AGENDA

University of Connecticut
Board of Trustees

Buildings, Grounds and Environment Committee
November 12, 2024, at 10:00 a.m.
Virtual Meeting

Public Streaming Link (with live captioning): https://ait.uconn.edu/bot

(A recording of the meeting will be posted on the Board website https://boardoftrustees.uconn.edu/ within seven days of the meeting.)

Call to order at **10:00 a.m.**

1. Public Participation*
   *Individuals who wish to speak during the Public Participation portion of the Tuesday, November 12, meeting must do so 24 hours in advance of the meeting's start time (i.e., 10:00 a.m. on Friday, November 8) by emailing BoardCommittees@uconn.edu. Speaking requests must include a name, telephone number, topic, and affiliation with the University (i.e., student, employee, member of the public). The Committee may limit the entirety of public comment to a maximum of 30 minutes. As an alternative, individuals may submit written comments to the Committee via email (BoardCommittees@uconn.edu), and all comments will be transmitted to the Committee.

APPROVAL ITEMS:	**TAB**
2. Approval of the Minutes of the Buildings, Grounds and Environment Committee Meeting of September 17, 2024	1
3. Four (4) Proposed Easements with Wilhusky Housing LLC concerning development of Site B of off-campus student housing known as The Hub on North Eagleville Road	2

DISCUSSION ITEMS:

4. Construction Assurance Office Report – November 2024 ➢ Presenter: Angelo Quaresima Associate Vice President and Chief Audit Executive	3
5. Project Updates ~ Storrs Based Programs	4
6. Capital Projects Procedures Manual University Planning, Design & Construction Updated – October 2024 ➢ Presenter: Robert Corbett, Interim Associate Vice President of University Planning, Design & Construction ➢ Presenter: Stanley Nolan, Interim Associate Vice President for Facilities Operations	5

7. UConn Health Updates, Facilities Development and Operations 6
   - Presenter: George Karsanow, Associate Vice President for UConn Health Campus Planning, Design & Construction

8. **Projects Reviewed by BGE and to be presented to Financial Affairs on 12/10/24**:

STORRS BASED PROGRAMS	Phase	Budget	
Reflection Garden	Design	$800,000	7
Hartford Café	Final	$1,100,000	8
Whitney Road Steam Improvements E-8 to Q-8	Final	$8,500,000	9
Northwest Residential Area – Thermal Comfort Improvements	Final	$6,750,000	10
Homer Babbidge Library Stairs and Doors	Revised Final	$1,004,300	11
UCONN HEALTH			
Torrington Clinic Relocation	Planning	$4,800,000	12
Interventional Radiology Equipment Replacement & Renovation	Design	$4,700,000	13
Hybrid OR#2 Fit-out	Final	$TBD	14

INFORMATION ITEMS:

9. Summary of Individual Change Orders Greater Than 3% of Project Cost (Storrs based projects) 15

10. Quarterly Construction Status Report, Period Ending September 30, 2024
    https://updc.uconn.edu/wp-content/uploads/sites/1525/2023/10/UConn-Quarterly-Construction-Report_09302024web.pdf

11. Construction Projects Status Report – October 30, 2024
    https://bpir.media.uconn.edu/wp-content/uploads/sites/3452/2024/10/Construction-Status-Report-10.30.24.pdf

12. University Senate Representative Report
    - Professor Amvrossios Bagtzoglou, University Senate Representative

13. Other Business

14. Executive Session

15. Adjournment

PLEASE NOTE: *If you are an individual with a disability and require accommodations, please e-mail the Board of Trustees Office at boardoftrustees@uconn.edu prior to the meeting.*

ATTACHMENT 1

MINUTES

University of Connecticut
Board of Trustees

Buildings, Grounds and Environment Committee
September 17, 2024
Virtual Meeting

Committee Trustees:	Marilda Gandara, Jeanine Gouin, Andrea Dennis-LaVigne,
UConn Health Board of Directors Directors Committee Members:	Francis Archambault, Jr.
Other Trustees:	Andy Bessette, Thomas Ritter, Daniel Toscano
University Senate Representatives:	Amvrossios Bagtzoglou
University Staff:	President Maric, Andy Agwunobi, Robert Corbett, Anne D'Alleva, Gail Garber, Nicole Gelston, Jeffrey Geoghegan, Katherine Grady, Nathan Fuerst, Jonathan Heinlein, David Hook, Philip Hunt, Andrea Keilty, David Koehler, Eric Kruger, Nathan LaVallee, Lynn Lesniak, Matthew Longenecker, Margaret McCarthy, Stanley Nolan, Angelo Quaresima, Rachel Rubin, Joseph Thompson, Michelle Williams, Kristen Wirtanen, Reka Wrynn

Vice-Chair Gandara called the meeting to order at 10:00 a.m.

1. Public Participation

   No members of the public signed up to address the Committee.

2. Minutes of the Buildings, Grounds and Environment Committee Meeting of June 11, 2024

   On a motion by Trustee Gouin, seconded by Director Archambault, the Committee voted unanimously to approve the minutes of the June 11, 2024, Meeting.

3. Proposed Modification of Distribution Right-of-Way Easements on UConn Property between Hunting Lodge Road and King Hill Road in Storrs for the benefit of Connecticut Light & Power (aka CL&P or Eversource)

   On a motion by Trustee Gouin, seconded by Director Archambault, the Committee voted unanimously to recommend this item to the full Board for approval.

4. Option Agreement Concerning Future Development of a Connected and Autonomous Vehicle Smart City at the UConn Depot Campus
Presenter: Robert Corbett, Interim Associate Vice President of University Planning, Design & Construction

5. Construction Assurance Office Report – September 2024
Ninth Biennial Report (July 1, 2022 through June 30, 2024)
Presenter: Angelo Quaresima, Associate Vice President and Chief Audit Executive

6. New Professional Services and General Contractor On-Call Solicitation Summary
Presenter: Joseph Thompson, Associate Vice President of University Business Services and Chief Procurement Officer

7. Project Updates ~ Storrs Based Programs
Presenters: Robert Corbett, Interim Associate Vice President for University Planning, Design and Construction
Stanley Nolan, Interim Associate Vice President for Facilities Operations

8. UConn Health Project Updates, Facilities Development and Operations
Presenter: George Karsanow, Associate Vice President for UConn Health Campus Planning, Design & Construction

9. Projects Reviewed by BGE and to be presented to Financial Affairs on September 25, 2024, for Storrs Based Programs and UConn Health

This agenda item was informational.

10. Summary of Individual Change Orders Greater Than 3% of Project Cost (Storrs-based projects)

This agenda item was informational.

11. Status of Code Correction Projects
- Construction Management Oversight Committee Quarterly Code Correction, Status Report – Code Exception Report
- Quarterly Construction Status Report, Period Ending June 24, 2024

This agenda item was informational.

12. Construction Projects Status Report

This agenda item was informational.

13. University Senate Representative Report

There was no University Senate Representative Report.

14. 2025 BGE Meeting Schedule
This agenda item was informational.

15. Other Business

There was no Other Business.

16. Executive Session

On a motion by Trustee Gouin, seconded by Director Archambault, the Committee voted unanimously to go into Executive Session at 11:02 a.m. pursuant to Connecticut General Statutes section 1-210(b)(1); 1-210(b)(5)(B) and 1-210(b)(7).

The following Trustees were in attendance: Bessette, Gandara, Gouin, Dennis-LaVigne, Ritter, Rubin, and Toscano.
.
The following UConn Health Board of Director was in attendance: Archambault.

The following University staff were in attendance for the entire Executive Session: Maric, D'Alleva, Geoghegan, Corbett, Garber, Gelston, Grady, Heinlein, LaVallee, Rubin, Williams, Wrynn, and Carone.

The Executive Session ended at 11:49 a.m., and the Committee returned to Open Session at 11:50 a.m.

17. Adjournment

On a motion by Trustee Dennis-LaVigne, seconded by Director Archambault, the Committee voted unanimously to adjourn the meeting at 11:51 a.m.

Respectfully submitted,

Debbie L. Carone

Debbie L. Carone
Secretary to the Committee

ATTACHMENT 2

UCONN
UNIVERSITY OF CONNECTICUT

Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance
& Chief Financial Officer UConn and
UConn Health

December 11, 2024

TO: Members of the Board of Trustees

FROM: Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance & Chief Financial Officer

RE: Four (4) Proposed Easements with Wilhusky Housing LLC concerning development of Site B of off-campus student housing known as The Hub on North Eagleville Road

RECOMMENDATION:

That the Board of Trustees approve the University Administration entering into easement agreements with Wilhusky Housing LLC to facilitate development of Site B of off-campus student housing at the complex known as The Hub on North Eagleville Road in Storrs CT. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees authorizes the University Administration to enter into four (4) easement agreements and any other required ancillary agreements with Wilhusky Housing LLC to facilitate development of Site B of off-campus student housing at the complex known as The Hub on North Eagleville Road in Storrs CT."

BACKGROUND:

Wilhusky Housing LLC has recieved approval from the Town of Mansfield Planning and Zoning Commission to construct student housing totaling approximately 1,350 beds on North Eagleville Road on two separate parcels that bisect the road. The north side of North Eagleville Road will be constructed first (Site B) and start in the spring 2025, while the south half of the development (Site A) will be started in a future year. Site B is bound by University property on all four sides (i.e. University improved land on the west and north sides, a University road on the east side, and a University-controlled road on the south side), so the project cannot be constructed without easements from the University.

The four (4) easements that are required are as follows:

Temporary Construction Easement: This easement allows the developer to utilize between 11' and 50' of University property on all four sides of the site on a temporary basis to construct the

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Storrs, CT 06269
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PHONE 860-679-3162
geoghegan@uchc.edu

development. The developer will restore the area after the work is completed and the easement will expire upon the completion of the construction.

Permanent Access and Maintenance Easement: This easement is on the south side of the site only and allows the developer to permanently have both vehicular and pedestrian access from North Eagleville Road to the new building. This easement is required because although North Eagleville Road is a public road, the University has custody and control over the roadway and the agreement with CTDOT requires the University to allow access to the public road. Additionally, this easement outlines developer on-going maintenance obligations for the land area between North Eagleville Road and the new student housing building.

Permanent Emergency Access Easement: Ledoyt Road on the east side of Site B is a University Road. This easement grants the developer rights to access Ledoyt Road if necessary, in an emergency, such as with fire or police vehicles. Under the terms of this easement, the University can reorient or make other improvements to LeDoyt Road but cannot relocate or close the roadway since the development requires the road for emergency services.

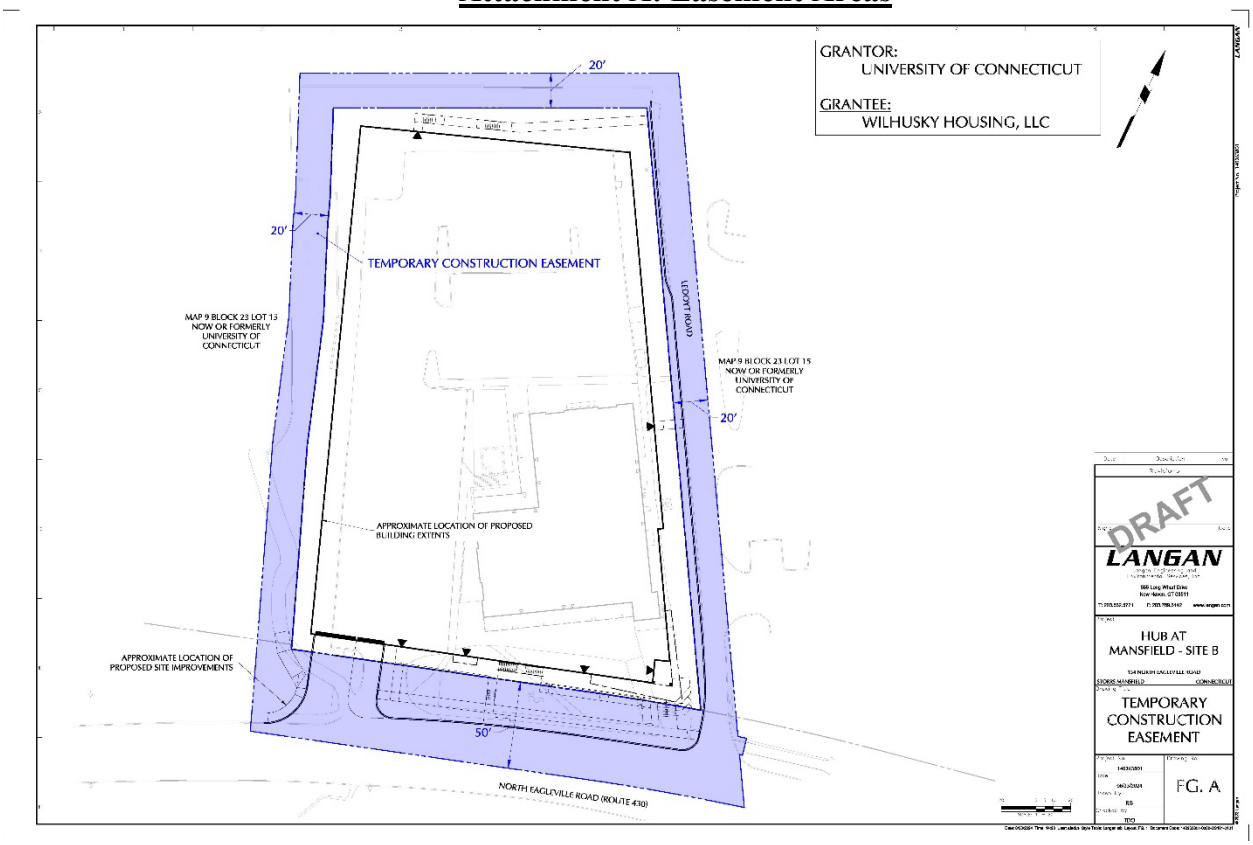
Permanent Maintenance, Access and Drainage Easement: The development needs to construct drainage structures in the North Eagleville Road right-of-way and on University property to manage and discharge stormwater from the new building. This easement allows the developer to construct stormwater discharge structures to University and CT DOT requirements and obligates the developer to maintain them permanently.

A separate agreement is also being completed that will address future operating conditions between the University and the new development. In that agreement, the University will receive a lump sum payment of $600,000 for these easements and $25,000 annually for operating expenses concerning Site B.

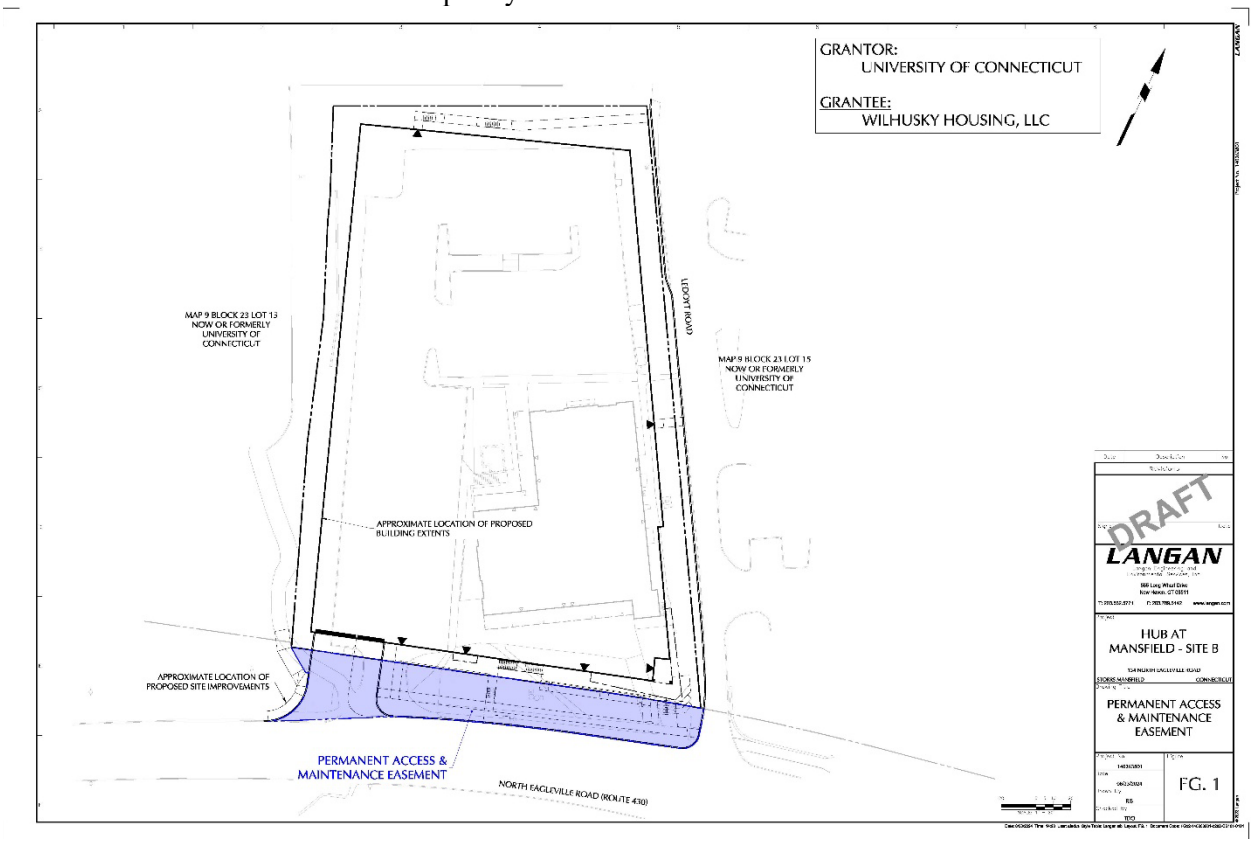
The easements are graphically depicted in Attachment A.

-END-

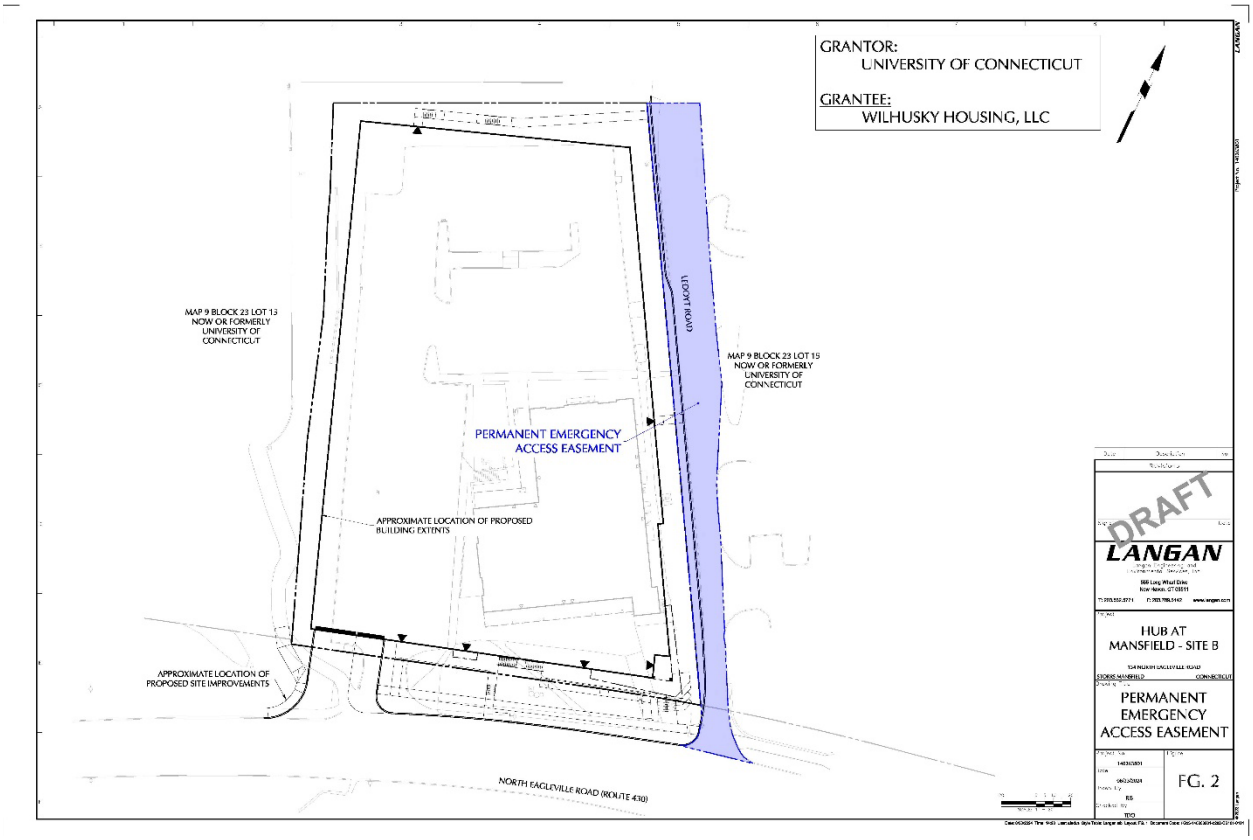
Attachment A: Easement Areas



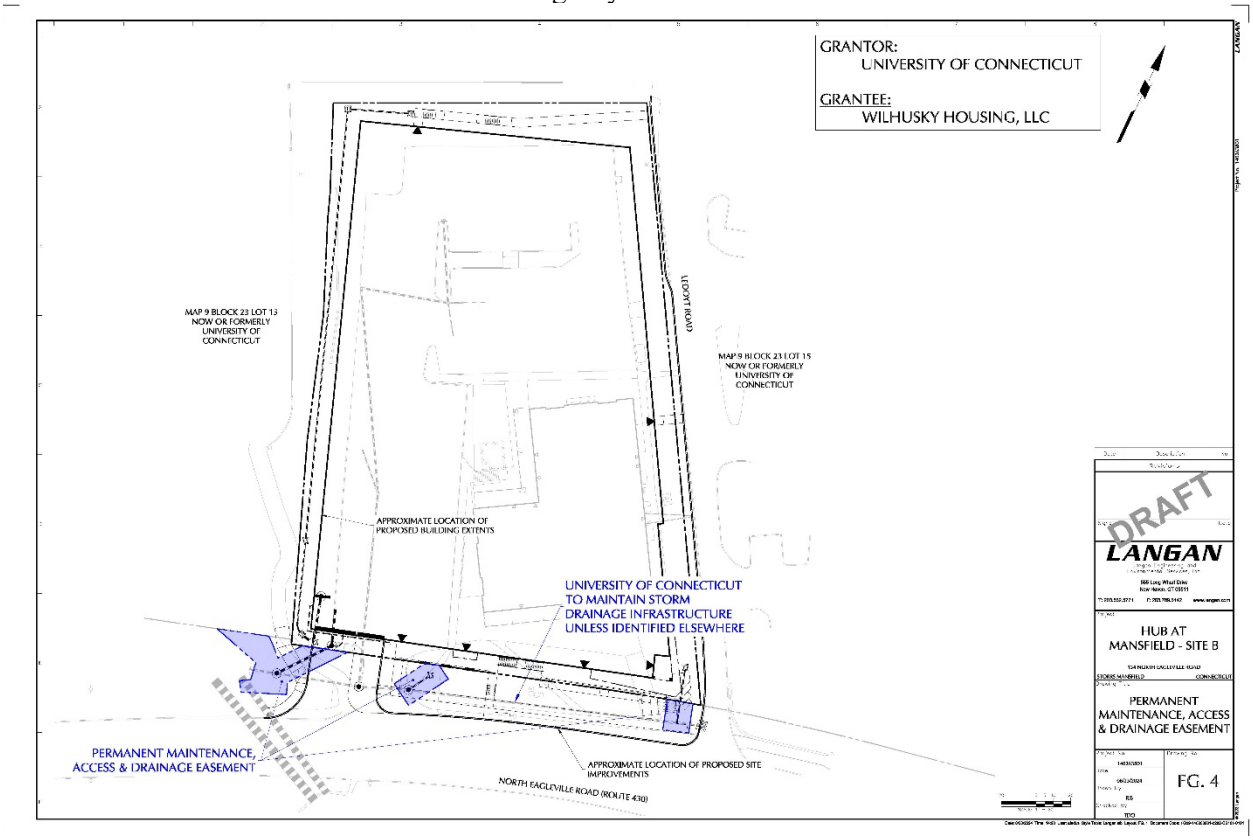
Temporary Construction Easement Area



Permanent Access and Maintenance Easement Area



Permanent Emergency Access Easement Area



Permanent Maintenance, Access and Drainage Easement Area

ATTACHMENT 3

UCONN
UNIVERSITY OF CONNECTICUT

Audit and Management Advisory Services
UConn, UConn Health, & Regional Campuses

November 12, 2024

TO: Members of the Buildings, Grounds and Environment Committee

FROM: Angelo Quaresima, Chief Audit Executive

David Hook, Construction Auditor

RE: Construction Assurance Office Report – November 2024

In accordance with CT General Statutes (CGS) Section 10a-109cc, the following is the statutory required report of construction performance reviews undertaken by the Construction Assurance Office (CAO) through October 2024:

The CAO continues to review active UConn 2000 funded projects for compliance with CGS Section 10a-109n and UConn's Capital Projects Policies and Procedures Manuals maintained by Finance, Capital Projects and Facilities Procurement, and University Planning, Design and Construction.

We have completed our review of the UConn 2000 funded project listed below to verify project compliance with requirements from initiation through close out. Our review included test procedures for key areas such as project initiation, contractor procurement, expenditure review, contract changes, building and fire code compliance, and project closeout.

Based on our review of project documentation, no significant exceptions were noted for the project reported this quarter.

Statutory Name	Child Project Name	Project Number
DM/Code & ADA/In Imp & Reno Lump Sum/UA&S Fac	UPDC Relocation	300207

Audit and Management Advisory Services
28 Professional Park Road, Unit 5084, Storrs, CT 06268
263 Farmington Avenue, MC 8214, Farmington, CT 06030
PHONE 860-486-4526
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UCONN HEALTH

ATTACHMENT 4

Buildings, Grounds, and Environment Committee

University Planning, Design and Construction
Facilities Operations

November 12, 2024
Complete Report

UCONN

Agenda

UPDC Resolutions Approved- October BOT Meeting
- School of Nursing New Building
- Field House- Old Recreation Center Renovation- Phase 2
- Gampel Pavilion Renovation
- NW Residential Area-Thermal Comfort Improvements-Design

UPDC Resolutions for December BOT Meeting
- Reflection Garden
- Hartford Café
- NW Residential Area-Thermal Comfort Improvements-Final
- Whitney Road Steam Improvements

UPDC Capital Projects Procedures Manual

Highlighted UPDC Projects
- UPDC Projects in Construction
- UPDC Projects in Design

Real Estate Projects
- Regional Housing
- Off-Campus Development

Facilities Operations Resolutions for December BOT Meeting
- Homer Babbidge Library Stairs & Doors Upgrade

Highlighted Facilities Operations Projects
- Facilities Operations Projects in Construction
- Facilities Operations Projects in Design

Appendix
- UPDC/Facilities Operations Projects in Planning and Close Out

UPDC Projects
October and December BOT Meetings

School of Nursing New Building

- Scope:
  - Construction of a new School of Nursing building on a site adjacent to Philips Communications Science Building and the Human Development Center in South Campus
  - 91,000 sf building with five stories

- Budget: $100.0M BOT Approved October 2024

- Schedule:
  - Design – October 2023 to September/October 2024
  - Project out to Bid. Phase 1 GMP pending.
  - Tentative Construction – November 2024 to Fall 2026

- Key Issues & Risks:
  - Aggressive schedule and tight budget
  - Long lead mechanical and electrical equipment
  - Difficult/Tight site and swing space available

New School of Nursing Building (View looking Northwest)

Field House – Old Recreation Center Renovation

- Scope:
  - Athletics backfill of the Field House-Old Recreation Center
  - Renovation of the existing locker rooms and team offices
  - Academic Center- consolidation of Student-Athlete Success Program
  - New ERG Room for Women's Rowing
  - Renovation of Strength & Conditioning and Sports Medicine Areas

- Budget: $90.0M- BOT Approved- October 2024

- Schedule:
  - Expected design completion is late Fall 2024. Phase 1 (Wolff Zackin Natatorium) GMP contracted with construction scheduled Spring 2025 – Fall 2025. Phase 2 (Balance of Field House) will be bid in January 2025 and constructed between Summer 2025 and Winter 2027
- Key Issues & Risks: Cost escalation and supply chain concerns, especially concerning long-lead items, and swing space/relocation requirements and plans need to be further developed

View of Proposed Student Academic Center

Gampel Pavilion Renovation

Scope: Modernize the facility, including wi-fi improvements and create more revenue generating opportunities within the building.

Budget: $1.6M – BOT Approved October 2024
Budget approved for sports facility specialist, planning and programming, and wi-fi equipment replacements as first phase of project

Schedule:
Planning: Fall 2024 - Spring 2025
Design: Spring 2025 - Winter 2025
Construction Start: 2026- Phased based on Athletic schedules

Key Issues & Risks:
Construction escalation

Northwest Residential Area- Thermal Comfort Improvements

- Scope: Provide air conditioning to the six dormitory buildings in the Northwest Housing Complex. The phasing of the project will be determined after enhanced schematic design based on available annual summer budgets

- Budget: $800,000- Design - BOT Approved- October 2024,
  $6.75M - *Pending BOT December 2024*

- Schedule: Enhanced Schematic Design Complete October 2024, Final Design Complete December 2024, Construction May 2025 – August 2025

- Key Issues & Risks:
  - Availability of mechanical equipment

Hartford Cafe

Scope: Build out a café space on the 1st Floor of the Hartford Times Building to provide students with an affordable dining option and to address student food insecurity.

Budget: $200,000 approved Planning
$1.1M- Pending BOT December 2024

Schedule:

- Design: Summer 2024-Fall 2024
- Bidding anticipated Winter 2024
- Construction Spring 2025-Fall 2025

Key Issues & Risks: Long-lead Dining Service Equipment

Reflection Garden

Scope:
A garden initiated in 2022 by two active donors and alumni who envisioned an outdoor space that fosters wellness, inclusivity, tolerance, and peace. In coordination and collaboration with the donors, UConn Foundation, the Provost, the Dean of Students, Global Affairs, Student Life & Enrollment, student leaders, and numerous campus stakeholders, the project will renovate an existing tree and lawn area to a passive space on the east side of Babbidge Library with plantings, lighting, seating, inspirational quotes, and sculptures.

Budget:
$191,330 PRC Approved, $800K Design *Pending December BOT*

Schedule:
Design Completed November 2024; Bidding November-December 2024; Construction March-August 2025

Key Issues & Risks:
- Construction Logistics
- Sculpture Delivery & Coordination
- Plant Establishment & Maintenance

View into Garden

View from above

Whitney Road Steam Improvements

Scope: Replace ~500 feet of steam and condensate lines discovered to be leaking and beyond repair in Fall 2023, as well as a service vault. These lines extend from the vicinity of Monteith (on the North) to new steam infrastructure in the vicinity of Arjona completed in 2024.

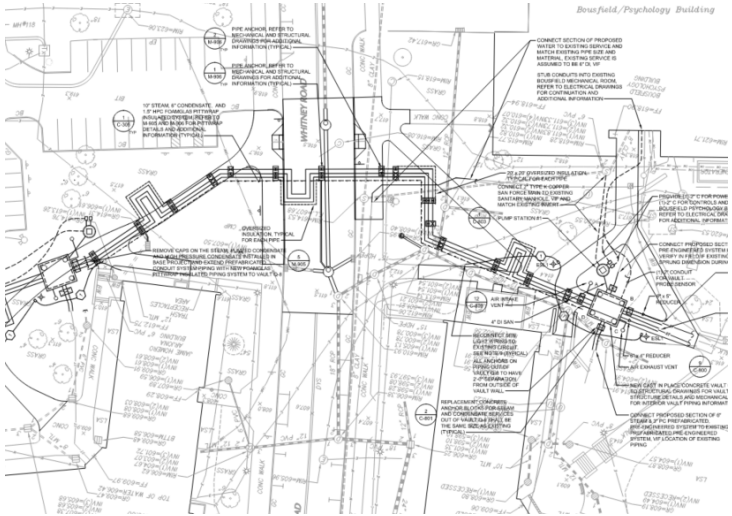
Budget: $200,000 PRC Approved, $8.5M *Pending December BOT*

Schedule:

- Planning: Complete
- Design: Completed October 2024
- Bidding: November-December 2024
- Construction: May to September 2025

Key Issues & Risks:

- Construction escalation
- Sequencing and impacts to campus utilities



UPDC Capital Projects Procedures Manual- 2024 Update

- Revised the previously approved Procedures Manual (2019) as follows:
  - ✓ Updated Organizational Chart
  - ✓ Added the Design Guidelines and Performance Standards
  - ✓ Removed Task Order requirements
  - ✓ Add section 2.1.8- Contractor Performance Evaluations
  - ✓ Updated Section 3- University Policies applicable to UPDC
  - ✓ Updated Section 4- Connecticut Statutes applicable to UPDC
  - ✓ Deleted Exhibit B: Excerpts and Copies of University Policies Applicable to UPDC

UPDC Project Status Summary

In Bidding/Construction

- School of Nursing New Building
- Fieldhouse- Old Recreation Center Renovation- Phase 1
- Hartford Café
- Reflection Garden
- South Campus Infrastructure
- Mirror Lake Improvements
- Gilbert Road Site Preparation
- UConn Tennis Facility
- UConn Waterbury at 36 North Main
- XL Center- Academic Space Renovation

In Design

- Fieldhouse- Old Recreation Center Renovation- Phase 2
- Northwest Residential Area- Thermal Comfort Improvements
- Coventry Boathouse
- Whitney Road Steam Improvements
- Gant Building Renovation
- Werth Residence Tower High Humidity Mitigation
- Stamford Mill River Remediation
- University Second Electrical Feed
- PBB Research Support Expansion

In Planning

- Gampel Pavilion Renovation
- Golf Practice Facility
- Active Transportation Grants
- Environmental Land Use Restriction- Lots F & C
- SHaW - Regional Campuses
- Stamford School of Nursing- Teaching Lab
- School of Fine Arts Collection Consolidation

In Close-Out

- Residential Life- South Campus Residence Hall
- NER and Discovery Drive Intersection Improvements
- Boiler Plant Equipment Replacement and Utility Tunnel Connection
- Supplemental Utility Plant
- NW Science Quad, Ph 2 Utilities and Site
- Freitas Renovation

Note: All projects have a degree of risk, primarily to scope and/or schedule and/or budget. In this report, the assessment of the risk per project is shown with a green, yellow or red box as follows:

Least Risk Some Risk Most Risk

Typically, projects in construction may have a risk to schedule and/or to budget; projects in design and planning may have a risk to scope and/or schedule and/or budget.

UPDC Projects in Construction

South Campus Infrastructure

- Scope:
  - Replace aging steam and other infrastructure on the South side of campus to increase efficiency and reliability of existing utilities; provide utilities, including a sustainable geothermal heat exchange system connected to the existing South Campus Chiller Plant and to the South Campus Residence Hall.
- Budget: $89.5M, Approved Revised Final
- Schedule:
  - All project phases have been bid. Work necessary for the occupancy of the South Campus Residence Hall was substantially complete in August 2024, and all roadways impacted by the work have reopened.
  - Work on the geothermal well field is 95% complete. Construction of the chiller plant addition is underway, with foundation and steel in place and enclosure of the building anticipated by December 2024. Partial closure of S lot continues, with future closures to be coordinated with the School of Nursing project.
  - Construction July 2023 – May 2025, with in-service date of electrical equipment for the South Campus Chiller Plant potentially as late as Spring 2026.
- Key Issues & Risks: Long lead times for mechanical and electrical equipment, maintenance and operation of temporary cooling and emergency power equipment.

Completed utility installation and restored Gilbert Road

Installation of geothermal system, S Lot

Mirror Lake Improvements

Scope:

- Construction of the New School of Nursing Building, South Campus Residence Hall and associated infrastructure requires stormwater improvements for environmental compliance
- A near-term, phased scope of work within a reduced budget and an updated feasibility study that was mutually satisfactory to CT DEEP was completed, and included two key components of work:
  - (1) Interim improvements and/or repairs to the dam and spillway due to its hazard class and existing conditions
  - (2) Stormwater attenuation and water quality improvements associated with past and active development
- Emergency Action (Safety) Plan for the dam remains in effect

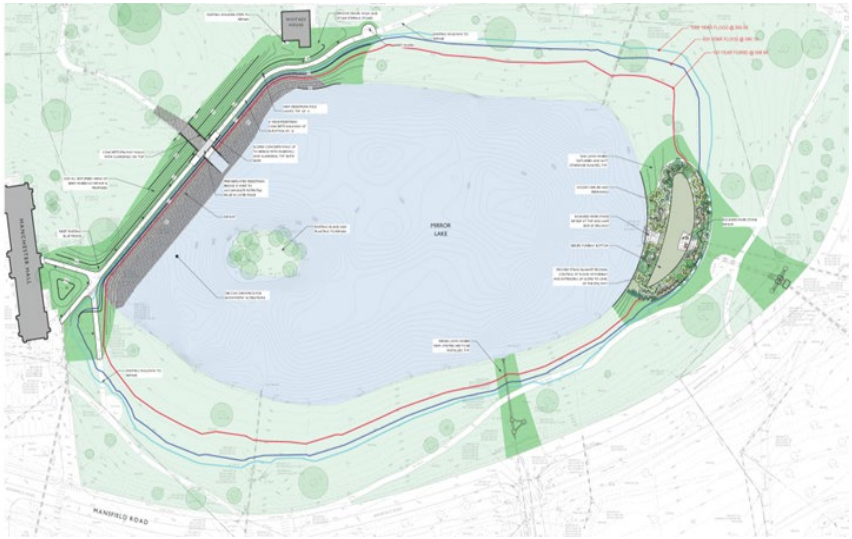
Budget: $11.5M, Final, BOT approval June 2024

Schedule:

- Construction Document Phase complete January 2024
- Environmental permit reviews and notices nearing completion
- Bidding & GMP complete, preconstruction in progress
- Construction: March 2025 – Spring 2026

Key Issues & Risks:

- Environmental and construction permitting review periods
- Bid alternates not accepted include forebay and walkway across dam
- Construction logistics, including traffic controls on SR-195
- Future Phase 2 work (dredging/forebays) TBD



Basis of Feasibility Study, Revised Design and Master FMC MOU Amendment with CT DEEP

Gilbert Road Site Preparation

- Scope:
  - Preparation of the area along Gilbert Road for the South Campus Residence Hall
  - Exterior House Restoration
- Budget: $6.6M, Approved Final
  - Both Phases of the project are on budget
  - Spending to be capped at $6.0 million
- Schedule:
  - Relocation portion of the work is complete (Phase 1). Exterior restoration scope (Phase 2) has been bid and awarded.
  - Phase 2 work commenced in Spring and will be complete by the end of 2024
- Key Issues & Risks: SHPO's expectations concerning the overall project

4 Gilbert Road - House Relocation

UConn Tennis Facility

Scope:

- Support building that complies with Title IX requirements, associated utility infrastructure, and other site improvements
- New building will serve as a satellite location for the team lockers and offices located in the Guyer Gymnasium
- Public restrooms, a team locker room and restroom, and a flexible space for use by coaches and staff
- Replacing off-street grass/gravel parking with a designated paved area and an accessible parking space
- Sidewalks and crosswalks for universal access and improved pedestrian safety
- Infrastructure improvements include transformer upgrades and new telecom, water, sewer, gas and electrical lines

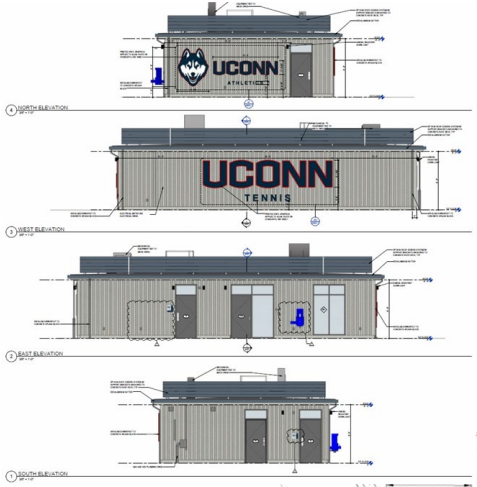
Budget: $3.45M, Final- Approved September BOT

Schedule:

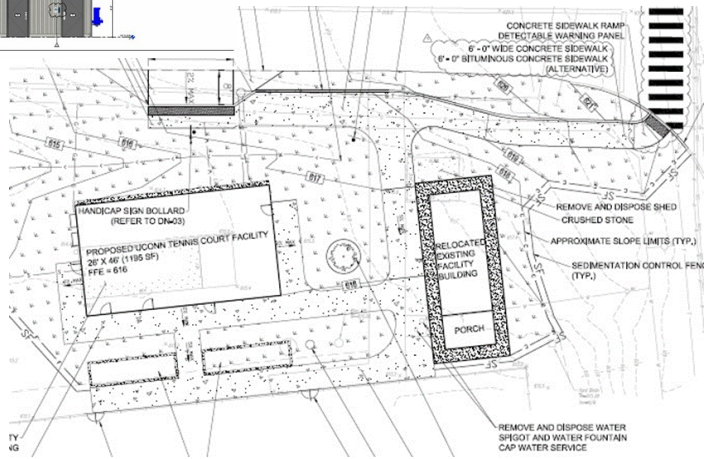
- Construction Documents & Bidding complete August 2024
- Construction: Fall 2024 – Fall 2025

Key Issues & Risks:

- Construction logistics
- Winter conditions



Site plan and building elevations



UConn Waterbury at 36 North Main Street

Scope: The University entered a lease to provide the School of Nursing, Allied Health, Psychological Services, Urban & Community Studies, Business, and Community Partners additional academic, research and support space for the UConn Waterbury Campus. This project provides:

- IT Infrastructure connecting the leased building to the existing campus
- Air conditioning for UConn server equipment
- Security Upgrades
- Furniture and AV equipment for new classrooms
- Instructional equipment for School of Nursing Simulation Lab

Budget: $1.25M, Final - Approved September BOT

Schedule:

- The furniture, fixtures and equipment procurement will occur while the landlord completes interior fit-out for UConn occupancy in January 2025.

Key Issues & Risks: Coordination of installation with ongoing construction

XL Center - Academic Space Renovation

- Scope: Providing IT services, audio-visual systems and furniture for occupancy of a 51,000 SF space under a five-year lease at the XL Center.

- Budget: $1.039M Final Approved BOT

- Schedule:
  - Lease fully executed
  - Tenant Fit-Out Work: Summer 2024- Fall 2024
  - Occupancy starting January 1, 2025

- Key Issues & Risks:
  - Lead times for equipment and furniture

229 Trumbull Street Entrance at the XL Center

UPDC Projects in Design

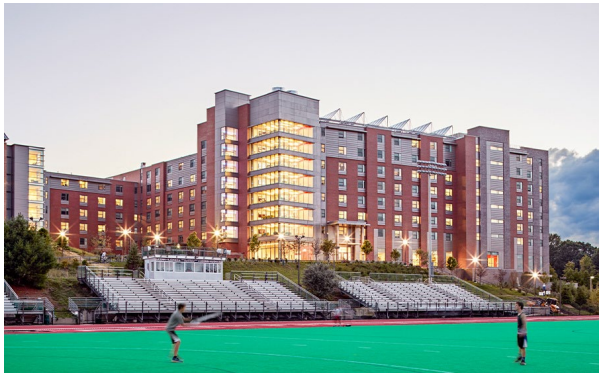
Gant Building Renovation - STEM

- Scope: 300,000 GSF Renovation
  - Teaching labs, faculty offices and support space upgrades
  - Infrastructure and Envelope Upgrades
  - Targeting LEED Gold
- Budget: $170M, Approved Revised Final for Ph 1 & 2
  - Phases 1 and 2 complete.
  - Phase 3 (Gant North Wing) scope has been reduced (Floors 3 and 4, formerly research, will be shell space) and associated design and preconstruction services are underway.
- Schedule:
  - Construction Phase 1: Winter 2018 – Summer 2019
  - Construction Phase 2: Fall 2019 – Spring 2021
  - Construction Phase 3: Commencing May 2025 (tentative)
- Key Issues & Risks: Phase 3 cost escalation, work in an occupied building, long lead times for mechanical and electrical equipment.

View of 4th Floor North Wing Addition from North Eagleville Rd

Werth Residence Tower High Humidity Mitigation

- Scope:
  - Mock-up testing indicates that dry air needs to be delivered to the student residence rooms to lower the humidity levels and reduce moisture. The mock-up testing determined modifications to the air distribution within the rooms is required to minimize condensation on the windows during heating season is ongoing.
  - Temporary dehumidification equipment has been installed in the corridors to help lower the humidity level in the building this upcoming academic year. The final replacements will be done during the summer of 2025 due to long lead times for equipment procurement.
- Budget: $8.5M, Final Approved BOT
- Schedule:
  - Dec 2023-March 2024 – Design temporary measures
  - March 2024 – May 2024 – Install temporary dehumidification system
  - Summer 2025 – Install new rooftop equipment and ductwork to rooms
- Key Issues & Risks:
  - Supply chain timeline for mechanical and electrical equipment and controls



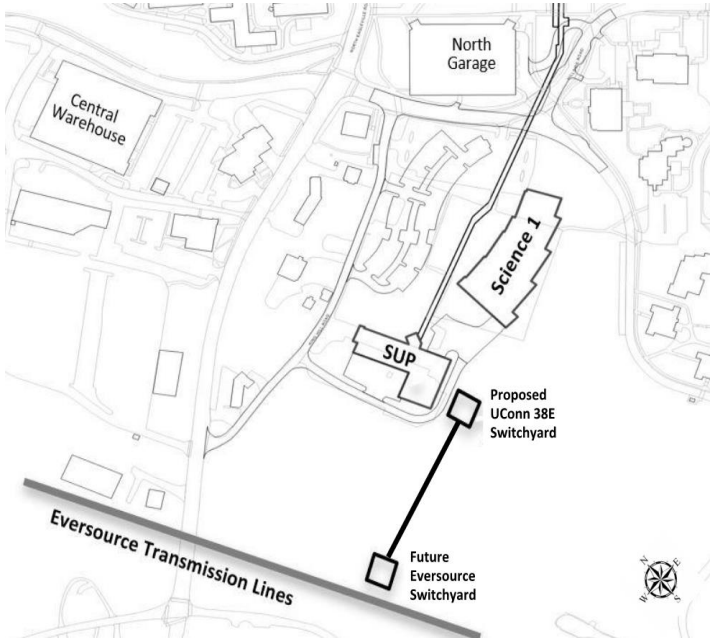
Stamford Garage – Mill River Remediation

- Scope:
  - Remediation of environmentally-impacted soils and sediments at the Mill River adjacent to the west of UConn's parking lot
- Budget: $0.5M, Approved Planning, construction funding TBD
- Schedule:
  - Initial Ecology Report and testing completed and submitted in September 2020. DEEP requested additional study.
  - Access agreements from adjacent property owners completed and second round of testing of river completed Fall 2022
  - Updated reports and testing results submitted to DEEP. DEEP still reluctant to finalize a remediation level. Additional risk assessment testing was done and submitted to DEEP in Spring 2024.
  - Target Remediation Date: TBD. No earlier than Fall 2026
- Key Issues & Risks: Extent of remediation may include adjacent properties not owned by UConn. Permitting of work will take 9 – 12 months after agreement on scope with DEEP. Budget will depend on remediation scope of work. Market escalation.

Mill River adjacent to UConn Parking Lot

University Second Electrical Feed

- Scope:
  - Construction of a new UConn 38E switchyard adjacent to the Supplemental Utility Plant (SUP) and connection to Eversource transmission lines.
- Budget: $15.0M Approved Final, Phase 1, September 2023 BOT
- Schedule:
  - Design continues and has been completed through the selection of certain equipment with long lead times.
  - Phase 1, the procurement and installation of equipment with long lead times, has been bid. An additional long lead time equipment procurement phase may be necessary.
  - Construction Schedule: TBD based upon updated lead times for equipment and completion of design.
- Key Issues & Risks: Environmental permitting, long lead times on equipment and cost escalation due to large volume of transmission upgrades nationwide, coordination with new power generation (including fuel cell) projects, finalization of the interconnection agreement with Eversource, Eversource's completion of its enabling projects.



UConn 38E Switchyard and Eversource Transmission Line Connection

Note: Eversource switchyard and connection to 38E by Eversource

PBB Research Support Expansion

- Scope: Fit-out the shell space adjoining the existing research support facility within the Pharmacy Biology Building (PBB) on the Storrs Campus for a vivarium. The area of the project is approximately 3,850 NSF.

- Budget: $1.0M -BOT Approved Design
  Anticipated total budget: $10,000,000

- Schedule:
  - Target Construction Spring 2025 – Spring 2026

- Key Issues & Risks:
  - Vibration/noise/dust working in an occupied research facility

PBB Vivarium

Coventry Boathouse

Scope: Construct new boathouse facilities on Coventry Lake for the women's rowing team as part of Title IX upgrades.

Budget: $2.65M BOT *Pending December BOT*

Schedule:

- Design: November 2024 – March 2025
- Bidding: Spring 2025
- Construction: Summer 2025 – Winter 2026

Key Issues & Risks: Dock permitting is required with DEEP

Real Estate Update

Real Estate Projects

36 N Main Street - Waterbury: Construction anticipated to be complete in December 2024, so the University will occupy the building commencing Spring 2024-2025 semester.

10 Willowbrook Road: Recommenced discussions about a possible lease of the house to Chabad.

Celeron: Recommenced discussions with owner about a ground lease extension for existing apartments on Hunting Lodge Road.

Fairfield Ag Extension: Discussing potential resolutions to eviction notice and long-term property use.

Cell System Licenses: Due to evolution of 5G, and planning for future 6G systems, all major telecom companies are proposing equipment upgrades and changes at the cell towers.

SON Stamford: Project pending to relocate the teaching facilities into the main campus building in Stamford so we can terminate the lease at their current location.

Housing at Regional Campuses

UConn Hartford: Term Sheet was executed earlier in the summer. Development agreement and master lease nearing completion and execution.

UConn Stamford (Long Term): RFEI issued in April to determine if we can procure more favorable terms for housing long-term with a target range for total beds between 650 – 750 beds. We received 10 Responses and discussions continue with two (2) finalist properties.

UConn Avery Point: RFEI responses received in late July. Interviews conducted and preferred developer selected. Design and construction cost confirmation pending.

UConn Waterbury: On-going discussions continue with adjacent residential building about improving marketing opportunities for housing incoming students.

UConn Law School: Owner of land adjacent to Law School submitted plans for development of 199 new apartments on the site.

Facilities Operations Projects for December BOT Meeting

Homer Babbidge Library Stairs & Doors Upgrade

Scope: This project includes the demolition of the existing defunct and decommissioned escalator and replacement with a bluestone staircase. It also includes the removal and replacement of nine storefront doorways on the 2nd, 3rd, 4th and plaza level to comply with building code. This aligns with the strategic initiative Excellence in Research, Innovation, and Engagement.

Budget: $771,760 - Approved Final
$1,004,300 – Revised Final Budget –*Pending December 2024*

Schedule: Phase 1 – Storefronts and doors to be replaced during Thanksgiving and Winter break.
Phase 2 – Demolition of the escalator and construction of stairs scheduled for summer of 2025.

Key Issues & Risks: None at this time.

Facilities Operations Project Status Summary

In Bidding/Construction

- Innovation Partnership Building Renovations for C2E2
- Jones Annex Renovation
- Homer Babbidge Library Stairs & Doors Upgrade
- Gampel Ground Floor KSI Heat Laboratory
- Gampel Pavilion Enhancements
- Andover Infrastructure and Software Upgrade
- Electric Vehicle Charging Infrastructure & Service Upgrades
- Hydrogen Fuel Dispenser
- Fuel Cell Installations- IPB and Putnam Hilltop
- Dining Hall Ventilation Upgrades

In Design

- Energy Services Performance Contract Phase 2
- Husky Village Exterior Refurbishment
- Charter Oak Apartments Building Envelope Refurbishment
- McMahon Roof Replacement
- George C. White Building Roof and Drainage Replacement Phase 3
- Branford House Exterior Repairs Phase 1, 2 & 3

In Close Out

- von der Mehden Rectital Hall Roof Restoration
- Wilbur Cross Cupola Repair
- FY24 Residential Refresh Program- Bulkley Hall
- Garrigus Suites Environmental Systems Upgrade

Informational

FY25 Summer Refresh Program

Note: All projects have a degree of risk, primarily to scope and/or schedule and/or budget. In this report, the assessment of the risk per project is shown with a green, yellow or red box as follows:

Least Risk Some Risk Most Risk

Typically, projects in construction may have a risk to schedule and/or to budget; projects in design and planning may have a risk to scope and/or schedule and/or budget.

Facilities Projects In Construction

Innovation Partnership Building Renovations for the Center for Clean Energy Engineering

Scope: Renovation of existing office areas, creating new labs in shell spaces and revising the layout of existing labs to accommodate new equipment. This aligns with the strategic initiative Excellence in Research, Innovation, and Engagement.

Budget: Final Revised Construction Budget : $20,000,000

Schedule: Phase 1 Design Completed in 2024 Q1
Phase 2 Design Completed in 2024 Q2
Phase 1 Bids Received – 2024 Q3 within budget
Phase 1 and Phase 2 Target Completion: 2025 Q4

Key Issues & Risks: Aggressive Schedule.

Jones Annex Renovation

Scope: Renovation of the Jones Annex building consolidating several outreach education fee-based services at one location. The consolidation will help facilitate efficiency between personnel, collaboration of group and increase opportunities for professional staff to contribute to undergraduate educational activities. This aligns with the strategic initiative Excellence in Research, Innovation, and Engagement.

Budget: $4,940,000- Approved Revised Final

Schedule: Design Completed in 2024 Q2
Target Project Completion: 2025 Q2

Key Issues & Risks: Aggressive Schedule, increased material costs and overall construction budget.

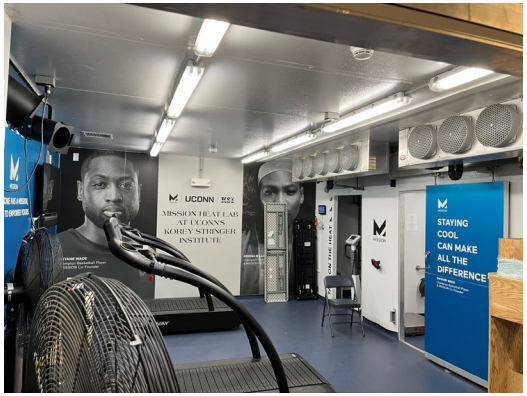
Gampel Ground Floor KSI Heat Laboratory

Scope: This project is the renovation of an existing locker room into the new heat laboratory. This more than doubles the research capabilities of the Korey Stringer Institute for Kinesiology. It also introduces an added unique capability of high-altitude conditions for research. This aligns with the strategic initiative Excellence in Research, Innovation, and Engagement.

Budget: $975,000- Revised Final Budget

Schedule: Design Completion 2024 Q3
Construction Completion 2024 Q4

Key Issues & Risks: Equipment lead time schedule.



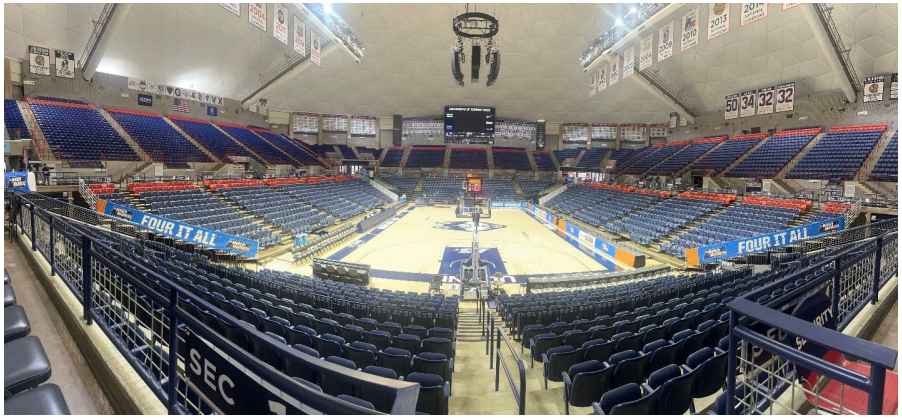
Gampel Pavilion Enhancements

Scope: This project includes replacement of the lower-bowl retractable seating system, replace and enhance the videoboard system, and upgrade to the show lighting system. This aligns with the strategic initiative Seven World-Class Campuses, One Flagship University and Student Success Journey.

Budget: $10,000,000- Approved Final

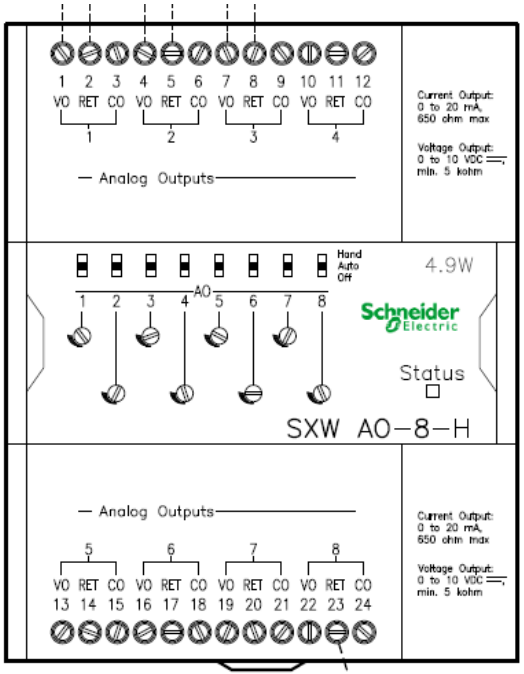
Schedule: On schedule, construction (lighting and videoboard system upgrade) began this summer, to be completed by 2024 Q3 and the seating replacement will be scheduled in 2025 Q3.

Key Issues & Risks: Lead time for materials/labor.



Andover Infrastructure and Software Upgrade

Scope: Phase 5 of the upgrade to the building automation system (BMS) software includes four more facilities as well as upgrading the main BMS server. The system controls and monitors the buildings' mechanical and electrical equipment such as ventilation, lighting, power systems, fire systems and security systems. The upgrades to the aging software for buildings and infrastructure extends the building asset life. This aligns with the strategic initiatives in Wellness of People and Planet and Seven World-Class Campuses, One Flagship University.



Budget: $3,855,439 - Approved Final Phases I - IV
$500,000 – Phase V
$4,355,439 – Phases I through V

Schedule: Phase 1, 2, and 3 are completed.
Phase 4 has been completed this summer.
Phase 5 construction started and scheduled for completion 2025 Q1.

Key Issues & Risks: Hardware Component Availability.

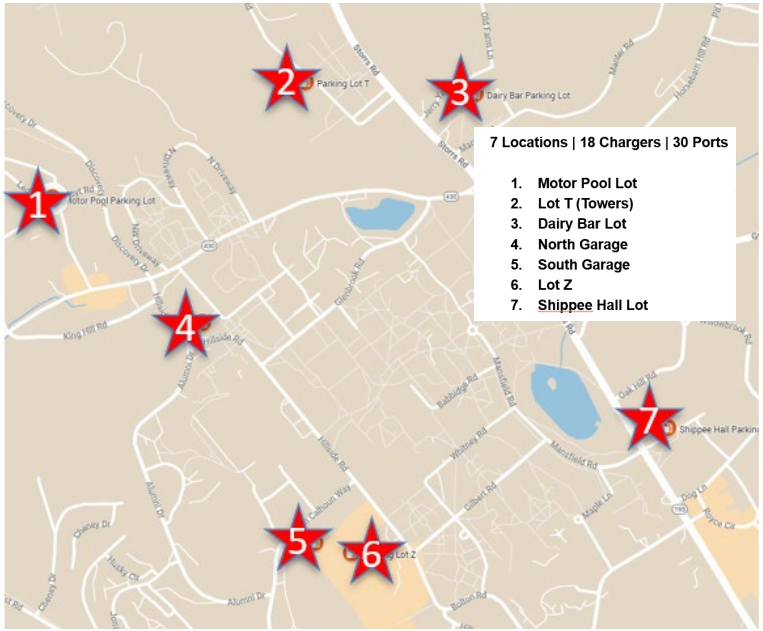
Electric Vehicle Charging Infrastructure and Service Upgrades

Scope: The project will install new EV charging equipment and upgrade infrastructure associated in 7 new locations at the Storrs Campus. This accelerates carbon mitigation towards reaching the Carbon Neutrality Goal by 2030. This aligns with the strategic initiatives Seven World-Class Campuses, One Flagship University and Wellness of People and Planet.

Budget: $957,200 - Approved Final

Schedule: Delayed due to in-house backlog, construction scheduled for 2024 Q4 through 2025 Q2.

Key Issues & Risks: Lead time on material, Compliance with RCSA PR2023-023 section 22a-174-36d and Senate Bill 343 prohibiting charging in garage structures.



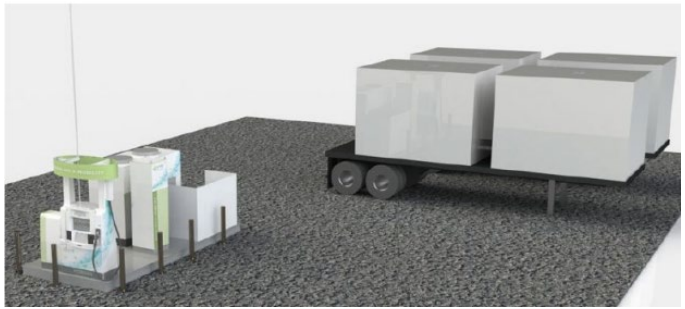
Hydrogen Fuel Dispenser

Scope: The project will install a hydrogen fuel dispenser at the Reclaimed Water Facility at the Storrs Campus to fuel light-duty vehicles (NEXOs and Mirai). The fuel dispenser includes (1) Electrical Enclosure, (1) Tube Trailer Stanchion, valve panel, cooling system, chiller, all piping for the interconnections and commissioning. This project accelerates carbon mitigation towards reaching the Carbon Neutrality Goal by 2030. This aligns with the strategic initiatives Excellence in Research, Innovation, and Engagement and Wellness of People and Planet.

Budget: $835,500 - Approved Final

Schedule: Delayed due to contract challenges but the contract has been finalized/signed. There is a ten-month lead time on equipment, construction scheduled for 2025 Q1.

Key Issues & Risks: Lead time and manufacturing of the unit; contract challenges and securing the hydrogen for the equipment that's within budget.



Fuel Cell Installations- IPB and Putnam Hilltop

Scope: Energy Services Agreements will install and operate two 250 kW Fuel Cell Energy fuel cell units at IPB and two 460 kW Doosan Fuel Cell units at Putnam Hilltop. This project accelerates carbon mitigation towards reaching the Carbon Neutrality Goal by 2030 and provides additional electrical generation on campus. This aligns with the strategic initiatives Excellence in Research, Innovation, and Engagement and Wellness of People and Planet.

Budget: FCE $13 Million/8 Years
VFS Doosan $15 Million/20 Years

Schedule: Putnam - On schedule, construction in process and completion date scheduled for 2025 Q1.
IPB – On schedule, design and permitting still in process.

Key Issues & Risks: Utility Interconnection.

Dining Hall Ventilation Upgrades

Scope: Dining hall ventilation upgrades to support energy conservation measures for 5 locations (Northwest, Towers, North, Rome, and Shippee). This project accelerates carbon mitigation towards reaching the Carbon Neutrality Goal by 2030. The upgrades to aging software for buildings and infrastructure extends the building asset life. This aligns with the strategic initiatives in Wellness of People and Planet and Seven World-Class Campuses, One Flagship University.

Budget: $892,700 - Approved Final

Schedule: Northwest Dining Hall upgrade is complete, and Towers Dining Hall is in design with construction in process to be completed 2024 Q4.

Key Issues & Risks: Schedule based on dining services.

Facilities Projects
In Design

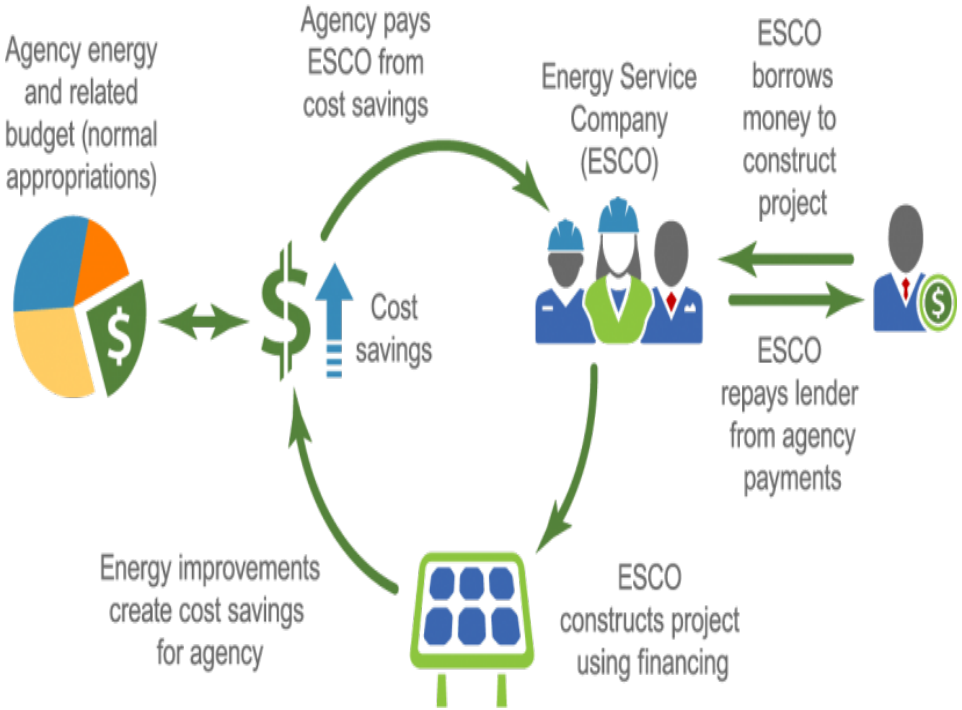
Energy Services Performance Contract Phase 2

Scope: This project includes Energy Conservation Measures (steam/condensate line replacement, Retro-Commission 24 buildings (3M sq ft), LED Lighting Conversion 44 buildings (2.1M sq ft), Solar Canopies on various parking lots (1.6M sq ft). This project accelerates carbon mitigation towards reaching the Carbon Neutrality Goal by 2030. This aligns with the strategic initiatives Excellence in Research, Innovation, and Engagement and Wellness of People and Planet.

Budget: $500,000 - Approved Planning

Schedule: Delay with Bid Process, currently with DEEP and AG's office for follow up discussion. IGE Audit Completion TBD.

Key Issues & Risks: ECM Costs, Contract.



Husky Village Exterior Refurbishment

Scope: Husky Village exterior refurbishment will include repairs and replacement of windows, siding and roofs of six individual buildings. The repair to aging buildings and infrastructure extends building asset life. The design phase will include costs for phases based on an investigative report of existing conditions and recommendations. This aligns with the strategic initiative Seven World-Class Campuses, One Flagship University and Student Success Journey.

Budget: Design $125,000

Schedule: 2024 Q4

Key Issues & Risks: Funding.

Charter Oak Exterior Refurbishment

Scope: Charter Oak exterior refurbishment will include repairs and replacement of windows, siding and roofs. The repair to aging buildings and infrastructure extends building asset life. The design phase will include costs for phases based on an investigative report of existing conditions and recommendations. This aligns with the strategic initiative Seven World-Class Campuses, One Flagship University and Student Success Journey.

Budget: Design $150,000

Schedule: 2025 Q1

Key Issues & Risks: Funding.

McMahon Roof Replacement

Scope: McMahon will include repairs and replacement of the roof. The repair to aging buildings and infrastructure extends building asset life. The design phase will include costs for phases based on an investigative report of existing conditions and recommendations. This aligns with the strategic initiative Seven World-Class Campuses, One Flagship University and Student Success Journey.

Budget: Design $65,000

Schedule: 2024 Q4

Key Issues & Risks: Funding.

George C. White Building Roof & Drainage System

Background:

Design work has been completed for the entire building as one large project. Construction work for roof replacement was separated into three phases. Construction of Phases 1& 2 have been completed. Phase 3 repackaging of design documents is in progress with completion late fall 2024. Phase 3 bid expected over winter 2025, with anticipated construction start scheduled for May 2025. This will complete the White Building Roofs and Drainage System Replacement Project. This aligns with the strategic initiatives Seven World-Class Campuses, One Flagship University and Husky Pride & Resilience.

Budget: $985,800

Schedule: Phase 3 Repackage Design Docs 2024 Q3
Phase 3 Bidding 2024 Q4
Phase 3 Construction anticipated 2025 Q2

Key Issues & Risks: Funding availability for construction of Phase 3 based on bids received.

Branford House Exterior Repairs, Phases 1, 2 & 3

Scope: This project involves repairing the building envelope of the historic, three-level, granite-masonry Gilded-Age manor at the Avery Point campus. Elements of the work include the following: repointing mortar joints, repairing/replacing granite masonry units, flashing, perimeter sealants, selective slate roof tile replacement, copper roof repairs, and copper gutter/downspout repairs. The work also incorporates repair of windows, including removal and reinstallation, new wood blocking, flashing and sealants. This aligns with the strategic initiatives Seven World-Class Campuses, One Flagship University and Husky Pride & Resilience.

Budget: $838,000 - Approved Final

Schedule: Phases 1 and 2 have been completed
Phase 3 design in progress 2024 Q3

Key Issues & Risks: Design exceeding final budgeted values

APPENDIX

Projects in Planning and Close-Out

UPDC Projects in Planning

UPDC Projects in Planning

- Golf Practice Facility
  - Fundraising ongoing, project initiation 2025 (tentative)
  - Plan, design and construct an indoor practice facility with an outdoor driving range and chipping/putting greens.

- Active Transportation Grants
  - In partnership with OVPR and other campus stakeholders including the CT Transportation Institute, UConn is pursuing multiple grant opportunities administered by USDOT. If awarded, these grants will allow the university to further progress on its Active Transportation Plan on key projects related to pedestrian safety and micromobility. Announcements of potential awards will begin in the second half of CY 2024.
    - Rebuilding American Infrastructure with Sustainability and Equity (RAISE) - Grant not Awarded
    - **Safe Streets for All (SS4A) - $1,576,751 Awarded**
    - Active Transportation Infrastructure Investment Program (ATIIP) - Award Notification Pending

- Wilbur Cross Planning
  - Reallocate spaces and accommodate needs resulting from the creation of One Stop Student Services by consolidating similar high-traffic student functions and backfill vacated spaces

- Environmental Land Use Restriction- Lots F & C

UPDC Projects in Planning

- SHaW at Avery Point Campus:
  - Student Health and Wellness services to be expanded to Avery Pt, renovation is needed to create spaces for mental health clinical case management, nurse navigation and wellness programming services.
- SHaW at Hartford Campus
  - Student Health and Wellness services will be expanded at the Hartford Campus; minor space enhancements to convert an existing office suite into a SHaW space, ensuring confidentiality and accessibility.
- Stamford School of Nursing (SoN) Teaching Lab Relocation
  - Relocation of the SoN teaching lab/simulation lab from leased space back to campus
- School of Fine Arts collection consolidation
  - The consolidation of all SFA collections, currently housed in multiple cottages on Depot Campus under unsuitable conditions, into a single space that will ensure proper storage. The new facility will offer the necessary humidity and temperature controls, providing optimal conditions for preserving valuable collections: Sprague Historical costume collection, audio-visual, archival, and library collections of Puppetries of America, Ballard Institute, puppet collections, and Sicilian marionettes.
- Ratcliffe Hicks – Meat Lab Renovation
  - Create a modernized lab to allow for an instructional space to offer students a comprehensive, hands-on education in the production and processing of meat products.

UPDC Projects in Close-Out

South Campus Residence Hall

- Scope:
  - Construction of a new 647 bed Residence Hall and 500 seat Dining Hall in the South Campus
- Budget: $215.0M, Approved Final
  - Project is projected to be $5 to $8 million under budget
- Schedule:
  - Construction commenced November 7, 2022
  - Construction completed July 7, 2024
  - Residence Hall Opened on August 20, 2024
- Key Issues & Risks: Project close-out pending

View of Connecticut Residence Hall and new Dining Hall

N Eagleville Rd & Discovery Dr Intersection Improvements

Scope:

- Essential, safety-related improvements to signalization and pedestrian facilities
- Replacement of outdated poles, mast arms, signal heads and other traffic control appurtenances
- New pedestrian signal heads, push button pedestals, dedicated left turn signal, curb ramps and crosswalks

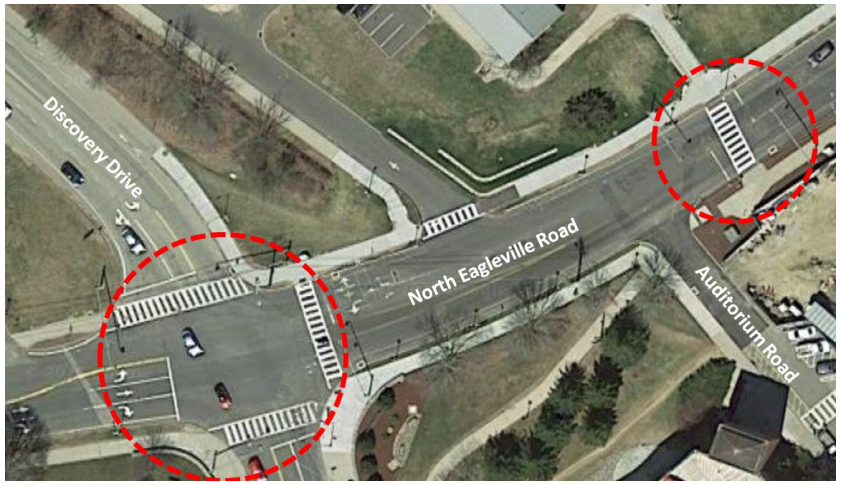
Budget: $3.0M, Approved Revised Final

Schedule:

- Construction fully mobilized November 2023
- Signals operational Summer 2024
- Completing punch list

Key Issues & Risks:

- Final DOT inspection



North Eagleville Road at Discovery Drive & Auditorium Road

Boiler Plant Equipment Replacement and Utility Tunnel Connections

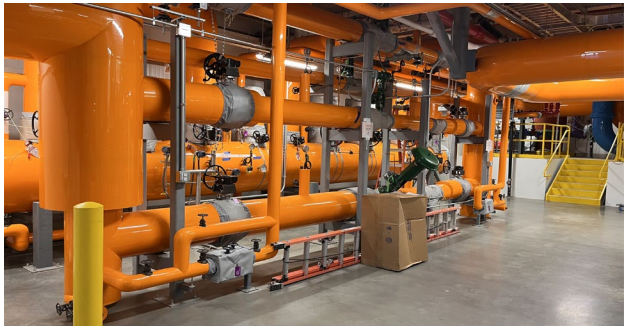
- Scope: Boiler Plant Equipment Replacements and Utility Tunnel Connection
  - Scope of work includes extension of the tunnel and utilities from the Central Utility Plant (CUP) to the SUP, and installation of two new dual-fuel boilers at the CUP and one new boiler at the SUP.
- Budget: Approved $43.0M Revised Final BOT
- Schedule:
  - Phase 1: Mechanical systems to receive new boilers: Complete
  - Phase 2: Start-up of new boilers in CUP for winter heat: Complete
  - Phase 3: Installation of third new boiler in the SUP commenced in October 2022. Installation and piping work completed in Summer 2023.
  - Rework of systems will likely continue into the Winter 2024
- Key Issues & Risks: Potential costs at close-out of all three phases. Tunnel steam pipe issues may require some rework in the CUP.

New Boiler installed in the Central Utility Plant

Supplemental Utility Plant

- Scope: Supplemental Utility Plant (SUP) to enable completion of the Next Generation CT Science program, including heating and cooling for the Gant Complex renovation and the new construction Science 1 research building.
  - Project includes 4 new chillers; 2 emergency generators; electrical switchgear.
  - Formerly known as Phase 2, construction with combustion turbines for power production is on hold pending study of renewable energy sources by University committees and working groups.
- Budget: $67M Approved Final
- Schedule: Project in close-out
  - Construction Started Summer 2020
  - Construction Completed Summer 2022
  - Rework of some systems due to peer review will continue until the Winter 2024
- Key Issues & Risks: Coordination with Science 1 and NW Science Quad utilities and tunnel repairs and peer review

SUP View Looking South



SUP Interior View of 125 psi Steam Header

NW Science Quad, Ph 2 Utilities and Site

- Scope: NW Science Quad Site Development
  - Scope of work included extension of existing Gant utility tunnel (Ph 2) terminating at new SUP, direct burial utilities for connections to the campus loop, woodland corridor stormwater extension from Gant, surface parking, improvements to King Hill Rd, Alumni Drive and Hillside Rd.
- Budget: $56M, Approved Final
- Schedule:
  - Project is substantially complete and in close-out.
  - CO has been issued for all areas of the project.
  - Close-out anticipated to be complete November 2024.
- Key Issues & Risks: None

North Elevation Looking East

Freitas Arena Renovation

- Scope:
  - Renovation of the former ice arena to support the Women's Volleyball program.
  - Phase 1: The work includes the decommissioning of the ice system, demo of the existing dasher boards, installation of new flooring and bleachers.
  - Phase 2: Renovation of the Women's locker room.

- Budget: $3.0 Revised Final Approved BOT

- Schedule:
  - Phase 1: Completed in Summer/Fall 2023
  - Phase 2: Construction May 2024– August 2024

- Key Issues & Risks:
  - Schedule, cost, and long lead times for bleachers

Women's New Locker Room

Facilities Projects
In Close-Out

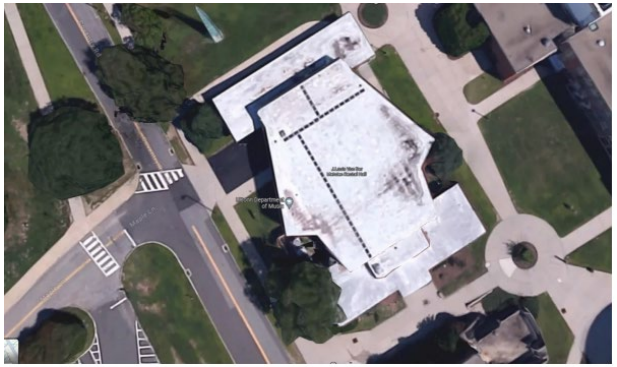
Von der Mehden Recital Hall Roof Restoration

Scope: Removal and replacement of the existing roof system. The work includes removal of the existing roofing system, installation of new code compliant insulation, install of new EPDM membrane, replace roof drain assemblies, refasten metal decking, new roof edge metal. The repair to aging buildings and infrastructure extends building asset life. This aligns with the strategic initiative Seven World-Class Campuses, One Flagship University.

Budget: $720,000 – Approved Final

Schedule: Construction completed, in closeout.

Key Issues & Risks: Weather, Hidden Conditions.



Wilbur Cross Cupola Repair

Scope: Replace the existing cupola roof and provide new gold finish, repair/replace wood sections of the structure where rot and water damage exist on both the inside and outside of the cupola. Prep/Prime/Seal/Paint all interior & exterior surfaces. The repair to aging buildings and infrastructure extends building asset life. This aligns with the strategic initiatives Seven World-Class Campuses, One Flagship University and Husky Pride & Resilience.

Budget: $932,000- Approved Final

Schedule: Construction should be completed by November 2024, in close out.

Key Issues & Risks: Weather, Hidden Conditions.

FY24 Residential Refresh Program – Buckley Hall

Scope: Buckley Hall remediation and refurbishment will be implemented over a phased 2-year period. Phase 1 is three floors and common spaces in the South tower including ACM abatement, replacing flooring, painting and lighting conversion to LED. This aligns with the strategic initiatives Seven World-Class Campuses, One Flagship University and Student Success Journey.

Budget: $1,500,000 –Approved Final

Schedule: Construction completed, in closeout.

Key Issues & Risks: Tight schedule, Lead time for materials/labor.

Garrigus Suites Environmental Systems Upgrade

Scope: This project involves extensions to and replacements in the existing building management system (BMS), including but not limited to new supervisory controllers and controllers for the boiler, air handlers, unit heaters, exhaust fans, and chilled water system; engineering and design; software upgrades and new control graphics; startup and commissioning. This project will align with the strategic initiatives of Seven World-Class Campuses, One Flagship University and Student Success Journey.

Budget: $620,000- Approved Final

Schedule: Construction completed, in closeout.

Key Issues & Risks: Schedule.

Facilities Projects Informational

FY25 Summer Residential Refresh Program Projects

Hardscape and Sports Courts

- Revamping North Campus Recreational Space
  - Basketball Court
  - Tennis Court
  - Graffiti Court
- Sidewalks/Staircases
  - Various locations around campus
- Adding additional outdoor seating and improving quad spaces.
- Allocating: $1,500,000

Abatement Remediation and Refurbishment

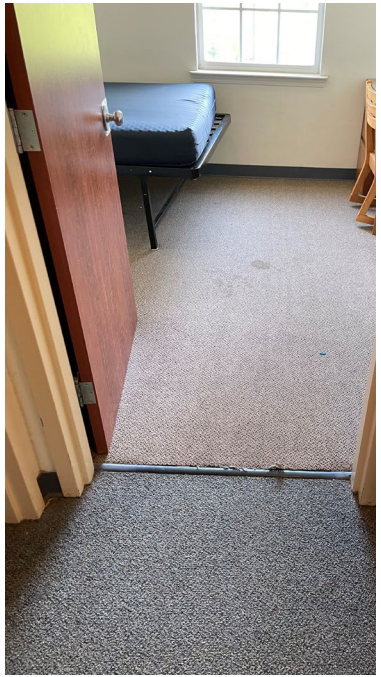
Abatement and removal of hazardous materials in flooring and ceiling.

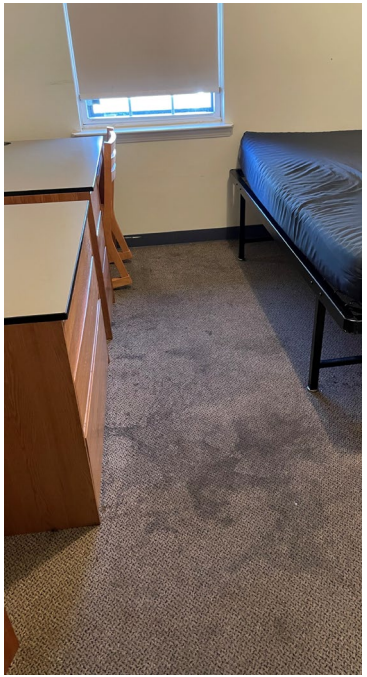
- Buckley Hall – Complete abatement of asbestos ceilings and floor tiles in remaining student rooms (163 rooms). This work would also include painting the rooms and replacing flooring with luxury vinyl tile.
- Estimated Cost: $2,000,000
- Beecher/Vinton Hall – Abatement of old ceiling tiles, glue and floor tiles in approximately 60 rooms. This work would also include skim coat of ceiling, painting of rooms, and flooring replacement with luxury vinyl tile.
- Estimated Cost: $900,000

Charter Oak Apartment Improvements

Hoisington Hall is the proposed location for improvements.

- Replace existing flooring throughout every apartment.
- Add an accent wall to the apartment.
- Estimated cost : $675,000



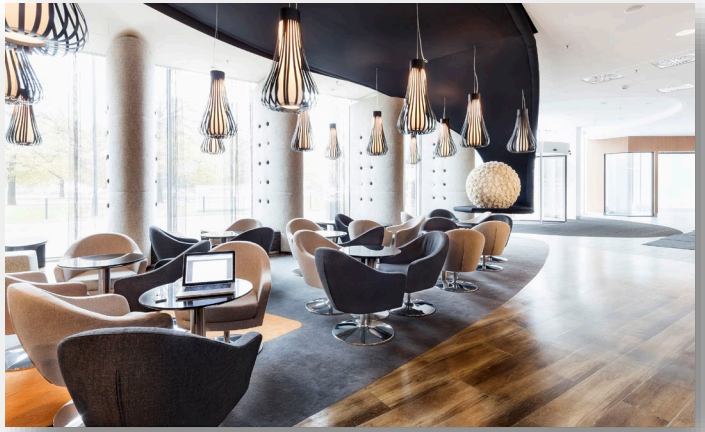


Dishwasher/Stove Replacement

- Replacement of all 513 dishwashers on campus and associated infrastructure
- Estimated Cost: $300,000
- Replacement of all 610 apartment stoves on campus.
- Estimated Cost: $600,000

Residential Hall Lounge Air Conditioning Program

- Identify one lounge space per residential building in need of an upgrade. The work would include receiving air conditioning and other possible upgrades.
- Estimated Cost: $500,000



Mechanical Infrastructure Investment

- Rosebrooks Hall - Life Safety Fire Sprinkler System upgrade. Replacement of the life safety fire sprinkler system piping and sprinkler heads to resolve outdated connections.
    - Estimated Cost : $1,000,000
- South Campus Residential Hall – Addressing equipment related to the Heating, Ventilation and Air Conditioning (HVAC) within the South Campus buildings. This would include the replacement of 3-way valves associated with the HVAC system. Incudes correction to equipment failure and will support the building management system and controls.
    - Estimated Cost: $500,000

FY25 Summer Residential Refresh Program Costs

Hardscape and Sports Courts	$	1,500,000
Abatement Remediation and Refurbishment	$	2,900,000
Charter Oak Apartments Improvements	$	675,000
Dishwasher and Stove Replacement	$	900,000
Residential Lounge Air Conditioning Program	$	500,000
Mechanical Infrastructure Investment	$	1,500,000
Total Cost:	**$**	**7,975,000**

ATTACHMENT 5

Capital Projects Procedures Manual
University Planning, Design & Construction
updated – October 2024

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UNIVERSITY OF CONNECTICUT

Title	**Capital Project Delivery Process**
Authors	**University Planning Design and Construction**
Effective Date	**October 2024**
Applies To	**Staff and Faculty on Storrs and Regional Campuses (exclusive of UCH)**
Initial Adopted Date	**September 11, 2008**
Draft Revision Date	**October 21, 2024**

EXECUTIVE SUMMARY

The purpose of this manual is to provide organizational and procedural direction and guidance for business processes, in accordance with University policies, for the University Planning, Design and Construction (UPDC) department at the University of Connecticut (University or UConn), for its Storrs campus and the regional campuses at Avery Point, Hartford, Stamford, Waterbury and the Law School. UPDC supports the University's mission by creating, renovating, and preserving its physical buildings and infrastructure as part of the implementation of the Capital Program.

At the onset of the creation of this Capital Projects Procedures Manual, an oversight committee comprising associated department heads and directors established "Guiding Principles" as the overarching direction for updates to the manual. The Guiding Principles comprise the following:

1. Allow for the expeditious development, execution, and maintenance of capital projects to support the University's mission.
2. Ensure that UPDC is operating at maximum efficiency within legal/regulatory requirements.
3. Clearly define roles and responsibilities of the departments and among the departments.
4. Recognize and maintain a balance between compliance and efficiency, understanding that compliance may sometimes be interpreted differently.
5. Review, reduce, and/or eliminate, where possible, current practices that do not tie to specific statutory/regulatory requirements.
6. Utilize and plan for technology to streamline procedures/practices whenever possible.

The Principles above shall be the basis to maintain an appropriate system of internal controls while achieving operational efficiencies, reliability of the process, more accurate real time financial reporting; and to mitigate risks including fraud or misuse of funds and the safeguarding of assets.

While it is intended that this manual be a collection of established and evolving policies and related procedures, it is intentionally not a step by step detailed "how to" manual to allow flexibility while maintaining adherence to applicable statutes and regulations. Therefore, it is paramount that UPDC staff be accountable, experienced, well-trained personnel as their expertise and judgment are critical to a successful Capital Improvement Plan program.

The UPDC Policies and Procedures have four (4) sections and two (2) exhibits:

Section I: UPDC Capital Process
Section II: UPDC Procedures
Section III: University Policies applicable to UPDC
Section IV: Connecticut Statutes applicable to UPDC

Exhibit A: UPDC Procedural Documents
Exhibit B: Excerpts and Links or Copies of University Policies applicable to UPDC

The Administration's Executive Vice President as assigned, has oversight of these policies and procedures. University Planning, Design & Construction (UPDC), Facilities Operations and Building Services (FO), Information Technology Services (ITS), Procurement (Part of University Business Services), Accounts Payable, and the Office of Treasury Services have separate policies and procedures that must be read in conjunction with this manual. Should there be conflicting information between UPDC's policies and procedures and those of other departments, UPDC will review such conflicts with other departments to obtain clarity on which policies and procedures govern.

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SECTION I: CAPITAL PROCESS

1.1 Mission Statement

The UPDC mission is to serve the University's mission of research, teaching, service, and outreach; to review, revise and implement, policies and procedures for the planning, design, construction and implementation of the capital program and real estate development; to rationalize industry standards, best practices, University processes and statutory requirements; and to plan, design and construct, to national benchmarks of excellence, the projects that support the University's mission.

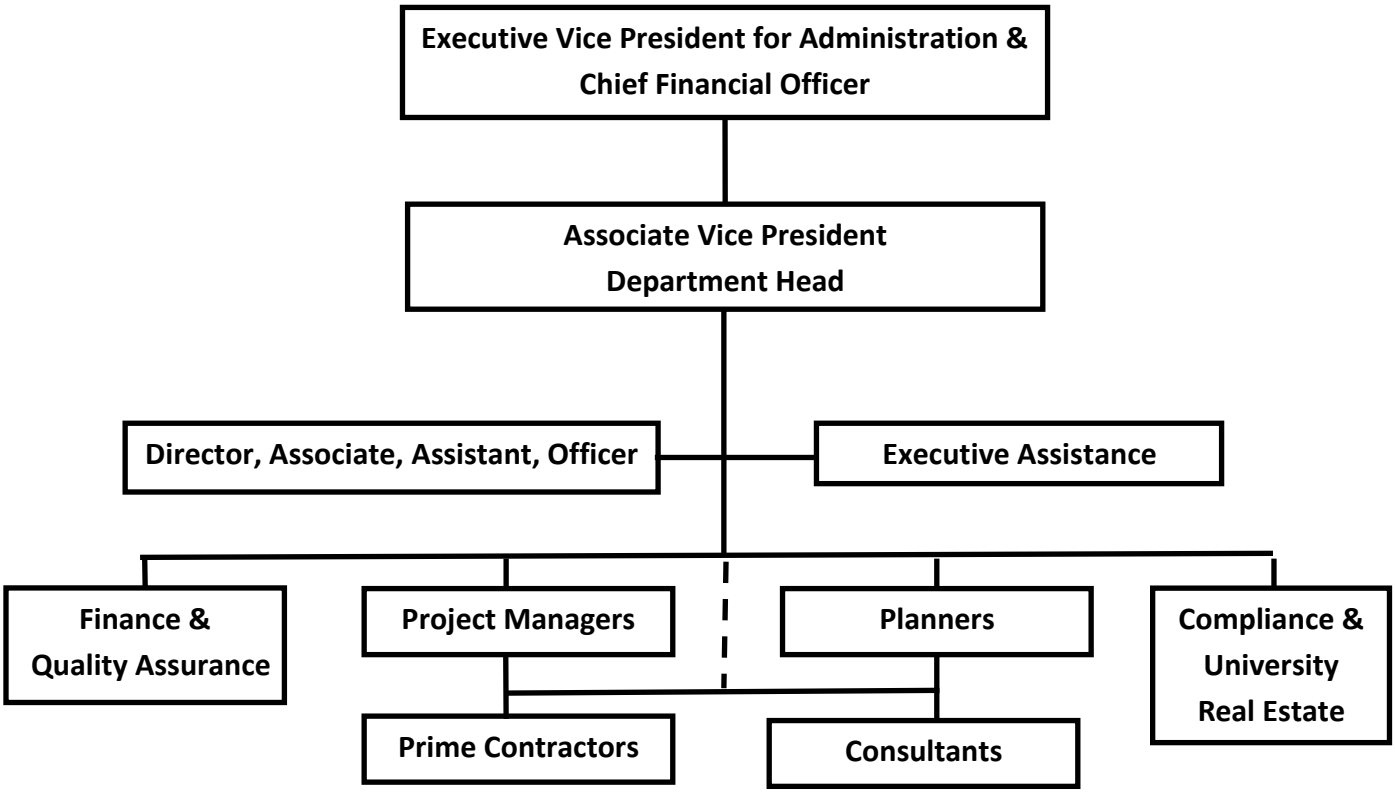
1.2 Department Organization and Management

University Planning, Design & Construction (UPDC) is a department under the supervision of the Office of the Executive Vice President for Administration & Chief Financial Officer (EVP Admin & CFO). UPDC utilizes matrix management and is organized with clear roles for all personnel, internal and external, who must possess the expertise and capability to lead the University's Capital Improvement Plan program in support of the University's mission. Key organizing principles follow:

UPDC leadership is comprised of senior level professionals with technical and management expertise in specialized areas required for the support of the Capital Program. This allows for self-performance of all functions of the Capital Program by the University or the ability to out-source certain functions to ensure the department maintains the overall program schedule. Leadership ensures there is an internal decision maker who will determine reasonableness of all actions on approved projects on behalf of the University and provides support and analyses when necessary. These leaders support project definition and planning efforts, budget establishment and projections, project management of the design and construction process, and the project closeout processes.

UPDC's Department Head is the Associate Vice President (AVP) who reports to the Executive Vice President for Finance and Chief Financial Officer (EVP Finance & CFO). UPDC's operational functions are divided into general areas of concentration with each area led by a Director, Associate Director or Assistant Director that reports to the Department Head. Directors, Associate Directors and Assistant Directors may oversee project managers and other staff as assigned.

The organization chart below illustrates UPDC generic framework and structure:



UPDC is a Planning and Project Management centric organization. A project delivery team requires input, assistance, and communication internal and external to the University. After the authorized Department Head has assigned a project to a Director and Project Manager, it is the Project Manager's responsibility to assemble the team and to involve those individuals necessary to execute the project. Subject matter experts, such as those who work for UPDC, plan and manage capital projects. Professional staff within Capital Projects and Facilities Procurement (CPFP) as well as Contracting and Compliance (Contracting) both divisions within University Business Services, work in collaboration with UPDC representatives, who together manage the procurement and contracting process based on the respective departments policies and procedures, statutory requirements, and specific demands of the overall project schedule. University Office of Budget, Planning, and Institutional Research (OBPIR), work with UPDC's representatives to identify and confirm the overall use of funding on the projects. The coordination among these departments collectively and individually ensures that all University policies are followed by virtue of their separate reporting functions.

1.3 UPDC Roles and Positions

Department Head

The Department Head is responsible for the immediate and long-range planning, design, and construction of capital projects and real estate development on the Storrs and Regional Campuses and the Law School. The Department Head also provides oversite and management of department Directors and personnel and has the authority to delegate UPDC responsibilities in accordance with University policy.

The current title of the UPDC Department Head is Associate Vice President for University Planning, Design and Construction.

Director

A Director possesses senior level expertise in the technical and management areas of a capital projects program comparable to the University's. UPDC has four levels of Directors: Assistant Director, Associate Director, Director and Executive Director. A Director provides managerial and supervisory oversight within the department and on their projects, including all aspects of staffing for the assigned portfolio, administrative functions, and may act on behalf of the Department Head in their absence, as duly authorized in accordance with University policy. The Directors are accountable for their projects and provide weekly and monthly oversight of projects and staff to assure compliance with project goals and University objectives.

Associate Director of Real Estate

The Associate Director of Real Estate performs day-to-day activities related to real estate management, leasing, acquisition and disposition, development agreements, space evaluations and other related real estate matters. The Associate Director also has responsibility for advising and representing the University, in conjunction with and as authorized on a case-by-case basis by the Office of General Council, in legal matters related to real estate events and transactions.

Assistant Director Capital Budget Planning

The Assistant Director Capital Budget & Planning performs financial analysis and reporting for the entire department, capital planning and budgeting, and the Capital Improvement Plan (CIP) project organization. The Assistant Director, Capital Budget & Planning tracks and updates the cash flows for the annual CIP budget requests regarding ongoing planning, design and construction activities and ensures financial reporting contain accurate information on all spending related to the CIP. This position also oversees the change management process and workplace efficiencies.

Assistant Director Space Planning and Management

The Assistant Director, Space Planning and Management engages in space planning for the entire University community and oversees the management of staff, space data and systems. The Assistant Director works closely with the Office of the Provost and with Directors to coordinate academic space planning, as well as administrative space planning. The Assistant Director possesses the expertise to develop, implement and maintain a strategic space information system to assure accurate physical space utilization, and to inventory, verify and document space data. The Assistant Director is the primary resource for all technical problems and questions regarding management, assignment and analyses of data used in capital and space planning.

Planner

A Planner has the professional expertise to perform complex statistical, spatial and graphic data analysis and provide a high level of coordination and technical services for the planning and development of University capital projects. UPDC has two levels of Planners (Planners and Senior Planners). The Planner possesses the expertise to analyze data from the space system, to develop functional programs for University departments, and to prepare program test fits in existing or proposed space. Planners may also function as Design Project Managers and may be responsible for the project through the planning and design phases.

Senior Compliance Officer

The Senior Compliance Officer (QC) has professional expertise and in-depth knowledge of both project design and construction project management of capital projects. The QAQC is responsible for the establishment and management of quality assurance activities and practices in support of University policies and UPDC department procedures. QA/QC provides technical and program leadership of the Compliance Program and oversees compliance on matters relating to University and department-wide policies and procedures for project activities, costs, schedule and quality goals and requirements. QA/QC also establishes initiatives targeted to process improvements, design and construction performance outcomes, business processes, and aid in the evolution of University design standards and specifications.

QC serves as the primary compliance resource for UPDC personnel and may act as a liaison with internal and external project stakeholders, professional firms, contractors, University departments and administrators and compliance officials. QA/QC is responsible for the identification and resolution of unique issues and unusual situations concerning actual or potential contractual risks to the University.

Project Manager

A Project Manager (PM) possesses professional expertise in the technical and management areas required by the capital projects program. This individual may be University or outsourced personnel, who are responsible and accountable for the overall scope, schedule and budget for the project and its day-to-day oversight and management. When assigned a project, the PM acts in the capacity as the overall University Representative and is the point of contact for all internal University stakeholders and external entities such as, but not limited to; Architect/Engineer (AE), other Professional Consultants and Contractors. Input by the University stakeholders is crucial to the overall success of the project.

The University has two types of PMs (Design PM and Construction PM) and two levels of PMs (PMs and Senior PMs). On larger capital projects, the Design PM will be the lead University Representative on the project during the design phases, while the Construction PM begins to transition onto the project during the construction documents (CD) phase of the design. By the time CDs have reached 50% completion, the Construction PM has a good understanding of the project and any challenges it may have. The Construction PM will be the lead University Representative during the bidding and construction phases of the project to provide coordination and responses to questions during the bidding process. On smaller projects, a single PM may be responsible for the entirety of the project through planning, design, bidding, and construction.

During the design phases of the project, the PM provides managerial oversight of the AE to ensure all stakeholders have had input into the program, the project scope is clearly defined, and the project schedule and budget have been properly assessed. Sequencing plan reviews by the proper stakeholders and coordination of design documents, including their adherence to the requirements as set forth in the most current University's Design Guidelines and Performance Standards (University Design Standards) are key elements within the oversight of the design process.

During the bidding phases of the project, the PM provides the technical project scope data to which a solicitation can be formulated by the Procurement Services Buyer (Buyer). The PM assists the Buyer by answering questions that may arise during the bidding phase to ensure that the project requirements and contract documents are inclusive and that the project budget and schedule requirements are maintained.

Under the construction phase, the PM provides managerial oversight and direction to all internal and external support personnel assigned to or contracted for the project. Two-way communication is essential for a successful project; therefore, a PM must be involved in all communication relating to the project and its progress in order to properly coordinate and manage for the best use of the University's resources. The PM aids in identifying and resolving conflicts, which sometimes arise between stakeholders and the project objectives.

Construction Engineer

Construction Engineer (CE) possess technical knowledge of construction and construction administration and are members of the overall University project team on larger more complex

projects. The CE spends the majority of time in the field inspecting construction job sites and coordinating between contractors and University staff, while the PE provides administrative technical support to the PM during the pre-construction, construction and post construction/closeout phases of a project. These positions are assigned on a project-by-project basis and may be performed by University or outsourced personnel.

Project Engineer or Assistant Project Manager

The Project Engineer (PE) and the Assistant Project Manager (APM) possess knowledge of construction and construction administration and are a member of the overall University project team on larger more complex projects. The PE or APM spends most of the time providing administrative support to the PM during construction and post construction/closeout phases of a project. They are responsible for review of change management documents for compliance with the contract and UPDC procedures, processing of change management documents in Unifier and overall working with the PMs in support of the department's goals and requirements. This position is assigned on a project-by-project basis and may be performed by University or outsourced personnel.

PE or APM are also responsible for BOT reporting of project status.

1.4 Compliance with Master Plan

In 2015, the University completed the University Campus Master Plan (Master Plan) which sets forth planning principles to guide future development on the Storrs campus. Comprehensive in scope, the Master Plan uniquely uses the landscape itself to provide a sequential organized development of the campus growth, development, and modernization over the next 20 years.

UPDC is charged with the oversight implementation of the University's Master Plan in support of the University's strategic goals and objectives. Establishment of a new construction or renovation project is based on the overall sequencing identified within the Master Plan and changing factors as the University's goals and objectives are adjusted annually. UPDC and OBPR determine funding allocation strategies in support of the overall 20-year vision of the University's Master Plan**.**

1.5 Establishment and Oversight of a Capital Project

UPDC has oversight responsibility of the majority of all capital non-deferred maintenance projects and some deferred maintenance projects dependent on the size and complexity of the work required. UPDC has developed and maintains a ten-year Capital Improvement Plan (CIP) which is based on the projected academic direction of the University and major infrastructure improvements as identified in the University Master Plan. The CIP is an ever-evolving list of named projects and anticipated enabling projects as developed by UPDC at the direction of the Board of Trustees (BOT), the President, the Provost and the EVP Finance & CFO who establishes the priority of the projects in sequencing and review the planning, design or construction phases against the available and projected capital budget funding.

The annual Capital Budget is established by OBPIR and presented for approval to the BOT, based on the projections of the annual CIP. Budgets for specific projects and allocations for other types of projects are created based partially on cash flows in the CIP which require further approvals on an individual project-by-project basis based on the policies of the Campus Administration and Board of Trustees. The actual source and use of funds for capital projects will vary throughout the year.

Additionally, University stakeholders may submit specific project requests, utilizing the project intake located on UPDC's website. The requests are managed within Oracle Unifier (Unifier), an integrated project portfolio management system (IPPMS). UPDC, in conjunction with Facilities Operations (FO), will investigate the viability of the project and confirm the source of funding prior to establishing it as a recognized project.

Once a project has been approved to proceed by the Administration or BOT, UPDC manages the new construction or renovation project through the planning, design, construction or real estate development process, and provides a full range of oversight services to meet the needs of the University that may include, but are not limited to:

- Program Assessments
- Space Analytics
- Implementation Planning
- Feasibility Assessments
- Conditions Surveys
- Estimating and Scheduling
- Design Services
- Project Management
- Bidding and Contract Negotiations
- Construction Implementation
- Close-Out and Turn-Over
- Real Estate Development, Acquisitions/Dispositions and Leasing

1.6 Document Systems Controls

UPDC uses Unifier as the system of record, to track project costs, schedule and administration. The Unifier system is integrated with other University applications, including Kuali Financial System (KFS) and Jaggaer (Husky Buy).

KFS is the University's financial system of record and maintains current information on all project commitments (purchase orders and payments). Unifier integrates with KFS to keep supplier information and the KFS chart of accounts up to date in Unifier. Additionally, Unifier receives invoice data from KFS for any project related Purchase Orders (PO).

Husky Buy is the University's eProcurement portal. All purchasing and payment activities for the University are supported by Husky Buy. Integration with Husky Buy allows Purchase Requisition's (PR) to be initiated and approved in Unifier. Approved PR's are transmitted from Unifier to Husky Buy. In

Husky Buy, a PO is generated from the PR and sent to the supplier. PO documents are also sent to Unifier and KFS. Lastly, integration with Husky Buy supports initiation and approval of Purchase Order Amendments (POA) in Unifier. Approved POAs are transmitted from Unifier to Husky Buy. Upon approval in Husky Buy, the POA revises the existing PO and optionally notifies the supplier. KFS and Unifier are updated accordingly with the revised PO details. See Appendix A for workflow details.

1.7 Audit, Compliance and Reporting

Compliance with the policies and procedures of the University in all areas including design, construction, contracts, procurement, code compliance, budgets and schedules is the standard required for proper stewardship of public funds and interests. UPDC personnel shall always operate ethically and within University policies and procedures. The Office of Audit and Management Advisory Services has the responsibility of facilitating all internal and external audit efforts and acts as a liaison with the State Auditors of Public Accounts.

In addition, State Auditors will periodically audit the capital projects to ensure compliance with state laws and University policies and procedures. And lastly, the University hired outside independent auditors who audit various components of the project documents for financial compliance within the contract documents and University policies and procedures. UPDC personnel provide any support required by the auditors for proper stewardship of public funds.

UPDC, in conjunction with the Campus Administration, is accountable to the Buildings Grounds and Environment Committee (BG&E) and the Board of Trustees (BOT). UPDC regularly updates the BGE Committee on the status of approved and pending projects (scope, schedule, budget, and key issues and risks). Required under legislation, the BOT also has commissioned an Office of Construction Assurance, which monitors UConn 2000 / Next Gen Connecticut capital construction and provides quarterly reports to the BOT identifying compliance with policies of the University.

1.8 Capital Project Process

The purpose of this section is to define the process and procedures relating to the establishment of a Project and its budget, regardless of scope, schedule, or funding source.
The steps associated with project approval under the University's CIP are as follows:

- Project Request Initiation
    - UPDC website link to Unifier
- Project Request Assignment
    - Project Triage Committee (PTC)
    - UPDC Oversight
- Project Approval Submission
    - Project Review Committee (PRC) as a Memorandum of Understanding (MOU) with total Project value is less than $500K
    - Senior Management Group and Board of Trustees (BOT) (MOU's ≥$500K)

Project / Space Request Initiation

To initiate a project, the Requestor submits a project/space request electronically through the request portal located on the UPDC website. The request is loaded into Unifier and a notification is sent to the UPDC Representative. The UPDC Representative validates proper authorization by the Dean/Department Head of the requesting department and obtains any additional details about the requested project and its potential funding source as deemed necessary. The request is then presented to the Project Triage Committee (PTC) for review.

Project Triage Committee

Members of the Project Triage Committee (PTC) are made up of UPDC, Capital Budget and Planning and Facilities Operations (FO) Representatives, who collectively review the request and determine which department is best to manage the project request. UPDC is responsible for bond funded capital projects or non-bond funded capital projects of a large complex nature. If the project is deferred maintenance, replacement in kind or minor interior refurbishment for a department, FO may manage. After the appropriate department has been determined to manage the request, under UPDC, a Director and Planner will be assigned. If the request is assigned to UPDC it is processed further into Unifier and a project number is assigned. The UPDC Representative notifies the appropriate Director/PM who will manage the project.

Facilities Operations Oversight

For project requests that have been determined by PTC to be managed by FO, the project management and tracking is deactivated from Unifier and the information uploaded by FO into an Integrated Work Management System (AIM) directly managed by FO. Other than coordination with other projects on the campus, UPDC has no involvement in implementing these projects.

University Planning Design and Construction Oversight

Project Inception

If the project request is assigned to UPDC, a Director and Planner are assigned to the project who are responsible to determine the full scope of the project, the anticipated project schedule, and an overall project budget to be required for the Project. The Director and Planner will work with the requestor, internal and external stakeholders and others as required to further define the scope of the project through detailed programming sessions, which will include the overall intended goals and objectives of the project, schedule requirements or limitations and an order of magnitude project budget.

After project scope, schedule and budget have been defined, the Planner may generate a feasibility study which may include but is not limited to performing preliminary programming and pre-schematic plans to ensure all pertinent aspects of the project have been captured. Aspects that are considered when programming the project are included but are not limited to:

- Review real estate development opportunities.
- Review general project scope and project intent.
- Confirm that the requested project is within the University's Strategic Plan, Master Plan and other relevant documents that address the University's overall academic objectives and goals.
- Identify possible linkages and/or impacts on other projects.
- Identify permit issues and/or any regulatory/code issues.
- Identify if the project is within a historic district.
- Identify if there are any potential environmental impacts.
- Identify any associated impacts to surrounding academic and/or operational areas.
- Confirm the project schedule and sequencing.
- Identify the program elements.
- Identify the funding source.
- Identify the project cost range.
- Determine appropriate space allocation.

For projects that are large and/or complicated in nature, professional services may be needed from a design consultant(s) who has the resources to define the scope of a project, the schedule requirements and estimate a preliminary cost more appropriately. In these instances, the cost to bring a consultant on board may be the initiating project budget that is presented for approval. As progress is made and additional funding is needed, the initiating project budget value may be revised and resubmitted for additional funding approval.

After the requested project is sufficiently defined in a Project Formulation Summary by the Planner or Design PM and approved by the Project Director, a Memorandum of Understanding (MOU) is formulated by the Planner or PM in Unifier which reflects the pertinent details of the project and its estimated project budget. A preliminary project budget (Planning Budget) request may be based on the initially estimated cost of the design programming and feasibility costs only. After the

programming and scope of a project is complete, a revised project budget (Design Budget) that encompasses additional design phase services and possibly an accepted cost estimate value on construction costs may be submitted for approval. There may be a third stage of approval, when the Design is complete and additional funds are required for Construction. In any of these stages, a notification to the assigned Director of the project is sent via Unifier for their review and approval of the draft MOU. Once approved by the Director, the MOU is sent to the Project Review Committee for approval and a notification is sent to the PM in Unifier once the funds have been established.

At times when a project needs to be expedited or is limited in scope where planning and design occur simultaneously, a waiver of the three-phase budget approval process may be requested.

Project Review Committee

Members of Project Review Committee (PRC) comprise a minimum of 2 UPDC Directors or their designee, a FO Director or their designee, a member of Information Technology Services (ITS), a member from the Office of Environmental Policy (OEP), a member from the Office of Environmental Health and Safety (EHS), a member from the Office of Public Safety, a member from Procurement Services, a member of the Office of Budget ad Planning and a Dean or Functional Department Head.

PRC meets in person or electronically when projects are presented for scope, schedule, or budget changes to a project. PRC committee members collectively review the MOUs to confirm the request does not adversely affect the CIP and that the intended work will enhance the University's overall goals and objectives. The assigned Director or their designee presents the project overview to the Committee. If additional information is needed or a funding source has not been identified, PRC may withhold a decision until further documentation can be provided or funding confirmed or may communicate electronically with the PM and or Director.

If the project budget, at any step in the approval process, is less than $500,000 and the MOU is approved by PRC no further approval is necessary.

Senior Management Group

The members of the Senior Management Group comprise of UPDC Department Head, the head of FO, the AVP Budget & Institutional Research, the Provost, VP Research, and the EVP Admin & CFO.

If the project's budget is $500,000 or greater or the project deviates from University standards, then the MOU is forwarded to the Senior Management Group for review and recommendation to approve by the BOT. If approved by the Senior Management Group, the Director assigned to the project drafts a project resolution for submission to the BOT for approval. The approval process is the same for each budget revision.

The Senior Management Group meets periodically or may communicate electronically to review MOUs presented by the PRC.

Board of Trustees

If the estimated project budget value is equal to or exceeds $500,000, in addition to E-SARCC approval, the specific project is required to also receive University BOT approval. A Resolution shall be prepared and submitted to the Financial Affairs Committee and the full BOT. The Resolution shall identify the funding source for the project, scope of work to the extent know, estimated total project cost if known (including FF&E), anticipated LEED rating (if applicable) to be constructed with a Project Labor Agreement (PLA). The project is required to be submitted at the Planning Phase (i.e. at the commencement of Planning or Design unless the project budget in that phase is less than $500,000 and is approved by the EVP Admin & CFO), Design Phase (i.e. upon the acceptance of a reconciled construction cost estimate); and Final Phase (i.e. prior to or post construction bidding).

For a project that needs to be expedited or is limited in scope, a waiver of the three-step approval process may be requested.

Situations may arise where the University must utilize an exigent procurement process to address an emergency. Projects that fall under this protocol, the project initiation/budget approval workflow process is modified and performed after the BOT has approved the project as exigent and appropriated the funding.

With either approval or denial of the project request from PRC or the Senior Management Group, the UPDC Representative is responsible for obtaining all members' signatures documenting each committee's decision and loading the decision documents into the Unifier where the funding is setup by PA for the start of the project. If the project request is denied, it is deactivated in Unifier.

SECTION II: UPDC PROCEDURES

2.1 ADMINISTRATION OF THE PROJECT

2.1.1 Budget and Cost Controls

The most important elements of a project are its scope, schedule and budget. The University requires the project budget be presented to the entity having jurisdiction (PRC, Senior Management Group, and when applicable BOT) in three phase Budget Process: Planning Budget, Design Budget and Final Budget, which may be revised and resubmitted at any phase.

Estimated project budgets can be produced in several ways. At the initial Planning Phase, a summary or benchmark metrics is used to begin formulating an order of magnitude cost of a requested project. Once engaged, the AE performs additional programing and, in some cases, preliminary design to establish a more factual construction cost estimate utilizing the same benchmark metrics and noting any exclusions or assumptions. From Design Development (DD) through to 90% Construction Documents (CD), the AE's detailed line-item estimates should be in CSI format when a project utilizes a construction manager form delivery method for construction. The construction cost estimates during the DD and CD phase should be reconciled between (when applicable) the Construction Manager (CM) and the AE's third-party estimator to within 5% +- of each other. On large projects typically, cost estimates are prepared at the end of SD, 50% and 100% DD and 50% and 90% CD. With projects smaller and less complicated in nature there may be fewer estimates and uni-format may be acceptable.

Where possible, estimates performed by in-house personnel will be verified by a third-party professional resource. Projects designed by non-University design professionals may require that the design team include a third-party specialty firm on the team to perform all construction cost estimates required for submission to the University.

Tasks

- Develop and update the project Planning or Design Budgets at intervals outlined within the AE's contract
- Detailed assumptions on scope, allowances, excluded work and other limitations should be provided in outline or narrative form
- Estimates for work designed by outside design professionals may be prepared by a dedicated professional estimating firm.
- Estimates for projects in the Design Development stage through 90% CD

Deliverables

- Estimates based upon summary metrics or line-item takeoffs in CSI format as appropriate with a detailed list of assumptions and clarifications.
- Obtain approvals on the project budget as policy requires.

2.1.2 Value Management

Value management, also known as value engineering, may be defined as an organized effort directed at analyzing designed building features, systems, equipment, and materials selections for the purpose of achieving essential functions at the lowest life cycle cost (not just purchase cost) consistent with required performance, quality, reliability, and safety, within the project scope and established budget.

In the design phases of the project, properly applied value management considers alternative design solutions to optimize the expected cost/value ratio of a project at completion. The value management process elicits ideas on ways of maintaining or enhancing results while reducing life cycle costs. It should be used to optimize a project's design and not just as a means to reduce scope or cost to reach a budget. The Construction Manager (CM), Design team, PM, Director and user group should identify and quantify all value management options and choose the best ones that meet the project's objectives at the end of each phase of the design.

Tasks

- Identify and review value management options
- Offer alternative design solutions
- Create value engineering estimates
- Review life cycle analysis
- Define schedule impact
- If performed after bidding, verifying changes are not cardinal in nature.

Deliverables

- Value management alternatives and options, with capital and operational cost estimates
- Value/Return on Investment analyses and life-cycle analysis

2.1.3 Project Schedule Development and Management

The foundation of any well-managed project is a well-thought-out and integrated Project Schedule. It becomes a tool that organizes project tasks into a sequence of events that then form the project execution plan. The Project Schedule encompasses time allocation on a global level for any required phases specific to the needs of a project not limited to Acquisitions, Transportation, Permitting, Environmental, Procurement, Planning, Design, Bidding, Contracting, Construction and Closeout. Understanding the importance of upfront participation and open communication with the stakeholders during the planning and design phases will minimize delays later in the project schedule. Acceptance of the Project Schedule by the key stakeholders is essential.

The benefits of a well-constructed and updated master Project Schedule are numerous. It becomes the framework to organize the project team (Stakeholders, AE, other Consultants, Contractor, and UPDC) to achieve a common goal. It is also a means to measure the performance of individuals within the team as a whole. As with any other tool, systematic, timely, and accurate updating of the schedule will identify potential problem areas and/or issues to allow project participants to take corrective action to resolve them in a timely manner. The Director in conjunction with the Planner/PM establishes the Project Schedule based on pre-determined timelines for certain phases and allotting sufficient time to complete the work in other phases. Further, the Director and PM is responsible for monitoring progress performance, adjusting and updating the Project Schedule at intervals required to maintain directives received and commitments made to the BOT and end-users on the completion of the project.

Within the Project Schedule, the basic timeline of when the construction is to be started and completed, with project specific critical milestones and occupancy intent is included. It is the Director and PM's responsibility to include the predetermined construction duration within the solicitation of a Contractor and the contract documents. It is the responsibility of the awarded Contractor, as a condition for contracting, to develop, submit and gain acceptance of a high-level Critical Path Method Construction Schedule (Construction Schedule) identifying key milestones to be achieved within the duration allowed by the contract. The Director and PM must review and accept the Construction Schedule before the contract or Guarantee Maximum Price (GMP) can be executed. The Construction Schedule is required to be updated by the Contractor at intervals established within the contract documents. Progress of construction is monitored in the field, with schedule updates, and with the applications for payment. The Contractor is required to provide a two-week look-ahead of work being planned to be conducted in the upcoming weeks and incorporated into the schedule updates. And when necessary, a recovery update Construction Schedule for times when the construction is behind schedule jeopardizing the ability to meet the contractually established Substantial Completion date.

Tasks

- Develop a high-level integrated Project Schedule with key stakeholders.
- Identify key milestones and assign target dates for contract documents.
- Maintain regular updates to the project schedule and inform stakeholders.
- Continuously review Construction Schedule and work-in-place for accuracy
- Require that the contractor submit, and report progress of the work

- Request recovery plans for missed events or if milestone dates are missed or threatened to be missed.

Deliverables

- Establishment of the Project Schedule, regular update shared with stakeholders.
- Review/acceptance of Contractor's Construction Schedule for contract execution.
- Construction Schedule, updated by the Contractor with a recovery schedule as necessary.

2.1.4 Document Control

UPDC's official filing system for project documents is the Document Manager within the integrated project management software system, Unifier. However, UPDC also maintains a local department drive on the University's cloud system, where general correspondence and received electronic documents and progress set submissions are stored during the progress of administering the project. These files are transferred into Unifier to maintain a single set of complete files at the end of a project. All project files maintained are in an organized consistent structure for retrieving information.

UPDC is responsible for the management, maintenance, storage, and retrieval of project documents and building space allocation drawings. The Space Management Group updates the building drawings in AIMCAD from the space allocation drawings received per project so that there is one master building drawing set on buildings owned or occupied by the University. These building drawings are housed in a separate data management system called Meridian and are then uploaded into AIM, an asset inventory management data warehouse. It is critical that the Design Team generate and distribute an electronic conformance set (based on the University Design Standards) of contract documents for the Contractor and PM use prior to the start of construction. The PM is responsible for submitting the conformance set and Space Allocation Plans to UPDC's Space Management Group upon the completion of construction bidding. The information contained in these drawings allows sufficient time for Space Management to upload into AIM and filed in Meridian for other operational and academic areas to begin preparing for use of the space.

At completion of construction, the record drawings (including the as-built space allocation plans, redlined field drawings, survey as-builts and BIM model (when applicable)) and operations and maintenance (O&M) closeout documents are submitted electronically and in hard copy to the Design Consultant and PM in compliance with the contract requirements. The PM is responsible for reviewing the documents for accuracy, completeness and conformance with the contract and design standards requirements. Once confirmed, all closeout documents are uploaded into the project files in Unifier by the PM and given to the space management team to archive in the master drawing archive file. The Space Management team reviews the final as-built Space Allocation Plans to ensure they comply with the design standards requirements and to note any changes to them that may have occurred during construction. Such changes shall be incorporated into AIM and Meridian for accuracy of current conditions.

Financial documents if not born and maintained in electronic format must be saved in paper form. Those documents in paper form are stored within the department and at the close of the project, sent to the University archive following the State archiving policy.

Tasks

- File project documents uniformly in Unifier following the universal filing format.
- Manage and file progress design sets including comment documents by Phase.
- Obtain, review and forward the conformance set to Space Management, ensure the Space Allocation Plan is included.
- Ensure all project documents and closeout documents are filed in Unifier.

- Obtain, review and upload Record Set (as-builts) including GIS Surveys, O&Ms and the Space Plan into Unifier and Meridian. The record set Space Plan must be sent to Space Management Group to incorporate into AIM.

Deliverables

- Complete organized project files on all phases of project development.
- Deliver final Record Drawings, Surveys and O&M manuals to Space Management. Group. Deliver paper copies to FO for managing the buildings.

2.1.5 Permits, Code Review, and Plan Checks

The project schedule should allocate sufficient time for document reviews identified within the design contract. A project's review requirements may vary depending on the design effort which is based on project size and/or scope. The PM is responsible to review the identified phased design documents and to coordinate reviews by other University stakeholders and those having jurisdiction of the design documents to ensure they meet the intent of the project program, are coordinated between the design disciplines, are compliant with Building and Fire Life Safety Code requirements and are complete in design. In cases where the project and design documents are large and complex in nature, the University may elect to have a plan check review performed by a third-party design consultant.

Projects defined by the State of Connecticut Building Code as "Threshold projects" are under the jurisdiction of document review by the Office of the State Building Inspector (OSBI) and the Office of the State Fire Marshal (OSFM). Any non-threshold building document reviews are under the jurisdiction of the University's Division of University Safety, Office of the Fire Marshal & Building Inspector (OFMBI).

In addition to the general building permit, projects may also need other special reviews and permits. Some examples of permits that may be required include the following:

- Environmental, remediation or air permitting. Verified in the Planning stage in conjunction with the University Office of Environmental Sustainability and Office of Environmental Health and Safety
- Demolition of an entire building requires a demolition permit from the local municipality. Other general demolition requires a permit from OFMBI.
- Application to the University's Office of Environmental Health and Safety (Storrs only) and/or a permit application to the State Department of Health Permit, food service facilities for example
- Factory Mutual (FM Global) review and comment for roof and fire protection systems
- A Statement of Special Inspections application OFMBI and/or OSBI as required by the State of Connecticut

In addition to required submissions for code reviews and permits, project plans are submitted from the PM to other University internal constituents for their plan review comments at intervals required by the design contract. In most cases the comments received are incorporated into the design documents, however it is the responsibility of the Director to determine if any particular comment is essential to the Project and its budget.

Tasks

- Submit the project plans and specifications to the code enforcement Agency having Jurisdiction, include Statement of Special Inspections, if applicable.
- Submit any fire protection systems, envelop design/repairs and roof design drawings to Factory Mutual for review and comment.
- Submit appropriate plans for permits to the State Department of Energy & Environmental Protection, as required.
- Submit Food Service Plan Review to either University Environmental Health and Safety

or the State Department of Health, if applicable.
- Conduct plan reviews with University internal constituents.

Deliverables
- All regulatory approvals / permits as needed.
- University Office of Environmental Health and Safety approvals, as required.
- University Arboretum Committee approvals, as required.
- Factory Mutual approval for fire protection plans, as required.
- Plan review comments from constituents and departments during design phases with the AE responses.

2.1.6 LEED Practices, Certification and Environmental Compliance

The University, in the interest of good citizenship, has enacted a policy which requires the University to seek US Green Building Council (USGBC) Leadership in Energy & Environmental Design (LEED) Gold v4 accreditation for any new building or renovation project whose total project cost is $5 million or greater for new construction and $2 million for renovation. Implementation requires experienced LEED AP (accredited professional) expertise on the team from the early planning stage. Cost impacts for both professional services and construction measures must be recognized in the earliest budgets and carried throughout the project. The LEED leader for the University will be the PM who works closely with the UPDC Directors, OEP and the design and construction teams to assure the desired result.

In addition, as a State agency, the University is generally required to follow the Connecticut High Performance Building Standards for State Agency Buildings per Public Act 19-35 for new construction equal to or greater than $5 million and renovation projects equal to or greater than$2 million (depending on the funding source). Certain renovations are not required to follow the Connecticut High Performance Building Standards if specific exclusions apply to the type of renovation work.

Environmental compliance is an umbrella term for many issues and considerations that must be accounted for at the outset of a project to ensure preservation of natural resources and public well-being. The definitive resource for these issues within the University is the Office of Environmental Policy (OEP). OEP should be consulted during the planning stage to facilitate the identification and inclusion of costs for potential environmental contaminants and the long-lead time application processes which must be made part of the plan and the initial budget.

Tasks

- Procure independent third-party Commissioning Agent, when applicable.
- Procure LEED leadership on the AE team, when applicable.
- Develop an effective LEED accreditation plan or commissioning plan.
- Perform per plan.
- Coordinate submissions with the USGBC until accreditation is received.
- Work with EH&S to prepare an environmental action plan at a project's outset to ensure that cost and schedule implications are reflected in the budget and the Project Plan.
- Support EH&S and other University Departments in executing the plan, and in tracking progress.
- Determine if LEED Gold is attainable and cost beneficial for the University.

Deliverables

- If it is determined LEED Gold is not attainable or cost beneficial, a waiver from the BOT must be obtained by the end of the Schematic Design Phase.
- LEED submissions as required by the USGBC.
- An Environmental Action Plan, if necessary.
- Applications, support documentation and project-based services required to implement environmental identification, remediation and mitigation activities.

2.1.7 Project Budget and Risk Management

There are many risks inherent in the implementation of a Capital Construction Program. This procedure will address project costs, and the risks generally covered by insurance and contract terms whether the engagement is with a Contractor, AE or other Consultant.

With respect to insurance and other contractual risks, there are University requirements in addition to variable, project specific requirements, which are dictated by project needs. These risks are mitigated in part via both contractual insurance and bonding requirements, in addition to the contract documents terms and conditions. Based upon input from and in concert with the University's Executive Vice President and Chief Financial Officer, General Counsel and UPDC, Contracting will coordinate and incorporate the requirements and limitations necessary within the University's contract templates prior to execution between parties.

Project cost risk is managed by following good practice and procedure as defined throughout this manual. However, there are budgeting tools to cover costs that cannot be anticipated or may not be fully quantifiable. The budget should include allowances for known or anticipated, but not yet fully quantifiable items. These allowances may be in the project budget or may be included in the contractor's construction contract. Allowances may be in the form of a dollar value not to exceed amount or based on a defined quantity not to exceed with or without an applicable contractually accepted unit price.

In addition to allowances, the project should carry sufficient funds to cover the risks from unforeseen conditions ("contingency") which may include unanticipated technical issues or hidden conditions. There may be a budgeted University contingency and a separate contractor contingency, both of which must be closely managed by the PM. Per University policy, generally a project budget shall have at least 10% of the total project budget as contingency in the planning stage, 8% at the design phase, and a minimum of 5% at the start of construction.

In cases where there is a particular risk to the University to have a milestone completion date met, Liquidated Damages in an amount determined by the PM and Director and provided to Contracting can be included in the construction contract to ensure timely completion of the project.

Tasks

- Establish contract terms. UPDC leads the effort providing technical guidance on which contract terms are needed in support of what is expected from the Consultant or Contractor and to properly manage the project. Contracting leads the effort in what is statutorily required to be included in all contracts.
- UPDC produces project budgets with appropriate allowances and contingency.

Deliverables

- Budgets that match the project profile and risks.
- Contract documents with appropriate language and terms to address University risk.

2.1.8 Contractor Performance Evaluations

Good performance by the Contractors is essential to a successful project. Good communication is the key element associated to ensure the Contractors understand what an acceptable level of performance is expected from them. Although written and verbal communication is fluid throughout the design and construction process, it is important at certain intervals during the performance of the work to provide a formal evaluation of their work.

On bond funded projects with a construction valued of $500,000 or more, the University is required to perform Contractor evaluations at intervals as deemed necessary, but not less than once after reaching substantial completion of the project. These evaluations are valuable tools for the University to refer to when prequalifying Contractors.

Tasks

- The Project Manager fills out the State of Connecticut mandated Contractor Evaluation Form, scoring the Contractor on their performance during construction.
- Reviews the Contractor Evaluation with the Director, prior to reviewing with the Contractor. It is not required to have the Contractor acknowledge receipt of the evaluation or to agree with the evaluation.
- Submit the Contractor Evaluation to the State of Connecticut Department of Administrative Services (DAS).
- File copy of the finalized evaluation into the shared DAS Contractor Evaluations file folder.

Deliverables

- Evaluate consistently and fairly.

2.2 UPDC & PROCUREMENT ROLES AND RESPONSIBILIITIES

2.2.1 Fundamental Responsibilities

The purpose of this Procedure is to outline the means by which UPDC Directors, Planners and PMs work with CPFP to procure and contract with an AE, CM or other Professional Consultant for a particular assignment, while maintaining full compliance with statutory requirements and policies of the University.

While CPFP is the authority on the procurement process, UPDC is the authority on project delivery. UPDC staff comprise of well-established professionals with careers in the design, engineering and/or construction industries, have technical expertise and knowledge of the project, its demands, requirements, and limitations. UPDC will consult with CPFP on the most appropriate procurement delivery suitable to ensure the outcomes are timely and in the best interest of the project and the University. For any solicitation, UPDC is responsible for providing CPFP with the necessary project details, qualifications requirements, project schedule requirements and the fee template breakdown of services required for CPFP to begin their procurement responsibilities.

Project Schedule

The Project Schedule is the responsibility of UPDC. To ensure overall success with the project schedule, sufficient time for the procurement and contracting activities must be built in. Benchmark durations are placeholders within the general project schedule template, however due to various University demands, material availability and seasonal conditions, such standard timelines may need to be modified to address project schedule limitations, while remaining in compliance with procurement statutes.

The Director or their designee is responsible for consulting early with CPFP on the perceived best delivery method and allocated procurement and contracting time is acceptable to both parties. UPDC and CPFP share equally to ensure the agreed delivery method and procurement timeline is maintained to the best of each department's ability. Any potential changes which may impact the procurement timeline are mutually agreed upon between UPDC, CPFP and Contracting prior to any changes being implemented. Together UPDC, CPFP and Contracting take ownership and support each other to ensure the procurement schedule is maintained.

Administration of Solicitations

Administering any aspect within the solicitation process requires collective dialog between UPDC and CPFP. Whether the solicitation is qualification based or lump sum bid, both departments share equally in the responsibilities associated with completing the procurement process in a professional, expeditious and compliant manner. The more proactive the steps are managed within any one process, by any one department, the better the outcome. Providing complete clear details of the project and performing draft reviews of documents prior to publication allows both departments to successfully minimize clarifications that may be required through any solicitation or contracting step.

When prequalification is required, UPDC provides a list of University professionals who have the knowledge and experience to undertake the qualification selection committee (Committee) responsibilities and are available and committed to adhering to the timeline required. A preliminary procurement schedule is also defined (after consulting with CPFP) and provided with the request to prequalify professionals to CPFP. Together, UPDC and CPFP equally share in maintaining the Projects established timelines.

Negotiation

UPDC is the technical expert and has authority over all aspects of a capital project. UPDC has analytical knowledge of the project's needs and therefore is the most appropriate entity to lead any negotiations associated with contracting under a capital project. Any negotiations shall be performed by UPDC in collaboration with CPFP who maintain the integrity of the process.

With quality-based awards, the proposed fees are received from the consultant by CPFP and is forwarded to UPDC for review and analysis. If UPDC deems clarifications and negotiations is necessary with the Consultant, UPDC in collaboration with CPFP, contacts the Consultant to discuss their fee proposal (similar to a scope review). With CM awards, pre-construction services normally are not negotiated. However, a CM's fee, general conditions and general requirements may be adjusted based on the outcomes discovered during the pre-construction phase of services.

With lump sum awards (design-bid-build), the apparent low bidder's bid exceed the funds budgeted and it is anticipated that negotiations will result in award within the funds available without material changes to the plans, contract specifications or other requirements for the project, UPDC leads the negotiations in collaboration with CPFP.

Contracting

There are pre-established standard contract templates for design and construction. As the manager and administrator of these contracts, UPDC has the knowledge and knows the technical impacts associated with any changes to the project. Unknown changes to the language of the contract template can cause contradiction with other contract documents that accompany the contract after it's been executed, therefore regular review of the language with UPDC is important.

To support the contracting function, UPDC is responsible to ensure the correct complete documents are provided to Contracting for assignment execution A draft of the project specific contract is provided to UPDC for review prior to execution by the Consultant, CM or Contractor. Depending on what delivery method is used will depend on what documents are required for the contract. A list of documents required for any award or additional service/work is not limited to what is listed below:

On-Call Professional Consultants:

- Finalized accepted fee matrix and work effort breakdown.
- Complete and comprehensive AE proposal.
- Project Schedule
- Draft Amendment, when applicable

Design-Bid-Build and Design-Build:

- List of plans and specifications, which includes the latest revision date as reflected on any revisions to the plans and specifications during the bid period.
- List of accepted, rejected and/or value alternates with their scope descriptions.
- List of allowances with their scope descriptions.
- List of accepted unit prices and their scope descriptions.
- List of all Addenda and their submission date.
- Accepted construction milestone schedule.
- Prime labor rates specific to the project (CPFP obtains from the awarding Contractor and provides to UPDC for review and acceptance).
- Review and response to the draft project specific Contract, with all supporting documents (bid received, accepted milestone schedule, labor rates for reference).

2.2.2 Professional Services – Solicitations and Awards

The purpose of this procedure is to outline the planning process by which a project's design phase is prepared for solicitation based on the methods available to solicit and award professional services for any project.

There are two procurement methods available to UPDC in which to contract with an AE or other Professional Consultant Services:

- Open Solicitation – Quality Based Selection (QBS)
- On-Call – pre-established list of qualified firms for a particular experience category

In either solicitation method (Open or On-Call), UPDC provides the technical project details required of the overall project scope known at the time, building history, construction budget, project schedule, construction method, scope of services anticipated for the Consultant to appropriately plan their project approach and provide their associated fees to align with the level of work effort anticipated during design and construction.

Open Solicitation

From a business perspective, UPDC projects that are large in nature, very complex in nature and/or require technical specialized professionals who have successfully completed similar projects of the size, scope and complexity in nature are the basis to determine the use of an open solicitation procurement method. The procurement process is quality based where a Request for Qualifications (RFQ) is issued for public interest.

CPFP is responsible for solicitation process activities. They are the point of contact for communication between the firms interested in submitting their qualifications and the University. CPFP administers the controls required to ensure that the solicitation and review process remains in compliance with statutory and University policies and that the process is performed in a fair and equitable manner.

The Open Solicitation delivery method has two primary steps to the process.

- Qualification review to shortlist.
- Presentation review and final selection with fee. Contracting

UPDC's primary responsibility in the RFQ process is to provide specific details about the project to allow CPFP to formulate the RFQ document and perform their responsibilities. These project details are critical to the success of creating interest in the project by the AE community. The University's goal is to receive the most complete qualified submissions representing the most qualified team members who demonstrate they have the relevant experience to effectively implement the project. The fundamental detail documents that may drive the core qualifications required by a submitting team are not limited to the following:

- Background and/or scope of the project with anticipated construction delivery method.
- Any environmental reports, geotechnical reports, existing surveys, code violations outstanding, etc. pertinent to the project.

- Required relevant experience criteria.
- Scope of Services anticipated to be required help to formulate the size and complexity the proposed AE team will need to successfully implement the project. A draft fee matrix listing the expected services required by the proposed AE team will be included for use during the next phase of the selection process.
- Construction Budget, anticipated.
- Project Schedule – anticipated (includes timelines allotted for a detailed procurement timeline for the AE, estimated design timeline, estimated timeline for construction award and construction timeline).

During the review to short list process, Committee members formulate interview questions to ask the firms shortlist during the interview process. By the time the short list has been agreed upon by the Committee, UPDC provides interview questions and if needed, an adjusted project specific fee matrix and work effort breakdown template to CPFP to incorporate with the request to interview package. CPFP administers the interview phase process.

Awarding

Upon completion of each interview the Committee is allotted time to discuss their thoughts about the interview and provide a score on how well and thoroughly the firm answered each one of the questions outlined for the interview and evaluates their overall performance in the interview. The scores are added to the total score by each Committee member for each firm interviewed. Once interviews are complete and scores have been issued, Committee members' total scores are provided to CPFP who checks the totals and tallies all Committee member scores into one score for each firm interviewed. An overall ranking is formulated of the firms and shared with the Committee. At this time, the fees are opened and reviewed by the Committee. Since UPDC is the authority on the Project and its budget, the Committee defers to UPDC to determine if there is a need to negotiate the fee with the selected AE.

Execution of a project specific Professional Services Contract

With Open Solicitations, a pre-established contract for Professional Services is used and tailored to the specifics of the project.

UPDC is responsible for establishment of a "Schedule A" which describes the project details (scope, schedule, and budget) for the project, Owner's Project Requirements (OPM), and specific services to be provided by the AE (represented on the final accepted fee matrix) and what design phases are being awarded with critical completion dates for each at the onset of the award.

On-Call Professional Services Contracts

On-call professional services contracts are normally utilized when the project design requirements are not complex, do not require specialized experience and an anticipated overall total fee for the project to be less than $500,000.

With these types of contracts, a short list of prequalified firms is established for a particular professional consulting category. There is a master contract that establishes the firm to be on a particular on-call category contract with the University. POA is used to assign work against the master contract. CPFP is responsible for managing the solicitation and contracting process for the establishment of these pre-determined professional services on-call contract categories. And to monitor the cumulative spending against these contracts for BOT notifications and approvals.

In establishing the list of qualified consultants for one or more of these consulting categories, the solicitation follows the same process as Open Solicitation, without the interview and fee negotiations. UPDC is the primary user of the on-call professional services contracts. As experienced industry professionals whose primary function is to work with the majority of the established on-call professional firms, UPDC provides the relevant experience characteristics required for each of the on-call professional services categories needing to be established. Guidance should be sought by CPFP prior to any on-call-contract term ending, to allow UPDC to evaluate if a change in the service is necessary prior to CPFP soliciting new professional services. As noted previously, during the review of qualifications from submitting firms, evaluation of the firm's past performance with the University is taken into consideration for the success of future projects.

Use of the contracts

When a new project has been established, UPDC must determine the most appropriate professional services required in support of the project.

UPDC requests CPFP to identify the available consultants under the pertinent on-call professional services category. In all cases, UPDC selects a consultant based on the most appropriate skill set and relevant experience most similar to those required by the project.

It is the PM's responsibility to draft the "request for proposal (RFP)" where the project details are outlined; scope of the project, required services, design phasing, timeline schedule, fee structure and other elements for review with the Director. Once accepted, the PM forwards the RFP to the consulting firm to formulate their Proposal. The PM manages the communication and the outcome of this process.

As an alternative, UPDC may request CPFP to solicit one or all consulting firms listed under the specified category to receive best value for the services needed. Such outreach and the process of solicitation is managed by CPFP.

Awarding an Assignment

Upon receipt of the AE's proposal, the following compliance review is performed by the PM and Director:

- The AE's proposal meets the intent of the scope of the project, inclusive of the scope of services required for the assignment and accepts the project schedule provided in the RFP.
- Calculations utilized to establish the fee reflect:
    - pre-approved hourly rates within the contract.

    - correct allowable percentage markup on sub-consultants and supplier costs.
- Work effort breakdown is provided and relates back to their proposal.
- Sub-consultants' proposals are included and in line with the AE's proposal.
- Language within the proposal is not in conflict with the contract terms and conditions.
- Math calculations are correct.
- Language within the proposals (both Prime and Sub-consultants is not in conflict with the contract terms and conditions

When the AE's proposal is accepted, the PM or Initiator is responsible for uploading the AE's proposal, fee matrix, work effort breakdown and any pertinent supporting documents in support of awarding the task assignment. Once the Unifier requisition and applicable attachments are approved by the PM, the Project Director is responsible for performing the same detailed review to ensure the requisition, and attached documents are the most current, entered correctly, complete and correlate with each other accurately. See the section under Change Management for further details relating to changes in the work.

Upon approval by the Director, the requisition moves on to UPDC's QAQC to confirm that the documents and the requisition are following process and procedures and quality controls measures. Once UPDC QAQC review is complete, the requisition moves on to CPFP's QAQC for review. CPFP verifies the on-call contract referenced is active, any dollar threshold limits within the contract are not being exceeded by the award of the assignment.

Upon compliance review by the QAQC role, the requisition goes to the AVP performs a final compliance check and approves the requisition to move forward to PA who is UPDC's Fiscal Officer. PA is responsible for transmitting the Unifier requisition into Husky Buy where the requisition is finalized by CPFP. Once the requisition has been fully approved in Husky Buy, the PM is notified to issue the POA to the AE.

Tasks

- The PM, in consultation with the Director, will determine the following:
    - design delivery method
    - what construction delivery method is best for the project
    - if LEED certification applies and to what level will be the goal
    - if High Performance Building Standards apply
    - if background screenings are required
- Confirm any outstanding code violations that need incorporation into the scope of the project.
- Determine any specialty services that will be required by the project and if the service(s) will be included in the design team's overall scope of services.
- Determine if grant monies will be pursued for the project.
- Determine if there may be regulatory compliance issues to be addressed.
- Determine if environmental testing of any kind is required.
- Confirm budget and schedule for the Professionals' tasks in support of the overall project.
- Assist CPFP in the drafting of the Request for Proposal, project specific fee matrix template and work effort template for the use with open solicitation.

- Review with the Director the request for qualification or proposal to ensure completeness and confirm that an appropriate duration has been allocated to the procurement and contracting activities, while maintaining the overall project schedule commitment.
- Provide advance notice of solicitation needs in Unifier to CPFP:
    - Consult on appropriate delivery method.
    - For open solicitations, provide a list of available and willing prequalification committee members to participate in the process.
    - Obtain agreement on a procurement and contracting timeline.
- PM to oversee timelines to ensure maintaining the Project Schedule.
- Use of on-call professional services contracts, request solicitation or next available on-call consultant for the assignment through Unifier.

Deliverables

- Obtain agreed upon procurement and contract timelines to successfully maintain critical project timelines.
- Establish request for prequalification and/or solicitation in Unifier.
- Communication during the procurement and contract process is tracked in Unifier.
- Draft Schedule A and process in Unifier to CPFP to incorporate into the contract.

2.2.3 Construction Services – Solicitations and Awards

The purpose of this Procedure is to outline the planning process by which a project's construction phase is prepared for solicitation and the processes available to solicit and award construction services for any project.

As noted previously, prior to soliciting Professional Design Services on any project, the method of construction is determined at the outset of establishing a project and engaging in design services.

UPDC is the department responsible for project schedule, budget, and its delivery. UPDC is the primary department with the technical expertise to determine the most appropriate delivery method and contract form to ensure that the outcome of the solicitation and/or selection process is in the best interest of the project and the University. To achieve this end, the Project Director and/or PM consults with CPFP on the procurement schedule and delivery method to ensure the method and schedule is agreed upon, is adequately supported, timely performed, and remains in compliance. Together, UPDC and CPFP share equally in maintaining the established timelines.

Determining the appropriate Construction Procurement and Contracting Delivery Methods

When determining whether a General Contractor, Prime Trade Contractor, Construction Manager or Design-Builder offers the appropriate construction services method for a project, consideration to the size and complexity of the project, schedule demands, construction sequencing and phasing and other special considerations must be factored into the decision.

The following are factors UPDC takes into consideration when determining the appropriate contracting delivery method for a particular project:

- Complexity in management of the construction.
- Construction Schedule Phasing.
- Prequalification requirements based on estimated construction value.
- Prevailing Wage requirements.
- Decision relating to Project Labor Agreement (requires BOT approval).
- Background Screening Program decision from the Project Director.
- Critical substantial completion date and value on liquidated damages.

Contracting Delivery Methods for Construction

There are 3 primary procurement methods available to UPDC in which to select and award a Contractor for Construction Services. Design-Bid-Build, Time and Materials and Design-Build. The following factors are considered when selecting an appropriate procurement method:

- **Design-Bid-Build delivery method selection factors:**
    - **Construction Manager at Risk (CM):**
      Projects for which the construction demands are complex or risky in nature and/or require multiple construction phases may warrant the assignment of a Construction Manager (CM). This decision is generally determined early during the

establishment of the project itself, so that the prequalification process is coordinated when the AE is just getting under contract and is not yet well into design.

Factors to consider:

- Complexity of the design and materials.
- Controlled oversight
- Work is complex and significant coordination is required.
- Multiple phasing of construction required.
- Large number of subcontractors to manage.
- Should be under contract for preconstruction services at the end of Schematic Design.
- Performance of prequalifying and bidding trade packages, at risk holding subcontracts.
- Pre-construction Services performed during design, ideally starting not later than the middle of SDs.
- CM award is based on most qualified and is contracted under pre-construction services which is amended when construction work is bid and a Guarantee Maximum Price (GMP) for construction is agreed upon.

To facilitate placing a CM under an "at risk contract", UPDC must provide a detailed description of the project and of the pre-construction and construction services required to be provided by the CM in areas not limited to:

- Estimating
- Value engineering
- Constructability reviews
- Detailed Resource Loaded Critical Path Method Construction Scheduling
- Prequalification and contracting of prime subcontractors and sub-tiers.
- Project management and implementation expectations
- Financial reporting
- Site and worker safety
- Implementation risks for both preconstruction and construction activities.

- **Prime Trade Contractor (Contractor):**
  - Predominately single trade construction or minimal number of subcontractors they are expected to manage.
  - Work is not complex, limited phasing.
  - Work can be described and depicted in documents to attain an accurate and complete lump sum proposal.
  - Primarily with construction estimated contract value of less than $500,000, Lump Sum bid.
  - Award is based on lump sum trade contractor (same as general contractor) form of contract.

- **General Contractor (Contractor):**
  - Multiple Subcontractors
  - Work is complex, significant coordination required.
  - Work can be described and depicted in documents in order to attain an accurate and complete lump sum proposal.
  - Prequalification required with construction estimated value of $1,000,000 or more in contract value, prior to lump sum bidding.
  - Award is based on lump sum general contractor form of contract.

- **Time and Materials not-to-exceed delivery method selection factors (on-call trade contracts):**
  - Small value work, no prevailing wage or performance and payment bond requirements.
  - Replace in-kind type of work.
  - Non-complicated, minimal or no design.
  - Normally single trade, not multiple subcontractors.
  - Total Project award remains under $100,000.
  - An award is based on equalization of the Small Minority Business Enterprise (S/MBE) firms in rotation under the applicable University on-call trade contract for that particular trade work. The award is a not-to-exceed time and materials award, no competitive bidding required.

- **Design-Build delivery method selection factors:**
  Projects where the design is standard building with no complex systems and time is of the essence to complete the project, design-build delivery method may be selected. This decision is generally determined early during the establishment of the project itself, so that the prequalification process has begun when the AE is just getting under contract. The decision to select this delivery method must be pre-approved.

  Factors to consider:
  - Project Scope is not complex and does not have specialized service requirements.
  - Timeline Project Schedule demands.
  - Prequalified pool of candidates based on previous design-build relevant experience.
  - AE is brought on for a predetermined level of design completeness and then the design responsibilities are transferred to the awarded Contractor to complete as they build.
  - University maintains the AE selected for the initial design as a Bridging AE
  - Prior pre-approval by the BG&E committee and the BOT.
  - The award is based on the lowest responsible bidder and is contracted under a Design-Build Lump Sum form of contract.

Procurement Deliver Methods for Construction

To support the procurement process, UPDC provides the project details (as defined previously) and when applicable, a list of University professionals who have the knowledge to undertake the prequalification selection committee (Committee) responsibilities and are available and committed to adhering to the timeline required.

CPFP provides the draft solicitation to UPDC for review and acceptance prior to advertising. Upon receipt of all Requests for Information (RFI) from the requesting firms, CPFP timely logs the questions and sends them to UPDC to provide appropriate responses. UPDC is responsible for getting complete and timely responses back to CPFP to post for the bidders. If any step within the procurement process lags behind jeopardizing projected due dates in the procurement schedule, UPDC and CPFP both share in the responsibility to recover the overall procurement schedule. Continual communication throughout the process is key to the success of maintaining the project schedule.

- **Prequalification and Quality Based Selection Process (QBS)**

  The prequalification process is slightly different than that of qualifying an AE team. The disadvantage with any prequalification or QBS method, the proposed team may not be the team that ultimately manages the project. It is important to ensure the level of experience initially represented within the selected firm's proposed team is maintained with the same level of experienced personnel when the project is being executed.

  - **Prequalification Method**
    Prequalifying is required with any project construction with an estimated value of $1,000,000 or more and is project specific. With design-build or design-bid-build delivery method under a General or Trade Contractor, the process has two steps to award:
    - Interested firms submit prequalification packages based on their similar experience from other projects of the same or similar scope, complexity and contract value, the experience and makeup of the team being proposed and financial stability of the firm.
    - Proposals are reviewed by the Committee which takes into consideration the firms and proposed team relevant project experience, managerial and technical experience of the team, financial, past experience with the University, per CGS 4a-100 and 4a-101 and other factors. The outcome of the reviews identifies a list of firms who are deemed to have demonstrated their qualifications and appear to meet the requirements of the project. The determination of the factors for qualification is accept, suspend or reject. Firms who the Committee has deemed accepted are shortlisted.
    - Shortlisted firms deemed prequalified for a specific project are then allowed to bid on the project for a lump sum award, based on the most responsible bid.

- **Quality Based Selection Method**
  QBS is required with any project where a Construction Manager at Risk (CM) method is determined. There are two steps to award, with some similarities to prequalification:
  - Interested firms submit prequalification packages based on their similar experience from other projects of the same or similar scope, complexity and contract value and the experience and makeup of the team being proposed.

    Proposals are reviewed by the Committee which takes into consideration past experience with the University, per CGS 4a-100 and 4a-101. The outcome of the reviews identifies a list of firms deemed to have demonstrated their qualifications meet the requirements of the project. Proposals are numerically scored by each Committee member, CPFP tallies the scores, and a ranking of the firm's proposals is established to determine whose proposals were the most qualified and whose were the least qualified.

  - Shortlisted firms submit a proposal that reflects their proposed fee to administer the project and proposed general conditions costs for pre-construction and construction services.

    A second review is performed by the Committee. Comparisons are made against each proposer's proposal on the following factors not limited to:
    - Proposed Team remains consistent with initial proposal.
    - Preconstruction General Conditions / General Requirements
      - proposed manpower
      - work effort hours
      - hourly rates
      - schedule
      - administrative expenses or credits
      - any other factors represented in the submission
    - Construction General Conditions
      - proposed manpower, on-site
      - work effort hours
      - hourly rates
      - on-site allowable operational costs, fee based operational costs
      - percentage fee
      - any other factors represented in the submission.

  - It is important to have confirmed the proposed team is still represented and committed. Firms are scored by each committee member, scores tallied, and the scores ranked to determine the firm most qualified.

- **Design-Bid-Build Method**
  UPDC is responsible for submitting an electronic Request to Bid to CPFP which includes a scope of the project, a set of plans and project manual designed specifically for the project and the pre-agreed upon procurement schedule. CPFP utilizes the information provided to draft the solicitation documents. CPFP provides the draft solicitation to UPDC for review and acceptance prior to advertising. Upon receipt of all Requests for Information (RFI) from the potential bidders, CPFP logs the questions and sends the log timely to UPDC to manage the responses. UPDC is responsible for getting complete and timely responses back to CPFP to post for the bidders. If any step within the procurement process lags behind jeopardizing projected due dates in the procurement schedule, UPDC and CPFP both share in the responsibility to recover the overall procurement schedule. Continual communication throughout the process is key to the success of maintaining the project schedule.

  Upon receipt and opening of bids, CPFP reviews the bids for completeness and compliance, timely records the bid values and any alternate prices required of the bid and provides the summary to UPDC. Typically, a scope review is requested by UPDC at the end of the bid openings for CPFP to schedule with the apparent low bidder. UPDC and the AE lead the scope review meeting, during which the project work and delivery expectations of the project are reviewed with the Contractor to ensure their bid is responsible and qualified. Upon the determination that the bid is complete and accepted, UPDC submits to CPFP a "Recommendation to Award" memo through electronic means outlining the name of the Contractor to be awarded, their base bid value, acceptance or rejection of alternates to make up the final contract value that will establish the Lump-Sum award. The contract template is the AIA 101 and General Conditions AIA 201 as modified and has been previously reviewed and accepted by UPDC, Contracting, Office of General Council and the Attorney General's office. Additional modifications to the previously accepted version must be submitted for review and acceptance to UPDC prior to incorporating them into the contract template.

Contracting Delivery Method

- **CM Method**
  A CM contract has two major components: Pre-Construction Services and the Guaranteed Maximum Price Amendment (GMP).
    - **Pre-Construction Services are project specific and are defined within the scope of the project requirements. Such services are not limited to the following:**
      - Constructability reviews, cost estimating, schedule phasing and assisting the AE with value engineering and seeking comparable products with less lead time or more competitive options at various intervals designated during the design phases.
      - Coordination and conformance review of the design documents at intervals designated within the contract for preconstruction services.

- Formulating an accepted site logistics plan which identifies the location and amount of space required or available for the construction project perimeter and where equipment and material staging during the course of construction will be kept.
- Determining bid packages for bidding and their estimated cost value.
- Adherence to procurement governances and reporting processes; pre-qualification of subcontractors, analysis and feasibility approach to achieve CHRO and University compliance goals, public notifications, open bidding and contracting of bid packages and other ancillary trade work.
- Perform public bid openings, record each opening, note bond receipts, announce bid value and alternates (if applicable).
- Review bid packages for procurement compliance and completeness.
- Review and compare alternate and unit prices, determine if alternates or unit prices will be accepted.
- Determine the lowest, responsible, qualified bidder with anticipated alternate awards for each trade package,
- Perform scope review meetings with the apparent lowest responsible qualified bidder of each bid package.
- Record and report in the format required by the University.

UPDC is responsible for the overall performance of the CM to ensure compliance with their contract and their performance expectation. Although the CM has the responsibility to review the constructability of the plans, review products specified for high costs or long lead time items to assist in value engineering, when necessary, check coordination of the plans and project manual at intervals defined in their contract. UPDC has the greatest interest in ensuring that the bidding documents and process are complete with minimal conflicts.

- **Guaranteed Maximum Price (GMP)**

The CM is responsible for leading and managing the trade bidding. CPFP provides the bidding requirements and oversight of the procurement process for compliance and the PM provides the technical oversight on what is to be represented within the documents.

The GMP Amendment is formulated ideally when the majority of bidding is complete and includes summary of all direct and indirect construction costs not limited to:

- Direct construction costs:
    - Lowest responsible bidder, bid value and any accepted alternates for each trade package and individual trade.
    - Allowances with the CM.
    - Allowances within each bid package.
    - Line item holds for packages not yet bid or still under formulation at the time of GMP submission.

- Indirect construction costs:
    - General Conditions (as defined in the schedule template provided to the CM)
    - General Requirements (as defined in the schedule template provided to the CM)
    - CM Contingency (as determined by UPDC, but not more than 5% of total cost of the work)

Tasks

- Provide advance notice of solicitation and contracting needs to CPFP and confirm appropriate delivery method and procurement timeline schedule needs for solicitation and contracting.
- Calculate the amount to be assessed in liquidation damages should the Contractor fail to complete the work within the contractual timelines, obtain agreement with Director.
- Obtain Director's formal decision on requiring background checks.
- Obtain Director's formal decision on requiring a project labor agreement, submit decision to the BOT for approval.
- Obtain written narrative from the AE on the total scope of the construction to be provided with the request to bid.
- Ensure budget stage approval is updated and approved by the appropriate level of authority.
- Ensure design documentation (plans and project manual) have been fully coordinated and permitted before bidding commences.
- Review draft request for proposal (RFP or Bid) from CPFP to ensure the solicitation has captured all elements required.
- Provide timely document updates and responses to requests for information (RFI) logged by CPFP.
- Attend bid opening(s).
- Upon receiving a copy of the lowest responsible bid and bid leveling summary from CPFP through Unifier, the PM to review the following:
    - Alternates to be awarded, rejected or held.
    - Unit price leveling from AE to determine if they are accepted or rejected.
    - Schedule of values provided with the bid.
    - List of "named subs" to ensure compliance with contract requirements.
    - List of subcontractors identified to meet CHRO requirements to ensure compliance with the contract documents.
    - Confirm all required budget approvals are in place.
- When applicable to GMPs, monitor prequalification process, attend bid openings, review bid information against bid summary to ensure accuracy, review above items.
- Perform scope review with the AE and apparent low bidder(s) as determined is needed.
- Upon outcome of scope review, provide a recommendation to award memorandum to CPFP through Unifier addressing and providing the following information:
    - Identify the lowest responsible bidder based on the scope review and alternates to be awarded.
    - Identify alternates that are accepted, rejected and to be held for possible award later.

    - Identify within the list of unit prices if they are accepted or rejected, provide the list for CPFP to incorporate into the contract.
    - Provide the list of drawings with their most recent revision date and project manual with their most recent revision date as was issued at the time of bid for CPFP to incorporate into the contract.
    - Confirm CPFP and contracting schedule to ensure timely execution of contract.
- Upon receipt of construction milestone schedule and Prime labor rates self-performed work, PM to review with Director for conformance with contract requirements as provided. Provide timely response back to CPFP on acceptance or authorization to discuss corrections with Contractor.

Deliverables

- Information as required by CPFP for solicitation.
- CPFP documents and records for UPDC review.
- Obtain approvals from Director, AVP and EVP Admin & CFO as required.
- BOT resolutions for approval, when required.
- CPFP to provide a copy of the letter of intent to UPDC that went to the awarding Contractor.
- CPFP to provide draft contract with all pertinent information and attachments incorporated for review by the PM and Director.

2.3 PROJECT DESIGN PHASES AND MANAGEMENT

2.3.1 General Design Responsibilities

Planners and PMs shall work with the project requestor, internal and external stakeholders, and others as required to ensure that overall project objectives and goals, program requirements, schedule, budget, and funding strategies and plans are maintained. The extent of the Design Phase shall be determined by UPDC on a project-by-project basis.

Pursuant to the Master Plan, UPDC shall plan, design, construct, renovate and maintain sustainable, energy and water efficient buildings that:

- Yield cost savings through lowered lifetime costs.
- Provide enhanced learning atmospheres for students and healthier environments for all building occupants and visitors.
- Realize the University's commitment to responsible growth and environmental stewardship.
- Accordingly, for any building construction or renovation project entering the pre-design planning phase, and whenever the estimated total project cost exceeds $5 million, excluding the cost of equipment other than building systems, the University shall establish the LEEDv4 Gold rating as a minimum performance requirement.

The AE awarded a project assignment from the University, will work with the PM to refine the overall Project Schedule to establish reasonable and achievable design and construction timelines based on what is discovered in the pre-design programming phase. There are times where the University provides to the AE as a condition of award, an allotted timeline limitations for design and construction of a project in the overall Project Schedule. In the latter scenario, there are risks that come if there is not sufficient time to thoroughly program, design, coordinate design documents and allow for review and update to progress documents at intervals outlined within the contract.

The AE is responsible for being comprehensive with their pre-design programming and investigation of existing conditions at the start of the project. Insufficient information from stakeholders during programming and/or incomplete/insufficient investigation of accessible existing conditions increases the risk of potential claims from the Contractor on unforeseen conditions during construction.

The University has established and updates periodically, University Design Standards based on criteria from various University departments on basic standards for products and systems performance and warranties, functionality, processes, consultant performance; etc. Besides adhering to the contract and owner's project requirements, the AE is responsible for adhering to the most current University Design Standards the University at the time of the award assignment.

2.3.2 Pre-Design Phase

In the Pre-Design Phase (Pre-Design) the AE and the University map the long-term goals and anticipated challenges for the overall design process of a project. This process may include site analysis, building conditions, environmental impacts, programming, conceptual design, test fits and construction costs analysis.

Site Analysis

A proposed site, an existing building, or existing infrastructure, on or off campus, is analyzed through a series of investigations to understand the constraints that may be imposed upon a project and its design. Multiple sites are analyzed for a single project. This information is used both to guide project development and to evaluate a project's impact on the environment.

Studies are conducted to evaluate existing conditions. These studies may include geotechnical reports, hydrology studies, land surveys (including boundaries, topography, and utilities), existing building analysis, traffic studies, inland wetland and surveys of existing hazardous materials (environmental due diligence).

These study reports describe the investigations made and the measurements taken, and they often make recommendations for incorporating the results of the investigations into the site or building design. These studies also significantly influence project feasibility as well as life-safety and legal issues. Other studies identify existing conditions that may or may not be quantified. These studies may include data compilation, site analysis reports, site analysis drawings, and comparative site analysis.

- Surveys of asbestos, PCBs, and seismic hazards
- Access for people with disabilities
- Long-range development plans and related Environmental Impact Reports
- Circulation and parking plans
- Utility plans
- Roadway plans
- Expansion plans for nearby buildings
- Precinct or area plans
- Facility design guidelines
- Vehicular plans
- Bicycle plans

Existing Building Conditions Analysis

When a project involves one or more existing buildings, a variety of studies are used to determine the feasibility of reusing some or all of the buildings and available space. These studies include analysis of functional, structural, environmental and code issues and provide information on the following:

- Overall building suitability and adaptability for the proposed use (e.g., area on each floor, column bay sizes, floor-to-floor heights, and vibration and acoustic control)

- Capacity, suitability, adaptability, and age of the existing engineered systems (e.g., electrical, HVAC, fire protection, and plumbing)
- Vertical load bearing capacity (e.g., slabs, beams, girders, and columns)
- Earthquake resistance and lateral load capacity (e.g., shear walls and frame bracing)
- Accessibility to the disabled
- Fire and life-safety systems
- Energy issues
- Hazardous Materials / Environmental Impact assessments

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Programming

Programming defines the needs of the user. That includes defining a project's functional needs both interior and exterior, functional requirements including space sizes, contents, activities, and relationships. A project program serves not only as a basis for design and a source of information about a project, but frequently as a basis for seeking funding. The final product is the project program, sometimes referred to as the Detailed Project Program (DPP).

The programming process concludes with a clear and orderly statement of the need. Detailed program information is usually separated from the more general functional data. Project programs establish quality and scope. Quality is often defined abstractly in the project goals and more specifically in the project program. Scope is clearly defined and incorporates the following factors:

- Defines the users and the purpose of the users.
- Defines the functions and programs of the users.
- Identifies the assigned square feet of the proposed facility.
- Details any special factors.

Conceptual Design

Conceptual Design includes the design of interactions, experiences, processes and strategies formulating the client’s needs. It implies an idea, or range of ideas, a development approach, a guiding concept and a design intent. It resolves the issue of 'what' and 'how much' and begins the feasibility and assessment stage of the design. The conceptual approach places the quantum of development intelligently on the site. Through a series of design meetings, the AE modifies the concept, adjusting and narrowing down a broad-brush approach towards a more precise, well-illustrated concept, capable of being meaningfully discussed, not only with the client, but also with external partners, planners, engineers, and other interested parties.

The methods used to create the design are through conceptual sketches, design illustrations, indicative plans, sections and elevations and 3D models of a development approach.

Test Fits

Test Fits uses floor plans to confirm the identified needs and requirements can be accommodated within a specific space and the required adjacencies can be maintained.

Construction Cost Analysis

The construction cost of a project is part of the total project cost in the present Capital Improvement Budget. Estimating construction costs typically involves using costs from similar prior projects and applying those costs to the present project, allowing for adjustments in location, scope, construction time period, and other factors.

The methods used to estimate construction costs are by cost per gross square foot or cost by building system components. We utilize experiential data about the costs for various building types published by cost information services or compiled within our databases. The format of this initial estimate is conceptual and usually incorporates a number of explicit and implicit contingency values and specifically excludes scope.

2.3.3 Schematic Design Phase

The Schematic Design Phase (SD Phase) begins the process of designing the facility or the project. The primary objective of this phase is to reach an alignment that combines clearly defined scope, schedule and budget, with a comprehensive design concept. The Schematic Design Phase typically represents approximately a twenty percent (20%) completion level of architectural and engineering effort. During this phase, most of the project profile from the Pre-Design effort has been gathered and the design team is providing a gap analysis. The user and technical groups continue to provide enhanced details of requirements to the design professionals.

At this stage in the design process, the design team has enough information to finalize the project program plan and complete schematic design development of (a) site, (b) initial drawings and space layouts, (c) footprint and massing, (d) the appropriate design criteria, (e) basic infrastructure system needs, (f) preliminary construction schedule and (g) preliminary estimated project budget. University project management continues to monitor and refine the project goals and performance criteria for the next design phase, Design Development.

Tasks

- Procure other necessary professional services such as Commissioning Agent, LEED consultant or CM, as applicable.
- Confer with code officials on any existing code violations within the parameters of the Project limits and document requirements.
- Define site, building and systems design.
- Review plans with internal University technical group for comment.
- Confirm user group requirements for fixtures, furniture, and equipment.
- Outline permitting and inspection strategy.
- Refine project scope, project schedule and construction budget.
- Identify risk exposures and opportunities (reconcile budget with scope and program).
- Obtain PRC, E-SARCC and BOT approval for budgets, as applicable.
- Maintain oversight on design progress and project schedule.
- Define and incorporate commissioning and/or LEED strategies.
- Determine if Commissioning Agent will be required, request to solicit when applicable.
- Determine if an Environmental Action Plan will be needed.
- When applicable, identify any Regulatory Compliance issues to be addressed and prepare for permit applications.
- Obtain clearance from the University Fire Marshal and Building Inspectors office of any outstanding code violation issues that could be addressed in the design documents.

Deliverables

- Construction Cost Estimate.
- Schematic drawings and specifications.
- Presentation boards, massing model update, if required.
- PM issues written notice to proceed to the Design Development Phase.
- When applicable, submit Environmental Action Plan and any environmental permits to the authorities having jurisdiction.

2.3.4 Design Development Phase

The Design Development Phase (DD Phase) refines and details the scope of work previously approved in the SD phase. The project is developed to a level of detail (approximately 50 % of design completion) that presents a clear, coordinated representation of all project aspects. Major system components are translated into design, including mechanical, electrical, plumbing, fire protection, roof and structural, and telecommunications systems, and initially coordinated with scale drawings that illustrate major spaces, facades, elevations, and floor plans. Draft project design plans and specifications are provided, which incorporate the most current University's Design Standards. A more detailed construction cost estimate is provided. At this stage, it is critical that plan reviews are performed at no later than 50% DD plan completion. The PM submits the plans to key stakeholders, authorities having jurisdiction and FO to reconfirm any previously agreed programming and design changes and compare it with the design elements represented on the 50% DD plans. Changes to the design are identified at this stage and incorporated into the 100% DD plans. The final 100% DD plans are submitted to key stake holders, authorities having jurisdiction and FO for a final review to reconfirm that all changes identified in previous reviews have been incorporated or accounted for. The Design Development Phase is the last opportunity for design scope input from the user group. It is the last time in the process where reasonable changes to the project scope or program may be incorporated without impact to the Project schedule and budget. During design development, all program requirements will be viewed as part of a single design. This allows the preparation of a comprehensive project Design Development estimate, as well as a realistic timeline of the construction schedule from the design team and CM. If either the project schedule or construction estimate is not consistent with the approved Project Plan, some reconsideration and value management may be necessary.

Tasks

- Updated MOU, when necessary.
- Maintain oversight on design progress, project schedule and budget.
- Review constructability of the design at the end of the phase.
- Review plans with University stake holders for comments, ensure all review comments and program issues are resolved and incorporated into the design documents, not limited to constructability and maintainability.
- When applicable, refine and incorporate further Commissioning and/or LEED strategies as agreed to.
- Detail sustainability components, review with Office of Environmental Policy (OEP)
- Establish a more detailed and comprehensive project scope, design completion schedule, construction schedule and project budget
- Review design elements and/or program for potential value engineering opportunities
- Ensure that a fixtures, furniture, and equipment plan is included and coordinated with the mechanical, electrical and plumbing plans
- When appropriate, notify CPFP of the intended construction bidding strategy construction manager, lump sum bid or design-build methodology
- Begin establishing the format for request for construction bidding
- When applicable, submit request for prequalification of Contractors through Unifier

Deliverables

- Construction cost estimates
- Design Development set of documents, including design drawings and specifications
- Incorporate into the documents all comments from each review.
- Notification to CPFP on bidding strategy
- PM issues written notice to proceed to the Construction Documents Phase

2.3.5 Construction Documents Phase

The Construction Document Phase (CD Phase) is the final stage of the design process. The design professionals, whether internal or external, complete the plans and specifications to ensure completeness, design coordination, and a well-defined and detailed scope of work for the construction of the project. Construction Documents are also submitted to the Code Authority having jurisdiction (AHJ) for review and approval. Additionally, these documents are used to generate a definitive schedule and an estimate.

As previously stated, it is the PM's responsibility to utilize all available University technical service personnel to review the design documents, the estimates, and schedules, and to challenge all third-party professionals on quality, assumptions and product. If a Construction Manager has been previously engaged, the Construction Manager will perform a final review for constructability, subcontractor packaging, schedule and provide professional recommendations to correct issues of completeness, coordination, and quality. Periodically UPDC may engage the use of a third-party document reviewer to assist on complicated project documents.

When it has been determined the Construction Documents are 90% complete, the PM obtains signed and sealed documents from the AE of record and submits a request for permit to the OFMBI for a building permit and when applicable to other AHJ, such as OSBI, OSFM, DEEP or Health Department.

The permit(s) may be issued conditionally, where minor corrections are required to be incorporated into the construction documents. Such corrections are issued signed and sealed through an addendum and resubmitted to the AHJ for record. At this juncture, the Construction Documents are considered complete and ready for bid, this ends the Construction Documents Phase. Construction documents are obtained from the AE stamped and certified for Bidding. Upon completion of the bidding process a subsequent set which incorporates all changes during the bidding process are created as the "Conformance Set" used for construction.

Tasks

- Ensure the most current University Division One template is being incorporated into the project manual, verify AE additions and changes to the template to ensure critical components to the overall document are not changed.
- Perform periodic reviews of the CD documents for coordination issues to confirm review comments are incorporated.
- Obtain from the AE a list of long lead items of material or equipment and address within the documents and their feasibility within the construction schedule to ensure Contractor ownership.
- Conclude selections of finishes and materials.
- Finalize details, specifications, site logistics and landscape plans.
- Complete structural review.
- Detail sustainability components.
- Finalize commissioning and/or LEED plan.
    1) Finalize and incorporate furniture, fixtures and equipment locations and associated electrical and data needs.

2) Finalize comprehensive project scope and construction schedule.
3) CD estimates in CSI format reconciled, confirmed against construction budget.
4) Review design elements and/or program additions for potential value management opportunities.

- Initiate Environmental Permitting Activities
- Submit plans to the AHJ for a building permit. Revise plans if necessary following review and incorporate into 100% Construction Documents any permit requirements prior to bidding, when feasible
- Review final Construction Logistics Plan (if applicable) and ensure achievability consistent with the overall Site logistics Plan.
- Finalize construction delivery method strategy, schedule, and process, where applicable.
- Where applicable, prepare final approval submissions from PRC, E-SARCC and/or the BOT.

Deliverables

- Complete 100% Contract Documents (stamped and signed) including the project drawings, project manual and other contract documents as required to fully describe and detail the work
- Construction Management bidding plan and schedule, if applicable
- Final design review and sign-off with users and other stakeholders
- Building permits and other permits, as required

2.3.6 Construction Bidding and Negotiations Phase

The Construction Bidding and Negotiation Phase commences when the design is deemed 100% complete, the plans and project manual (Division 1 - 35) have been signed and notarized by the AE and the documents have received approvals for permits. At this stage these documents and the invitation to bid document formulate the "bid documents". The bid documents are the basis used to invite bids to construct the project. At this stage, the delivery method has already been pre-determined and the invitation to bid is either advertised publicly or to a pre-qualified pool of contractors.

During the bidding process, the AE is responsible for answering any questions or providing clarifications that may come from the bidding contractors pertinent to the 100% construction documents. Such clarifications and answers mostly come in the form of an Addenda. Addenda are formulated and issued by the AE (or prime consultant) and generally include Bulletins generated from their sub-consultants through the procurement entity responsible for oversight and management of the process. These documents include additional sketches or changes to the plans and project manual included as the bid documents.

In the case where the University is performing the procurement process, the bidding and contracting method most times is Lump Sum. Or in the case where a CM construction method has been pre-determined, the procurement is performed by the CM following all statutory procurement requirements as provided by the University.

Sufficient time must be allocated within the project schedule for bidding, negotiation and contracting for construction services after the design is complete. In most cases, UPDC consults with CPFP early on during the initial award of an AE for the project to establish an agreed delivery method for construction. UPDC is responsible to initiate the procurement process for construction services by issuance of a "Request for Prequalification of Contractors or CM's (when appropriate) or a Request to Bid by electronic means to CPFP as described in Section 2.2 of this procedure's manual.

The Request includes the permitted stamped documents as well as other pertinent information needed in support of a successful efficient bidding and contracting process. UPDC provides a procurement schedule timeline which includes due dates for posting or advertising the Request, due date closing for receipt of any Requests for Information (RFI), projected due date for responses to RFIs to be posted, projected due date closing for bids projected scope review date and projected contract execution date. the permit set documents and any addenda that accompany the permit set, signed, and sealed by the AE of Record.

Bidding

CPFP is the authority who leads the effort in the bidding and contracting phase in consultation with UPDC on behalf of the University. They receive and log RFIs, distribute the questions to the PM who will manage obtaining response to all questions received. Based on the questions received, clarifications or adjustments may be needed to the bid documents. Such changes are performed by the AE and submitted to the PM through a sequence of addendums. The PM is responsible for

reviewing the changes presented for completeness and for potential impacts to the budget, the project program plan, life safety and/or RFI or Bid due dates that may be based on the significance of the questions and changes. The PM is responsible for providing timely responses to questions and reviewing AE responses with associated bulletins and plan changes are coordinated and complete to include as an addenda by CPFP for issuance. CPFP in consultation with the UPDC PM and Director, manages any notification postings and if necessary, time extensions to the RFI or Bid due dates. In the case where the CM is leading and managing the trade bidding, CPFP provides the bidding requirements and oversight of the procurement process for compliance and the PM and Director provides the technical oversight on what is to be represented within the documents.

After bids are received, CPFP publicly opens, reads out loud and records the bids. A detailed review of the bid submissions is performed to ensure each is a compliant bid and a summary of the bids is tabulated and a copy of it along with the apparent low bidder bid submission is provided to the Director for review by CPFP. UPDC is required to advise CPFP if, 1) the lowest bid value is within the approved construction budget, 2) what alternates if any are intended to be accepted and executed with the base bid amount and 3) when and with whom is the scope review meeting to be scheduled.

If there are insufficient funds available to cover the cost of the lowest responsible bid, the project may be canceled and no award made, additional funding to allow the bid to be awarded may be sought.

CPFP maintains oversight during the scope review process. They schedule and attend the scope review meeting conducted by the AE, UPDC and the apparent low bidder to confirm the understanding of the scope of the project, review significant elements such as material and equipment purchases, deliveries and installations and schedule sequencing details to meet the contractual time frame outlined in the bid documents.

Contracting

Based on the scope review meeting, if no deficiencies were identified in the bidders bid and there is sufficient funding available, the Director will issue to CPFP a “recommendation to award” which lists the Contractor to be awarded, their base bid value, any alternates to be accepted, declined, any unit prices accepted or not accepted and confirmation of previously agreed upon execution date for the contract.

Upon receipt of the recommendation to award from UPDC, CPFP issues a “letter of intent” to the contractor, which begins the contracting process. CPFP consults with UPDC in the details of our changes to the contract template and submits through a Unifier workflow called a Contract Authorization Request (CAR) approval. The final complete contract draft with all applicable exhibits is included as supporting documentation for review and approval by UPDC PM, Director and AVP. The Fiscal Officer creates the new requisition in Unifier to commit funding, code and process to Husky Buy for PO. CPFP upon full execution of the contract, will upload the document into Husky Buy and approve a purchase order. Once approved, Husky Buy notifies Unifier of the purchase order approval and then Unifier notifies the PM of the PO approval. The PM is responsible for issuing a “notice to proceed” to the Contractor as authorization.

Tasks

- Consult early with CPFP on upcoming bid, define agreed timelines for bidding and contracting
- Preschedule meeting commitments: Bid openings, Scope review
- Manage consultants on timely responses to RFIs and the addenda posting(s) by CPFP
- Attend bid openings
- Confirm sufficient funding, obtain additional funding or negotiate
- Confirm final budget approval in place
- Conduct scope reviews
- Issue recommendation to award notification to CPFP
- Review contract and exhibits
- Issue notice to proceed

Deliverables

- Request to Bid
- Responses to RFIs
- Request and obtain final budget approval
- Recommendation to Award
- Response review of contract and exhibits
- Issuance of notice to proceed

2.4 PROJECT CONSTRUCTION MANAGEMENT AND OVERSIGHT

2.4.1 Construction Administration

This phase of the project consists of oversight, administration and change management of the Construction Phase. The Director and PM are responsible for managing communication, mitigate risks, monitor and control the remaining project schedule and monitor and control the overall project budget.

The objective of the Construction Phase is to safely build the project as represented in the Contract Documents within the budget and schedule approved by the Campus Administration and/or the Board of Trustees, and as agreed upon with the end user. The authorized representative of the University, usually the PM, in accordance with the contract will ensure reporting and monitoring requirements are included in the project documents for the CM or Contractor. The PM is responsible for monitoring the performance of the CM or Contractor is in accordance with the contract requirements including compliance with laws and regulations. The PM must diligently enforce the records generation, dissemination, and storage requirements with all responsible parties.

Throughout the course of construction, the PM, FMBI, ITS, FO, OSBI, OEP, AE, Contractor, and other team members, as may be necessary, will meet to review construction; track schedule, submittal status, potential changes, conflicts and drawing discrepancies, etc. The PM shall work with the Contractor to maintain the schedule and budget should circumstance cause delays and additional costs.

Tasks

- Verify executed contract is in place
- Manage the pre-construction meeting and verify construction schedule
- Disseminate requirements for safety programs and ensure that accountability and responsibilities requirements are understood
- Outline site notification procedures for emergency University contact list (Fire, Utilities, and Police)
- Review site logistics plans for material staging and construction equipment, if applicable
- Conduct regular project meetings
- Review mock-ups, submittals, and shop drawings
- Ensure occurrence and documentation of required inspections (internal, regulatory, and special materials/systems)
- Schedule regular financial and construction schedule reviews
- Manage potential change order issues, Construction Change Directives (CCD) and COs
- Obtain, log, and file reports from jobsite progress
- Diligently supervise any University outsourced project personnel
- Monitor and manage LEED and Commissioning Plan Implementation, as necessary
- Regularly interface with User/Customer
- Coordinate with all regulatory requirements
- Administration

- Review and confirm field percentage work complete and in place, obtain correction where necessary and follow authorization process on all applications for payment and invoices

Deliverables

- Regular reports on cost and schedule, with meeting minutes
- Logs for RFIs, submittals, and potential change requests, etc.
- Construction Manager's project financial reports and change order logs
- Cost Requisition submissions and monthly invoices
- Punch lists
- Acceptance & Turnover documents
- Certificate of Substantial Completion
- Signed-off permits (periodic and final inspections)
- Temporary or permanent Certificate of Occupancy
- Any other documents the specific project may require

2.4.2 Construction – Field and Project Reporting

The objective of this procedure during the Construction Phase is to provide guidance for the University Representatives, whether they are the PM, Assistant PM, Project Engineer, CM or Construction Engineer or University outsourced personnel. Regardless of the duties and responsibilities of the contractor, it is the responsibility of University personnel and/or their professional representatives to provide reasonable field observation and project management oversight to monitor compliance with contract documents, University policies and any other relevant requirements. The duties may be satisfied through the filing of reports, safety inspections, and general observations regarding progress obtained by walking the site and attending project meetings. All observations and meetings must be documented in UPDC format, including memoranda, emails, and other forms of communication as University policy may allow. Field reporting is of paramount importance as it requires University authorized personnel to visit the project site and facilitates early dispute resolution, compliance with the project budget, compliance with the project schedule, and achieving timely, satisfactory occupancy and project goals.

On a monthly and quarterly basis, PMs are required to update the project status in Unifier for reporting to the department and campus administration.

Tasks

- Review and approve site logistics plans for material staging and construction equipment
- Perform reasonable field observation on a regular basis
- Manage the schedule for the performance of safety inspections
- Report activities that will potentially affect the contract performance, schedule, budget or quality immediately to the Director or PM
- Review and approve site logistics plan for material staging and construction equipment
- Attend project meetings, coordinating with other University stakeholders in achieving a coordinated project outcome
- Provide project risk information for the revision of the project financial forecast, if necessary
- Prepare field observation reports
- Monitor occurrence of required inspections (internal, regulatory, commissioning, and special materials/systems)
- Participate in financial and schedule reviews
- Monitor LEED and CT High Performance Building compliance, as required
- Provide a monthly and quarterly report on the status of the work against the approved CPM schedule on the project
- Assist in Project closeout

Deliverables

- Regular reports, meeting minutes and other field related correspondence
- Provide progress data in support of recommending approval for invoice processing, CO’s, etc.
- Monthly and quarterly reports
- Serve as conduit for contractor data where appropriate
- Punchlist preparation and closeout monitoring
- Signed-off permits (periodic and final inspections)

2.4.3 Construction Submittals

The objective of this procedure during the Construction Phase is to provide guidance for the PMs on how and when to determine required submittals during the construction phase of the contract. Submittals are generally defined in the contract, the project manual, by the code and code enforcement officials, the other contract documents and by standard industry practice. Depending upon the scope and jurisdiction of the project, it is the PM's responsibility to coordinate the requirements of the parties and documents noted. Subsequently, the Contractor and AE shall keep a log of all required submittals and resulting status. The PM should have a thorough knowledge of the requirements for submittals during construction and should provide a cursory review of submittals to gain an understanding of the materials being provided to the project.

Tasks

- Review the list of submittal requirements in the contract documents
- Provide special attention to the review, inspection and timing requirements of the AHJ
- Ensure that a log is kept by the assigned party on the project team
- Monitor the log and report activities that will affect the contract performance, schedule, budget or quality immediately to the Director or PM responsible

Deliverables

- Agreed upon Submittal list and schedule for submission
- Continuous update of the submittal log
- Develop strategies to mitigate delayed submittals
- Mockups of construction as required in the contract documents or as an agreed upon change necessary for constructability or quality assurance

2.4.4 Construction Inspections

Buildings under construction will be inspected by the Office of the State Building Inspector, the Office of the State Fire Marshal (OSFM), the University Building Officials, and/or the University Fire Marshal (OFMBI) in accordance with the State Building and Life Safety Codes. For further description of the specific inspection requirements, consult the appropriate code and the Department of Public Safety Manual.

There are aspects of construction that may require Special Inspections and a Statement of Special Inspections to be certified. The PM is responsible for contracting with a licensed firm who specializes in these types of inspections.

In general, the CM or Contractor is responsible for obtaining all required inspections and making any corrections as deemed required.

Tasks

- Prepare for inspection
- Conduct pre-inspection to confirm the work is in accordance with the contract documents
- Coordinate other inspections as required

Deliverables

- Signed off Inspection report with any non-compliant items noted

2.4.5 Jobsite Safety

This risk management procedure is meant to emphasize the University's concerns regarding risks associated with job-site safety. By contract, CM and Contractors are responsible for jobsite safety and are required to follow all University policies, rules and regulations, in addition to all Federal and State requirements while working at on University property. Environmental Health & Safety (EH&S) maintains a University's Contractor EHS Manual which the Contractor is obligated to refer to as a supplement to their own Health and Safety Manual as required for each specific project contract.

The University periodically will engage the services of a safety consultant to review the Contractor's Health and Safety Plan on their approach to site safety in both occupied and unoccupied construction sites and to monitor the perimeter of the jobsite for the health and welfare of the University community. It is ultimately the sole responsibility of the CM and Contractor to maintain a safe work site and monitor all construction activities for safety. However regular site visit observations by the PM or Consultant may assist in its maintenance.

Anyone directly employed or subcontracted by the University may alert the PM when they see activity that appears as though it is being performed unsafely. The PM is responsible for investigating and involves the appropriate parties to abate any potential safety issue.

Tasks

- Obtain an acknowledgement from the CM or Contactor they reviewed the University Environmental Health and Safety (EH&S) Contractor Health and Safety Manual
- Confirm regular safety inspections are conducted by the CM or Contractor, toolbox talks, etc.
- Work with contractors to abate safety issues and inform and coordinate with EHS on any such issues.

Deliverables

- Site Safety Inspection reports by controlling contractor.
- Any reports required by policy, procedure, governmental regulation, and law

2.4.6 Invoices and Request for Payment

All requests for payment shall be in accordance with all contractual requirements within the Contract Documents and represent confirmed work complete and/or in place as determined by the AE and PM. Contract Documents relating to Construction Services include the form of contract with appendices, the General Conditions, the Project manual (Manual) which includes Division One, and the Construction Plans/Drawings.

It is the PM's responsibility to accept and approve requests for payment in accordance with the applicable contract documents. Only base work completed and in place and any change work previously authorized and processed via CO should be represented within the billing for approval.

Processing of invoices requires collaboration between UPDC, PA and Accounts Payable (AP). The tool to ensure that a documentation trail of approval and collaboration exists is accomplished within Husky Buy, the University purchasing and payment system. Once the PM and AE have approved the final draft application, Contractors, Consultants or Vendors submit their request for payment electronically to the University's Accounts Payable central email address: apinvoices@uconn.edu. The approval of payment is accomplished by electronic approvals through Husky Buy. University process review starts with PA (as UPDC fiscal officer) to ensure the appropriate PO is being charged for the project referenced, correct information is reflected on the payment request and billings do not include unauthorized and/or unprocessed changes in the work. The workflow approval continues with the PM, Director and when applicable, AVP (based on defined dollar value approval thresholds), to ensure the billings remain in accordance with contract requirements and UPDC policies and procedures.

Tasks

- Review pencil draft of the request for payment in accordance with the contract documents and UPDC policies and procedures. Ensure the information presented is accurate and complete to process the payment.
- Request for Payment is received by AP and uploaded into Husky Buy for processing.
- PA, the PM, the Director and when required AVP approve payment within Husky Buy
- AVP approves as the fiscal officer, as necessary.
- Payment is processed through AP once all approvals are obtained.

Deliverables

- Payments are disbursed through Accounts Payable after appropriate review/approval
- Husky Buy, KFS and Unifier are updated with invoice and payment information

2.4.7 Commissioning

It is intended that all projects under UPDC control that include significant Mechanical, Electrical and Plumbing work, whether it is new or a retrofit, will be commissioned by an independent Commissioning Provider (CxP). The process and the extent of the commissioning activities will be defined in the planning stage on a project-by-project basis. Where required by the Connecticut High Performance Buildings Code requirements and LEED Gold, a third-party commissioning agent shall be retained.

The optimum benefit of a commissioning effort will be derived if the process is started early in the project design, to allow for the commissioning agent to integrate the commissioning requirements into the project program documents, as well as any testing and turnover requirements that may be necessary to ensure the appropriate record documentation, verification and operator training elements are incorporated into the project. Project budgets should account for the cost of commissioning. The project manual should include contractor participation in their scope.

The fundamental objectives of the commissioning process are to:

- Clearly document the Owner's Project Requirements (OPR). Define the project goals, measurable performance criteria, cost considerations, benchmarks, success criteria, and supporting information for the project.
- Provide documentation and tools to improve the quality of deliverables. Define energy efficiency measures, environment and sustainability issues, security and operation and maintenance of the building.
- Implement statistical quality-verification practices. Verify and document that systems and assemblies perform according to the OPR.
- Verify that operation, maintenance personnel, and occupants are properly trained.
- Provide a uniform and effective process for delivery of construction projects.

Projects with new or retrofitted exteriors should consider commissioning and additional testing of the exterior envelope of the building to verify installations during construction.

Tasks

- Identify the need for commissioning.
- Procure a Commissioning Agent if necessary.
- Develop effective commissioning plan.
- Review contractor performance per the plan.
- Commissioning Agent signs off in final report.

Deliverables

- Commissioning Plan
- Specific test procedures and their performance
- Final Commissioning Report

2.4.8 Budget and Cost Control – Change Management

Changes (increases or decreases) in a project that affect scope, schedule and budget need to be documented and minimized during a project. Changes are minimized by good planning and anticipation, but when they occur, the change could potentially affect the contract, the financial accounting and the work. The tool to ensure that a documentation trail of UPDC approval exists is within the business process workflows established Unifier.

Construction related Change Management

For changes in the work under construction, Proposal Requests (PR) or Additional Supplemental Instruction (ASI) may be initiated by the AE when scope is added or deleted from a project with a detailed description of the proposed change in the work. There are instances where a Request for Information (RFI) is issued by the Contractor to obtain clarification or direction on a field condition or constructability issue. A Bulletin is used to clarify or document a change in the work arising from a changed condition related to the project. An Architectural Supplemental Instruction (ASI) will be issued when the AE is clarifying an item that it believes has no cost effect on the project.

When the Contractor believes an adjustment to the cost or schedule of the work is warranted from a PR, Bulletin, ASI or response from an RFI, they will issue a Proposed Change Order (PCO) or similarly called, Change Order Request (COR) package which provides the required details and applicable backup in support of the estimated cost to perform the change work. The PCO/COR should only be submitted by the Contractor when the total price of the change is understood, and the complete cost change is represented in accordance with the contract document requirements.

The AE, PM and Director review the PCO/COR package for compliance with Division One of the contract documents, with a review not limited to:

- Request for additional costs has merit and the rationale is sound.
- Entitlement documents are included and the reason or need for the change is clear.
- Use of the University's PCO/COR template or acceptable format provided if applicable.
- Breakdown of labor, equipment, material and associated quantities, unit of measure and unit costs with applicable supporting documentation included.
- Subcontractor and sub-tier subcontractor proposed changes follow the contract document requirements and are included.
- Suppliers proposed cost or invoice is included as backup, depending on how the change work was authorized to proceed. In most situations the breakdown of cost is sufficient, however we may request additional supporting documentation. Because markup percentages for suppliers are not specified in the contract, such markup if presented, is reviewed for reasonableness only.
- Approved hourly rates are represented correctly.
- Allowable O&P is being applied correctly.
- Math is calculating correctly.
- Proposed change values and quantities are fair and reasonable for the work effort associated to perform the change work.

Approval of a PCO/COR package and its value by the University is not a contractual authorization to proceed with the work or to bill for the work.

In the majority of projects, the AE is responsible for generating the CO cover document and ensuring that the proposed change package and their values represented are fair for the scope of materials and equipment required for the change in accordance with the referenced RFI, Bulletin, PR or ASI and that the trade work descriptions, quantities, units, unit costs, labor hours, material and equipment are fair and reasonable. When the AE, PM and Director believe the PCO/COR package is in accordance with the contract requirements and is believed to be fair and reasonable, the document is incorporated as a commitment within the project budget managed in Unifier. The cost changes are processed either by individual PCO/CORs which are later compiled into a CO or they are processed straight as a CO. A CO is the only contractually recognized document that modifies the value of the contract and associated PO.

A Construction Change Directive (CCD) will be used in primarily two scenarios. First, where change work is uncovered (unforeseen condition) and additional corrective work is determined must be performed quickly when timely completion is necessary, and the work cannot wait for the Contractor to gather and calculate the full costs to enable the University to review the proposed cost and execute and process the cost into a CO. Secondly, where there is a dispute between the parties over the entitlement of the perceived change work, it is a contractual mechanism to direct the work to continue while the dispute is resolved.

A CCD authorizes work to proceed based on zero dollars, an order of magnitude estimates not-to exceed value or time and material not to exceed and directs the Contractor to proceed with the change work, however they cannot invoice for the work. Perceived change work when authorized by a CCD must be reconciled. When both parties recognize the work is outside of the base contract, the CCD is reconciled with a PCO/COR and processed into a CO providing the ability for the Contractor to invoice for the work.

Design related Change Management

For changes in the design due to program changes, additional design alternatives not previously required or unforeseen conditions requiring extensive design efforts, the AE may request additional design service fees for their work effort. A request is submitted by the AE in the form of an Additional Design Proposal Request (Proposal). The Proposal documents the perceived change to the design and the significant work effort/impact associated with the design change. The Proposal includes a work effort breakdown to demonstrate the work effort required to perform the added design work and a fee matrix that summarizes the fee value breakdown applicable by design phases. The PM and Director reviews the proposal to determine:

- if the request has merit and the rationale is sound
- if all required professional services are included
- if the work effort outlined supports the rationale and is not overly expressed
- if pre-approved all-inclusive hourly rates are represented correctly
- if associated sub-consultants are clearly identified with their supporting proposals and breakdowns

- if the applicable O&P is being applied correctly based on the contract requirements
- if there is no conflicting language which changes the contract requirements

Upon acceptance of the Proposal, the PM initiates the change management document in Unifier for processing as a Purchase Order Amendment (POA) under two scenarios, straight POA or an Amendment. In the instance where an on-call professional services contract was utilized, the POA is formulated in Unifier by the PM for reviews and approvals. The document continues to KFS where the purchase order is increased to allow for invoice processing.

In instances where a project specific professional services contract was executed, a Schedule A is generated by the PM that describes the scope of the additional services, any clarifications or exclusion of services are noted, sub-consultants involved are noted, schedule of deliveries noted and any other conditions noted. The PM is responsible to ensuring all information required to process the change management document is included, attached and/or clarifications commented. Currently the responsibility to formalize and obtain execution of Amendment is with Contracting,

An Add Service Notice to Proceed (AS-NTP) is used primarily when time is of the essence and additional design services are needed to begin immediately. Similar to a CCD, the AS-NTP is a formal directive to proceed with the perceived added service. It allows the AE time to formulate their additional services fee proposal, while they proceed with the design services, however they cannot invoice for the work until such time as the AS-NTP is reconciled into an Amendment to the contract or a POA has been processed. AS-NTPs are formulated and processed in Unifier.

Tasks

- Seek to mitigate potential change orders during the project
- Monitor potential changes to the base scope of work. Large changes may need further review with CPFP to determine if there has been any cardinal change to the scope of work.
- Monitor RFIs and PCOs closely and forecast final project costs on a regular basis
- Acknowledge change impacts in the field as a condition where time is of the essence or there is a safety concern and issue a CCD to the Contractor within 48 hours
- Confirm all required backup, supporting documents are provided, correctly added and applied calculations O&P and clear entitlement is included with each Proposal and PCO
- Verify all Amendments, PCOs and COs have been properly executed by the Contractor and/or AE and the University
- Include all Proposals, AS-NTPs, CCDs or PCOs issued or received into Unifier as potential financial impacts to the project
- Communicate, track and update as proposals are provided and revisions are performed

Deliverables

- Timely Proposal Requests and PCO reviews
- Timely Amendment and CO submissions on an monthly basis
- AS-NTP and CCD logs
- Design Services Proposals and PCO logs
- Amendment and CO logs

2.4.9 Acceptance and Turnover

The goal of this phase is to facilitate the on-schedule occupancy and turnover of the finished project to the user group and FO. Under the management of the PM, punch lists must be completed, Certificates of Compliance from the AE and the CM or Contractor need to be obtained, and other compliance, maintenance, and warranty documents and manuals need to be received. When the documents and training have taken place, University maintenance and operating responsibilities for the property begin. Upon final approval from AHJ, the facility is given formal notice in the form of a Temporary Certificate of Occupancy (TCO) or a permanent Certificate of Occupancy (CO) allowing occupancy by people.

As user groups move in to the space, the PM should continue to ensure completion of all jurisdictional, legal, and contractual obligations, reconcile the project's accounting, evaluate and report the outcomes of the project, and transfer all project records to appropriate departments.

Tasks

- PM prepares closeout checklist customized to the project's requirements using the department's checklist format.
- Compile and complete punch list items.
- Complete training programs and operational issues with users and FO.
- Assist with user move-in.
- Obtain Certificates of Compliance from the AE and Contractor.
- Submit final LEED certification paperwork for acceptance.
- Record and manage turn-over of attic stock as required by the project manual
  Obtain Certificate of Occupancy from the AHJ.

Deliverables

- Certificate of Occupancy or Temporary Certificate of Occupancy
- Completed punch list.
- Operations and Maintenance manuals
- Attic stock
- Architectural and/or space plan drawings delivered to UPCD space management Group.
- Executed Contractor, subcontractor, manufacturer and equipment warranties.
- Contractor's affidavit and lien waivers
- Testing and balancing reports
- As-Built documentation
- Certificate of Substantial Completion

2.4.10 Project Closeout

All projects are to be closed out in a timely and efficient manner. Subject to the warranty period and any additional approved user group requests, it is the goal to close out all project work within one hundred and eighty (180) days of substantial completion and to close out all financials within twelve (12) months. Satisfactory close out of the project is an ongoing process that must be well planned and carefully tracked through project completion.

Project Closeout begins when the AE and the PM recognize that the CM or Contractor is at or soon will be substantially complete with their contract requirements. There are several items that have to be turned over by the CM or Contractor to the AE and Owner for review and acceptance as a condition for meeting substantial completion. A closeout check list is provided to the Contractor and AE on what work must be in place and functioning at the defined levels and documents that must be turned over to the AE and Owner for review and acceptance, prior to the UPDC and FO to take ownership.

As a continuation of acceptance and turnover, UPDC's goal of this phase is to assure the completion, coordination, reconciliation and documentation of all legal, contractual, financial management, funding, regulatory, construction and end-user issues necessary to close out a project is done in a timely manner. As a best practice, it may include a final self-evaluation of the entire design and construction process, stakeholder performance, and project results which will generate "lessons learned" for UPDC and the individual team participants.

It is the PM's responsibility to ensure that all project information and documentation is appropriately recorded and filed. At the conclusion of all tasks, the PM notifies PA of the project's impeding closure.

Tasks

- Undertake the steps in the current Closeout Checklist.
- PM holds "lessons learned" stakeholders meeting and documents relevant findings, if relevant
- Commission of new equipment and systems are witnessed by FO.
- Training provided either by formal meeting or by video is provided to FO, for project closeout and turnover to FO.
- Work with PA to close out remaining commitments so that project can be financially closed out and remaining funding returned.
- Ensure all project documents including correspondence records are permanently filed in Unifier.

Deliverables

- Documents as outlined in the Closeout Checklist
- Record Set of Documents
- Field Redlines
- Professional Survey As-Built
- Operations, Maintenance and Warranty manuals

SECTION III: UNIVERSITY POLICIES AND MANUALS APPLICABLE TO UPDC

The following is a list of University Policies and Manuals that are applicable to the work of UPDC (with the date of the latest update in parenthesis):

- Accounts Payable Policies and Procedures Manual (2012)
- Assignment of Instruction Space (2017)
- Capital Equipment Tagging and Physical Inventory Policy (2021)
- Capital Improvement Plan (CIP) Policy (2012)
- Capital Project Delivery Process Manual for University Finance and Budget (2023)
- Capitalization Policy (2021)
- Code of Conduct (2011)
- Code Compliance for University Events and Projects (2022)
- Compliance Training Policy (2008)
- Contractor Parking Policy (2024)
- Driving and Motor Vehicle Policies (2017)
- Environmental Policy Statement (2007)
- Faculty and Staff Handbook (2011)
- General Rules of Conduct (2024)
- Health and Safety Policy (2023)
- Mission and Purpose of the University of Connecticut (2006)
- Parking and Vehicles on the Grounds of the University of Connecticut (2017)
- Records Management Policy (2009)
- Security Camera Policy (2014)
- Smoking Policy (2023
- Space Management Policy (2017)
- University of Connecticut Sustainable Design and Construction LEED Policy (2016)
- Operations Manual – Use of Drones (2017)

SECTION IV: CONNECTICUT STATUTES APPLICABLE TO UPDC

The following list of Connecticut General Statues have been identified as applicable to the work of UPDC, with a brief description of the title or contents applicable for each. This list is not intended to be complete in its representation of all Statutes that may apply to the work or department:

4.1 PROJECT MANAGEMENT

4a-101	Standard State of Connecticut Contractor Evaluation form and process applicable to construction contracts valued at $500,000 or more. Evaluation includes prime and subcontractors. Criteria not limited to the quality of the contractor's working relationship with the agency and quality of the Contractor's supervision.
4e-34	Disqualification of Contractor, bidder or proposer by department head of state contracting agency. Causes for disqualification.
4e-35	Suspension of Contractor bidder or proposer by department head of state contracting agency. Causes for suspension.
12-430	Contractor and subcontractors status with the Department of Revenue. Non-verified - 5% of contract value post a bond with commissioner.
31-53	Wage Rates, Certified Payroll. Receive monthly. Wage Rate equal to the rate customary or prevailing for the same work in the same trade or occupation.
31-57	Hours of labor on public works projects.
46a-68c	Contractor requirements on filing affirmative action plans; 50 or more employees.
46a-68d	Affirmative action requirements for awarding authority. Retain 2% of the total contract value. Reviews and response within 60 days of receipt.
46a-68e	Contractors and subcontractors to file compliance reports.
10a-109a-y	University of Connecticut 2000 Act. No payments shall be made by the Owner until the bills or estimates presented for such payments shall have been duly certified to be correct by the Agency.
10a-109d	Powers of the university for UConn 2000.
10a-109n	Construction by the University of capital improvements program. Prequalification. Design-build.
10a-109nn	Assessment of progress reporting Next Generation Connecticut. No later than December 31, 2019 and five years thereafter.

4.2 BIDDING AND CONTRACTING

1-101nn	Solicitation of information not available to other bidders. Competitive advantage. Prohibition of consultant or contractor to agency serving as consultant or subcontractor to bidder. Intentionally, willfully or with reckless disregard charge a state agency unreasonable and unsubstantiated rates for serves or goods.
2-71p	Purchases and contracts, competitive bidding or competitive negotiation. Open market contracts awarded to the "lowest responsible qualified bidder". Past performance. Financial responsibility.

4-215	Personal service agreement valued more than $25,000 but not more than $50,000 and term of no more than 1 year shall be based on competitive negotiations or quotations.
4-216	Personal service agreements have a cost of more than $50,000 or a term of more than 1 year shall be based on competitive negotiation or quotation.
4-217	Amendments to personal service agreements. No state agency may execute an amendment to a personal service agreement without prior approval.
4a-58	Standardization, waiver of bid or proposal requirement. Waiver of $50,000 or more needs approvals
4a-57	Competitive bidding or competitive negotiation for purchases and contracts. Expenditures estimated to exceed $50,000 shall be posted on the state contracting portal not less than 5 calendar days from bid due date. Competitive bidding waived in the case of public utility service and minor non-reoccurring and emergency purchases of $10,000 or less. Does not apply to Janitorial or service maintenance contracts.
4a-57d	Report resident bidders
4a-59a	Restrictions on contract extensions. Exceptions. Extensions limited to no more than two times.
4a-60	Nondiscrimination and affirmative action provisions, $50,000 or more. Awarding agency responsibilities.
4a-60a	Nondiscrimination form requirements of the Contracting entity.
4a-60j	Time for payment of contractors; 30 days to pay.
4a-60g	Set-aside program for small and/or minority businesses. Awarding authority shall require no less than 30% self-performance of the work by the Contractor under contract. And 50% of total value of contract be performed by other eligible small or minority companies.
4a-100	State Prequalification of Contractor and substantial subcontractors. Specific categories or service. Criteria not limited to; written evaluations of the applicant past performance on public or private projects and with agencies
4a-101	Submission requirements on Contractor Evaluations and Contractor contentment right
4b-21	Purchase, sale or exchange of land for the state. University directly.
4b-23	State Facility Plan. Responsibilities of Secretary of the Office of Policy and Management.
4b-51	Alterations, repairs or additions to real assets. Gives the University autonomy. Selection of Consultants for particular program with various projects (on-call).
4b-52	Repairs or changes to state premises. Exception for emergency conditions. Renegotiation of leases
4b-91	Process for bidding, prequalification requirements. No bidding required for total Project Construction value of less than $25,000. Informal bidding required for total Project Construction value of less than $100,000. Prequalification required for total Project Construction value $1,000,000 or more. Negotiation with lowest responsible qualified bidder when bid is in excess of funds available to make an award, without changes to the contract, plans, specifications and other requirements.
4b-92	Lowest response and qualified bidder (defined). Bid Bond required for bids estimated at $50,000 or more. Past performance, skill, ability and integrity of the bidder in terms of fulfillment of the contract obligations and bidders experience or lack of with projects of similar nature and scope for which the bid was submitted for.

4b-93	Contract specifications; sub-trades, subcontracts. Details how specifications are to be in separate sections for each of the four classes of work; masonry, electrical pluming and HVAC. Application of payments detail the separate sections of the specifications and how the awarding authority is to accept and certify the application.
4b-94	Rejection of Bids by the awarding authority.
4b-95	General Bid form requirements. Process associated in receiving, evaluating and reasons for rejection. Good cause defined for allowing a named sub to be released from performing the work.
4b-96	State mandated subcontract to be used with contracting with the four named subcontractors for the four named work classification.
4b-130	Definition of a State Agency, University of Connecticut.
4b-103	Construction Manager at-risk project delivery contracts.
4e-21	Regulations for small purchases under $50,000. To establish small purchase procedures. Restricts the breaking apart the amount of the purchase to reduce the value to under $50,000.
10a-151b	Competitive bidding process. Must maintain no less than 5 days prior to required bid submission due date. No competitive bidding for small minor non-reoccurring purchases of $25,000 or less, emergency purchases, agricultural purchases $50,000 or less, technology product or process. Definition of Emergency. Whenever an emergency exists by reason of extraordinary conditions or contingencies that could not reasonably be foreseen and guarded against, or because of unusual trade or market conditions. A statement of all emergency purchases made under the provisions of this subsection shall be set forth in the annual report of the chief executive officer. Purchases less than $100,000, open market bidding, can be informal, minimum three completive quotations. Purchases $100,000 or more, solicited to open market by public notice on internet.
31-52a	Reference related to preference of State citizens, the preference of residents of the labor market area in which the work under the contract is to be done.
31-53	Wage Rates, Certified Payroll. Request from DOL prevailing wage rates per project, at least 10 but no more than 20 days prior to the date such construction contract will be advertised. Wage rate equal to the rate customary or prevailing for the same work in the same trade or occupation in the town in which such project is being constructed.
31-54	Rate of wages for work on state highways.
31-53b	Worker training requirements. OSHA 10
31-57b	No contracts shall be awarded to firms which have been cited for three or more willful or serious OSHA violations and not abated within the time period fixed on the citation and not been set aside following an appeal.
42-158 i-o	Reference related to timely payments, retainage limitations, adjudication of disputes, job site posting and Surety obligations.
42-158k	Retainage limitations. No amount greater than 5%.
46a-56	CHRO compliance reviews and commission responsibilities.
46a-68g	Prohibition against contracting with Contractors that fail to comply with affirmative action requirements.

46a-68k	Agency may use their own compliance program.
49-41	Bonds for protection of employees and materialmen. Performance bonds. Limits on OCIPs. Contract values of $100,000 or more with the GC or CM shall require performance and labor and material payment bonds. Subcontractor contract values of $100,000 or more require performance and labor and material payment bonds. Surety must contract with a prequalified contractor to complete the work.
49-41a	Enforcement of payment by Contractor to Subcontractors and Suppliers. Once payment is received by the Contractor, they have 30 days to pay subcontractors and Suppliers.
49-41b	Release of Payments. Retainage. Shall not withhold more than 7.5%. When 50% of Prime's contract value is complete, such retain age shall be reduced to 5%.

4.3 OVERSIGHT

10a-109bb	Construction Management Oversight Committee
22a-12	Environmental quality report. Review of state agencies construction plans.
22a-26a	State-owned properties providing public access to Long Island Sound.
22a-381	Invasive Plants Council.
29-252a	Code applicable to all state agencies
29-291	Delegation of duties State Fire Marshal
32-655a	Project oversight. Duties. Audits. Consultants

4.5 REPORTING

10a-109dd	Deferred Maintenance plan and reporting
32-669	Status Report, University of Connecticut football stadium project.

4.6 ASSISTANCE

32-328	Financial assistance for capital projects

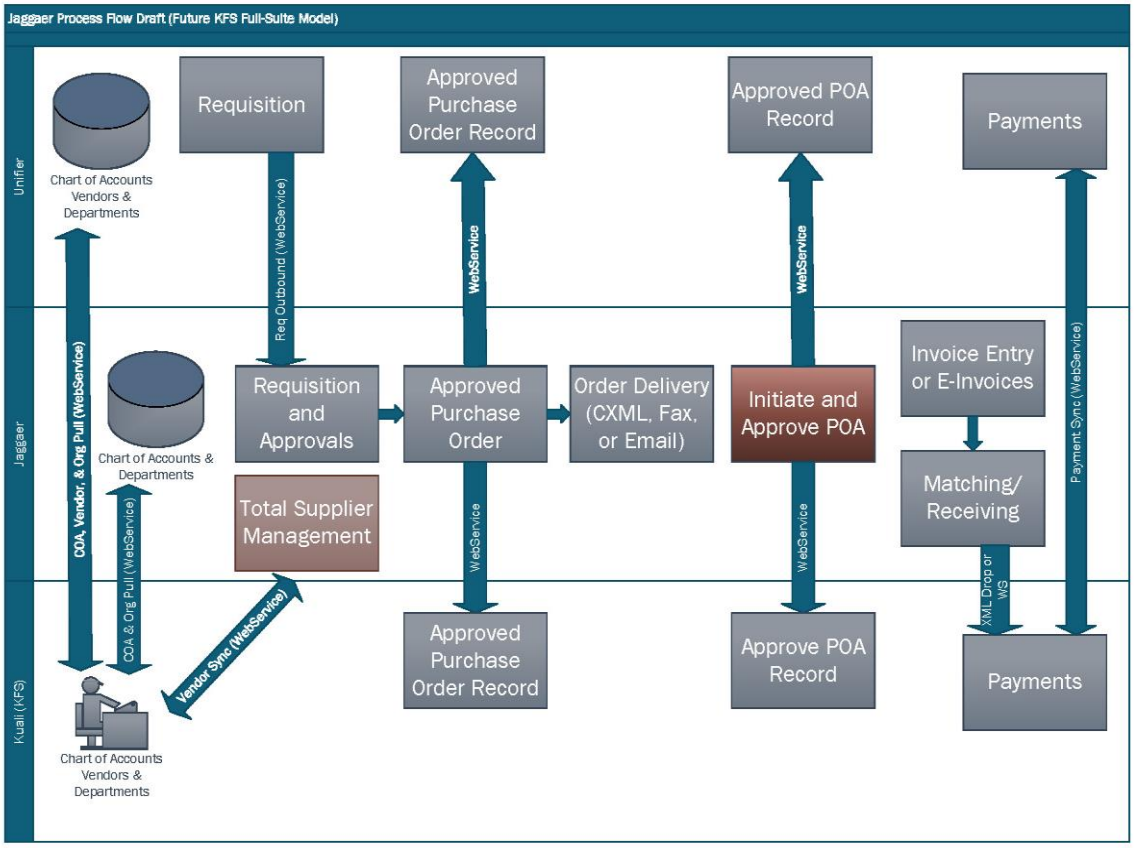
EXHIBIT A

PROCEDURAL DEPARTMENT DOCUMENTS

The following is intended to provide a general list of procedural documents that are applicable to the work of UPDC:

- University Design Guidelines and Performance Standards (University Design Standards)
- Division One of the Construction Specifications
- Owner's Project Requirements (OPR)
- Project Formulation Summary
- Professional Services contracts and amendment templates
- Professional Services Fee Matrix and Work Effort Breakdown templates
- Professional Service Solicitation templates
- GMP Documentation format templates
- AIA 101, 201, 133, Contract Templates, as modified.
- Pre-Construction Meeting agenda template
- Change Order (CO) and Construction Change Directive (CCD) templates.
- Change Order Checklist
- Close Out Checklist (for AE, Contractor/CM, Owner)
- University PCO Template – CM and GC
- University Labor Rate Sheet Template
- Background Screening Program for Capital Projects

APPENDIX A


Jaggaer Process Flow Draft (Future KFS Full-Suite Model)
Unifier
Jaggaer
Kuali (KFS)
Chart of Accounts Vendors & Departments
Requisition
Approved Purchase Order Record
Approved POA Record
Payments
Req Outbound (WebService)
WebService
WebService
Payment Sync (WebService)
COA, Vendor, & Org Pull (WebService)
Chart of Accounts & Departments
Requisition and Approvals
Approved Purchase Order
Order Delivery (CXML, Fax, or Email)
Initiate and Approve POA
Invoice Entry or E-Invoices
Matching/ Receiving
Total Supplier Management
COA & Org Pull (WebService)
WebService
WebService
XML Drop or WS
Vendor Sync (WebService)
Approved Purchase Order Record
Approve POA Record
Payments
Chart of Accounts Vendors & Departments

ATTACHMENT 6

Buildings Grounds & Environment Committee

November 12, 2024

UConn Health Updates

Facilities Development & Operations

UCONN HEALTH

Campus Planning Design and Construction

FUNDING STATUS :

FY25 CAPITAL POOL

- Approximately $19.4 million allocated for FY25
- Pool used to fund requests for Clinical Equipment, IT and Capital Projects

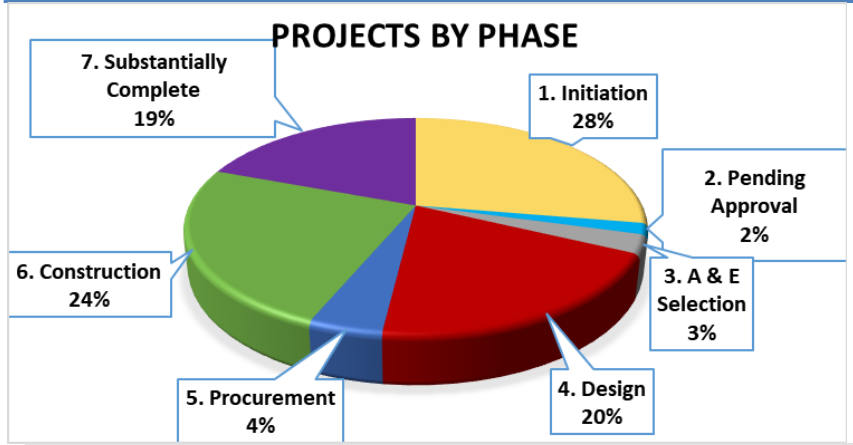
DEFERRED MAINTENANCE, CODE COMPLIANCE & INFRASTRUCTURE IMPROVEMENTS

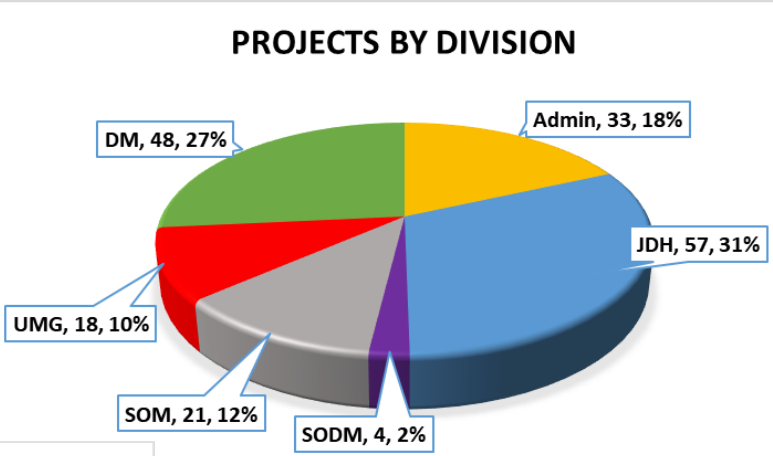
- Projects are reviewed and prioritized based on Guiding Principles.
- UConn 2000 Phase 3 DM Funding (FY22) $25 million. Commitment of $24.5 million to projects.
- GO Bond Funds for DM (FY23) $40 million. Commitment of $37.5 million to projects
- GO Bond Funds for DM (FY24) $30 million. Planned allocations of $27.25 million to upcoming projects.

UCONN HEALTH

Campus Planning Design and Construction

Capital Project Metrics:





	DIVISION						
Phase	Admin	DM	JDH	SODM	SOM	UMG	Total
Initiation	11	13	13	3	8	2	50
Pending Approval	2	1	0	0	0	0	3
A & E Selection	1	1	2	0	0	1	5
Design	3	18	9	0	2	4	36
Procurement	2	1	2	0	2	1	8
Construction	10	11	13	1	5	4	44
Substantially Complete	4	3	18	0	4	6	35
Total	**33**	**48**	**57**	**4**	**21**	**18**	**181**

Project Data
Project Total Last Report: 196
Projects Added: 12
Projects Closed: 27

Data date: October 29, 2024

UCONN HEALTH

BOD / BOT BUDGET RESOLUTIONS

Budget Resolutions for December BOT/BOD Meeting - *projects in bold are being submitted to the Boards for the 1st time*

- **Torrington Clinical Practice Relocation *(Planning $4,800,000)***
- Interventional Radiology Equipment Replacement & Renovation *(Design $TBD)*
- Hybrid OR#2 Fit-Out *(Final $TBD)*
- Outpatient Pavilion MTM & Blood Draw Relocation *(Revised Final $TBD)*
- Southington Clinic Expansion *(Revised Final $TBD)*

Note: All projects have a degree of risk, primarily to scope and/or schedule and/or budget. Typically, projects in construction may have a risk to schedule and/or budget. Projects in planning and design may have a risk to scope and/or schedule and/or budget. In this report, the assessment of risk is shown with a green, yellow or red box as follows: Least Risk Some Risk Most Risk

UCONN HEALTH

Summary Project Status – Planning & Design

Board Projects – Planning phase

- Torrington Clinical Practice Relocation
- SODM 24/7 Student Random Access Lab Renovation
- BB013 Research MRI Renovation
- Main Bldg. Lab (L) Area Renovations – 1st Flr
- Labor & Delivery Infant Protection System Replacement
- UT-7 Pharmacy Fit-Out

Board Projects – Design phase

- ASB Data Center Generator and Power Improvements
- CT-7 Inpatient & Research Renovations
- Emergency Department Low Acuity Expansion
- Surgery Center Operating #6 Renovation
- Interventional Radiology Equipment Replacement & Renovation
- LINAC Unit Replacement
- Parking Lots L1 & A5 Repavement
- Buildings E & K Roof Replacement
- 16 Munson Rd Emergency Lighting & Egress Upgrades

Note: All projects have a degree of risk, primarily to scope and/or schedule and/or budget. Typically, projects in construction may have a risk to schedule and/or budget. Projects in planning and design may have a risk to scope and/or schedule and/or budget. In this report, the assessment of risk is shown with a green, yellow or red box as follows: Least Risk Some Risk Most Risk

UCONN HEALTH

Summary Project Status: Bidding & Construction

Board Projects – Bidding / Contract phase

- IT Critical Equipment Redundancy Room
- Southington Clinic Expansion
- Hybrid OR#2 Fit-Out
- Outpatient Pavilion 3rd Floor Backfill
- Outpatient Pavilion MTM & Blood Draw Relocation
- Cryo Electron Microscope Installation

Board Projects – Construction phase

- KB034 -036 Research Lab Renovation
- Garage 1, 2 & 3 Electric Vehicle Charger Installation
- Muscular Skeletal Institute Rehabilitation Expansion
- CG045-047 Anatomic Pathology & Autopsy Renovation
- Central Sterile Washer & Sterilizer Replacement
- New England Sickle Cell Institute Renovation
- TB-121 Blood Bank Relocation
- CGSB Data Center Cooling Upgrades
- Fluoroscopy Equipment Replacement & Renovation
- Cadaver Lab Renovation & AHU Replacement
- Main Bldg. Lab (L) Area Renovations – 2nd Flr
- Cardio Catheterization (Cath) & Electro Physiology (EP) Lab Renovation
- CGSB & ARB Autoclave & Washer Replacement

Note: All projects have a degree of risk, primarily to scope and/or schedule and/or budget. Typically, projects in construction may have a risk to schedule and/or budget. Projects in planning and design may have a risk to scope and/or schedule and/or budget. In this report, the assessment of risk is shown with a green, yellow or red box as follows: Least Risk Some Risk Most Risk

UCONN HEALTH

Highlighted Project Updates

Torrington Clinical Practice Relocation

Scope: This project will relocate and expand the Torrington clinical practice to include X-ray, Blood Draw and Specialty clinics by leasing and fitting out approximately 10,000 sf of space.

Schedule: The Clinical Fit-out will be managed by UCH.
Tentative schedule: Design Complete - May 2025.
Bid/Contract: June / July 2025
Construction duration: TBD

Budget: ***$4,800,000 (Planning).*** Budget based on conceptual estimates. The Budget may change as the design is developed and bids are received.

Issues/Concerns: Schedule delays would impact lease extension in existing space.

Funding Source: UCH Capital

UCONN HEALTH

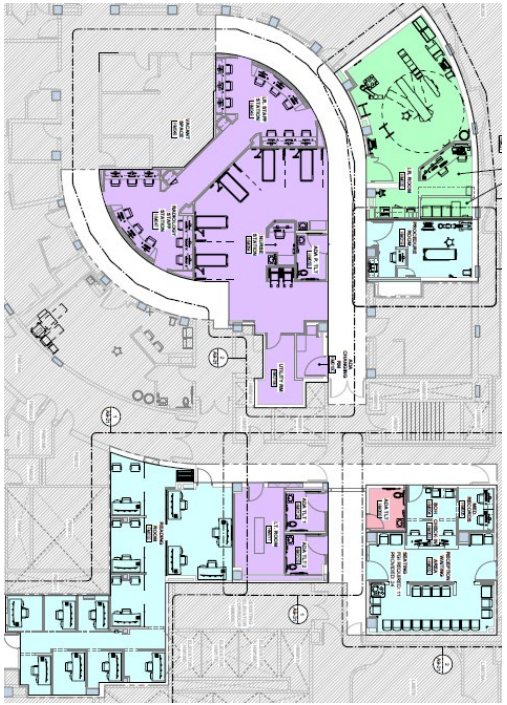
Interventional Radiology Equipment Replacement & Renovation

Scope: This project will renovate portions of the Radiology department and replace an outdated Interventional Radiology (IR) imaging unit in accordance with the UConn Health Radiology Master Plan.

Schedule: Design work incorporating all options as alternates is near completion. Design Complete: Nov 2024
Bid/Contract: Jan/Feb 2025
Actual construction duration will be based upon the selected renovation option.

Budget: ***$4,700,000 (Design)***. Budget is for Phase 1 option only and is based on consultant estimates. The Budget may change based on bids received.

Issues/Concerns: The selected renovation option will determine the project schedule and cost.



Funding Source: UCH Capital

UCONN HEALTH

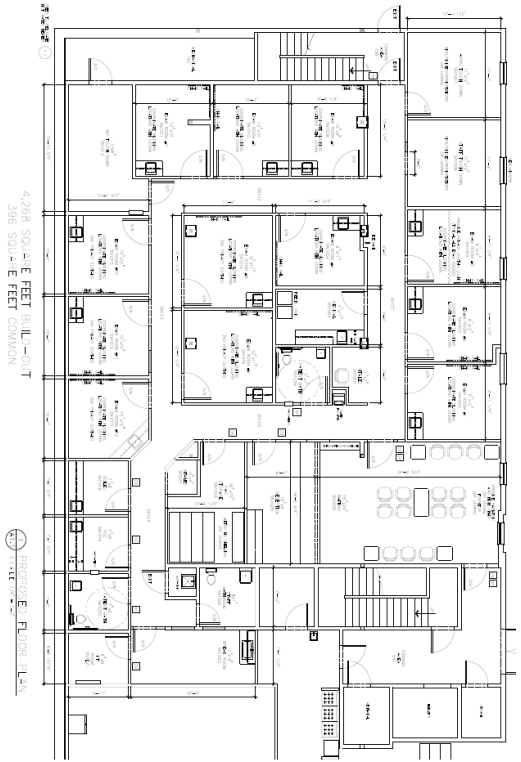
Southington Clinic Expansion

Scope: This project will expand the Women's Health, Dermatology and ENT practices at the existing Southington clinic by leasing and fitting out a new 12 exam room clinic.

Schedule: After the Landlord backed out of providing the required design and construction services a traditional design/bid/build process was implemented. Tentative schedule: Bid/Contract – Nov/Dec 2024 Construction start/complete: TBD.

Budget: ***$TBD (Revised Final).*** Budget based on actual bids received. The previously approved Final Budget was $1,900,000 and was based on conceptual estimates provided by the Landlord.

Issues/Concerns: None at this time.



Funding Source: UCH Capital

UCONN HEALTH

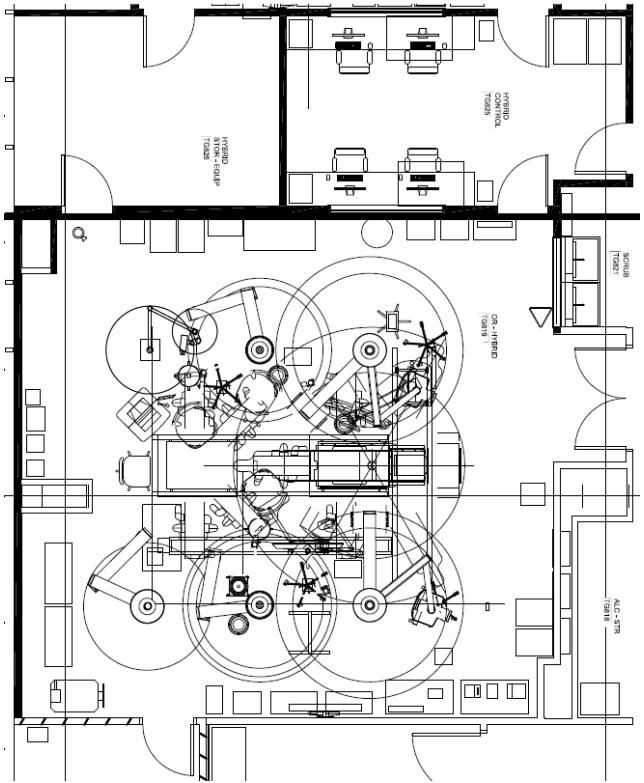
Hybrid OR#2 Fit-Out

Scope: This project will fit-out a shelled operating room within John Dempsey Hospital to create a 2nd Hybrid Operating Room.

Schedule: Schematic Design work is complete.
Design Complete: Oct 24
Bid / Contract: Nov/Dec 24
Construction start/complete: TBD

Budget: ***$TBD (Final).*** Budget based on actual bids received. The previously approved Design Budget was $7,100,000. The Budget includes the hybrid OR imaging equipment.

Issues/Concerns: Volatility in construction materials could impact the project schedule.



Funding Source: UCH Capital

UCONN HEALTH

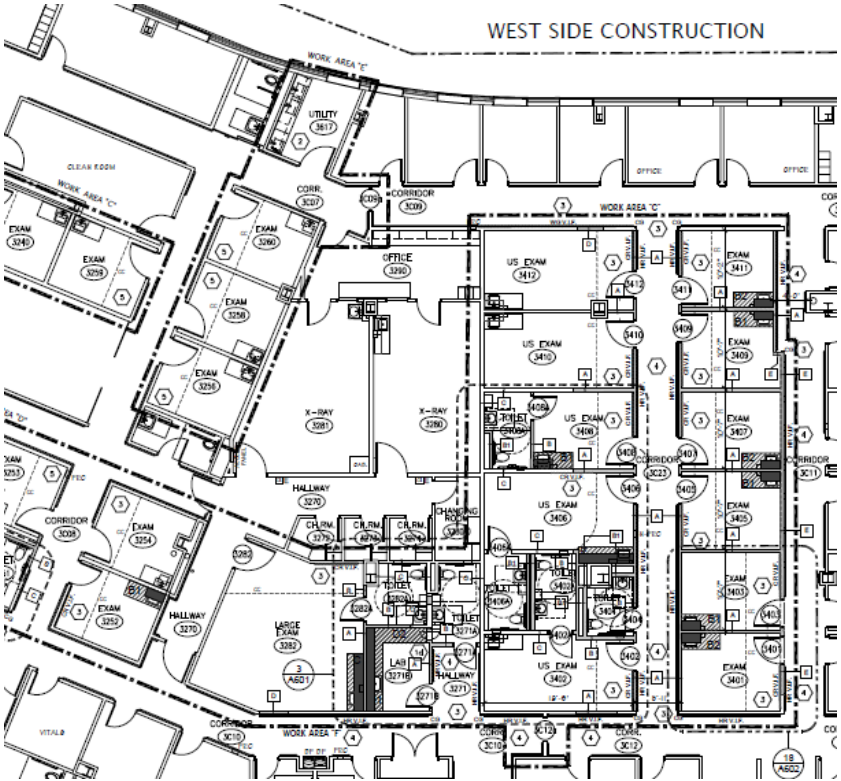
Outpatient Pavilion 3rd Floor Backfill

Scope: This project will renovate portions of the 3rd floor to allow for the relocation and expansion of the Women's OB/GYN, Maternal Fetal Medicine (MFM) & Minimally Invasive Gynecologic Surgery (MIGS) clinical practices.

Schedule: The project was being redesigned to eliminate the relocation of the x-ray unit to the 1st floor of the OP. Bids were received and contracting is underway.
Construction Start / Finish: TBD

Budget: $4,250,000 (Final). The redesign resulted in approximately $800,000 in savings. A Revised Final budget will be submitted at a later date if necessary.

Issues/Concerns: The OP3 renovation work will be delayed until the OP1 work is completed.

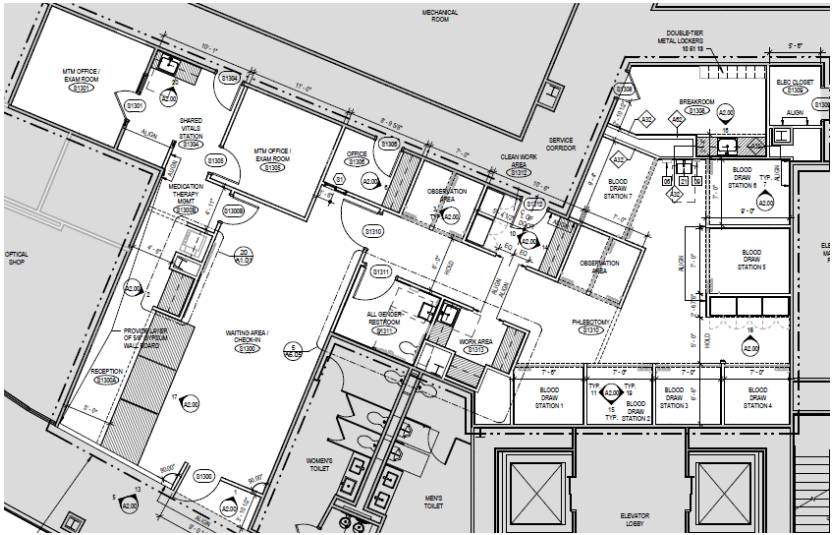


Funding Source: UCH Capital

UCONN HEALTH

Outpatient Pavilion MTM & Blood Draw Relocation

Scope: This is an OP-3 Backfill enabling project to relocate program. The X-Ray relocation to OP-1 was removed from the project scope as a cost saving measure. The revised scope will renovate space on the first floor of the Outpatient Pavilion for the relocation of Blood Draw services and the Medication Therapy Management (MTM) program.



Schedule: Design is complete and bids have been received. Construction Start / Finish: TBD

Budget: $1,925,000 (Final). The redesign resulted in approximately $400,000 in savings. A Revised Final budget will be submitted at a later date if necessary.

Issues/Concerns: The OP3 Backfill project will be impacted by the delays on this project.

Funding Source: UCH Capital

UCONN HEALTH

Appendix

Recently Completed Projects
Additional Project Updates
Upcoming Projects

UCONN HEALTH

Recently Completed Projects

Muscular Skeletal Institute Rehabilitation Expansion

Scope: This is an OP-3 Backfill enabling project to relocate program. This project will remove an existing water therapy pool to allow for expansion of Physical Therapy / Rehabilitation at the Muscular Skeletal Institute (MSI).

Schedule: Construction complete

Budget: $1,010,000 (Final). Project expected to close out $200k under budget.

Issues/Concerns: None at this time.

Funding Source: UCH Capital

UCONN HEALTH

TB-121 Blood Bank Relocation

Scope: This project will renovate shell space located on the Ground Floor of the University Tower to accommodate the relocation of the current Lab Medicine Blood Bank and replace the existing irradiator with a new x-ray blood irradiator.

Schedule: Project complete.

Budget: $1,125,000 (Revised Final). The previously approved budget was $1,075,000 An additional $50,000 is required to address design revisions associated with the fire protection system and access controls / security. UConn Health is expecting to receive $128,265 under a Federal CIRP award.

Issues/Concerns: None at this time.

Funding Source: UCH Capital, CIRP

UCONN HEALTH

Cadaver Lab Renovation & AHU Replacement

Scope: This project will renovate the Cadaver Lab utilized by the School of Medicine, including the replacement of the outdated air handling unit.

Schedule: Project is complete.

Budget: $2,960,000 (Final). Project expected to close out $300k under budget.

Issues/Concerns: None at this time.

Funding Source: UConn 2000 Phase 3 DM

UCONN HEALTH

Main Bldg. Lab (L) Area Renovations - 2nd Flr

Scope: This project continues to implement the lab renovation scheme developed under the Main Building Lab Area Master Plan. The design for the 2nd Lab Renovations is similar to the recently completed 3rd Floor Lab Renovation project.

Schedule: Construction is complete.

Budget: $10,200,000 (Final). Project expected to close out $100k under budget.

Issues/Concerns: None at this time.

Funding Source: UConn 2000 Phase 3 DM, UCH Capital, UCH Research IDC Capital & UCH SOM Operating Funds

UCONN HEALTH

CGSB & ARB Autoclave & Washer Replacement

Scope: Research facilities located in the Cell and Genome Science Building (CGSB) and the Academic Research Building (ARB) utilize specialized autoclaves and washers to clean and sterilize laboratory instruments and containers. This project will replace the broken autoclaves and washers along with necessary support equipment.

Schedule: Installations of the washers, autoclaves and Millipore units have been completed.

Budget: $1,200,000 (Final). Project expected to close out $75k under budget.

Issues/Concerns: None at this time.

Funding Source: UCH Research & IDC Capital

UCONN HEALTH

Additional Project Updates

SODM 24/7 Student Random Access Lab Renovation

Scope: This project will upgrade and expand the existing dental simulator lab used by students to learn and practice dental procedures.

Schedule: RFP for design services underway. Design and construction schedule: TBD

Budget: $830,000 (Planning). Budget based on conceptual estimates. The Budget may change as the design is developed.

Issues/Concerns: None at this time

Funding Source: UCH Capital

UCONN HEALTH

BB013 Research MRI Renovation

Scope: This project will renovate space for a new research MRI specifically designed for small animals such as mice and rats.

Schedule: Design services underway. The MRI equipment fabrication and construction schedule are currently in alignment. Estimated completion: July 2025

Budget: $2,570,000 (Planning). Budget based on conceptual estimates. The Budget includes the purchase of the MRI equipment and may change as the design is developed.

Issues/Concerns: None at this time

Funding Source: UCH Research IDC Capital & UCH SOM Operating Funds

UCONN HEALTH

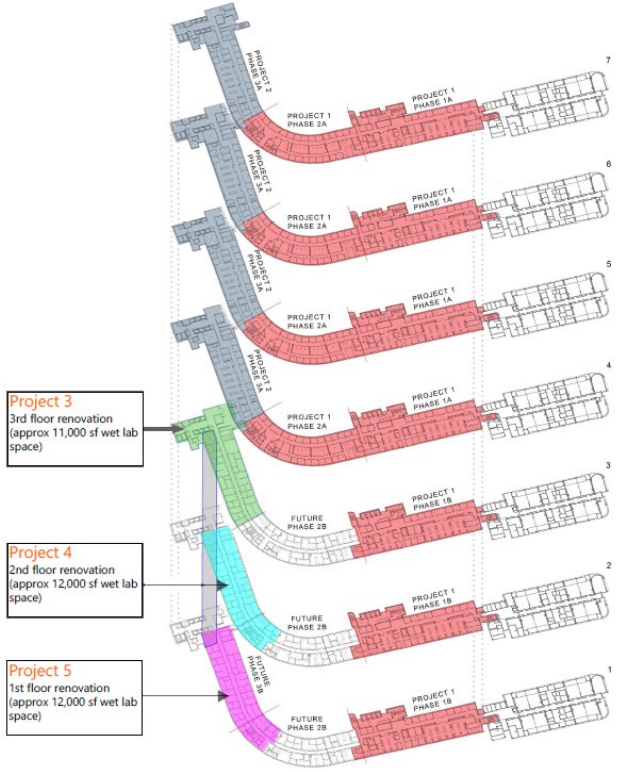
Main Bldg Lab (L) Area Renovations - 1st Floor

Scope: This project continues to implement the lab renovation scheme developed under the Main Building Lab Area Master Plan. The design for the 1st floor Lab Renovations will be similar to the current 2nd Floor Lab Renovation project.

Schedule: Project currently on hold pending scope review.

Budget: $11,900,000 (Planning). Budget based on conceptual estimates. The Budget may change as the design is developed.

Issues/Concerns: None at this time



Funding Source: FY23 GO DM, UCH Research IDC Capital & UCH SOM Operating Funds

UCONN HEALTH

Labor & Delivery Infant Protection System Replacement

Scope: This project will replace the outdated infant protection system that serves the Labor & Delivery unit. The system is required by federal & state regulations to protect infants from abduction, elopement and discharges to the wrong family.

Schedule: Vendor selection is complete. Consultant to provide design work related to infrastructure support being hired.

Budget: $760,000 (Planning). Budget based on conceptual estimates. The Budget may change as the design is developed.

Issues/Concerns: Continued volatility related to specialized electronic components could impact the project schedule and budget.

Funding Source: UConn 2000 Phase 3 DM, FY23 GO Equipment funds

UCONN HEALTH

UT-7 Pharmacy Fit-Out

Scope: This project will renovate shell space located on the 7th Floor of the University Tower to accommodate the relocation and expansion of the Pharmacy and thus free up much needed space to allow for the expansion & renovation of Lab Medicine.

Schedule: Responses to the Design RFP have been received but not reviewed. The continued demand for inpatient beds has prompted discussions regarding the best utilization of the space.

Budget: $10,250,000 (Planning). Budget is based on Conceptual estimates and may change as project design is developed.

Issues/Concerns: Volatility in the availability of major HVAC systems could impact the project schedule and budget.

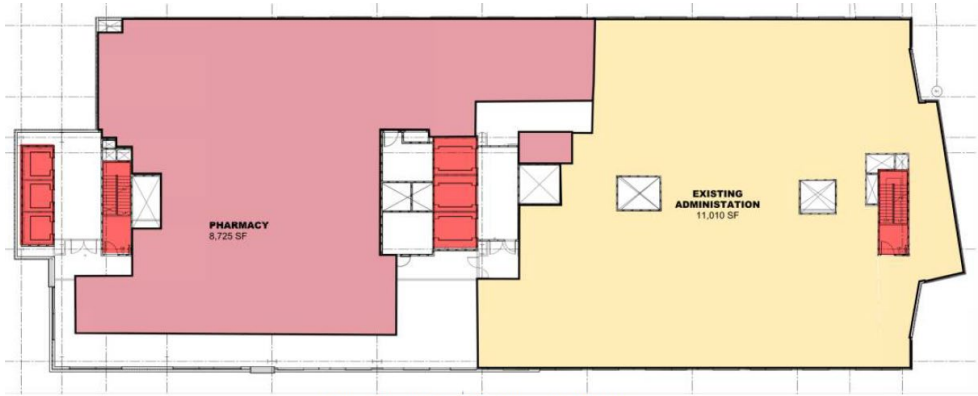


Figure 7: Option 1 Departmental Diagram

Funding Source: UCH Capital, FY23 GO DM

UCONN HEALTH

ASB Data Center Generator and Power Improvements

Scope: The Administrative Services Building (ASB) is the site of the main UConn Health Data Center. This project will make improvements to the buildings emergency power distribution system, including the replacement of an existing exterior generator.

Schedule: Design revisions being finalized prior to the issuance of bid documents.
Schedule: Design Complete - Dec 2024
Bid/Contract: Jan / Feb 2025
Construction duration: TBD

Budget: $3,150,000 (Design). Budget based on consultant estimates. The Budget may change based on bids received.

Issues/Concerns: Potential long lead time on electrical gear could impact the schedule.

Funding Source: UConn 2000 Phase 3 DM, FY23 GO DM

UCONN HEALTH

CT-7 Inpatient & Research Renovations

Scope: This project will construct an enlarged Clean Supply room required for the CT-7 Inpatient unit and renovate space to accommodate a new metabolic chamber for research studies. The chamber is a controlled environment were subjects go through various different testing scenarios to measure their energy consumption (metabolism). The data gathered through these studies are used for research related to obesity, diabetes and other chronic disorders effecting the body's metabolism.

Schedule: Vendor RFP complete. Design and construction schedule: TBD

Budget: $1,675,000 (Planning). Budget based on conceptual estimates. The Budget may change as the design is developed.

Issues/Concerns: None at this time

Funding Source: UConn 2000 Phase 3 DM, UCH Capital, UCH SOM Operating Funds & UConn Foundation

UCONN HEALTH

Emergency Department Low Acuity Expansion

Scope: This project will renovate a portion of the existing Emergency Department Waiting and Administrative area to create a low acuity patient treatment area to help address overcrowding.

Schedule: Schematic Design underway.
Design complete: March 25
Bidding /Contract: April/May 25
Construction: TBD

Budget: $1,260,000 (Planning). Budget based on conceptual estimates. The Budget may change as the design is developed.

Issues/Concerns: None at this time

Funding Source: FY23 GO DM

UCONN HEALTH

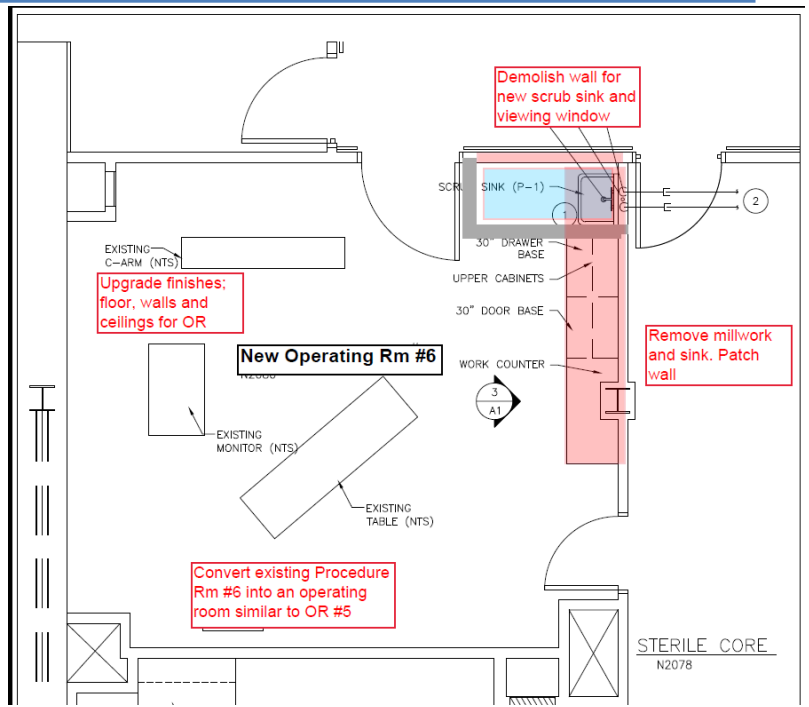
Surgery Center Operating Room #6 Renovations

Scope: This project will convert an existing Procedure room into an Operating room and replace / upgrade all the existing outdated operating room light booms and make required air pressure modifications within the Surgery Center located in the Musculoskeletal Institute.

Schedule: Soliciting design proposals.
Design & Construction schedule: TBD

Budget: $1,750,000 (Planning)**.** Budget based on conceptual estimates. The Budget may change as the design is developed.

Issues/Concerns: None at this time



Funding Source: UCH Capital

UCONN HEALTH

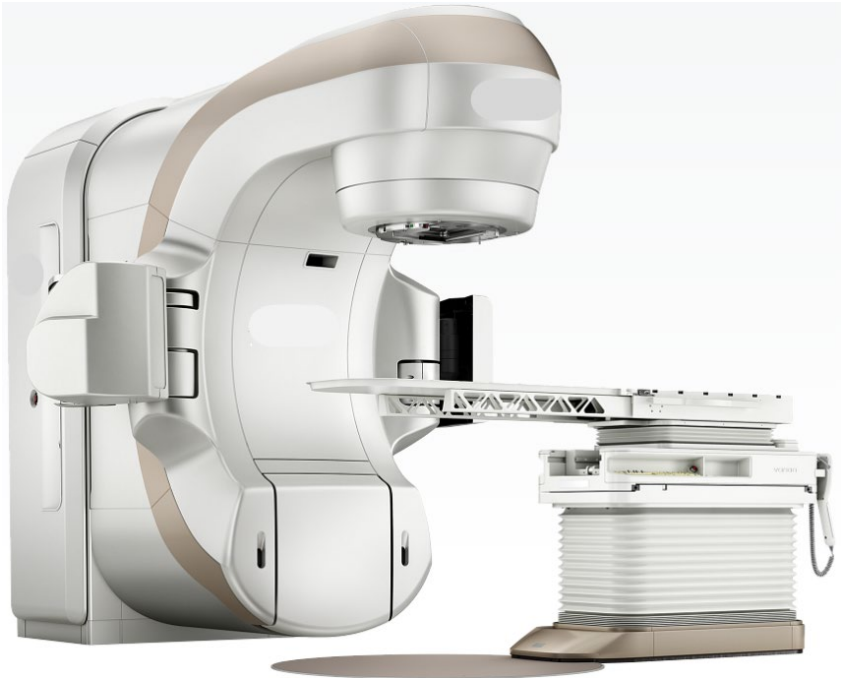
LINAC Unit Replacement

Scope: This project will fit-out a shelled vault within the Neag Comprehensive Cancer Center to accommodate a new radiation therapy LINAC unit.

Schedule: Bid documents are being finalized.
Design: April – Dec 24
Bidding / Contract: Jan / Feb 2025
Construction start: TBD

Budget: $4,985,000 (Design). Budget based on conceptual estimates and vendor equipment quotes. The Budget may change as the design is developed.

Issues/Concerns: Volatility in construction materials could impact the project schedule and budget.



Funding Source: UCH Capital

UCONN HEALTH

Parking Lots L1 & A5 Repaving

Scope: The project will replace the parking lot pavement and upgrade storm drainage systems at staff parking lots L1 and A5.

Schedule: Design work underway.
Tentative Schedule: Bid/Contract: Jan/Feb 2025
Construction: June 2025

Budget: $1,020,000 (Design). Budget based on conceptual estimates. The Budget may change as the design is developed and bids received.

Issues/Concerns: None at this time

Funding Source: FY23 GO DM

UCONN HEALTH

IT Critical Equipment Redundancy Room

Scope: This project will update the data systems and infrastructure within an existing tel/data room located in the John Dempsey Hospital to support UConn Health's Information Technology system recovery efforts to allow for business continuity in response to a major disruptive event.

Schedule: Design work is complete. Contractor Prequalification in process.
Bid/Contract: Jan / Feb 2025
Construction duration: TBD

Budget: $1,370,000 (Design)**.** Budget is based on consultant estimate. A Final budget will be submitted based on actual bids received.

Issues/Concerns: Potential long lead time for equipment could impact the schedule.

Funding Source: UConn 2000 Phase 3 DM & FY23 GO DM

UCONN HEALTH

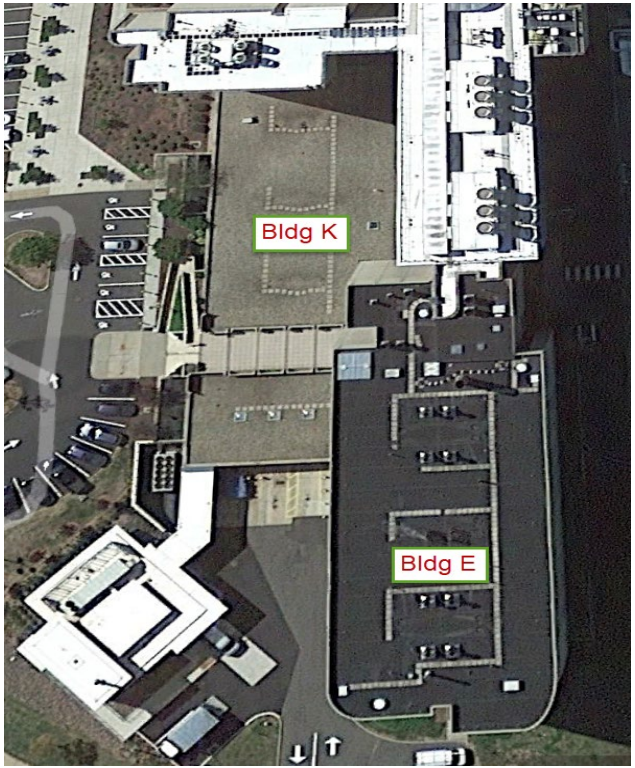
Buildings E & K Roof Replacement

Scope: The project will replace the roofs on the Academic Research Building (E) and the Transgenic Animal Facility (K) that have been leaking and are in poor shape.

Schedule: Replacement of Building E roof is complete. Design of the Building K entry plaza walkway has taken significantly longer than anticipated. Construction is being postponed to the Spring / Summer 2025 when the weather is favorable.
Bid/Contract: Jan / Feb 2025
Construction start: April 2025

Budget: $2,160,000 (Final). A Revised Final will be submitted if bids for Building K come in over budget.

Issues/Concerns: Volatility in roofing materials could impact the project schedule and budget.



Funding Source: UConn 2000 Phase 3 DM

UCONN HEALTH

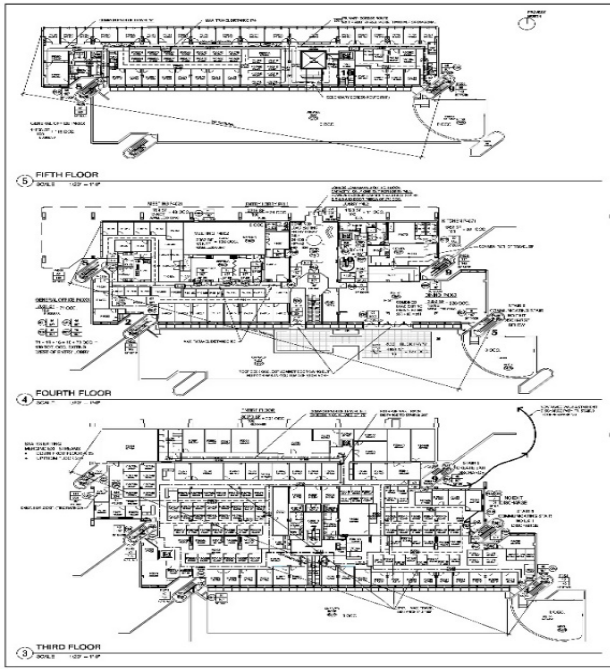
16 Munson Rd Emergency Lighting & Egress Upgrades

Scope: The project will address code violations issued by the UConn Fire Marshal related to the buildings emergency lighting and egress systems.

Schedule: Bids received and contract under review. Project scope being revisited with Fire Marshal to confirm alignment with long term utilization of the building

Budget: $1,900,000 (Final). Current Design Budget is $935,000. The Final Budget is based on actual bids received.

Issues/Concerns: Continued volatility in electrical gear could impact the project schedule.



Funding Source: UConn 2000 Phase 3 DM

UCONN HEALTH

Building F & Building M Roof Replacement

Scope: The project will replace the roofs on the Canzonetti Pavilion (Bldg F) and the Daycare Center (Bldg M) that have reached the and of life and are in poor shape.

Schedule: Design work is complete.
Building M: Bidding/construction is being postponed to coordinate with the replacement of the roof top mechanical units.
Bldg F: Bids received. Construction underway. Expected completion December 2024.

Budget: $1,615,000 (Final). Budget based on conceptual estimates. The Budget may change based on actual bids received.

Issues/Concerns: Volatility in roofing materials could impact the project schedule and budget.

Funding Source: FY23 GO DM

UCONN HEALTH

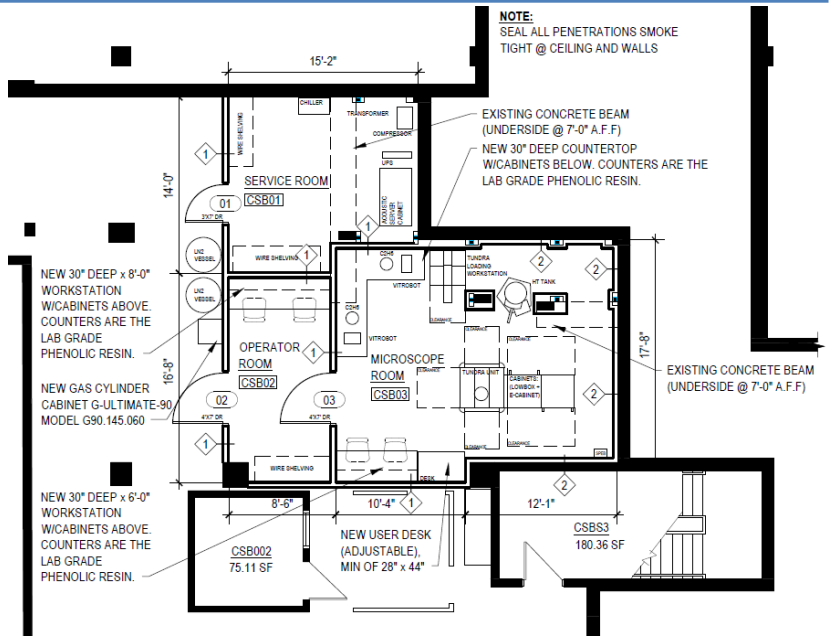
Cryo Electron Microscope Installation

Scope: The Molecular Biology department was awarded a $1,457,000 NIH grant to purchase a Cryo Electron Microscope for research activities. This project will construct the specialized room required to house the microscope.

Schedule: Bids received. Reviewing scope and schedule with low bidder.
Bid / Contract: Aug / Oct 24
Construction: TBD

Budget: $2,086,000 (Final)**.** The Final budget is based upon actual bids received from the Rebid. The $960,000 Design budget was based on consultant estimates.

Issues/Concerns: Volatility in the manufacturing of HVAC equipment could impact the schedule.



Funding Source: UCH Research IDC Capital

UCONN HEALTH

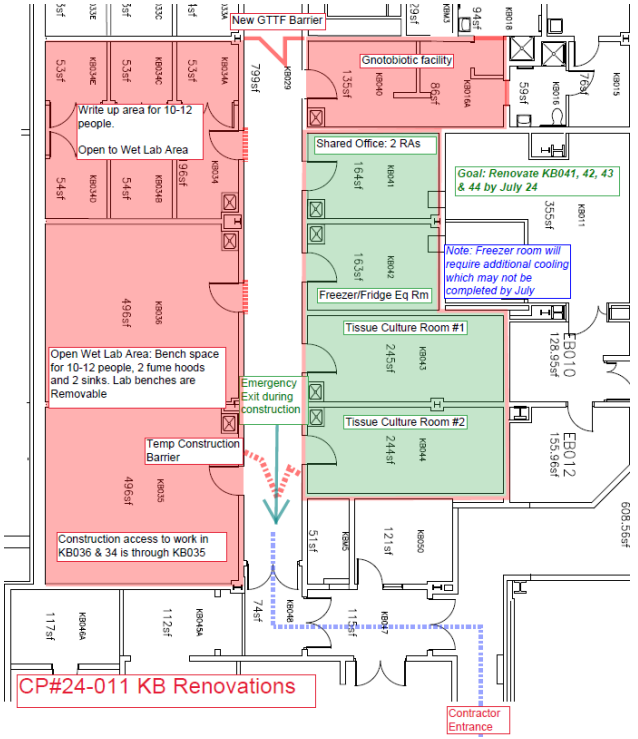
KB034 - 036 Research Lab Renovation

Scope: This project will renovate approximately 2,500 sf of animal research / holding space located within the basement of the Transgenic Animal Facility (building K) to create a flexible/open wet research laboratory area.

Schedule: Rebid completed. Contracting with low bidder. Construction: TBD

Budget: $1,975,000 (Revised Final). Project on budget

Issues/Concerns: Volatility in construction materials could impact the project schedule.



Funding Source: UCH SOM Operating Funds, UConn 2000 Phase 3 DM

UCONN HEALTH

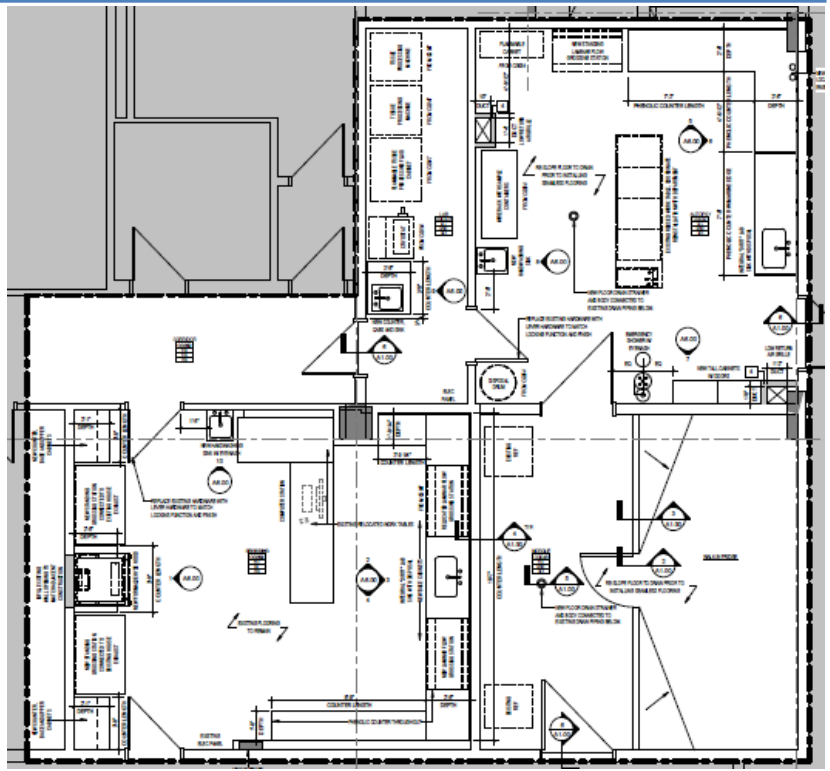
CG045-047 Anatomic Pathology & Autopsy Renovation

Scope: The project will replace outdated equipment and renovate the Anatomic Pathology Lab and Autopsy area.

Schedule: Construction contract finalized. Construction: June 2024 – Mar 2025

Budget: $1,175,000 (Final). The Final budget is based on upon actual bids received. Project is on budget.

Issues/Concerns: Volatility in construction materials could impact the project schedule.



Funding Source: UCH Capital

UCONN HEALTH

Fluoroscopy Equipment Replacement & Renovation

Scope: This project will replace an outdated fluoroscopy imaging unit and renovate the room to comply with Connecticut Department of Health guidelines.

Schedule: Project completion has been delayed several months to March 2025 to address post-construction design revisions.

Budget: $1,020,000 (Revised Final). The previously approved budget was $745,000. The additional $405,000 is required to address post-construction design revisions associated with a new patient restroom, changing area and HVAC system modifications.

Issues/Concerns: Correction of existing code deficiencies exposed during the construction process could further delay the project completion.

Funding Source: UCH Capital

UCONN HEALTH

New England Sickle Cell Institute Renovation

Scope: This project will renovate the 4th floor of the Connecticut Tower to accommodate the New England Sickle Cell Institute and Connecticut Blood Disorders clinics.

Schedule: Additional work to address unforeseen conditions will delay the completion of the project to December 2024.

Budget: $5,270,000 (Revised Final) The previously approved budget was $4,865,000 An additional $405,000 is required to address code remediation issues and failing infrastructure exposed during the construction process.

Issues/Concerns: Correction of existing code deficiencies exposed during the construction process and coordination of repairs with building occupants could further impact the project schedule.

Funding Source: UCH Capital
UConn 2000 Phase 3 DM

UCONN HEALTH

Garage 1, 2 & 3 Electric Vehicle Charger Installation

Scope: UConn Health received grants from CT DEEP and Eversource to install (24) Level 2 electric vehicle (EV) charger stations in parking garages 1, 2 & 3

Schedule: Garage 2 & 3 construction is expected to be complete by November 24.
Garage 1 bids have been received and contracting with low bidder is underway. Construction: TBD

Budget: $620,000 (Revised Final) The budget is based on actual bids received the previously approved $550,000 Final Budget was based on consultant estimates.

Issues/Concerns: None at this time.

Funding Source: UCH Energy Conservation Pool, DEEP VW Grant & Eversource Rebate

UCONN HEALTH

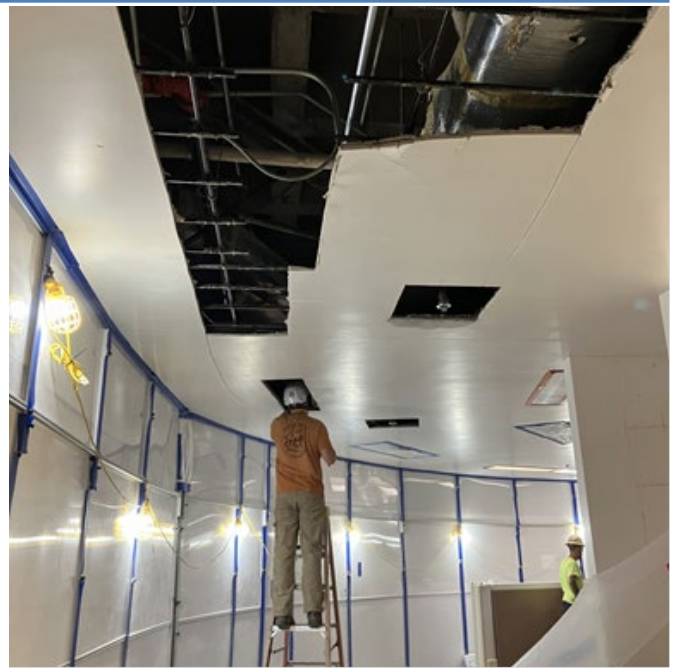
Central Sterile Washer & Sterilizer Replacement

Scope: The project will replace outdated equipment in the original Central Sterile Services area of the Connecticut Tower used to wash and sterilize instruments serving our medical and dental clinics and outpatient surgical services.

Schedule: Project will have 2 phases. Phase 1 Endoscopy Scope Washer Relocation and Phase 2 Central Sterile Equipment Replacement. Actual construction mobilization will be coordinated with the delivery date of the HVAC equipment.
On-site construction start: June 2024
Construction completion: June 2025

Budget: $6,340,000 (Revised Final). The Revised Final budget is based upon actual bids received.

Issues/Concerns: The project schedule is tied to the actual delivery dates of the HVAC equipment. Delays in receiving the HVAC equipment will impact the schedule.



Funding Source: UCH Capital, UConn 2000 Phase 3 DM

UCONN HEALTH

CGSB Data Center Cooling System Upgrades

Scope: This project will renovate the Cell & Genome Science Building Data Center cooling systems to provide additional capacity and redundancy in case of system failure.

Schedule: Manufacturing delays with the replacement HVAC unit pushed the project schedule out 3 months. Coordination of a major electrical shutdown with building occupants to minimize disruption has further delayed project completion to December 2024.

Budget: $840,000 (Final). Project is on budget.

Issues/Concerns: None at this time

Funding Source: UConn 2000 Phase 3 DM

UCONN HEALTH

Cardio Catheterization (Cath) & Electro Physiology (EP) Lab Renovation

Scope: This project will renovate the existing Cardiac Imaging Surgical unit to comply with Connecticut Department of Health guidelines and replace outdated (2007) Cath and EP Lab imaging equipment.

Schedule: Phase 1 EP Lab construction is complete and the unit is up and running.
Phase 2 Cath Lab; construction is proceeding. Existing condition conflicts has extended the construction duration. The Go Live date has been postponed to February 2025.

Budget: $6,430,000 (Final) Project is on budget.

Issues/Concerns: None at this time.

Funding Source: UCH Capital

UCONN HEALTH

Potential Future Projects – Clinical

Clinical & Medical Equipment Projects over $500k	
CT TOWER RADIOLOGY NEW PET-CT SYSTEM	$ TBD
LABOR & DELIVERY RENOVATION	$ TBD
CT TOWER OPERATING SUITE RENOVATION	$ TBD

Potential Funding Source: UCH Capital

UCONN HEALTH

Potential Future Projects – Research

Research Projects over $500k	
HIGH PERFORMANCE COMPUTING FACILITY NIH C-06 GRANT	$ 12,000,000
NEW RESEARCH TOWER	$ TBD
L7121 & L6120 LAB RENOVATION	$ 695,000
MASS SPECTROMETER CORE LAB	$ TBD

Potential Funding Source: UCH Capital and/or UCH IDC Research Capital and/or Grants

UCONN HEALTH

Upcoming Projects – Deferred Maintenance

Deferred Maintenance Projects over $500k	
CONNECTICUT TOWER INFRASTRUCTURE UPGRADES	$ 9,850,000
MAIN COOLING TOWER CELL REPAIRS & PUMP REPLACEMENT	$ 1,200,000
EXTERIOR COURTYARD WATERPROOFING	$ 1,500,000
MAIN BUILDING (C) LOBBY REVOLVING DOOR REPLACEMENT	$ 550,000
MAIN ENTRANCE LOT M1 & H1 IMPROVEMENTS	$ 1,200,000
ACADEMIC BUILDING LOW VOLTAGE ROOM UPGRADE	$ 720,000
OFFICE OF CHIEF MEDICAL EXAMINER BUILDING - ENABLING	$ TBD
MUSCULOSKELETAL INSTITUTE FINISH UPGRADE	$ 630,000
LAB MEDICINE RENOVATIONS	$ 2,850,000

Potential Funding Source: UConn 2000 Phase 3 DM, FY23 & FY24 DM GO Bond Funds

UCONN HEALTH

ATTACHMENT 7

UCONN
UNIVERSITY OF CONNECTICUT

Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance
& Chief Financial Officer UConn and
UConn Health

December 11, 2024

TO: Members of the Board of Trustees

FROM: Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for Reflection Garden (Design: $800,000)

RECOMMENDATION:

That the Board of Trustees approve the Design Budget of $800,000, as detailed in the attached project budget, for the Reflection Garden project, an increase of $608,670 over the previously approved budget of $191,330. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $725,000 in Gift Funds, and $75,000 in University Funds for the Reflection Garden project."

BACKGROUND:

This project was initiated in 2022 by two friends, active donors, and alumni who envisioned an outdoor space that fosters wellness, inclusivity, tolerance, and peace. In coordination and collaboration with the donors, UConn Foundation, the Provost, the Dean of Students, Global Affairs, Student Life & Enrollment, student leaders, and numerous campus stakeholders, the project will renovate an existing tree and lawn area to a garden space on the east side of Babbidge Library in Storrs.

The design framework was inspired by the Golden Spiral – a logarithmic spiral whose growth factor is φ, or the Golden Ratio. That is, a golden spiral gets wider (or further from its origin) by a factor of φ for every quarter turn it makes. Found in nature as a shell, a plant, a flower, a human ear, a hurricane or an entire galaxy, the Golden Spiral also symbolizes unity, providing a balance within a world full of diversity and change while fostering harmony, understanding, and peace.

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Program elements include hardscape, concrete pavement, specialty pavers, and porous pavement. Plantings include flowering trees, deciduous shade trees, evergreen hedges, flowering shrubs and lawn areas. Site amenities include granite block seat walls with inspirational quotes and separately gifted sculptures positioned in the center of the space named “Contemplation” – an interactive installation that invites people to view themselves, their environment, and others as they experience tranquil surroundings. Site utilities include drainage, lighting and electrical relocations required to complete the project.

The Design Budget and artist renderings are attached for your information.

Attachment

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: **DESIGN**

PROJECT NAME: **REFLECTION GARDEN**

BUDGETED EXPENDITURES	**APPROVED PLANNING 1/29/2024** PRC	**PROPOSED DESIGN 12/11/2024**
CONSTRUCTION	$ -	$ 600,000
DESIGN SERVICES	120,000	70,000
TELECOMMUNICATIONS	-	12,500
FURNITURE, FIXTURES AND EQUIPMENT	-	7,500
CONSTRUCTION ADMINISTRATION	-	15,000
OTHER AE SERVICES (including Project Management)	20,000	5,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	5,000
INSURANCE AND LEGAL	5,000	-
MISCELLANEOUS	-	5,000
OTHER SOFT COSTS	-	-
SUBTOTAL	$ 145,000	$ 720,000
PROJECT CONTINGENCY 10%	46,330	80,000
TOTAL BUDGETED EXPENDITURES	$ 191,330	$ 800,000
SOURCE(S) OF FUNDING*		
GIFT FUNDS	$ 191,330	$ 725,000
UNIVERSITY FUNDS	-	75,000
TOTAL BUDGETED FUNDING	$ 191,330	$ 800,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

REFLECTION GARDEN

Project Budget (DESIGN)

December 11, 2024

Site plan and view into Garden

ATTACHMENT 8

UCONN
UNIVERSITY OF CONNECTICUT

Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance
& Chief Financial Officer UConn and
UConn Health

December 11, 2024

TO: Members of the Board of Trustees

FROM: Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for UConn Hartford Café (Final: $1,100,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of $1,100,000, as detailed in the attached project budget, for the UConn Hartford Café project for construction an increase of $900,000 over the previously approved budget. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $1,100,000 in University Funds for the UConn Hartford Café project."

BACKGROUND:

The UConn Hartford campus is one of four regional campuses in the University of Connecticut system. Limited dining is provided at the other regional campuses, but at UConn Hartford, no dining facilities are currently provided since it was anticipated that food outlets would develop around the campus buildings (but this has not materialized). This project aims to develop a café within the Hartford Times Building, offering students an affordable dining option on-site, address food insecurity, and foster a stronger and more inclusive university community.

The first-floor café will be designed to feature a hot and cold food display, a point-of-sale station, a beverage station, and a selection of pre-made soups, salads, and sandwiches. It will also include built-in seating, flexible loose seating, tables, chairs, and necessary equipment for the service area. Upgrades to mechanical, electrical, plumbing, fire protection, IT, and security systems will be implemented as required by code.

The Final Budget is attached for your information.

Attachment

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CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: UCONN HARTFORD CAFÉ

BUDGETED EXPENDITURES	**APPROVED PLANNING 8/28/2023**	**APPROVED DESIGN 5/28/2024**	**PROPOSED FINAL 12/11/2024**
	PRC	PRC	
CONSTRUCTION	$ -	$ -	$ 700,000
DESIGN SERVICES	85,000	180,000	180,000
TELECOMMUNICATIONS	-	-	25,000
FURNITURE, FIXTURES AND EQUIPMENT	-	-	25,000
CONSTRUCTION ADMINISTRATION	-	-	25,000
OTHER AE SERVICES (including Project Management)	-	-	7,500
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	-	-	25,000
INSURANCE AND LEGAL	1,000	1,000	2,500
MISCELLANEOUS	-	-	5,000
OTHER SOFT COSTS	-	-	-
SUBTOTAL	$ 86,000	$ 181,000	$ 995,000
PROJECT CONTINGENCY	14,000	19,000	105,000
TOTAL BUDGETED EXPENDITURES	$ 100,000	$ 200,000	$ 1,100,000
SOURCE(S) OF FUNDING*			
UNIVERSITY FUNDS	$ 100,000	$ 200,000	$ 1,100,000
TOTAL BUDGETED FUNDING	$ 100,000	$ 200,000	$ 1,100,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

UCONN HARTFORD CAFE

Project Budget (FINAL)

December 11, 2024

Rendering of new café area with food prep, display, and transaction counters.

Rendering of new café area with food prep, display, and transaction counters.

ATTACHMENT 9

UCONN
UNIVERSITY OF CONNECTICUT

Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance
& Chief Financial Officer UConn and
UConn Health

December 11, 2024

TO: Members of the Board of Trustees

FROM: Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for Whitney Road Steam Improvements E-8 to Q-8
(Final: $8,500,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of $8,500,000, as detailed in the attached project budget, for the Whitney Road Steam Improvements E-8 to Q-8 project, an increase of $8,300,000 over the previously approved budget of $200,000. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approves the use of $8,500,000 in UConn 2000 Bond Funds for the Whitney Road Steam Improvements E-8 to Q-8 project and approves the request for a waiver of the three-stage budget approval process to allow construction to proceed after bids have been received and evaluated for conformance with the project scope and budget."

BACKGROUND:

In the fall of 2023, a section of steam pipe adjacent to the South Campus Infrastructure project (beginning at vault E-8 installed under the project) failed and could not be repaired with available materials. This project aims to replace the failed steam line between vaults E-8 and Q-8, along with vault Q-8 itself. This segment is crucial for providing redundant steam to the South Campus area since the other primary steam lines in the area are also in poor condition. The new redundant steam supply will serve the following areas: South Campus Residence Halls, the new Connecticut Residence Hall and Dining Facility, the Fine Arts Complex, and Buckley and Shippee Residence Halls, as well as the future School of Nursing and other future development in the South Campus district.

During design of this work, it was decided to utilize an insulation system that is applied directly over the steam pipes in the field instead of using prefabricated insulated piping. This choice facilitates the future maintenance of the system.

The Final Budget is attached for your information.

Attachment

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CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: FINAL

PROJECT NAME: WHITNEY ROAD STEAM IMPROVEMENTS E-8 to Q-8

BUDGETED EXPENDITURES	**APPROVED DESIGN 8/13/2024** PRC	**PROPOSED FINAL 12/11/2024**
CONSTRUCTION	$ -	$ 7,000,000
DESIGN SERVICES	175,000	545,000
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	20,000
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	80,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	-	-
INSURANCE AND LEGAL	5,000	5,000
MISCELLANEOUS	-	50,000
OTHER SOFT COSTS	-	-
SUBTOTAL	$ 180,000	$ 7,700,000
PROJECT CONTINGENCY	20,000	800,000
TOTAL BUDGETED EXPENDITURES	$ 200,000	$ 8,500,000
SOURCE(S) OF FUNDING*		
UCONN 2000 BOND FUNDS	$ 200,000	$ 8,500,000
TOTAL BUDGETED FUNDING	$ 200,000	$ 8,500,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

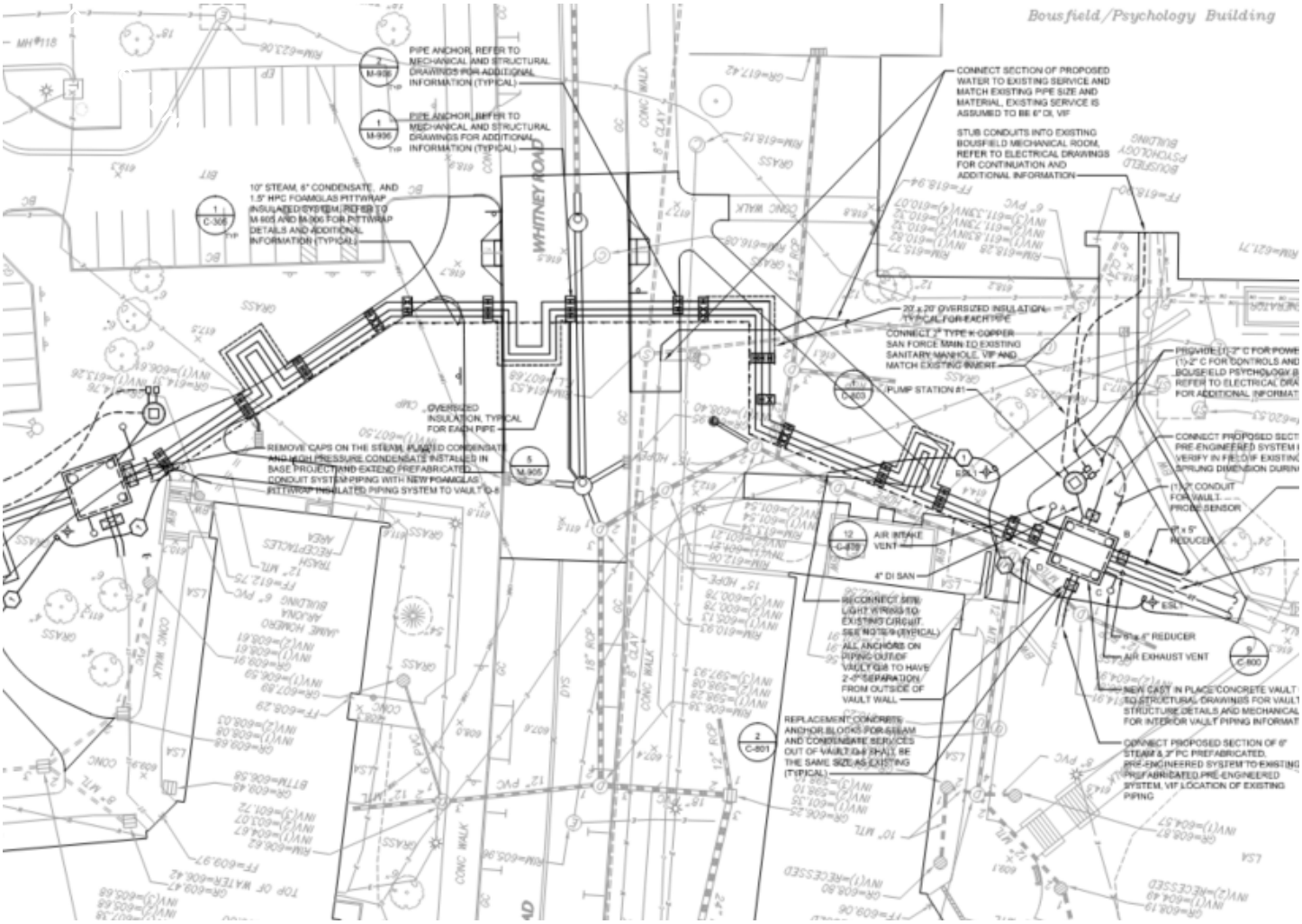
BOT 12.11.24

300281

WHITNEY ROAD STEAM IMPROVEMENTS E-8 to Q-8

Project Budget (FINAL)

December 11, 2024



Approximate limit of steam pipe replacement. The existing vault E-8 is on the left of the page and the new proposed vault q-8 is on the right with the work crossing Whitney Road

ATTACHMENT 10

UCONN
UNIVERSITY OF CONNECTICUT

Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance
& Chief Financial Officer UConn and
UConn Health

December 11, 2024

TO: Members of the Board of Trustees

FROM: Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for Northwest Residential Area – Thermal Comfort Improvements (Final: $6,750,000)

RECOMMENDATION:

That the Board of Trustees approve the Final Budget of $6,750,000 as detailed in the attached project budget for the Northwest Residential Area – Thermal Comfort Improvements project. This reflects an increase of $5,950,000 to the previously approved Design budget of $800,000. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $6,750,000 in University Funds for the Northwest Residential Area-Thermal Comfort Improvements project."

BACKGROUND:

The Northwest Residential Area is located on the north side of campus adjacent to North Eagleville Road. The Northwest Area houses over 1,200 students and is considered a traditional-style residence community. The intent of this project is to add cooling systems to all residential floors in the buildings to improve the thermal comfort in student rooms to promote the student success journey. Currently, fewer than 40% of the residence halls on the Storrs campus are air conditioned. This project aims to aid in the student success journey by allowing the buildings to be better utilized during the summer months.

The project will convert the buildings to dual temperature with automatic heating/cooling switchover. The ground floor of each building already has some cooling capacity and there are existing underground chilled water lines to each building already. The current project request includes full design and construction of the air conditioning systems for two (2) of the six (6) buildings, and the cost of adding air conditioning to the balance of the buildings will be submitted in a future funding request.

The Final Budget is attached for your information.

Attachment

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CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: **FINAL**

PROJECT NAME: **NORTHWEST RESIDENTIAL AREA - THERMAL COMFORT IMPROVEMENTS**

BUDGETED EXPENDITURES	**APPROVED PLANNING 8/13/2024**	**APPROVED DESIGN 10/30/2024**	**PROPOSED FINAL 12/11/2024**
	PRC		
CONSTRUCTION	$ -	$ -	$ 5,350,000
DESIGN SERVICES	250,000	700,000	800,000
TELECOMMUNICATIONS	-	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-	-
CONSTRUCTION ADMINISTRATION	-	-	-
OTHER A/E SERVICES (including Project Management)	-	-	-
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	-	-	-
INSURANCE AND LEGAL	-	10,000	10,000
MISCELLANEOUS	-	10,000	10,000
OTHER SOFT COSTS	-	-	-
SUBTOTAL	$ 250,000	$ 720,000	$ 6,170,000
PROJECT CONTINGENCY	30,000	80,000	580,000
TOTAL BUDGETED EXPENDITURES	$ 280,000		$ 6,750,000
SOURCE(S) OF FUNDING*			
UNIVERSITY FUNDS	$ 280,000	$ 800,000	$ 6,750,000
TOTAL BUDGETED FUNDING	$ 280,000	$ 800,000	$ 6,750,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

NORTHWEST RESIDENTIAL AREA-THERMAL COMFORT IMPROVEMENTS

Project Budget (FINAL)

DECEMBER 11, 2024

ATTACHMENT 11

UCONN
UNIVERSITY OF CONNECTICUT

Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance
& Chief Financial Officer UConn and
UConn Health

December 11, 2024

TO: Members of the Board of Trustees

FROM: Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for Homer Babbidge Library Stairs and Doors
(Revised Final: $1,004,300)

RECOMMENDATION:

That the Board of Trustees approves the Revised Final Budget of $1,004,300 as detailed in the attached project budget, for interior improvements to the Homer Babbidge Library. The Administration recommends that the Board of Trustees adopt the Resolution below.

RESOLUTION:

"Be it resolved that the Board of Trustees approve the use of $1,004,300 in University Funds for the Homer Babbidge Library Stairs and Doors project and approve the request for a waiver of the three-stage budget approval process to allow construction to proceed in accordance with sole source procurement procedures."

BACKGROUND:

The project involves three main components:

- Demolition of the existing defunct and decommissioned escalator between the Plaza and Lower Levels and replacement with a bluestone staircase, similar to the work performed one level up in the 1999 interior improvement project.
- Removal and replacement of six storefront doorways at the elevator lobbies on the 2nd, 3rd, and 4th Levels to comply with building code.
- Removal and replacement of the storefront entry doorways at the Plaza Level to comply with energy code.

This project aligns with the strategic initiative Excellence in Research, Innovation, and Engagement.

Attachment

352 Mansfield Road, UNIT 1122, Gulley Hall
Storrs, CT 06269
PHONE 860-486-3455
jeffrey.geoghegan@uconn.edu

263 Farmington Avenue, MC 1920
Farmington, CT 06030
PHONE 860-679-3162
geoghegan@uchc.edu

CAPITAL PROJECT BUDGET REPORTING FORM

TYPE BUDGET: REVISED FINAL

PROJECT NAME: HOMER BABBIDGE LIBRARY STAIRS AND DOORS

BUDGETED EXPENDITURES	**APPROVED FINAL 6/26/2024**	**PROPOSED REVISED FINAL 12/11/2024**
CONSTRUCTION	$ 638,000	$ 849,400
DESIGN SERVICES	63,600	63,600
TELECOMMUNICATIONS	-	-
FURNITURE, FIXTURES AND EQUIPMENT	-	-
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)		
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL		
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	-	-
OTHER SOFT COSTS	-	-
SUBTOTAL	$ 701,600	$ 913,000
PROJECT CONTINGENCY	70,160	91,300
TOTAL BUDGETED EXPENDITURES	$ 771,760	$ 1,004,300
SOURCE(S) OF FUNDING *		
UNIVERSITY FUNDS	$ 771,760	$ 1,004,300
TOTAL BUDGETED FUNDING	$ 771,760	$ 1,004,300

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

BOT 12.11.24

FO502282

HOMER BABBIDGE LIBRARY STAIRS & DOORS

Project Budget (REVISED FINAL)

DECEMBER 11, 2024

ATTACHMENT 12

UCONN HEALTH

December 11, 2024

TO: Members of the Board of Trustees

FROM: Andrew C. Agwunobi, MD, MBA
Executive Vice President for Health Affairs and CEO of UConn Health

Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Torrington Clinic Relocation
(Planning: $4,800,000)

RECOMMENDATION:

That the Board of Trustees approve the Planning Budget in the amount of $4,800,000 for the UConn Health Torrington Clinic Relocation project.

RESOLUTION:

"Be it resolved that the Board of Trustees approve of the use of $4,800,000 from UConn Health Capital and a Landlord Fit-out Allowance of approximately $300,000 for the UConn Health Torrington Clinic Relocation project."

BACKGROUND:

Due to space limitations, UConn Health plans to relocate and expand the Torrington clinical practice from 4 examination rooms to 16 examination rooms. The expansion will promote the Wellness of People and Planet and a Stronger, More Inclusive University by increasing community access to the Internal Medicine and extremely busy Multispecialty practices. The medical services provided at the new location will include Internal Medicine, on-site lab and x-ray, and an expansion of specialty services to include Orthopedics, OB, Vascular Surgery, Pulmonary and possibly General Surgery.

The Planning Budget is attached for your consideration. The Planning Budget is based on conceptual estimates and may change as the design is developed. This Planning Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on December 9, 2024.

Attachments

CAPITAL PROJECT BUDGET REPORTING FORM

DRAFT

TYPE BUDGET: PLANNING

PROJECT NAME: **UCONN HEALTH - TORRINGTON CLINICAL PRACTICE RELOCATION**

BUDGETED EXPENDITURES	**PROPOSED PLANNING 12/11/2024**
CONSTRUCTION	$ 2,400,000
DESIGN SERVICES	175,000
TELECOMMUNICATIONS	525,000
FURNITURE, FIXTURES AND EQUIPMENT	1,100,000
CONSTRUCTION ADMINISTRATION	-
OTHER AE SERVICES (including Project Management)	15,000
ART	15,000
RELOCATION	35,000
ENVIRONMENTAL	-
INSURANCE AND LEGAL	-
MISCELLANEOUS	5,000
SUBTOTAL	$ 4,270,000
PROJECT CONTINGENCY	530,000
TOTAL BUDGETED EXPENDITURES	$ 4,800,000
SOURCE(S) OF FUNDING*	
UCONN HEALTH CAPITAL FUNDS	$ 4,500,000
LANDLORD FIT-OUT ALLOWANCE	$ 300,000
TOTAL BUDGETED FUNDING	$ 4,800,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

UCONN HEALTH/IMPROVEMENTS
UConn Torrington Clinical Practice Relocation
Project Budget (Planning) $4,800,000
DECEMBER 11, 2024

Example Clinical Fit-Out Concept

ATTACHMENT 13

UCONN HEALTH

December 11, 2024

TO: Members of the Board of Trustees

FROM: Andrew C. Agwunobi, MD, MBA
Executive Vice President for Health Affairs and CEO of UConn Health

Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Interventional Radiology Equipment Replacement & Renovation (Design: $4,700,000)

RECOMMENDATION:

That the Board of Trustees approve the Design Budget in the amount of $4,700,000 for the UConn Health Interventional Radiology Equipment Replacement & Renovation.

RESOLUTION:

"Be it resolved that the Board of Trustees approves of the use of $4,700,000 from UConn Health Capital for the UConn Health Interventional Radiology Equipment Replacement & Renovation."

BACKGROUND:

A Master Plan for the renovation of the Radiology Department located on the Main Level of the Connecticut Tower has been developed to ensure outdated diagnostic radiology imaging equipment can be replaced in a manner that is compliant with current Connecticut Department of Health design/construction guidelines, improve staff workflow and the patient experience. This project will promote and improve the Wellness of People and Planet through the replacement of outdated Interventional Radiology (IR) imaging equipment and renovations of portions of the Radiology Department in accordance with the Master Plan.

The Design Budget is attached for your consideration. The Design Budget is based on consultant estimates and may change based on actual bids received. This Design Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on December 9, 2024.
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Attachments

CAPITAL PROJECT BUDGET REPORTING FORM

DRAFT

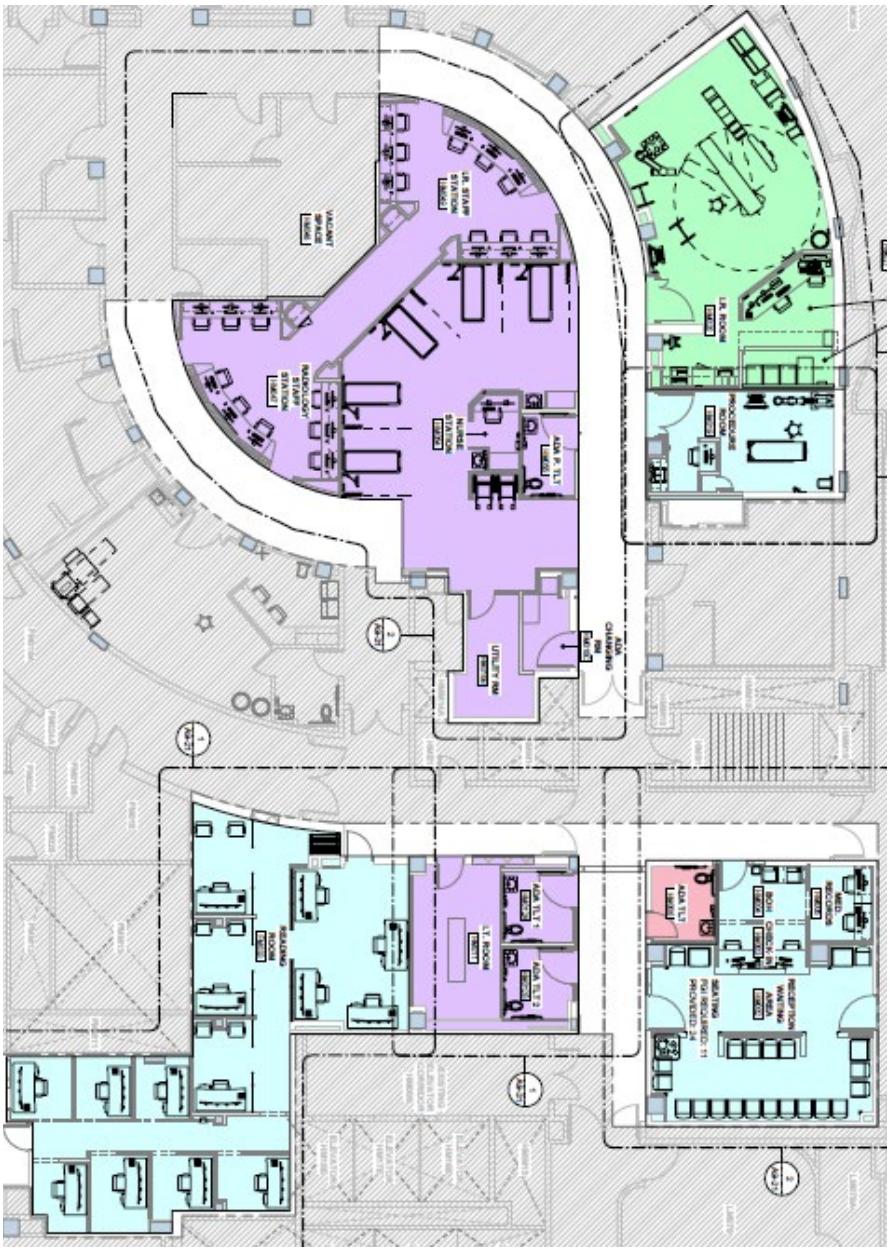
TYPE BUDGET: DESIGN

PROJECT NAME: **UCONN HEALTH - INTERVENTIONAL RADIOLOGY EQUIPMENT REPLACEMENT & RENOVATION**

BUDGETED EXPENDITURES	**APPROVED PLANNING 6/28/2023**	**PROPOSED DESIGN 12/11/2024**
CONSTRUCTION	$ 1,500,000	$ 1,675,000
DESIGN SERVICES	200,000	270,000
TELECOMMUNICATIONS	50,000	50,000
FURNITURE, FIXTURES AND EQUIPMENT	2,500,000	2,135,000
CONSTRUCTION ADMINISTRATION	-	-
OTHER AE SERVICES (including Project Management)	-	10,000
ART	-	-
RELOCATION	-	-
ENVIRONMENTAL	20,000	5,000
INSURANCE AND LEGAL	-	-
MISCELLANEOUS	-	10,000
SUBTOTAL	$ 4,270,000	$ 4,155,000
PROJECT CONTINGENCY	430,000	545,000
TOTAL BUDGETED EXPENDITURES	$ 4,700,000	$ 4,700,000
SOURCE(S) OF FUNDING*		
UCONN HEALTH CAPITAL FUNDS	$ 4,700,000	$ 4,700,000
TOTAL BUDGETED FUNDING	$ 4,700,000	$ 4,700,000

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

UCONN HEALTH/IMPROVEMENTS
UConn Health Interventional Radiology Equipment
Replacement & Renovation (Design: $4,700,000)
DECEMBER 11, 2024



Radiology Master Plan (proposed renovations in green)

ATTACHMENT 14

December 11, 2024

TO: Members of the Board of Trustees

FROM: Andrew C. Agwunobi, MD, MBA
Executive Vice President for Health Affairs and CEO of UConn Health

Jeffrey P. Geoghegan, CPA
Executive Vice President for Finance and Chief Financial Officer

RE: Project Budget for the UConn Health Hybrid OR#2 Fit-out (Final: $TBD)

RECOMMENDATION:

That the Board of Trustees approves the Final Budget in the amount of $TBD for the UConn Health Hybrid OR#2 Fit-out project.

RESOLUTION:

"Be it resolved that the Board of Trustees approve of the use of $TBD from UConn Health Capital for the UConn Health Hybrid OR#2 Fit-out project."

BACKGROUND:

This project will promote and improve the Wellness of People and Planet by creating a second Hybrid Operating Room which allows surgeons to perform a range of procedures in one setting, from minimally invasive treatments to the most complex neurosurgery, interventional cardiology, and vascular procedures by using advanced biplane x-ray imaging equipment that generates high-resolution 3D images of the surgical site.

Under Bioscience CT, the John Dempsey Hospital Operating suite was designed for two Hybrid Operating Rooms. At the time of construction, one Hybrid Operating room was fit-out and one remained as shell space to allow for future expansion. This project will fit-out the shelled area and install a new bi-plane imaging unit to create a 2nd Hybrid Operating Room.

The Final Budget is attached for your consideration. The Final Budget is based on actual bids received. This Design Budget is anticipated to be approved by the UConn Health Board of Directors at their meeting on December 9, 2024.

Attachments

CAPITAL PROJECT BUDGET REPORTING FORM

DRAFT

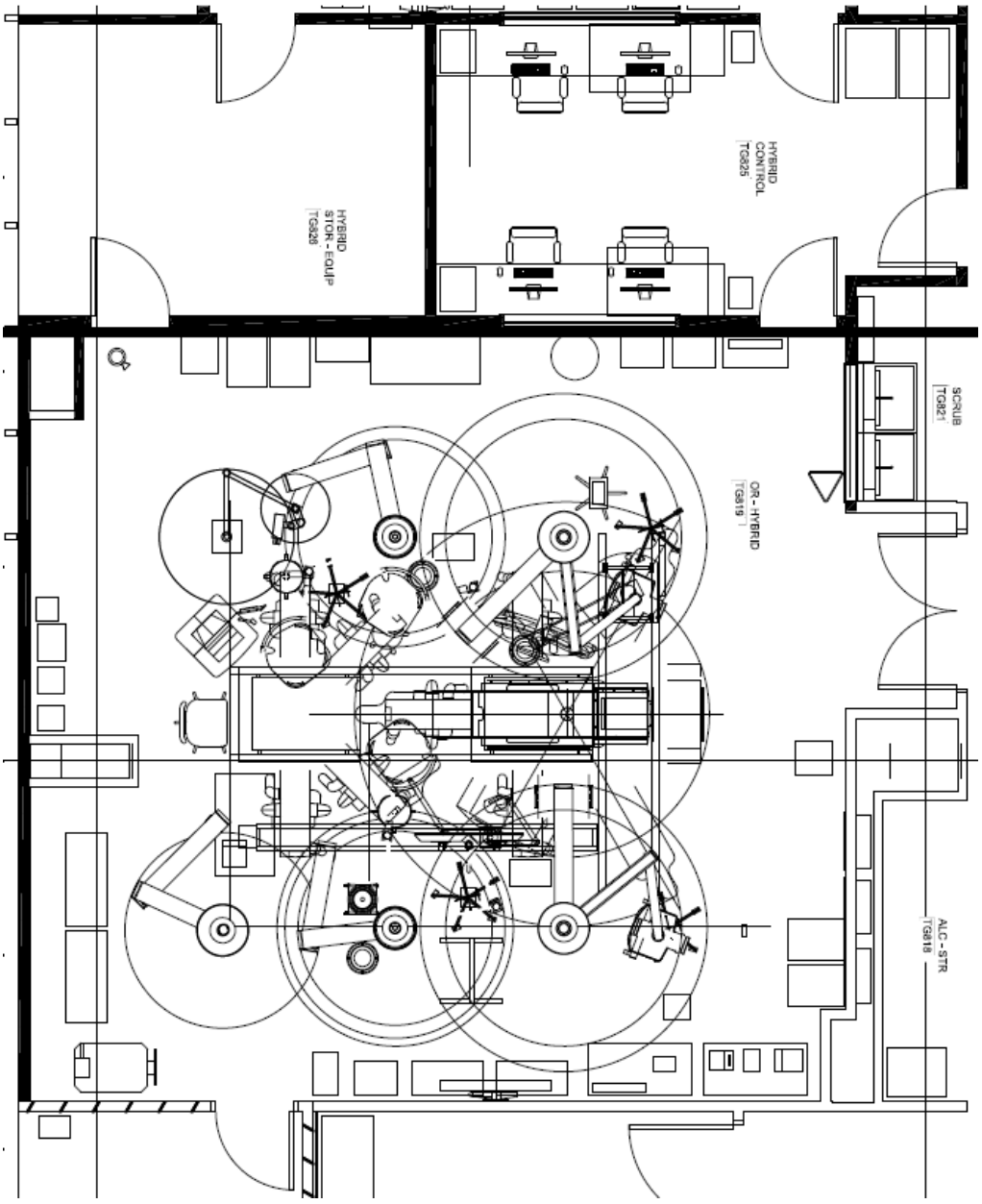
TYPE BUDGET: FINAL

PROJECT NAME: UCONN HEALTH - HYBRID OR#2 FIT-OUT

BUDGETED EXPENDITURES	**APPROVED PLANNING 6/28/2023**	**APPROVED DESIGN 9/25/2024**	**PROPOSED FINAL 12/11/2024**
CONSTRUCTION	$ 975,000	$ 975,000	TBD
DESIGN SERVICES	202,000	202,000	202,000
TELECOMMUNICATIONS	30,000	30,000	30,000
FURNITURE, FIXTURES AND EQUIPMENT	4,901,000	4,901,000	4,965,000
CONSTRUCTION ADMINISTRATION	-	-	-
OTHER AE SERVICES (including Project Management)	52,000	52,000	52,000
ART	-	-	-
RELOCATION	-	-	-
ENVIRONMENTAL	-	-	-
INSURANCE AND LEGAL	-	-	-
MISCELLANEOUS	13,000	13,000	13,000
SUBTOTAL	$ 6,173,000	$6,173,000	TBD
PROJECT CONTINGENCY	927,000	927,000	738,000
TOTAL BUDGETED EXPENDITURES	$ 7,100,000	$7,100,000	#VALUE!
SOURCE(S) OF FUNDING*			
UCONN HEALTH CAPITAL FUNDS	$ 7,100,000	$7,100,000	TBD
TOTAL BUDGETED FUNDING	$ 7,100,000	$7,100,000	TBD

* This budget reflects the University's current intended source(s) of funding for the specified project. The University may adjust this funding plan in order to ensure compliance with applicable federal and state law(s) or to strategically utilize all fund sources, within the approved budget amount, as appropriate.

UCONN HEALTH/IMPROVEMENTS
UConn Health Hybrid OR#2 Fit-out
Budget (Final) $TBD
DECEMBER 11, 2024



Conceptual Plan

ATTACHMENT 15

UCONN

UNIVERSITY PLANNING,
DESIGN & CONSTRUCTION

Summary of Individual Change Orders Greater Than 3% of Project Cost

Period: 08/16/2024 - 10/15/2024

During the period between August 16, 2024 and October 15, 2024 no individual project's construction change order value equaled or exceeded 3% of the project cost.