PROCEDURES FOR DESIGN

1. Project Management

1.1. A University of Minnesota Project Manager (Project Manager) is assigned to each project. The Project Manager is responsible for development of the project with emphasis on management of academic department/program relations, external affairs, preparing regent and legislative reports, requests for legislative funding, project scheduling and the project budget.

1.2. Communication between the University and the A/E shall be directed through the Project Manager.

1.3. The A/E shall consult with the Project Manager throughout each design phase and construction. The reasons for such close consultation are as follows: to obtain necessary decisions; to review alternative design solutions; to verify project-specific predesign/program intent; to obtain detailed user requirements for systems and equipment; and to be informed of any issues that may affect the project, budget and schedule.

1.4 The A/E will be responsible to participate and assist as directed by the Project Manager with the University committees and processes as noted in all of the following paragraphs.

2. Capital Oversight Group (COG) and Project Executive Committee: While CPPM and the sponsoring unit have the primary responsibility for project and program development, these two University committees provide administrative oversight and are central to capital planning and predesign approval.

2.1 Capital Oversight Group provides the project charter containing the initial charge to the Project Executive Committee, including but not limited to, project objectives, program assumptions, work plan, schedule, oversight and direction.

2.2 The Project Executive Committee will be responsible for project (specific) oversight, major policy decisions, and for reviewing and approving program scope, schedule, and budget throughout the life of the project.

3. Project Advisory Committee: A Project Advisory Committee shall be established to help draft the building predesign/program and evaluate how well the predesign/program objectives are met by the project design. The committee also is involved in the decision process when deviations from the predesign/program are required. A representative from CPPM University Planning shall facilitate the committee during the predesign and programming phase. The Project Manager shall facilitate the remainder of the project. Additional committee members may include internal University partners (Building Codes, Health & Safety, Central Security, Police, Parking & Transportation, etc),

representatives from the building and/or program user groups directly affected by the project, University administrators and University services representatives.

3. Required Code Record Information: All projects require a code record. This record is to include a narrative and schematic plan. Although they can be combined on the same drawing sheet(s), there may be cases when the narrative may need to stand alone such as requests for alternative methods and materials. Regardless of how the narrative and schematic plan are assembled, the following must be included in every required code record:

3.1. Narrative

A. Facility information, including eleven digit University project number, name of building, address and owner
B. Designer's information, including name and address
C. Design codes
D. Calculations that show compliance for allowable area, height and stories
E. Description of work such as new work, additional work or remodeling
F. Occupancy classifications and Types of Construction
G. Height and Number of Stories
H. Extent of active fire-protection features, including sprinklers, standpipes, detection devices, alarms, smoke-control features, emergency power and lighting
I. Proposed alternatives and/or modifications, including a complete justification for the proposed alternative/modification

3.2. Schematic Plan: Floor plans on maximum-sized sheets of 11 inches by 17 inches

A. Orientation information, including eleven digit University project number, scale, North arrow and legend of symbols
B. General room layouts, including names of rooms that are fire-separated or of significance such as suites
C. Distance to property lines, streets and buildings on same site when the building envelope is impacted by work within the project scope
D. Rated walls, including area separations, occupancy separations, smoke barriers, corridors, horizontal exits, stair enclosures and exit passageways
E. Occupancy classifications and Types of Construction (on floor plan)
F. Path of emergency exit travel to exterior exits and exit stairs
G. Fire department connection and control panel
H. Accessible entrances
I. Elevators

3.3. For partial Building Remodels/Renovations, the code record must include a building plan(s) that indicate all areas affected by work in the project scope.

4. Standards Exceptions Process

By contract with the University, the A/E shall apply University Standards and Procedures for Design in their work on University projects.

If the A/E identifies circumstances which, in their professional opinion, the University would be better served by granting an exception for any aspect of the Standards, they must seek formal written approval to continue with design services that do not apply certain of those Standards to their work. Consultants are advised that any exceptions request must be accompanied by a thorough life cycle cost analysis, especially if the request is submitted solely as a first cost saving measure.

To obtain such exceptions, the A/E is required to put their requests in writing addressed to the University Project Manager (PM) assigned to their projects using the Exceptions Request Form. PM's then submit these written applications for exceptions to the Standards Exception Committee (Committee) in the University's Capital Planning and Project Management (CPPM) division of University Services for review and response. The Committee consists of various members from CPPM, FM Districts, FM Energy Management, OIT, Landcare, Parking and Transportation, OCM, DEHS, Disability Services, FM Elevator Shop, Central Security, etc. as appropriate for a specific exceptions request evaluation.

The Committee approves, provisionally approves or rejects exception applications in writing and transmits them to the PM, with copies to the A/E. Upon separate written request, the A/E (through the PM) may appeal rulings on exception requests to the Assistant Vice President (AVP) of Capital Planning and Project Management.

The AVP CPPM reviews appeals of proposed exceptions and either approves or denies them, with consultation and advice from the Assistant Vice President of Facilities Management, the Director of Project Delivery Services, the PM and/or from other interested University parties as appropriate. AVP CPPM decisions are put in writing and transmitted to the Consultant, with copies to the other interested parties, the PM, and to the Director Project Delivery Services.

Exception requests may also provide useful insights into the effect of the Standards, which may prompt value driven changes to these Standards.

5. Phases of Project Development

5.1. General Procedures

5.1.1. General procedures for each phase of project development are listed below. The A/E shall perform design phase services and provide design phase submittals in accordance with the agreement between the owner and the architect.

5.1.2. Distribute the design and construction documents for review and comment in accordance with Appendix X - Distribution of Drawings and Specifications to the University. Additional sets of bidding documents shall be furnished to the University as directed for review by other parties, including state and federal agencies. The A/E shall confirm with the Project Manager who is responsible for submittal to such agencies.

5.1.3. Allow 10 business days (unless otherwise directed by the Project Manager) in the project schedule for the proper University representative to review the design and construction documents. The University shall provide written review comments to the A/E. The A/E shall respond to review comments in writing.

5.1.4. For projects that include a commissioning agent, the A/E, the commissioning agent and the University shall work together at each phase so that the contract documents clearly define the contractor's participation in the commissioning process. See Division 1, Section 01 91 00 - Commissioning.

5.1.5. Provide all documents in accordance with the University Electronic Submittal Standards – PM to provide.

5.1.6. The A/E shall not obligate the University in contract documents without prior written approval from the Project Manager.

5.2. Predesign Phase

5.2.1. Following the Project Charter, the project-specific Predesign Phase shall establish design objectives, design guidelines, required facilities, utility infrastructure requirements, space allocations, preliminary budget, schedule and other essential elements. PM to provide CPPM Predesign Outline for Capital Projects to the A/E as guide..

5.2.2. Certain elements that relate primarily to operations of the facility are identified in the Predesign Information. The project-specific predesign information is in addition to the requirements in the program information. The more stringent requirements shall take precedence.

5.2.3. University Planning, Project Manager and the designated Advisory Group representative shall review and approve changes that the A/E recommends about the project-specific Predesign Phase. Adjustments to the Predesign Phase may be necessary to conform to project objectives, budget or schedule constraints.

5.2.4. The A/E is not required to engage in detailed surveys or analysis to determine basic programmatic requirements unless retained specifically to do so.

5.2.5. The A/E agreement shall specify and detail the specific format and content when an A/E is contracted to complete the Predesign Phase.

5.3. Schematic Design Phase

5.3.1. The A/E shall prepare a schematic design that illustrates the general design solution that is proposed in response to predesign program requirements.

5.3.2. The A/E shall reference the Owner-Architect Agreement for Schematic Design Phase Submittal Requirements.

5.4. Design Development Phase

5.4.1. The A/E shall prepare design development documents only after the University has directed the A/E to do so. The design development documents shall be an extension of the schematic design.

5.4.2. The A/E shall reference the Owner-Architect Agreement for Design Development Phase Submittal Requirements.

5.5. Construction Documents Phase

5.5.1. After the Design Development Phase is completed and approved, and when the Project Manager gives direction in writing to proceed, the A/E shall proceed with the development of the construction documents.

5.5.2. The A/E shall reference the Owner-Architect Agreement for Construction Documents Phase Requirements.

5.6. Construction Administration Phase

5.6.1. PROHIBITED: An increase in the scope of the project, construction cost or completion time without the written approval of the Project Manager via a change order.

5.6.2. The A/E shall prepare and issue all project communications as required by the Owner-Architect Agreement, including but not limited to, change orders for changes that the University authorizes. Include changes that affect contract price or completion time in a written change order. Also, include significant changes or substitutions that do not require a change in contract time or price in a change order.

5.6.3. Two months before the 12-month warranty period expires, the A/E shall:

A. Conduct a project warranty walk-through
B. Conduct a facility operations and performance meeting
C. Provide meeting minutes that include a written summary of findings that require the contractor to take corrective action

6. Special Procedures for Projects Funded by Grants: Certain University projects are financed in part by granting agencies such as the federal government. In these cases, the administration and procedures may vary. The A/E will be required to incorporate grant requirements into the project design and to participate in documentation in fulfillment of the grant requirements as directed by the Project Manager.

End Procedures for Design