

UB FACILITY IMPROVEMENT PROJECT PROCESS

Overview

This document is designed to help Facilities Planning and Management Officers (FPMOs), Unit Business Officers (UBOs), and unit leadership (e.g., deans, vice presidents) navigate the process of completing Facility Improvement Projects.

Every Facility Improvement Project is unique, and the process can be complex. At UB, University Facilities guides units through this process.

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1. Frequently Asked Questions

What is a Facility Improvement Project?

UB defines Facility Improvement Projects as:

- Initiatives involving planning, design, or execution of improvements / changes to UB facilities...
- Including but not limited to new or renovated spaces, buildings, building systems, grounds, etc....
- For which the requesting unit has secured (or is in the process of securing) funding.

FACILITY

a place, usually including buildings, used for a particular purpose or activity.

Oxford Advanced Learner's Dictionary

Examples of Facility Improvement Projects

- *One World Café*
- *Paula T. Agrusa Plaza*
- *New School of Engineering and Applied Sciences Building*
- *Installation of Electric Vehicle Charging Stations*
- *Contemplative Sites*

Who can submit a Facility Improvement Project request?

Only a unit's Facilities Planning and Management Officer (FPMO) can submit requests for Facility Improvements.

- [Find your FPMO under the Administrative Services Gateway > Managing Facilities > Managing Facilities for Your Unit > FPMO Contact List](#)

Which UB unit manages these projects?

Facility Improvement Projects are managed by University Facilities, a unit within UB's Division of Finance and Administration.

- [Learn more about University Facilities under the Administrative Services Gateway > About Us > Leadership and Organization > Other Service Units > University Facilities](#)

How should a unit prepare for a Facility Improvement Project?

Before beginning any Facility Improvement Project, units are responsible for ensuring that:

- Their project plans support their unit's master plan(s).
- Their senior leadership has approved these plans (e.g., deans, VPs).
- Available funding sources have been reviewed.

How are Facility Improvement Projects organized?

Facility Improvement Projects are generally organized into the following four phases:



Each of these phases are described in detail throughout the document.

How is each Facilities Improvement Project tracked / documented?

University Facilities tracks each phase of the project using Maximo asset management software. Authorization signatures will be obtained using Adobe Sign. In addition, throughout the project, the following forms and documents will be completed:

| PHASE | FORM | DEFINITION | RESPONSIBLE PARTY |
|--|---|---|--|
| 1. Idea / Concept Development | Facility Improvement Project Request Form | Provides University Facilities with important information about the project concept, ensures it is approved at all necessary levels, and identifies the proposed funding source. | Client FPMO, in conjunction with the UBO |
| | Project Notification Letter | Provides the client FPMO with the assigned project number, location, description, and status. | Assistant Director, Facilities Initiatives and Program Support |
| | Space Assignment Memo | For space requests only. Informs the requestor of newly assigned or removed spaces. Includes the space locations and date(s) changes are effective. | Planner |
| | Conceptual Project Budget | Documents the scope of the project and provides an initial cost estimate needed for the client to complete the Facilities Improvement Financial Workbook. As this is a conceptual budget only; no approval signatures are required. | Project Coordinator |

| PHASE | FORM | DEFINITION | RESPONSIBLE PARTY |
|--------------------|---|---|---|
| | Facilities Improvement Financial Workbook | Excel workbook that captures the total cost of ownership of the project. This includes one-time project costs as provided in the Conceptual Project Budget, incremental operating costs, operating savings, and revenue impacts (if applicable). | Client FPMO, in conjunction with the client UBO |
| 2. Planning | Advanced Work | Required when a contract / purchase order must be issued before the Cost Quote is finalized and project funds are transferred. Identifies the need to procure a material / service prior to the cost quote, amount required, source(s) of funds, and necessary approvals. | Project Coordinator |
| | Scope Statement | Documents the scope of the project, initial cost estimate (prior to design) and proposed funding source(s). Documents all required approvals for the project to advance to the next phase. | Project Coordinator |
| 3. Design | Cost Quote | Documents the final cost estimates of the project (after design has been completed), funding source(s) and approvals. Once the Cost Quote has been approved, funds are pulled from the client. | Project Coordinator |
| | Construction Documents | Consist of drawings and specifications that have all details, dimensions, and other information necessary to communicate the entire design intent to the contractor(s) performing the work. | Design Team |

| PHASE | FORM | DEFINITION | RESPONSIBLE PARTY |
|-------------------------------------|-----------------------------|--|-----------------------|
| | Construction Schedule | Outlines project timeframes / milestones and tracks project progress to keep everything on time and on budget. | Project Manager |
| | Memorandum of Understanding | Documents the scope, roles, and responsibilities for all parties involved in the ongoing stewardship of the space, facilities, equipment, etc. of the project. The MOU will be drafted at this time and will be fully approved in Phase 4 – Construction and Turnover. | University Facilities |
| 4. Construction and Turnover | Change Order | Required when there is a change to the original project scope. Change Orders include a description, reason(s) for, cost, and schedule implications of the change(s). | Project Coordinator |
| | Punch List | A list of items that need to be addressed before a project can be deemed complete. | Project Coordinator |
| | Certificate of Occupancy | Certifies project compliance with applicable building codes and other laws. Indicates the building / space is in a condition suitable for shelter or support of persons, animals, or property. | Project Coordinator |

Why do projects seem so expensive?

As a public institution, the University at Buffalo is committed to creating a safe and secure environment, ensuring equitable pay, and increasing responsible stewardship by decreasing our carbon emissions. We are also required to comply with commercial

building codes as well as other rules and regulations set forth by NY State and the State University of New York. Below are some key reasons why our projects are often of better quality and higher cost than those in the private / residential sectors:

- The University at Buffalo and New York State Labor Law requires that workers employed on public work projects be paid prevailing wages and benefits.
- Commercial construction projects have greater safety and code adherence requirements due to their types of use and the number of individuals that populate them. This includes but is not limited to sprinkler systems, fire alarm systems, ventilation systems, abatement of hazardous materials, handicap accessibility, etc. Residential projects and some private developments do not have these requirements.
- Materials and finishes used in commercial construction must not only meet code requirements but must be resilient enough to withstand extensive / high-volume use from our community of nearly 40,000 people.
- Spaces such as our cutting-edge laboratories require extensive electrical and mechanical infrastructure, which are energy, resource, and financially intensive.
- The University at Buffalo understands the existential threat that climate change poses and is working hard to achieve climate neutrality by 2030. To meet this goal, we are fundamentally decarbonizing the way our facilities (~200 buildings) are designed and operated. While there will be long term savings / benefits, this transformation often requires incremental upfront investment.

How long will it take to complete my project?

Projects vary widely in size and complexity, creating wide ranges of time to complete. Below is a diagram of the *approximate* time to complete the Planning, Design,

Construction and Turnover phases of a project of average complexity costing up to \$2 million.

| Phase 1: Idea / Concept Development | Phase 2: Planning | Phase 3: Design | Phase 4: Construction and Turnover |
|-------------------------------------|-------------------|-----------------|------------------------------------|
| Dependent on status of funding. | 1-3 months | 6-10 months | 6-12 months |
| | 7-13 months | | |
| | 13-25 months | | |

Assumes an average project up to \$2M

Reasons projects can take a significant time to complete include but are not limited to:

- Internal resource constraints.** University Facilities has approximately 100 projects at any given time in various phases. Because of resource constraints, these projects are organized based on campus priority. As a result, though important to a particular unit, a project may not be as high of a priority to the campus as another unit’s project is.
- External resource constraints.** There are many external resource constraints that are out of our control. These can include lead time of materials, contractor availability, etc. University Facilities works very closely with Purchasing and Contract Services to mitigate delays related to external resource constraints.
- Contract development, review, and approval time.** As a public institution, the University at Buffalo is required to comply with NY State and the State University of New York procurement rules and regulations. This includes having to place contracts out for bid and requiring reviews and approvals by the NYS Office of General Services (OGS) and the NYS Office of the State Comptroller (OSC).
- Project location / type of use.** Projects that are in high-density areas may take longer to complete as more planning is required to reduce impacts to users of the

space, maintain key operations, and maintain appropriate safety of the space throughout construction. Work may need to wait until the end of a semester and / or be completed after hours to accomplish this. For example, the renovation of a centrally scheduled classroom impacts a much higher volume of stakeholders than the renovation of a faculty office space and therefore takes a considerably greater amount of time to coordinate and complete.

- **Unforeseen Challenges or Complications.** Though University Facilities works to predict all project conditions, there are times when certain events cannot be predicted. This can include an unforeseen safety issue once walls are removed or a global pandemic.

Ultimately, University Facilities recognizes that each project is important to your unit and the campus and continuously works to complete each project as timely as possible.

2. ROLES AND RESPONSIBILITIES

University Facilities is responsible for the planning, design, and project management of all construction projects at UB but there are several additional units involved in most projects. Below is a list of roles and responsibilities for participants in Facility Improvement Projects.

Project Team

The Project Team comprises the individuals responsible for the day-to-day progress of the project and at minimum includes the Client and the Project Coordinator.

- **Client** - The faculty, staff member, and / or unit that proposes a Facility Improvement Project and is its primary beneficiary. **When different, the Facilities Planning and Management Officer (FPMO) represents the client.**

- Must include the Facilities Planning and Management Officer (FPMO) and the Unit Business Officer (UBO).
- May include deans, vice presidents, directors, and end users.
- The client FPMO submits the Facilities Improvement Project Request and secures unit leadership approvals as appropriate.
- The client FPMO works with the Project Coordinator and others to define project scope, budget, and schedule.
- Clients are NOT permitted to hold any design or construction contracts.
- The client FPMO is responsible to coordinate moves out of current space, into and out of temporary (surge) space, and into the completed space with assistance from the Project Coordinator (or other members of the Project Team as appropriate)



Clients that have **specialty equipment** may require the use of the equipment manufacturer / representative to assist / manage the relocation. It is the client FPMO's responsibility to coordinate such items with the Project Team.

- **Project Coordinator** - University Facilities – Design and Construction staff member who is the primary point of contact throughout Facility Improvement Projects.

- Serves as the single point of contact for the client.
- Works to understand client needs.
- Has high-level knowledge of all project aspects.
- Communicates with client and University Facilities on main project tasks.
- Holds meetings to keep the Project Team apprised of scope, schedule, and budget.

- **Planner** - University Facilities – Campus Planning staff member who:

- Develops understanding of client's expectations.
- Develops user requirements and space assessment.
- Creates conceptual drawings.

- Develops scope of work.
- **Design Team** – Includes University Facilities – Design and Construction, Campus Planning, and EH&S* as well as outside consultants (as appropriate) who:

- Develops design details.
- Develops schematic designs.
- Creates construction specifications and documentation.
- Develops project budgets and schedules.
- Ensures code compliance.

****The role of Environment, Health, and Safety (EH&S)***

Environment, Health, and Safety (EH&S), a unit within University Facilities, ensures a safe environment for the university community and contractors during all construction activities. EH&S staff monitor and provide guidance during all construction projects for potential hazards including but not limited to:

- | | |
|--|---|
| <ul style="list-style-type: none"> - Fumes, Dusts, Odors - Noise and Vibrations - Physical barriers and hazards - Potential research disruptions - Safety Plans - UDIG NY - Contractor Safety Guidebook | <ul style="list-style-type: none"> - Emergency egress and hazard area access - Exhaust vapors/Carbon monoxide - Heavy equipment and cranes - Utility shutdowns - Fire Safety - Work Zone Safety |
|--|---|

- **Project Manager** - University Facilities – Design and Construction staff member who:

- Manages tracking of both project budgets and schedules.
- Assists the Project Coordinator in coordination and communication.
- Works closely with Purchasing and Contract Services to process bids, award contracts, estimate costs, order materials and services, manage payments, and changes to budget.
- Works closely with senior leadership to prioritize project work and forecast labor needs and project funding.

Other Stakeholders

Depending on the size, scope, and phase of the project, these (and other) additional parties may be integral members of a Facilities Improvement Project:

- **UB Resource Planning** – A unit within the Division of Finance and Administration that works with all academic and academic support units to facilitate integrated planning across the university.
 - Reviews project financial plans.
 - Helps units complete the ARPP process to request institutional funding.
 - Helps units coordinate delivery of approved funding with Business Services/Financial Management.
 - Confirms availability of funds.

- **UB Business Services** – A unit within the Division of Finance and Administration which includes Business Reporting Systems, Financial Management, Mail Services, Policy, Compliance and Internal Controls, Print Services, Purchasing and Contract Services, and Student Accounts.
 - Transfers funds to appropriate accounts.
 - Coordinates purchasing of materials and services.

- **UB Information Technology (UBIT)** - A unit committed to supporting UB's mission of excellence in research, teaching, and service through the innovative and effective use of information technology. Included in this unit are Enterprise Infrastructure, Applications, Customer Service (UBIT Help Center/Field Services), Information Security, and Network and Communication Services.
 - Will be added to the team when hardware information technology systems are added, deleted, or modified.

- **University Police (UPD)** – A unit within the Division of Finance and Administration which provides policing, safety and crime prevention, and reporting.
 - Review plans for adherence to project security.

- **Capital Planning Committee (CPC)** – A strategic committee comprising senior leaders appointed by the President.
 - Oversees all physical development of campus land holdings and guides campus development to align to UB’s campus master plan.
 - Reviews most major campus facility improvements and advises on capital and space management policies.

- **UB Sustainability** – A unit within the Division of Finance and Administration which works to create a more sustainable campus and community.
 - Reviews plans for adherence to the university’s Climate Action Plan.

- **UB Project Specific Committees** - Include but are not limited to steering committees, students, administrators, SUNY, end users of the space, etc.
 - May be asked to provide feedback or review plans, as needed.

- **External Stakeholders** - Include but are not limited to local and state government officials, neighbors / communities, alumni, etc.
 - May be asked to provide feedback or review of plans, as needed.

- **Contractors** - Person(s) or company that undertakes a contract to provide materials and / or labor to perform a service or do a job.
 - Will be coordinated through University Facilities. Contracts with outside consultants and contractors will be processed through UB’s Purchasing and Contract Services unit.

PROJECT TEAM

| Client | Project Coordinator | Planner | Design Team | Project Manager | Other Stakeholders |
|--|---|---|---|--|--|
| <ul style="list-style-type: none"> • FPMO submits Facilities Improvement Project Request. • Works with Project Coordinator and others to define desired scope, budgets, and schedules. • Secures unit leadership approvals. • FPMO responsible to coordinate moves. • NOT permitted to hold any design or construction contracts. | <ul style="list-style-type: none"> • Single point of contact for client. • Helps client scope project. • Maintains high-level knowledge of all project aspects. • Communicates with client and University Facilities on main project tasks. • Holds meetings to keep Project Team apprised of scope, schedule, and budget. | <ul style="list-style-type: none"> • Develops understanding of client’s expectations. • Develops user requirements and space assessment. • Creates conceptual drawings. • Develops scope of work. | <ul style="list-style-type: none"> • Develops design details. • Develops schematic designs. • Creates construction specifications and documentation. • Develops project budget and schedules. • Ensures code compliance. | <ul style="list-style-type: none"> • Manages tracking of project budgets and schedules. • Assists the Project Coordinator in coordination and communication. • Works with Purchasing and Contract Services to process bids, award contracts, estimate costs, order materials and services, manage payments, and changes to budget. • Works with senior leadership to prioritize work and forecast labor needs and project funding. | <p>Includes but is not limited to:</p> <ul style="list-style-type: none"> • UB Resource Planning • UB Business Services • UB Information Technology • University Police (UPD) • Capital Planning Committee (CPC) • UB Sustainability • Project Specific Committees • Contractors • External Stakeholders <p>May be integral members of a Facilities Improvement Project</p> |

3. STEP BY STEP PROCESS

Facility Improvement Projects can be complex, but most follow these general steps. It is important for each client FPMO to be familiar with each step and associated deliverables required of them.



At any time during this process, the client FPMO can reach out to the Project Coordinator and discuss / coordinate their project needing to be “tabled” or canceled. This will be handled on a case-by-case basis and the outcome is dependent on the projects’ current phase, reasons for needing to table / cancel the project, etc.

Phase 1: Idea / Concept Development

Concept introduced and reviewed. Funding is secured; concept becomes a project.



- Facility Improvement Project Request Form completed.
- UBO and leadership approval obtained.
- Project number, Project Coordinator, and Project Planner assigned to the project.
- Space Assignment Memo issued (For space requests only)
- Conceptual Project Budget created.
- Facilities Improvement Project Financial Workbook completed, reviewed, and approved.
- Funds are secured.

Phase 1, Step 1 – Complete the Facility Improvement Project Request Form

To be completed by: Client FPMO, in conjunction with the client UBO

Client FPMO begins the Facility Improvement Project process by documenting the project concept on the Facility Improvement Project Request Form, obtaining unit leadership approval, and submitting it to University Facilities.

- [The Facility Improvement Project Request Form is located on the Administrative Services Gateway > Managing Facilities > Requesting a Service > Renovation Request by FPMOs](#)

Only FPMOs have access to the Facility Improvement Project Request Form.

The Facility Improvement Project Request Form provides University Facilities with important information about the project concept, ensures it is approved at all

necessary levels, and identifies the proposed funding sources. The Facility Improvement Project Request Form asks for the following information:

- **Project Summary**

- **Concept Name** - Assign a simple name to your concept.
- **Overall Idea / Concept** - Share a summary description of your project idea/concept.
- **Desired Completion Date** - Keep in mind that many Facility Improvement Projects take several months to complete, after all approvals and financing have been secured. Please try to be realistic.
- **Is additional campus space required?** - Indicate whether your concept requires additional campus space. If so, explain why your current space cannot accommodate your needs.
- **Proposed Funding Source** - It is important to have a good handle on where your funding will come from before submitting requests for new projects. Before the project can begin, the client FPMO, in consultation with the client UBO and unit leadership, should identify the source(s) of funding for the project.

In this section, please indicate funding that will come from these sources (choose all that apply):

- **Central Investment** - This funding is identified and secured as part of the Annual Resource Planning Process (ARPP).
- **Departmental Reserves** - Financial resources held in reserve by your unit.

- **Philanthropy/Donor** - Donor or philanthropic contributions.

If donor funding is required; units must confer with University Advancement as far in advance as possible before submitting a Facility Improvement Project Request.

- **Grants** - Grants awarded to your unit.

- **Project Details**

- **Present Situation** - Describe the present situation driving the need for your request. Will it improve or ensure continuation of student services? Help you attract research grants? Improve a business function? Help you recruit students?
- **Risks / Consequences** - Describe the potential consequences of not proceeding with this project, or if the project is not completed by desired date. (e.g., loss of grant, unable to hold classes).
- **Priority Rating** - Should this project take precedence over all other facility-related projects for your unit?

- **Approvals**

- Client FPMO to sign and obtain approvals / signatures from the client UBO and Dean, VP.
- Client FPMO to submit the completed and approved Facility Improvement Request Form to: UFacImprovement@buffalo.edu

□ Phase 1, Step 2 - Review of the Facility Improvement Project Request Form

To be completed by: Assistant Director, Facilities Initiatives and Program Support and other members of University Facilities as appropriate.

Once the Facility Improvement Project Request Form has been submitted to University Facilities, University Facilities will review it to determine:

- Whether the concept is in alignment with UB's mission, Campus Master Plan, and Climate Action Plan.
- Appropriate use of space.
- Whether the project requires approval from the Capital Planning Committee (CPC) or the Vice President of Finance and Administration and/or Provost.

If any of the above are unclear or unsupported, University Facilities will contact the client FPMO, who will be asked to provide missing information / support or obtain further leadership approval.

□ Phase 1, Step 3 – Project Established, Project Notification Letter Sent to Client FPMO.

To be completed by: Assistant Director, Facilities Initiatives and Program Support

If the Facility Improvement Project Request Form is approved by all appropriate parties, a Project is established in the University Facilities' Maximo system. A project number, Project Coordinator and Project Planner is assigned. A Project Notification Letter is generated and sent to the client FPMO. This letter will include the following information:

- Project Number (All future project communications should reference this project number).
- Project Location
- Project Description
- Project Coordinator
- Project Status*

The Facility Improvement Project is placed into Concept status.

Phase 1, Step 4 – Develop a Conceptual Project Budget

To be initiated by: Project Coordinator (University Facilities)

Assisted by: Planner (University Facilities), Estimator (University Facilities), client FPMO.

University Facilities will calculate a Conceptual Project Budget using pre-established dollars per square feet rates based on the project type, complexity, and other requirements such as those related to the Climate Action Plan.

The Project Coordinator will provide the client FPMO with the conceptual budget amount via a Conceptual Project Budget Form. The client FPMO will use this information to complete the Facilities Improvement Project Financial Workbook and align funding.

Phase 1, Step 5 – Complete the Facilities Improvement Project Financial Workbook

To be completed by: client FPMO, in conjunction with the client UBO

Using information from the Conceptual Project Budget, the client FPMO and client UBO will complete the Facilities Improvement Project Financial Workbook. Units will work with University Facilities' Finance to complete this form as needed (to obtain information such as utilities costs, cleaning costs, etc.).

➤ Find the Facilities Improvement Project Financial Workbook

The Facilities Improvement Project Financial Workbook documents the total costs of the project (both initial and ongoing total cost of ownership) and the various funding sources. The workbook asks for the following information:

- **Initial Costs** - One-time / non-recurring costs as estimated in the Conceptual Project Budget as *well as* any additional one-time costs not included in the Conceptual Project Budget (e.g., recruiting / relocation expenses for new hires, initial procurement of a new software package, other equipment / supplies, etc.).

- **Incremental Operating Costs** - Incremental recurring costs to the unit and/or the university directly related to the Facility Improvement Project. Examples include but are not limited to:
 - Custodial (cleaning of additional spaces)
 - Utilities
 - Insurance
 - Costs to repair/replace equipment and systems (at end of life)
 - Service/maintenance agreements
 - Lease / property management agreements
 - Additional FTEs, dues, subscriptions, memberships, etc.

Planning for Operating Costs

It is important for the client FPMO to work closely with the client UBO to set aside contingency reserves for the ongoing operation of a Facility Improvement Project. Especially important is ensuring the unit has reserves to replace or repair equipment at end of life.

- **Incremental Operating Savings** - Incremental savings to the unit and/or the university directly related to the Facility Improvement Project.

Examples include but are not limited to:

- Payroll (e.g., reduction in FTE)
- Cleaning
- Utilities
- Other operations efficiencies

Once the Facilities Improvement Project Financial Workbook is complete, the client FPMO must convert the workbook to a pdf, sign it, and obtain signatures from the client UBO and Dean, VP.

The client FPMO will then submit (via email) the signed Facilities Improvement Project Financial Workbook to the University Facilities' Director of Finance (email address is listed within the workbook).

Phase 1, Step 6 - Review of the Facilities Improvement Project Financial Workbook

To be completed by: University Facilities Director of Finance and other members of University Facilities as appropriate.

Once the Facilities Improvement Project Financial Workbook has been submitted to University Facilities, University Facilities will review it to verify / determine:

- Total cost of ownership calculations
- Memo Of Understanding (MOU) requirements
- Other unit approvals that may be required (e.g., UBIT, Capital Planning Committee)

The University Facilities Director of Finance will either return the workbook with final approval signatures or inform the client FPMO (with cc to the Assistant Director, Facilities Initiatives and Program Support and Resource Planning) why their workbook was not approved.

If the workbook is approved, and the client **has secured all funding**, the project status is changed from Concept to Pending where it awaits the Planning Phase.



Pending Status = Queue where new projects are reviewed and organized based on campus priority and resource availability.

If the workbook is approved but the client **does not have all funding**, the project is placed into Unfunded status and the client FPMO and client UBO must request funding through the Annual Resource Planning Process (ARPP).

In either case, a Project Notification Letter is issued notifying the client FPMO of the change in project status.

Facilities Improvement Project Requests that are placed into Unfunded status will NOT advance to the Planning Phase until all funding is secured.

□ Phase 1, Step 7 - Request and Obtain Funding (if not already secured)

Units should use the Annual Resource Planning Process (ARPP) to propose institutional investments in Facilities Improvement Projects that require funding beyond existing unit resources. Units will be informed the status of their investment requests each May.

- [Learn about the Annual Resource Planning Process \(ARPP\) under the Administrative Services Gateway > Managing Money > Resource Planning > Annual Resource Planning Process](#)

If the Facilities Improvement Project Request is the result of an unforeseen need precluding the ability to submit the request for funds within the ARPP, the client UBO is to contact their Resource Analyst for guidance.



Units should be as forward-thinking as possible; initiating ARPP requests up to three years in advance whenever possible.

- [Find your Resource Analyst under the Administrative Services Gateway > Managing Money > Resource Planning > Find my Resource Analyst](#)

Once funding has been obtained, the client FPMO is to notify the Project Coordinator. The project status will then be changed from Unfunded to Pending where it awaits the Planning Phase.

Phase 2: Planning

Project scope is defined.



- Project Kick-off Meeting convened.
- Need for temporary (surge) space reviewed.
- Advanced Work Form completed (if necessary).
- Scope Statement completed.

Once University Facilities' resources become available, the project status is changed from Pending to Planning status. A Project Notification Letter is issued informing the client of the new project status and project planning begins.

Phase 2, Step 1 - Project Kick-off Meeting is Convened

To be convened by: Project Coordinator (University Facilities)

Attendees: Project Team and other Stakeholders as appropriate

A project kick-off meeting is held to:

- Define and introduce Project Team members and other Stakeholders as appropriate.
- Identify need for any focus group meetings.
- Establish roles and responsibilities.
- Establish meeting cadence and locations as well as other methods of communication throughout the project (i.e., through all remaining phase to project completion).
- Review design and construction processes.

- Identify need for and location of temporary (surge) space and any preparation to such space for the client to occupy during construction.

Phase 2, Step 2 - Advanced Work Created and Approved (if necessary)

To be completed by: Project Coordinator (University Facilities)

In some instances, a contract / purchase order must be issued before a Cost Quote is completed (Phase 3, Step 4) and project funds are transferred. This can be due to the need to hire outside consultants for special expertise (e.g., design consultants), lack of departmental capacity, and / or long lead times of materials (if not ordered immediately project schedules will be negatively impacted).

If this is required, the Project Coordinator will complete an Advanced Work Form and collect the necessary signatures using Adobe Sign. Required approvals are based on the advanced work amount and the type of funds to be used. Refer to the Advanced Work Approval Matrix below and Appendix C for a listing of all approval matrices.

| ADVANCED WORK APPROVAL MATRIX | Funding Source | | | |
|---------------------------------|----------------|-------------------------|---------------|--------------------|
| | Unit | | | Central University |
| | < \$250,000 | \$250,000 - \$1,000,000 | > \$1,000,000 | Any Amount |
| Project Coordinator | x | x | x | x |
| Unit Business Officer | x | x | x | x |
| Resource Planning | x | x | x | x |
| Associate VP Facilities | | x | x | x |
| VP for Finance & Administration | | | x | x |
| Dean / VP | | | x | x |

Once the form is fully approved, only funds necessary for the advanced work will be transferred (Phase 3, Step 5 - Project Account is Established / Funds are Transferred).

Phase 2, Step 3 - Scope Statement Created and Approved

To be completed by: Project Coordinator (University Facilities)

Assisted by: Design Team

As a result of all project meetings, site visits, etc., the Project Coordinator will capture the project’s official scope by completing a Scope Statement. The Project Coordinator will obtain approvals of the Scope Statement using Adobe Sign. Required approvals are based on the project’s estimated cost and the type of funds to be used. Refer to the Scope Statement Approval Matrix below and Appendix C for a listing of all approval matrices.

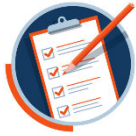
| SCOPE STATEMENT APPROVAL MATRIX | Funding Source | | | |
|---------------------------------|----------------|-------------------------|---------------|--------------------|
| | Unit | | | Central University |
| | < \$250,000 | \$250,000 - \$1,000,000 | > \$1,000,000 | Any Amount |
| Project Coordinator | x | x | x | x |
| Unit Business Officer | x | x | x | x |
| Resource Planning | x | x | x | x |
| Associate VP Facilities | | x | x | x |
| VP for Finance & Administration | | | x | x |
| Dean / VP | | | x | x |

Once all signatures are obtained, the Project Coordinator will distribute the Final Scope Statement to the Project Team.

The project is moved from Planning to Design status and an updated Project Notification Letter is issued.

Phase 3: Design

Design and construction documents are created.



- Schematic Design completed (30% drawings).
- Design Development completed (60% drawings).
- Construction Documents completed (90% drawings).
- Cost Quote completed.
- Design and Construction Schedules approved.
- Funds transferred.
- Memorandum of Understanding (MOU) completed (if necessary).

Phase 3, Step 1 - Schematic Design is Completed (30% drawings)

To be completed by: Design Team (University Facilities)

Schematic design begins to define the fundamental components of a project and its interrelationships.

- Initial aesthetic approaches are investigated and discussed.
- Preliminary systems concepts (particularly structural, mechanical, electrical, and enclosure systems) are analyzed.

By the close of the schematic design, the size, scale, and scope of the project have been *generally* determined. The organization and interrelationships of the project's major components are established. The following deliverables are completed:

- Site plan
- Floor plan
- Elevations

- Key sections
- Major material components, systems, and assemblies
- Project cost estimate
- Milestone project review

□ Phase 3, Step 2 - Design Development is Completed (60% drawings)

To be completed by: Design Team (University Facilities)

During this phase, the project design (size, scale, and scope) is further refined and resolved.

- All building systems are determined and begin to be integrated.
- Sustainable building strategies have been identified.
- Key building details are developed.
- Major building materials are selected (including specifications and performance requirements).
- The construction cost estimate is refined and broken out into detail.
- Project cost estimate
- Milestone project review

The same deliverables are completed as in the schematic design phase except much greater detail is included.

At this time, the client FPMO should **initiate move management planning** for movement into and out of temporary surge space as well as movement into the final space.

□ Phase 3, Step 3 - Construction Documents are Prepared (90% drawings)

To be completed by: Design Team (University Facilities)

At 90% project completion, the Design Team converts the Design Drawings into a thorough and precise set of Construction Documents and performs a constructability review. The Construction Documents consist of drawings and specifications that have all details, dimensions, and other information necessary to communicate the entire design intent to the contractor(s) performing the work.

Construction document details include but are not limited to:

- Information required to obtain building permits.
- How building components are connected.
- Materials, finishes, fixtures to be used.
- Equipment and appliances to be installed.

A Cost Quote is created, documenting the final cost estimate, scope, and schedule of the project.

Phase 3, Step 4 – Construction Documents and Cost Quote are Reviewed and Approved by the Client

To be convened by: Project Coordinator (University Facilities)

In attendance: Project Team


The Project Coordinator will coordinate a final review of the Construction Documents and Cost Quote with the Project Team. The purpose of this review is to walk the client through the following to ensure there are no unresolved questions or concerns in preparation for final signoffs.

- Final Cost Estimate
- Final Project Scope
- Construction Schedule
- Construction Documents
- Memorandum Of Understanding*

By approving the Cost Quote, the client agrees to the project budget, scope, design, and schedule. Any client changes to the projects past this point will result in a Change Order, which can result in incremental project costs or changes to the project schedule.

The Project Coordinator will obtain approvals of the Cost Quote using Adobe Sign. Required approvals are based on the project’s estimated cost and the type of funds to be used. Refer to the Scope Statement Approval Matrix below and Appendix C for a listing of all approval matrices.

| COST QUOTE APPROVAL MATRIX | Funding Source | | | | |
|---------------------------------|---------------------------------------|---------------------------------------|-------------------------|---------------|--------------------|
| | Unit | | | | Central University |
| | Cost Quote < Scope Statement \$ + 10% | Cost Quote > Scope Statement \$ + 10% | | | Any Amount |
| | | < \$250,000 | \$250,000 - \$1,000,000 | > \$1,000,000 | |
| Project Coordinator | X | X | X | X | X |
| Unit Business Officer | X | X | X | X | X |
| Resource Planning | | X | X | X | X |
| Associate VP Facilities | | | X | X | X |
| VP for Finance & Administration | | | | X | X |
| Dean / VP | | | | X | X |

 Signatures are required from all parties in a **timely manner**. Delays may require new quotes, which may be higher than the original quote.

The Project Coordinator will send a copy of the signed Cost Quote to the Facilities Finance Department to setup a project account and initiate the transfer of funds.

The project is moved from Design to Construction status and an updated Project Notification Letter is issued.

****Memorandum Of Understanding (MOU)***



When University Facilities reviews the Facilities Improvement Project Financial Workbook (Step 3 of the Planning Phase), it is determined whether the Project requires an MOU or not.

If an MOU is required, it is developed at this project stage.

The MOU will document scope, roles, and responsibilities for all parties involved for the ongoing stewardship of the space, facilities, equipment, etc. of the project.

University Facilities will take the lead on drafting the MOU. The client FPMO and client UBO will be responsible for reviewing and securing any required approvals from unit leadership.

□ Phase 3, Step 5 – Project Account is Established / Funds Transferred

To be completed by: University Facilities Finance; UB Business Services

Once the Facilities Finance Team receives a signed Advanced Work or Cost Quote, they will request a new rehab account to be setup that is specific to the project.

University Facilities will utilize this account to collect all expenditures related to the project.

The Facilities Finance Team will send a copy of the signed Advanced Work or Cost Quote to UB Business Services. UB Business Services will initiate the transfer of funds* from the identified funding account(s).

Funds transferred for Advanced Work = Amount of the Advanced Work

Funds transferred for Cost Quote = Amount of the Cost Quote less funds already transferred from Advanced Work(s).

Construction activities will not begin until all funds (as reflected in the Cost Quote) are transferred*.

**** For UBF / RF accounts that have spending restrictions
that prevent funds from being transferred in advance of spend activity:***

Depending on the type of restriction, a “special encumbrance” will be placed on the account(s), or the client will be required to provide evidence of adequate funds in a non-restricted account that can be utilized to pay for the project in the event there is an issue with the originally identified account(s).

At Project Closeout (expenses have been incurred and paid) any “special encumbrances” will be removed, and the funds will be transferred.

Phase 4: Construction and Turnover

Project is constructed, stewardship turned over to client.



- Contracts / purchase orders placed.
- Construction begins.
- Change Orders issued (if required).
- Construction walk-through completed.
- Punch Lists created and resolved.
- Certificate of Occupancy issued.
- Client moves into space(s).

Throughout Construction and Turnover, the Project Coordinator will continue to hold project meetings with all applicable members of the Project Team and other Stakeholders as needed.

Phase 4, Step 1 – Materials, Labor, and Other Services Procured

To be completed by: Project Manager (University Facilities)

The Project Manager*, in conjunction with the Purchasing and Contract Services teams follow New York State and university procurement procedures to obtain:


- Contractors
- Consultants
- Materials and Equipment
- Other items / services required to complete the project.

**The procurement of some equipment may be done by the client directly. These instances require the coordination between the client FPMO and the Project Manager.*

Phase 4, Step 2 – Construction Takes Place

To be managed by: Project Manager (University Facilities)

Contractors, materials, and equipment begin to arrive. Throughout construction, the Project Manager will track costs and schedules and compare them to those documented in the Cost Quote.



During construction, unanticipated conditions or needs may be discovered that require changes to the project Scope. The Project Manager will evaluate these changes, determine cost and schedule implications, and create a Change Order if necessary.

The Project Manager will obtain approvals for any Change Orders using Adobe Sign. Required approvals are based on the estimated cost implication of the Change Order and the type of funds to be used. Refer to the Change Order Approval Matrix below and Appendix C for a listing of all approval matrices.

| CHANGE ORDER APPROVAL MATRIX | Funding Source | | | | Central University |
|---------------------------------|---|---|-------------------------|------------|--------------------|
| | Unit | | | Any Amount | |
| | Cumulative Value of all Change Orders < 10% of Cost Quote | Cumulative Value of all Change Orders > 10% of Cost Quote | | | |
| | | < \$250,000 | \$250,000 - \$1,000,000 | | > \$1,000,000 |
| Project Coordinator | x | x | x | x | x |
| Unit Business Officer | x | x | x | x | x |
| Resource Planning | | x | x | x | x |
| Associate VP Facilities | | | x | x | x |
| VP for Finance & Administration | | | | x | x |
| Dean / VP | | | | x | x |

Phase 4, Step 3 – Punch List Walkthrough Performed

To be initiated by: Project Manager (University Facilities)

Attendees: Project Team

As construction nears completion, the Project Manager will coordinate a walkthrough of the project space(s). The intent of the walkthrough is to identify any areas / items that need to be corrected or adjusted before construction is considered complete. These areas / items are confirmed and documented via a Punch List by the Project Manager.

Walkthroughs and Punch Lists are to address any deficiencies to the **existing** project scope, NOT to make scope adjustments.

The project is now considered substantially complete.

The Project Manager will coordinate with all appropriate parties (internal and / or external) to resolve the items identified on the Punch List.

□ **Phase 4, Step 4 - Certificate of Occupancy Issued**

To be initiated by: Project Manager (University Facilities)

Assisted by: Code Enforcement Officer (University Facilities), Project Planner (University Facilities).

The Project Manager engages the Code Enforcement Officer to review the project space(s) and ensure it is compliant with design and building codes. If there are no deficiencies identified, the Code Enforcement Officer will issue a Certificate of Occupancy and close the building permit.

The Project Planner issues a Space Assignment Memo, documenting that the space has been formally assigned to the client and they are now stewards of the space(s).

The project is moved from Construction to Beneficial Occupancy status and an updated project notification letter is issued.

The client can now move into the space(s).

□ Phase 4, Step 5 – Client Moves into Space(s)

To be managed by: Client FPMO

Participants: Project Manager (University Facilities), Facilities Operations, and others as appropriate.

The client FPMO, with assistance from the Project Manager, will lead the process of moving into the project space(s).

[Learn more about Moving and Relocation on the Administrative Services Gateway > Managing Facilities > Services > Moving and Relocation.](#)

□ Phase 4, Step 6 – Project Turnover / Closeout

To be initiated by: Project Manager (University Facilities)

Participants: Client FPMO, Facilities Operations, and others as appropriate

If applicable, the MOU will be signed off and issued at this time.

The project is now considered complete.

Once a project is considered complete, there are to be **no more expenditures to the project** account. Any work now needs to be done via a Facilities work order or a new project request.

Facilities Finance will work in conjunction with the Project Coordinator and the Project Manager to reconcile all expenditures charged to the project account. This process may take considerable time depending on any contractual withholding of final payments until after guarantee periods.



The Facilities Improvement Project Process is Complete.

APPENDIX A

About University Facilities

The mission of University Facilities is to maintain a safe, healthy, and attractive campus environment for UB students, faculty, staff, and visitors by providing both direct and advisory services in the design, construction and maintenance of new and existing facilities that support the evolving needs of the university's teaching, research, and service mission.

University Facilities includes these subunits, most of which have some involvement in Facility Improvement Projects:

- **Campus Planning** - Orchestrates the pre-construction planning and programming phases of the Major Capital Programs Process and coordinates all university space management activities.
- **Capital Planning and Deferred Maintenance** - Assesses the university's physical assets, provides critical maintenance resources, and develops a capital renewal plan that supports the university's long-term strategic priorities.
- **Facilities Operations** – Responsible for the day-to-day tasks necessary to ensure UB's physical environment supports the campus community's needs and core functions.
- **Design and Construction** – Coordinates to architectural design and construction of university buildings and structures. Ensures that construction projects are completed in compliance with building codes and standards and that all structures meet safety and functionality requirements.

- **Environment, Health, and Safety (EH&S)** – Develops policies and procedures and compliance standards to ensure the safety of the university community. Includes emergency management.
- **Facilities Finance** – Provides support / oversight of project accounting, procurement, and accounts payable functions.
- **Real Estate and Property Management** - Issues StartUp NY agreements, prepares rent schedules and floor plans for facilities use agreements and revocable permits for external entities to use UB facilities. Assists with sourcing / locating off-campus properties and negotiating leases. Develops scope of work and sources external contractors to support the fit-out activities and maintenance needs of UBF properties and off-campus leases. Serves as the point-of-contact for tenants leasing UB spaces.

Refer to the Administrative Services Gateway (www.buffalo.edu/administrative-services/about-us/leadership-and-organization/admin-svcs-units/university-facilities.html) for detailed information about University Facilities.

APPENDIX B

Definitions

- **Adobe Sign:** A cloud-based e-signature service that allows the user to send, sign, track, and manage signature processes using a browser or mobile device. It is part of the Adobe Document Cloud suite of services.
- **Annual Resource Planning Process (ARPP):** Provides a framework to review financial capacities, evaluate current activities and identify and assess potential areas for new investment that will continue to elevate the university. The ARPP is coordinated by UB's Resource Planning Unit, part of the Division of Finance and Administration.

Learn more about the ARPP on the Administrative Services Gateway:

<https://www.buffalo.edu/administrative-services/managing-money/resource-planning/planning-process.html>

- **Constructability Review:** Prior to issuing bidding documents, constructability reviews can take place to help correct conflicts and clarify bidding requirements for potential contractors and sub-contractors. During a constructability review, documents including draft plans, technical specifications and the proposed bid schedule are analyzed for potential misunderstandings during and after the bidding process.
- **Facilities Planning and Management Officer (FPMO):** Individual responsible for planning and managing of a unit's space. The FPMO is the primary contact between the unit and University Facilities and is responsible for submitting any Facility Improvement Projects on behalf of the client and being the main point of contact throughout the process.

Find your FPMO under the Administrative Services Gateway > Managing Facilities > Managing Facilities for Your Unit > FPMO Contact List

- **Resource Analysts:** Members of the Resource Planning Unit under the Division of Finance and Administration. Resource Analysts are points of contact for the resource planning effort between units and senior leadership, helping to coordinate the Annual Resource Planning Process.

Find your Resource Analyst under the Administrative Services Gateway > Managing Money > Resource Planning > Resource Analysts

- **Stewardship:** Stewardship is the responsible management and protection of resources such as space, equipment, and other assets with the goal of preserving its value. It involves the careful and efficient use of resources.
- **Unit Business Officer (UBO):** Reports to the unit Dean or Vice President, serving as a strategic partner and providing leadership over budget and financial management, staffing, operations, and stewardship.

Find your UBO under the Administrative Services Gateway > Managing Money > Resource Planning > Connect to the Resource Planning Community

APPENDIX C

Approval Matrices

Advanced Work

- **To be completed by:** Project Coordinator (University Facilities)
- **Phase:** 2 – Planning
- Required when a contract / purchase order must be issued before the Cost Quote is finalized and project funds are transferred. Identifies the need to procure a material / service prior to the cost quote, amount required, source(s) of funds, and necessary approvals.

| ADVANCED WORK APPROVAL MATRIX | Funding Source | | | |
|--------------------------------------|-----------------------|-------------------------|---------------|--------------------|
| | Unit | | | Central University |
| | < \$250,000 | \$250,000 - \$1,000,000 | > \$1,000,000 | Any Amount |
| Project Coordinator | x | x | x | x |
| Unit Business Officer | x | x | x | x |
| Resource Planning | x | x | x | x |
| Associate VP Facilities | | x | x | x |
| VP for Finance & Administration | | | x | x |
| Dean / VP | | | x | x |

Scope Statement

- **To be completed by:** Project Coordinator (University Facilities)
- **Phase:** 2 – Planning
- Documents the scope of the project, initial cost estimate (prior to design) and proposed funding source(s). Documents all required approvals for the project to advance to the next phase.

| SCOPE STATEMENT APPROVAL MATRIX | Funding Source | | | |
|---------------------------------|----------------|-------------------------|---------------|--------------------|
| | Unit | | | Central University |
| | < \$250,000 | \$250,000 - \$1,000,000 | > \$1,000,000 | Any Amount |
| Project Coordinator | x | x | x | x |
| Unit Business Officer | x | x | x | x |
| Resource Planning | x | x | x | x |
| Associate VP Facilities | | x | x | x |
| VP for Finance & Administration | | | x | x |
| Dean / VP | | | x | x |

Cost Quote

- **To be completed by:** Project Coordinator (University Facilities)
- **Phase:** 3 – Design
- Documents the final cost estimates of the project (after design has been completed), funding source(s) and approvals. Once the Cost Quote has been approved, funds are pulled from the client.

| COST QUOTE APPROVAL MATRIX | Funding Source | | | | |
|---------------------------------|---------------------------------------|---------------------------------------|-------------------------|---------------|--------------------|
| | Cost Quote < Scope Statement \$ + 10% | Cost Quote > Scope Statement \$ + 10% | | | Central University |
| | | < \$250,000 | \$250,000 - \$1,000,000 | > \$1,000,000 | Any Amount |
| Project Coordinator | x | x | x | x | |
| Unit Business Officer | x | x | x | x | |
| Resource Planning | | x | x | x | |
| Associate VP Facilities | | | x | x | |
| VP for Finance & Administration | | | | x | |
| Dean / VP | | | | x | |

Change Order

- **To be completed by:** Project Coordinator (University Facilities)
- **Phase:** 4 – Construction and Turnover
- Required when there is a change to the original project scope. Change Orders include a description, reason(s) for, cost, and schedule implications of the change(s). Change Order costs related to client requested scope changes will result in incremental costs to the client and may also impact the project schedule.

| CHANGE ORDER APPROVAL MATRIX | Funding Source | | | | |
|---------------------------------|---|---|-------------------------|---------------|--------------------|
| | Unit | | | | Central University |
| | Cumulative Value of all Change Orders < 10% of Cost Quote | Cumulative Value of all Change Orders > 10% of Cost Quote | | | Any Amount |
| | | < \$250,000 | \$250,000 - \$1,000,000 | > \$1,000,000 | |
| Project Coordinator | x | x | x | x | x |
| Unit Business Officer | x | x | x | x | x |
| Resource Planning | | x | x | x | x |
| Associate VP Facilities | | | x | x | x |
| VP for Finance & Administration | | | | x | x |
| Dean / VP | | | | x | x |