



UC San Diego

Policy & Procedure Manual

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FACILITIES MANAGEMENT

Section: 530-9

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RENOVATIONS AND ALTERATIONS

I. REFERENCES AND RELATED POLICIES

A. UCSD Policy and Procedure Manual (PPM)

[420-65](#) Minor Capital Improvements

[516-7.2](#) Environment, Health and Safety

B. UC Facilities Manual - Volume 1, Chapter 4, Construction Contracts (pp.4-49)

C. Infopath

[Capital Planning and Budgeting Home Page](#)

[Environment, Health and Safety Home Page](#)

II. BACKGROUND

The University is required to maintain strict controls over space and equipment alterations. This requirement is to ensure that campus facilities are fully used; alterations conform to applicable codes; construction quality meets University standards; projects promote energy conservation; and renovations are in the general interest of the campus.

State law requires maximum use of outside contractors for construction projects and limits the amount of in-house construction to \$50,000 for each project; however, painting or repainting projects are limited to \$25,000. These limits do not apply to experimental or diagnostic equipment.

III. POLICY

This policy does not apply to projects funded under formal Universitywide State and non-State major capital programs and the Universitywide State minor capital program.

A. Project Review and Approval

All proposed changes to University-owned or University controlled property and facilities regardless of the fund source of the original facility or the proposed changes will be reviewed and approved by all cognizant authorities before construction is started.

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1. Use of *Work Request* Form

A *Work Request* form is used to initiate all projects. For Campus projects greater than \$50,000 or Medical Center projects greater than \$20,000, use form FO2215 for Facilities Design and Construction (FD&C). For Campus projects less than \$50,000, use form FO2212 for Facilities Management (FM). For Medical Center projects less than \$20,000, use form FO2019 for Medical Center Facilities Engineering (MCFE.)

2. Use of *Renovations & Alterations* (R&A) Form

A *Renovations and Alterations* (R&A) form, [Exhibit A*](#), also available at [Capital Planning & Budgeting](#), is used to approve work which falls into any of the following categories:

- a. Cost estimated to be greater than \$35,000.
- b. Change in space classification, e.g., from classroom to office, seminar to laboratory, etc.
- c. Subdivision or enlargement.
- d. Any changes to external aesthetics.
- e. Change of space allocation from one department to another.
- f. Significant modifications to existing mechanical (HVAC and plumbing) or electrical systems, as determined by FD&C, MCFE or FM.
- g. Installation/modification of any fire/life safety system (e.g., fire alarm/protection system, alterations/renovations affecting exiting, etc.).
- h. Installation of carpeting (exception: carpeting being installed when selected from the Environment, Health and Safety (EH&S) list of pre-approved carpeting for installation as floor covering.)
- i. Installation of window coverings (exception: window coverings being installed when selected from the EH&S pre-approved list.)
- j. Any work in leased properties.

B. Work by FD&C, MCFE, or FM

MCFE or FM, or a licensed contractor under the direction of FD&C, MCFE, or FM, will perform all construction/renovations/alterations of University-owned or University-controlled buildings or installations of equipment, including work done to utilities distribution systems, unless an exception is approved under paragraph III.C.

Only FD&C, MCFE, or FM may make contracts or commitments with an outside agency, vendor or contractor (including design professionals), regardless of the size of the proposed project. Exception: Real Estate Development is authorized to make contracts or commitments for buildings it manages.

C. Work by Other University Employees

1. As an exception to usual policy, University employees other than FD&C, MCFE, or FM may perform the work under the following conditions:
 - a. Requesting department receives prior written approval to do so from FD&C, MCFE, or FM before construction begins,
 - b. The construction is performed under FD&C, MCFE, or FM inspection and supervision as determined upon obtaining approval (including review of plans and EH&S consultation),
 - c. The requesting department reimburses FD&C, MCFE, or FM for the complete costs of supervision and inspection, and
 - d. The requesting department is responsible for any liability or damage resulting from construction by their faculty or staff employees.
 - e. Approval will generally *not* be given if FD&C, MCFE, or FM employees are available at the time to do the work. In these cases, FD&C, MCFE, or FM assumes responsibility for getting the work done on a timely basis by its own force or by contract.
 - f. All work performed without the prior approval of FD&C, MCFE, or FM is subject to removal or re-work to bring it into conformance with all codes and the University's level of construction quality. Any removal or re-work is at the expense of the department in whose space the work was performed.

D. Work on Leased Facilities

Renovations, repairs and alterations at leased facilities are subject to requirements beyond those on campus, which may include obtaining City of San Diego building permits, inspection by City building inspectors, liability problems and compliance with City codes. It is in the interest of the University that work at these locations be accomplished by the lessor. Provisions for repairs and alterations are negotiated by the Real Estate Development (RED) office.

If for any reason a renovation cannot be done by the lessor, written permission must be obtained by RED from the lessor prior to commencement of any work.

EH&S must review and approve plans for all alterations to University-occupied space.

IV. PROCEDURE

A. Obtaining a Cost Estimate

1. Department completes the appropriate *Work Request* form containing the following information:
 - a. Clear description of work.
 - b. Rough sketch (*not* working drawing).
 - c. Eligible fund source for recharging estimate and work to be performed.

2. Department forwards the *Work Request* and other information to FD&C, MCFE, or FM.
3. FD&C, MCFE, or FM reviews the proposed work, consults with E&HS as necessary, and prepares a cost estimate. It also reviews the work to determine if an R&A form is required. FD&C, MCFE, or FM returns a copy of the *Work Request* with a signed estimate, or a memo quoting estimated cost to the originating department.
4. FD&C, MCFE, or FM returns a copy of the *Work Request* with a signed estimate, or a memo quoting estimated cost to the originating department.

B. Using a Work Request Form Only

If a department wishes to proceed with the work based on the cost estimate and an R&A form is not required, the department authorizes FD&C, MCFE, or FM to proceed.

C. Using a Renovations & Alterations (R&A) Form/b/p

1. If an R&A form is required under Paragraph III.A.2, department prepares the R&A form, attaches the cost estimate and any background information, and obtains the approval and signature of the department head.
2. After approval by the department head, the package is routed to the following offices:
 - a. Applicable Dean, Director, or Provost
 - b. Capital Planning & Budgeting (CP&B)
 - c. Environment, Health and Safety (EH&S)
 - d. Facilities Design and Construction, Medical Center Facilities Engineering, or Facilities Management
 - e. Real Estate Development, for projects in leased space or buildings managed by RED

Any of the above offices that do not grant approval will notify CP&B.

3. Work Under \$35,000

If work is under \$35,000 and all approvals have been given, FD&C, MCFE, or FM will proceed with the work, if the following conditions are met:

- a. Work is to be done by FD&C, MCFE, or FM,
- b. Originating department has made funds available, and
- c. Originating department has given its approval to proceed.

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4. Work Over \$35,000

A project with costs greater than \$35,000, but less than \$750,000 is considered part of the State or Non-State Minor Capital Improvement Program. See PPM 420-65 for additional policies and procedures regarding projects that meet these conditions.

D. Master Files

CP&B maintains master files of R&As covering work accomplished.



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FACILITIES MANAGEMENT

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EXHIBIT A

REQUEST FOR RENOVATIONS AND ALTERATIONS (R&A)

1. ORIGINATING DEPARTMENT

Department Name/VC Area _____
Originator _____ Signature _____ Date _____
Work Contact _____ Phone _____ E-mail _____ Mail Code _____

2. PROJECT DESCRIPTION

Description of work to be done (*attach sketch or floor plan*) _____

Building Name or Number _____ Room Number(s) _____
Assignable Square Feet (*project area, and only if applicable*) _____
Is this leased space? Y N If Yes, indicate address _____
FD&C Job Number or FM Work Order Number _____ Estimated Cost _____
FD&C/FM Project Manager Name _____

3. SOURCE OF FUNDS

Proposed fund source name _____
Index _____ Fund _____ Organization _____ Program _____ Account _____
(*note: for use of 19900 funds see note on back*)

Will Federal Funds be used to fund any part of this project? Y N

Will equipment purchased with Federal Funds be installed as part of this project? Y N

Plant Organization number (*established by CP&B*) _____

4. APPROVALS (*route one copy only*)

In the following order:

Department Head _____ Date _____

Director or Dean _____ Date _____

Capital Planning & Budgeting (0915) _____ Date _____

Environment Health & Safety (0920) _____

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PPM 530 – 9 EXHIBIT A Request for Renovations and Alterations (R&A)**

Preliminary(*) _____ Date _____
Final _____ Date _____
Facilities Design & Construction (0916)
or Facilities Management (0908)
or Medical Center Facilities Engineering (8206) _____ Date _____

For Leased Space Only:

UCSDMC Facilities Planning & Management (8861) _____ Date _____
(Medical Center projects only)
Real Estate Development (0982) _____ Date _____
(general campus, SOM, SIO, and UCSDMC after approval by UCSDMC Facilities Planning and Mgmt.)

(*)budgeting purposes only as final plan review and approval is required

Return signed form to Capital Planning and Budgeting (0915)



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EXHIBIT B

USE OF RENOVATIONS AND ALTERATIONS (R&A) FORM

The purpose of the Request for Renovations and Alterations (R&A) form is to inform and obtain approvals from necessary administrative offices of proposed construction, renovations or alterations to University owned or University controlled property and facilities, including leased facilities. The R&A form is used when work is funded from any source except the Major Capital Improvement Program and the State Minor Capital Improvement Program. Refer to related PPMs 420-65, 530-9, and 516-7.2.

Use of 19900 funds Up to \$35,000 of 19900 funds can be used provided that the project does not result in a capital improvement project. If the project does result in a capital improvement project, 19900 funds cannot be transferred to plant funds.

Minor Capital Improvement Project Minor capital improvements are defined as projects that add new space or alter the programmed design or function of space or building systems, including related fixed equipment, and utility and site development improvements.

A R&A form is required for work falling into any one of the following categories:

1. Cost estimated to be greater than \$35,000.
2. Change in space classification, e.g., from classroom to office, seminar to laboratory, etc.
3. Subdivision or enlargement.
4. Any change to external aesthetics.
5. Change of space allocation from one department to another.
6. Modifications to existing mechanical (HVAC and plumbing) or electrical systems.
7. Installation/modification of any fire/life safety system (e.g., fire alarm system, fire protection system, alterations/renovations affecting exiting, etc.)
8. Installation of carpeting (Note: a R&A form is not required if carpeting is selected from the Environment, Health and Safety office list of pre-approved materials and applications and if the project is less than \$35,000. See EH&S Web Page: www-vcba.ucsd.edu/ehs/home.htm)
9. Installation of window coverings.
10. Any work in leased properties.

All work must be managed by Facilities Design & Construction (FD&C) or Facilities Management (FM) through submission of a R&A form. See Para. III.B., PPM 530-9 for policy regarding the management and inspection of the work.

Signed forms will be archived by Capital Planning & Budgeting.