Caltech FACILITIES

Renewal Process

The information below outlines the process for submission, review, and approval of major facilities renewal projects. This process aims to maximize the use of Institute resources for the purpose of constructing and updating on- and off-campus properties to support research, education, and administrative activities. Working in collaboration with the Facilities Design and Construction team, divisions and departments identify and prioritize project proposals for review by the Provost, who makes final decisions about the timing and funding for renewal projects.

Annual Renewal Proposals

The annual renewal process begins in March and ends mid-summer within the same calendar year for projects to be budgeted in the following fiscal year. The following information outlines the annual renewal process:

- Process Kickoff: On or before March 15, Design and Construction sends a letter to each division or department formally starting the renewal process. This letter contains a highlevel schedule and identifies which project manager from Design and Construction is assigned to the division or department. A Renewal Project Definition List template is emailed with the letter.
- 2. In late April, Design and Construction requests the Provost's availability for May and June division meetings.
- Design and Construction coordinates the meeting schedule which includes Division Chair (or department head), Division Operations Officer (or department administrator), Design and Construction senior director and project manager. The Provost attends the six division meetings (Provost Office representatives attend the department meetings).
- 4. The division or department completes the definition list template where information is available and emails the completed form to the assigned project manager.
- 5. Project managers meet with the divisions and departments to gather information for each of the projects consisting of scope, cost, potential funding sources, and schedule.
- 6. Design and Construction reviews the proposed projects and identifies potential budget savings, including but not limited to scope reduction, non-essential elements, alternative design elements, and infrastructure that can remain as part of the project.
- 7. Design and Construction provides recommendations to the divisions and departments and clearly outlines the savings associated with the proposed changes of scope, without compromising the essential elements of the projects. <u>This process continues between</u> <u>Design and Construction and the division or department until the proposed project is</u> <u>optimized in terms of scope and cost</u>. Design and Construction will carefully analyze the project to provide the most realistic cost estimate possible for each project.
- 8. The divisions and departments organize their renewal proposals in priority order for Design and Construction to incorporate into the presentation to the Provost. Design



and Construction will provide a minimum of 3 business days for divisional review of the presentation materials before they are forwarded to the Provost's Office.

- 9. Design and Construction emails the renewal project information, including cost estimate breakdowns and illustrations that help describe the scope of work to be performed, to the Provost's Office a minimum of 3 business days before each renewal meeting with the Provost's office. Project documentation should include justifications for exceptional components or costs, as well as alternatives for individual components that could help reduce costs.
- 10. Meetings with the Provost (or administrator in the Provost's Office) take place in May and June. During the renewal meetings, the department head or project manager will lead the meeting by describing each of the projects and answering questions related to scope, ROM, and desired completion date.
- 11. An overview meeting with the Provost and the Design and Construction Sr. Director takes place after all renewal meetings with divisions and departments are complete. During the meeting (or shortly thereafter if clarifying information is requested), the Provost determines which projects will move forward in the upcoming fiscal year.
- 12. Design and Construction informs the divisions and departments about approved projects for the fiscal year.
- 13. Design and Construction begins planning and designing fiscal year projects approved for execution. Detailed cost estimates are conducted and communicated with the Provost with explanations for significant variances in proposed cost.
- 14. Design and Construction reviews the status and costs of approved projects with Provost at Quarterly Update meetings. Anticipated costs are compared with the initial ROM estimates and detailed cost estimates.
- 15. Significant changes in scope or estimated cost require re-review and approval by the Provost prior to implementation.

Mid-Year Renewal Proposals

Occasionally, renewal projects will arise during a fiscal year which cannot wait until the following annual renewal process. The general process for mid-year renewal reviews is as follows:

- When a renewal project arises during the fiscal year outside of the annual renewal process, divisions and departments contact Design and Construction with their proposal. Divisions and departments can contact the Design and Construction Project Manager assigned to them or the Senior Director of Design and Construction.
- 2. Design and Construction reviews the proposed project and identifies potential budget savings, including but not limited to scope reduction, non-essential elements, alternative design elements, and infrastructure that can remain as part of the project.
- 3. Design and Construction provides recommendations to the divisions and departments and clearly outlines the savings associated with the proposed changes of scope, without compromising the essential elements of the projects. <u>This process continues between</u>



<u>Design and Construction and the division or department until the proposed project is</u> <u>optimized in terms of scope and cost</u>. Design and Construction will carefully analyze the project to provide the most realistic cost estimate possible for each project.

- 4. Design and Construction will develop the presentation to the Provost, providing a minimum of 3 business days for divisional review of the presentation materials before they are forwarded to the Provost's Office.
- 5. Design and Construction sends the proposed project scope, schedule, and budget to the Provost's Office for consideration, along with cost estimate breakdowns and illustrations that help describe the scope of work to be performed. Project documentation should include justifications for exceptional components or costs, as well as alternatives for individual components that could help reduce costs. The criticality of adding the project to the current renewal program shall also be provided, including the impact if the project does not occur.
- 6. The Provost's Office will contact Design and Construction if additional information is needed, or if a meeting or site visit is required to discuss the proposed project.
- 7. The Provost determines if the project will move forward in the current fiscal year.
- 8. Design and Construction informs the division or department if the project is approved.
- 9. Design and Construction begins planning and designing approved mid-year projects for execution.
- 10. Design and Construction adds approved mid-year projects to the master facilities renewal list and reviews the status of approved projects with Provost at Quarterly Update meetings. Anticipated costs are compared with the initial ROM estimates and detailed cost estimates on an ongoing basis.
- 11. Significant changes in scope or estimated cost require re-review and approval by the Provost prior to implementation.

Major Laboratory renovations

Whether a mid-year addition or part of the annual renewal process, major laboratory renovations (e.g., for newly-hired faculty members or laboratory renovations for existing professors) require a thorough examination and pre-approval from the Provost before commitments are made.

- 1. The Provost must pre-approve the square footage and general location of the laboratory space to be renovated before collaboration begins with the faculty member.
- 2. Division Chair input into the scope and proposed cost of the project must be incorporated early in the planning phase.
- 3. Based on the preapproved project square footage and location, Design and Construction will develop a thorough review of the proposed space, identify and communicate with the division and departments about potential budget savings, including but not limited to scope reduction, non-essential elements, alternative design elements, and infrastructure that can remain as part of the project without compromising the essential



elements of the project. <u>This process continues between Design and Construction and</u> <u>the division or department until the proposed project is optimized in terms of scope and</u> <u>cost</u>. Design and Construction will carefully analyze the project to provide the most realistic cost estimate possible for each project.

- 4. Design and Construction will develop the presentation to the Provost, providing a minimum of 3 business days for divisional review of the presentation materials before they are forwarded to the Provost's Office.
- 5. Design and Construction sends the proposed project scope, schedule, and budget to the Provost's Office for consideration, along with cost estimate breakdowns and illustrations that help describe the scope of work to be performed. Project documentation should include justifications for exceptional components or costs, as well as alternatives for individual components that could help reduce costs. The criticality of adding the project to the current renewal program shall also be provided, including the impact if the project does not occur.
- 6. The Provost's Office will contact Design and Construction if additional information is needed, or if a meeting or site visit is required to discuss the proposed project.
- 7. The Provost provides approval for the project scope, estimated cost, and sources of funding.
- 8. Design and Construction informs the division or department if the project is approved.
- 9. Design and Construction begins planning and designing approved major laboratory renovations for execution.
- 10. Design and Construction adds approved major laboratory renovations to the master facilities renewal list and reviews the status of approved projects with Provost at Quarterly Update meetings. Anticipated costs are compared with the initial ROM estimates and detailed cost estimates on an ongoing basis.
- 11. Significant changes in scope or estimated cost require re-review and approval by the Provost prior to implementation.