

# Clemson University Capital Project and Space Assignment Approval Policy

## University Facilities

### Policy 15

**Effective Date: 8/14/17**

**Last Modified Date:**

**Approved by: Executive Leadership Team**

### Purpose

This policy is to ensure that (1) capital project proposals are properly developed to meet stakeholder needs while maintaining alignment with university priorities and physical plans, thoroughly justified, vetted and approved through a coordinated and clearly communicated process, and ensure that (2) University building space is thoroughly considered and deployed in the best interest of the institution and university programs, and (3) that both of these subject areas are coordinated in unison. The intent of this policy is to establish a formalized process to expedite quality resolutions to facilities/space issues that are effective and enhance University investments.

### Scope & Governance

The Capital Project and Space Assignment Approval process will be operated by a subcommittee of the Executive Leadership Team (ELT) established upon approval of this policy. This subcommittee named the University Physical Asset Accountability Committee (UPAC), is charged with capital project approvals and the approval of University space assignments.

### Committee Membership & Support

UPAC membership includes the following:

- Max Allen, Chief of Staff
- Brett Dalton - Executive Vice President for Finance and Operations
- Robert H. Jones, Ph.D. - Executive Vice President for Academic Affairs and Provost
- George Askew, Ph.D. - Vice President for Public Service and Agriculture
- Almeda Jacks, Ph.D. - Vice President for Student Affairs
- Tanju Karanfil, Ph.D. - Vice President for Research
- Angie Leiding - Vice President for External Affairs

### University Planning Advisory Team

The Office of University Planning & Design will support the activities of the UPAC through the efforts of the University Planning Advisory Team (UPAT). This team includes professional staff members representing the Office of Academic Affairs and Provost, University Facilities, University Planning & Design, and staff members representing each division as needed on a case-by-case basis. The initial membership of the UPAT includes:

- Todd Barnette, Chief Facilities Officer – University Facilities
- Gerald Vander Mey, Director – University Planning & Design
- Phil Landreth, Director of Academic Facilities Planning & Operations – Office of Academic Affairs
- Clemson Computing & Information Technology (CCIT) – To be determined by Russell Kaurlo
- Dan Yohey, Space Manager – University Facilities
- Pete Knudsen, Senior Planner – University Planning & Design

### Overarching Perspective

- **Data driven:** factual information will be the basis of every decision.
- **Future State:** every decision will keep the vision of the University in sharper focus than the current state of affairs.
- **Strategic:** The REAL strategic plan will be kept at the forefront of the decision making process.

- **Cost Effective Solutions:** expedited and effective resolution of facility issues that deliver the greatest return on investment.

**Organizations Affected**

All University divisions, departments and offices and their contractors responsible for financing, planning, designing, developing, constructing, renovating and managing University-owned facilities and buildings regardless of location will comply with this policy.

**Related Policies:**

University Facilities Permanent Improvement Policy, dated November 1, 2011.

## **Appendix: Process, Procedures, Guidelines and Principles**

### ***1.1 Procedures and Responsibilities***

The following procedures and processes apply to all requests for University space, changes to existing space assignment or allocation, and requests including those that lead to the development of minor and major projects. It is the responsibility of Clemson University to control, manage, and plan its physical facilities in accordance with its mission and priorities. This policy hereby establishes the University Physical Asset Accountability Committee to oversee the following procedures intended to guide the efficient use and development of University space.

### ***1.2 Issue Identification / Initial Consultation / Pre-vetting***

Any college, school, department, institute, center, auxiliary or administrative unit, hereafter referred to as the Project Requestor, may initiate the process of resolving a facilities or space issue through an initial consultation with University Planning and Design. This critical step allows the Project Requestor to learn about processes, procedures, and timelines associated with the resolution of facilities or space issues. It also initiates a pre-vetting of the issue with the University Planning Advisory Team. This review of the identified issue will include validation of existing facilities and space presently occupied by the stakeholder(s), assessment of existing facilities/space conditions, and current configuration. Utilization of existing space resources assigned to the requesting department or unit will also be examined to validate the space demands. This could include analysis of the utilization and occupancy of instructional space, productivity of research space, and allocation of office space in comparison to existing and projected staffing of the department(s)/unit(s) in question. The UPAT will also verify necessary departmental/unit adjacencies and alignment of preliminary problem resolutions with the University's Strategic Plan and Long-Range Framework Plan. Pre-vetting of space/facilities issues will be guided by the following:

- ***Adoption of Standards:***
  - The standards outlined in the South Carolina Commission on Higher Education – *Facilities Space Standards and Definitions* will be utilized to provide basic guidance to space allocation decisions.
  - Fundamental Principles and Space Planning Guidelines are listed in section 3 of this appendix.
- ***Verification of Inventory:***
  - All facilities/spaces involved in an active pre-vetting process will be verified for room use, square footage, existing condition, and departmental control.
  - Beyond this process, all University space will be verified annually in coordination with the University Facilities Space Manager.
- ***Due Diligence:***
  - All facilities/space will be thoroughly examined to understand the nature and true need prior to a final determination.

During this initial review, the UPAT will determine the approval process necessary to resolve a space/facilities issue based on factors including project cost, complexity, units/departments involved, etc.. At this time, the UPAT will also determine whether a facility/space issue will be classified as a 'Minor' or 'Major' Space Request. Those issues that are determined to be 'Minor' will be expedited by the UPAT and are exempt from UPAC review or approval. In these cases, only the approval of the relevant Vice President or Senior Administrator is required to proceed with implementation of the proposed solution; however, all facility/space issues and their resolutions will be documented by the UPAT and reported to the UPAC through either written reports or presentations at their bi-monthly meetings.

*Minor Facility/Space Issues: (exempt from UPAC review or approval):*

- Routine repairs or renovation of space under \$100,000\* (all routine repairs and renovations less than \$25,000 should be managed through a Service Request to University Facilities at <https://cufacilities.sites.clemson.edu/>).
- Stand-alone infrastructure projects including HVAC, electrical systems, plumbing, etc.

- Change in the use/function of existing space less than 1,500 assignable square feet (asf) (for example, conversion of classroom space to faculty offices).
- Change in the configuration of existing space (for example, addition or removal of walls to change room configurations).
- Reassignment or reallocation of space within a single unit/department less than 1,500 asf.
- Reassignment or exchange of space from one unit/department to another unit/department (reporting to the same executive officer) less than 1,500 asf.

*Major Facility/Space Issues:*

- Repairs or renovation of space exceeding \$100,000.
- Backfill or reassignment of space greater than 1,500 asf vacated due to completion of a major renovation or new construction project (for example, when the new Business School is completed, the backfill of space within Surrine Hall would qualify as a Major Space Request).
- Reassignment of space between separate divisions.
- Reassignment or reallocation of space within a single unit/department greater than 1,500 square feet.
- Reassignment or exchange of space from one unit/department to another unit/department (reporting to the same executive officer) greater than 1,500 square feet.
- New construction to provide additional space.

Approval of the resolution of all major space issues requires UPAC review and approval. The requestor and stakeholders will document the identified issue and collaborate with the UPAT to explore cost-effective alternative solutions. Upon development of these alternative solutions, the issue will be added to the UPAC agenda and presented to the committee at the earliest opportunity. If approved at the Initial Intervention, the request must then enter the Project Definition phase.

*\*The \$100,000 threshold for facility/space issues is a guideline and may be exceeded upon UPAT review.*

### **1.3 Development of Preferred Resolution**

This phase of the Capital Approval/Space Assignment Process ensures that proposed resolutions to facility/space issues are fully developed and thorough documentation is prepared for review by campus leadership. With guidance from the UPAT, stakeholders and external consultants (when necessary), the Preferred Resolution phase for major facility/space issues should result in the following at a minimum:

- **Description:** Summary narrative describing the proposed physical characteristics and components at an overall level as well as detailed explanation of individual building elements of complex or multiple component resolutions (for example, a solution involving both a building renovation and addition.)
  - **Justification:** Narrative summarizing the need for the project in the context of programmatic needs and how existing space or facilities fail to meet current and/or future needs.
  - **Priority:** Description of the urgency of the facility/space issue, how the resolution aligns with long-term plans, and how it relates to other issues identified within the college or division.
  - **Alternatives:** Description of alternative solutions that were considered and rationale behind the preferred resolution.
- **Budget:** Summary of estimated costs and funding plan for the preferred resolution as well as estimated operating costs and anticipated funding sources.
- **Capital Needs Statement** (*required for all facility/space issues projected to lead to a capital project add form to website*): Using the more detailed information developed during the development of the preferred resolution, a Capital Needs Statement will be completed, signed by the relevant VP, or Senior Administrator, and submitted to University Planning & Design.

The Preferred Resolution phase for Major Facility/Space Issues will often include the development of feasibility studies and preliminary design studies especially for complex, multi-component, or large scale issues with major impacts on campus. These efforts will require the assignment of a Project Manager from Capital Projects or Minor Projects to advise the development of concept designs, phasing plans, construction budgets, and project schedules.

#### **1.4 Approval of Preferred Resolution**

All documentation associated with a preferred solution along with a signed Letter of Support from the relevant VP or Senior Administrator will be delivered to University Planning & Design for review by the UPAC Committee. University Planning & Design will develop the agenda for UPAC bi-monthly meetings and will provide guidance to academic or administrative units presenting their preferred resolution for approval. Projects proposed prior to the CPIP development phase (April – June) may be reviewed at the bi-monthly meeting of the UPAC. If added to the UPAC agenda, the Project Sponsor or representative and Project Manager should be prepared to present the project and answer committee questions regarding project details. Projects proposed during the CPIP development phase may be reviewed by UPAC, but will only be considered for Years 3-5 of the CPIP unless designated otherwise by the committee.

UPAC approval will be documented by University Planning & Design. Those projects granted UPAC approval will be presented to the Executive Leadership Team for final approval. UPAC will review approved projects and determine priority within the CPIP based on funding requests, debt capacity, and other associated factors.

#### **2.0 Expiration**

This policy will be reviewed periodically and updated to reflect the most current regulatory and procedural information. This policy, once updated, will require the official approval of the Executive Leadership Team.

#### **3.0 Space Assignment Principles and Guidelines**

##### **3.1. Fundamental Principles**

As a critical resource to the University, space will be allocated in a consistent and organized manner to advance the mission of the institution. Space planning and space allocation are guided by the following principles:

**All Space is owned by the University:** Although space is allocated to the colleges, departments and specific users, the University owns all space. Space owned by the University includes space that is on or off campus that is owned outright, leased, or borrowed. With this ownership, the University has the responsibility to keep this space in good order in terms of maintenance, services, operations, cleaning, etc., and to provide the appropriate amount and type of space to approved University activities.

**The University has the responsibility to allocate space:** Space is allocated to specific users for certain periods of time. For example, classrooms are allocated for hour-long slots whereas, at the other extreme, offices and research spaces are allocated for longer periods of time. This longest period should not exceed five years, and space use should be reviewed periodically, and space assignment reconfirmed accordingly. A comprehensive review of space allocation will occur no less frequently than every five years in conjunction with the F&A negotiation.

**Space should be allocated effectively and strategically among users to support University priorities:** For all users and all categories of space, space standards will be used to assess space needs. These space standards may be adjusted in accordance with the total amount of space available. In this way, an overall space shortage or surplus can be handled fairly. In many cases existing uses and space assignments may not meet the standards and subsequently will not face an unfair imposition of these standards. However, any reallocation, renovation, or provision of new building space shall

conform to the university space standards as closely as possible. All space will be assigned in a manner that supports or aligns with the priorities of the strategic plan and Long Range Framework Plan.

### **3.2 Guiding Principles**

In an effort to reinforce the character of the campus and align space allocation with the Campus Master Plan, the following Guiding Principles should influence decisions regarding space assignment:

**The Primary Undergraduate educational experience will be focused in the core of the campus:** it is important that the undergraduate educational experience take place in the core of the campus. The interactions among the students and faculty in this area will engender a meaningful experience that will be a touchstone for generations to come.

**Support services will be located on the perimeter of the campus:** in order to make optimal use of the campus, support services will be located at the perimeter or off campus.

### **3.3 Space Planning Guidelines**

#### **Users Shall Be Provided With Suitable Space in an Appropriate Location**

Space provided to every use shall be suitable in terms of size, quality, and location. University departments should not be fragmented and whenever practical, should have their office, lounge, laboratory, and support activities located contiguously.

#### **Effective Use of Space**

Each space allocated to a department or a user shall be used efficiently in terms of utilization of space over time. A space that is used infrequently may require introduction of a similar and compatible approved University use to increase its utilization to a level that is consistent with standards of utilization across the University.

#### **Sharing of Space and Functions**

To avoid duplication of space, equipment, and staff services, and to avoid unnecessary costs, as much space as possible should be shared by the departments. This applies especially to machine shops, electronics shops, animal rooms, audio-visual areas, storage areas, etc.

#### **Autonomy of Major Administrative Units**

Major Administrative Units require a certain level of autonomy in order to be effective. The UPAC supports space allocation and reallocation within departments, colleges, and divisions. It is expected that the unit administrator will be accountable and will properly implement space allocation according to the Principles and Policies adopted by the UPAAC. The UPAAC Committee reserves the right to review and challenge space decisions as necessary.

#### **Space Audits Encourage Efficient Use of Space**

Space Audits will be a regular and important part of Space Planning. They will serve as a planning tool for the individual colleges and for the University. Audit reports will provide information for reference during an internal assessment of space allocations, prospective planning to accommodate changing situations, and realignment of program priorities over a reasonable planning horizon.

#### **Responsibility for Space that undergoes a significant change in use, movement of users, or vacancy.**

Space that is vacated by any department, college or division or which undergoes a significant change in use automatically comes under the purview of the UPAC. The department, college, or division will not be able to move back into the space, or reallocate the space unless the UPAC determines in writing that it is the appropriate action to take. Further, any decisions involving space reallocations of 1,500 square feet or more must receive the approval of the UPAC as indicated in section 1.1.1 of this appendix.

### **4.0 Reporting**

A critical element of facilities and space planning is an accurate record of how it is used. Timely and complete information must be provided to the UPAT whenever changes of any scale occur. Every division will have an officially designated responsible reporting agent. The reporting agents are the Deans, Directors, or Department Heads unless other arrangements are made. A process will be put into place that make reporting as easy as possible.

# Capital Project / Space Assignment Approval Process

