

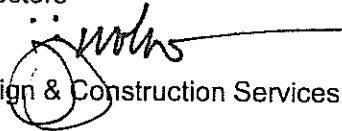


OFFICE OF DESIGN & CONSTRUCTION SERVICES

SANTA BARBARA, CALIFORNIA 93106-1030

March 30, 2010

TO: Deans and Directors

FROM: Jack Wolever 
Director of Design & Construction Services

RE: Approvals and Implementation
Small Construction Projects

It is important for department managers to be able to implement Minor Capital Improvement projects and smaller projects as quickly and cost effectively as possible. However, these projects must also be conducted in a manner consistent with University policy, the California Building Code, and the Public Contract Code. I have outlined below the factors that influence the approval, design, contracting and construction of these types of projects so that you may better understand the laws, policies and regulations that determine how a project is delivered. These factors typically have significant impacts on the schedule and cost of your projects.

Minor Capital Improvement projects are defined by UC policy as projects with a total project budget ranging from \$50,000 - \$750,000 inclusive of fixed equipment. Examples of these projects are adding new space, altering or improving existing space, permanent site improvements, and upgrades to a building's infrastructure. The originating department is responsible for submitting a project approval form for processing by the Budget and Planning office. You may direct questions about the approval process to that office.

Construction is defined by UC policy as demolishing, altering, upgrading, or renovating a facility or system. This includes changes to buildings, building systems, utilities, site improvements and drainage systems as well as painting or repainting. More information on this topic can be found in Volume 6, Chapter 1, of the UC Facilities Manual.

The California Building Code regulates construction. It is unlawful for any person to construct, alter, enlarge, improve, or change the use of any building or structure in violation of code. The building code is enforced by the Campus Building Official and the Campus Fire Marshal. Approvals of the Building Official and Fire Marshal are accomplished through routing to EH&S a Project Review Questionnaire attached to a construction contract request form which culminates with issuance of a Building Permit. The Design and Construction Services project manager handles routing of the questionnaire.

UC Policy dictates that a design professional certify all projects over \$100,000, and the architect or engineer must be licensed in conformance with State law. More on these requirements can be found in the Business and Professions Code, the Public Contract Code, and Section 106 of the California Building Code.

The hire of architects and engineers is regulated by UC policy. Volume 3, Part 1, Chapter 2 of the Facilities Manual allows appointment of a design professional when consulting fees are less than \$100,000. Authority to appoint a design professional and to execute an agreement has been delegated to the Senior Associate Vice Chancellor, Campus Design and Facilities.

Construction projects costing less than \$50,000 can be implemented by means of a negotiated contract prepared by the Director of Contracting Services, Campus Design and Facilities. The Public Contracting Code requires that we competitively bid any construction project which exceeds \$50,000 including labor and materials. An informal bidding process is conducted by the Director of Contracting Services. The Design and Construction Services project manager defines the scope of work and obtains the bids for negotiated and informally bid projects. Projects costing more than \$100,000 require public advertisements and a formal bidding process. Additional information on construction procurement processes may be found at <http://facilities.ucsb.edu> under Contracting Services. Authority to execute construction contracts has been delegated to the Director of Design and Construction Services. Licensed design professionals and contractors may donate services under zero dollar or reduced fee contracts executed and managed by Design and Construction Services. Reduced fee construction contracts must still comply with public contracting requirements.

It is desirable for department managers to be able to implement minor construction projects without becoming involved in the contracting and bidding processes described above. Physical Facilities staff have and will continue to support the departments in this regard, subject of course to availability of personnel. However, Physical Facilities staff are prevented by the Public Contract Code from constructing a project exceeding \$50,000 inclusive of labor and materials (\$25,000 for a painting project). Students, faculty and staff are not permitted to perform construction work. If you have maintenance staff and are unsure about the type of work they can perform, you should consult with the Director of Human Resources. Related information can be found in my letter to Deans and Directors of December 20, 2007, regarding Building and Fire Code Compliance.

The staffs of Design and Construction Services and Contracting Services will guide your projects through the required procedures as efficiently as possible and will implement your projects as quickly and cost effectively as possible within the regulatory constraints placed on us. Please call me at extension 4581 or contact me via email at jack.wolever@dcs.ucsb.edu if you have any questions.

Thank you.

Small Projects Process

Project
Initiation

- Division/Department (Client) has a need for construction services arising from faculty recruitment, change in use, and submits Project Initiation Form, etc.
- Preliminary discussions with Design and Construction services (D&CS) re: project goals, general scope, project cost, and timeframe.

Programming/
Scope

- Client and Faculty stakeholders determine more specific scope, and detailed requirements for the project
- D&CS determines who can provide architectural services (in-house vs. consultant)
- Consultant or D&CS prepares schematic drawings
- D&CS prepares estimate and schedule
- Estimate and drawings are reviewed by Client
- Meeting is held between D&CS and Client to review scope, estimate and schedule
- D&CS and Client agree on scope, budget and timeline
- Client confirms funding for the project

Minor Capital
Project Review

- If project is over \$50,000 and less than \$750K, must be approved as a Minor Capital Project – requires approval from Dean/Provost, Department/Control Point, Budget Office and the Chancellor
- If project is more than \$750,000 a Capital Improvement Budget (CIB) is prepared

Bid Process

- Construction documents are prepared by in-house staff or consultant architect depending on timing and complexity
- If the project construction cost is between \$50 - \$100K, informal bidding process allows D&CS to obtain 3 bids
- If the project construction cost is greater than \$100K, formal bidding process requires advertising
- Bids are reviewed and contractor is selected

Contract
Review and
Sign

- Contract is reviewed and signed
- Notice to proceed is issued

Construction

- Construction begins
- Client is notified if change order is needed
- Monthly or weekly progress report is provided to client

Project Phases

-  Project Initiation
-  Programming/
Scope
-  Minor Capital
Project Approval
-  Bid
-  Contract Review
& Sign
-  Construction