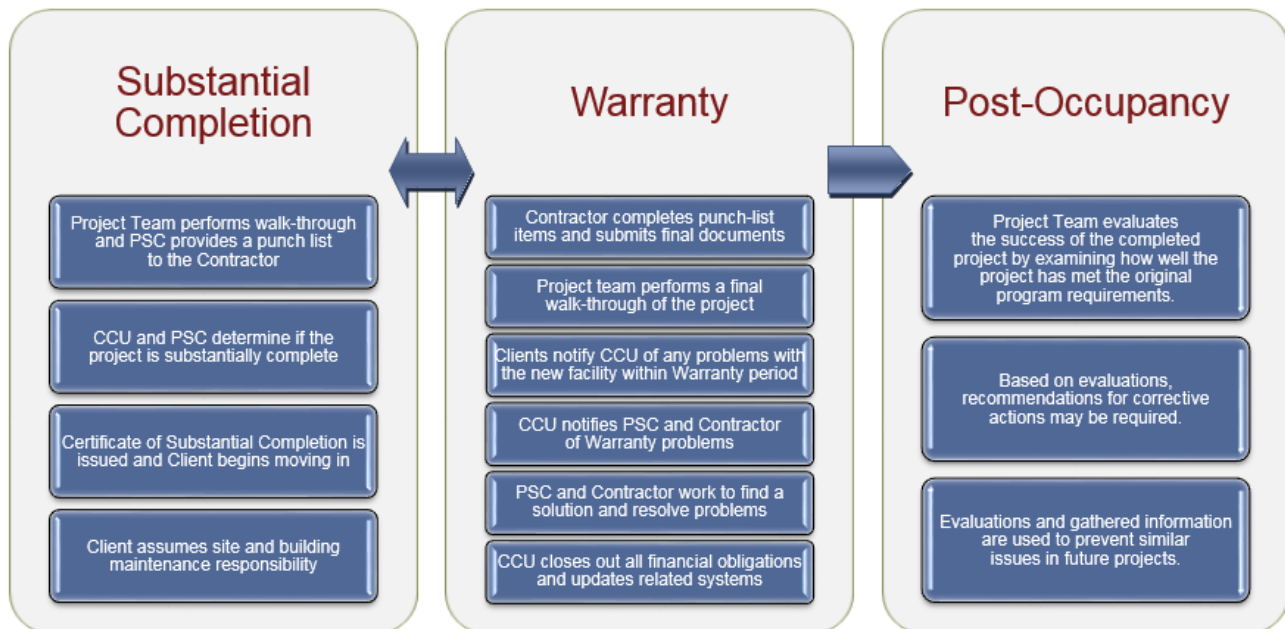
Systems

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 - Front-End Documents
 - Construction Contracts
 - Letters to Contractors, such as Notice of Award, Notice of Intent to Award, and Notice to Proceed
 - Letters to Professional Services Consultants
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 - Retainer Agreements and Renewal Letters
- **Banner** – The **Banner** Administrative Forms component of the UI-Integrate System provides an interface through which payments and other financial transactions are managed.
- **FCPWeb** – FAMIS Capital Projects Web (**FCPWeb**) serves as the official financial management system for capital programs and has data integration points with the **Banner** system.
- **PRZM** – **PRZM** is the capital project management system for the University. It offers a begin-to-end approach to capital project management, and includes project information from conceptualization through warranty.

Step 8: Post-Construction

8 Post - Construction

The Post-Construction phase includes the process of the final review and documentation of the building and systems. This phase also includes the commissioning of the building, the warranty phase where contractors correct defects in materials and workmanship, and the post-occupancy review to evaluate the success of the facility.



The warranty phase begins once a certificate of substantial completion and a punch list of items to complete are issued. After the Contractor notifies the Professional Services Consultant (PSC) that the punch list items are complete and after all required final as built drawings and operation manuals are submitted, the project team walks the project and confirms the work is finished.

As issues come up with the facility during the first year, the Campus Client notifies the Campus Construction Unit (CCU) who determines if the issues are included in the project warranty. If the issues are warranty issues, the CCU notifies the PSC and the Contractor who work to resolve the issue. The PSC keeps a log of all issues, action, and resolutions. The log is given to the CCU at the completion of the warranty phase.

The CCU coordinates the post-occupancy evaluation of facilities after a minimum of six months of occupancy with input from the campus Client. Evaluations are based on how well the completed projects have met the original program requirements and how well the facility functions for the campus Client. Recommendations may include modifications to the facility,

furniture, finishes, building systems, and additions or changes to the Building Standards or the programming process.

Prior to the project being financially closed, the Campus Warranty Officer concurs that all punchlist and warranty items are complete. The Campus Planner/Project Manager (PM) shall complete and file all required Professional Services Consultant evaluations (minimum two evaluations – preconstruction and construction phase evaluations) in accordance with the Qualifications Based Selection Act and the University’s Consultant Selection Policy. Contractor evaluations shall also be completed by the Campus Planner/PM.

Business Processes

After substantial completion, and during the Warranty Phase, the Campus Financial Manager ensures that the project is closed out financially by paying outstanding invoices; zero-ing out **Banner** plant funds; and requesting that plant fund accounts be terminated; closing the projects out by performing closeout tasks in **FCPWeb** and **PRZM**. In the event of an overage, the client shall present a plan to cover any additional expenses.

Approvals Required

Approvers involved include the CCU, PSC, Campus Client, and Campus Warranty Officer. Most approvals for activities during the Construction phase follow the workflow designs within the **PRZM** system.

Stakeholders for This Phase

<i>Description</i>	<i>Stakeholder</i>
Non-Capital Campus Stakeholders	<ul style="list-style-type: none">• Campus Client• Risk Management• Legal Counsel (when necessary)
Campus Client Group Stakeholders	<ul style="list-style-type: none">• Representatives of Campus Facilities and Services Units affected by the project including:<ul style="list-style-type: none">○ Utilities○ Space Management○ Parking○ Telecommunications○ Office of Sustainability○ Safety and Compliance
Capital-Related Stakeholders	<ul style="list-style-type: none">• Campus Planner/Project Manager/Warranty Officer• Campus Construction Unit• University Office of Capital Programs and Real Estate Services
External Vendor(s)	<ul style="list-style-type: none">• Professional Services Consultant• Construction Manager

	<ul style="list-style-type: none"> • Contractors
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Applicable Laws, Policies and Business Rules, Agreements and Contracts, Systems, and Reference Documents

To access the applicable laws and policies, go directly to the website for the University Office of Capital Programs and Real Estate Services (UOCP&RES):

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- **Illinois Human Rights Act:** This statute must be adhered to by the University and the Vendors that the University hires to perform work.
- Applicable State Plumbing, Electrical, Fire and Safety Codes
- **Federal Executive Order 11246 – Contractor Requirements:** Department of Labor regulations pertaining to Equal Employment Opportunity specific to Contractors and Subcontractors.
- **Illinois Professional Land Surveyor Act of 1989:** The statute that governs the profession of Land Surveying in Illinois.
- [Elevator Safety and Regulation Act](#): The statute that governs elevator safety requirements.
- [Fire Sprinkler Contractor Licensing Act](#): The statute that governs the minimum standards for fire sprinkler Contractor licensure.
- [Illinois Plumbing License Law](#): The statute that governs the minimum standards for plumbing Contractor licensure.
- [Illinois Roofing Industry Licensing Act](#): The statute that governs the minimum standards for roofing Contractor licensure.

Policies and Business Rules

- OBFS Policy Manual Sections with Capital Related Materials

Purchasing

- Purchasing Operations
 - Purchase of Goods and Services
-
- UOCP&RES Design Professionals Policy and Laws
 - **Qualifications Based Selection (QBS) Policy** – The University’s policy and process for selecting Professional Services Consultants.
 - **Change Order and Amendment Policy** – This policy governs expenditures in excess of a capital contract’s original price.
 - **Capital Professional Services Consultant (PSC) Error and Omissions Policy** – This policy explains how the University assesses errors and omissions on the design of a construction project.
 - **Capital Professional Services Scope and Fee Negotiation Policy** – The guidelines for negotiating fees with a PSC after a firm has been selected using the QBS policy and law.
 - **Retainer Agreement Policy** – Each campus has retained the services of professional Consultants to assist on small capital improvement projects. These firms are under contract and “on-call” to be able to start work on a project in a timely manner.
 - **Professional and Artistic Services Request for Proposals** – Selection policy for Consultants not covered under QBS.
 - **Consultant Guide for Capital Projects Requiring University of Illinois Board of Trustees Approval** – Requirements for the review process and information requirements for projects that require Board of Trustees approval.
 - **Diversity Policy On Minority and Women Business Enterprise (MBE/WBE) Goals in Capital Construction Procurement** – The procedures and guidelines established by the University to implement the goals established by the Board of Trustees for the utilization of MBE/WBE construction Vendors.
 - **Equal Employment Opportunity Compliance Program** – The University’s policy regarding the implementation and review of a Contractor’s Affirmative Action Plan for capital projects.
 - **Capital Contracts Limits** – Authority limits for contracts related to capital projects and approval required.
 - **Business and Financial Policies and Procedures** – The Office of Business and Financial Services manual that contains policies that apply to the University and its campuses. General information for any Consultants, Contractors, or Vendors that plan to or currently do business with the University.
 - **Brand Name Policy** – This policy applies to the specifying and/or purchase of specific brand name products for use in capital projects.

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- **Capital Projects Furniture Purchase Process** - This capital furniture purchase guidance document summarizes steps to be taken for purchase of office and classroom furniture, as well as balance of furniture.

Agreements and Contracts

- UOCP&RES Design Professionals Contracts and Forms
 - **Standard Professional Services Agreement**
 - **Small Project Professional Services Agreement**
- UOCP&RES Contractor Contracts and Forms
 - **Contractor with Assigned Subcontractor contract**
 - **Assigned Subcontractor contract**
 - **Contractor with no Assignment contract**

Systems

- **Banner** – The **Banner** Administrative Forms component of the UI-Integrate System provides an interface through which payments and other financial transactions are managed.
- **FCPWeb** – FAMIS Capital Projects Web (**FCPWeb**) serves as the official financial management system for capital programs and has data integration points with the **Banner** system.
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- **VSA/CAPS** – Vendor Services Application (VSA) and Contractor Annual Prequalification System (CAPS) serves as the vendor/subvendor allows the vendor to prequalify for bidding of University projects and allows eventual access to PRZM. Vendor information in these systems is maintained by the vendor,
- **Contracts+** – **Contracts+** is the official Capital contract and document generation for all Capital Projects. **Contracts+** is the Board office and University repository for all contracts, amendments and change orders.
- **PSP** – Professional Service Consultant (PSC) Selection Process (PSP) is an electronic scoring and approval process for advertised Capital professional services.

Reference Documents

- Campus Strategic Plan
- Campus Capital Plan
- Campus Master Plan
- Campus Facilities Standards
- LEED Standards
- Design and Facilities Standards – Each campus has developed standards for design and facilities that the PSC must adhere to during the design process.

