Analysis Questions and Analysis Answers

For Administrative Support and Student Support Units

Informed by your assessment activities, what changes have you made in your unit in the last three to five years? Describe the changes, the general results that prompted the changes, and the impact on your unit’s clients/customers that you might attribute to these changes.

Achievement/Summary/Analysis:

The overall impact SACS assessment has had on the Area of Construction Administration has been increased effectiveness and efficiency. It has provided a systematic and standardized methodology to identify, clarify and advance areas where Construction Administration interfaces with internal and external stakeholders. In this role, the SACS assessment also serves as an additional framework to enhance the communication of Construction Administration’s goals and outcomes through the institution’s organizational hierarchy (Divisional and Institutional). Construction Administration coordinates all project information from conception to the turn-over, verifies proper procedures are employed and supports the establishment of quality and ascetics standards of The University of Alabama. This process has helped support the requirements to standardize processes in order to achieve a high level of quality project delivery and to continually improve operations.

The outcomes reflect the improvements that Construction Administration is continually striving to achieve. Policies and processes are reviewed on a periodic basis and as changes (if any) are made to federal and state laws, Board of Trustee rules and other relevant regulations. The Project Approval Form (PAF) process has been improved to generate an electronic document with stakeholder access to real-time status, complement the Board of Trustee directions and establish accounting information. The ESTUS site contains all project information where the project team can stay abreast of the current project status, issues and view historical documents. Numerous stakeholders, both internal and external, have to engage, make decisions and review outcomes as projects go through their lifecycle (inception to occupancy). Construction Administration is continually striving to provide accurate, timely and necessary information to enable effective decision making.

Mission / Purpose

To provide an attractive, clean, comfortable, safe and healthy environment that is well maintained and functional for use by The University of Alabama community as we work, learn and live.

The Area of Construction Administration is responsible for construction management services for The University of Alabama. These construction management services are provided with regard to cost effectiveness, adherence to federal and state regulations and institutional policy, which help provide facilities which are safe, compliant with Campus Design Guidelines, and support the mission of The University of Alabama.

Organization:

Construction Administration, an Area of the Division of Financial Affairs, is headed by the Assistant Vice President of Construction Administration. Construction Administration intersects with other Areas, Divisions, Departments, Colleges across the University. By example, a project initiator/requester can be from any of those organizational units.

Construction budget management involves Financial Accounting & Report, Business Activities for Construction and Physical Plant. Financial Affairs - Information Technology plays a crucial role in providing the platform (software, hardware and expertise) to help manage construction projects effectively and efficiently through technology. Contract Administration provides both oversight and management of the Alabama Competitive Public Works Law process while administering all contracts and agreements. The Furnishings & Design Department is responsible for the transference builder’s risk (property insurance for construction projects) to permanent property insurance coverage. All of these Divisions, Areas, Departments, Colleges are important in different roles and functions to assist Construction Administration in its mission and provide facilities for students, faculty and staff. Therefore, collaboration across all of these entities is necessary to achieve the most effective and efficient business processes.

Other Outcomes, with Any Associations and Related Measures, Targets, Findings, and Action Plans

OthOtcm 1: Const Admin employees/non-employees will have access to resources

Construction Administration employees and non-employees will have access to appropriate informational resources needed for learning & training.

Related Measures

M 1: Focus Group-Rewrite Project Manager’s Procedures Manual
Focus Group—Internal Working Group will rewrite the Project Manager's Procedures Manual (PMPM) and place a renewed emphasis on PM Training including adherence to bi-weekly training sessions and systematic training for new PMs (Brooks Ballantine, Ben Henson, and Tom Love)

Source of Evidence: Document Analysis

**Target:**
100% completion - revise the Project Manager's Procedures Manual

**M 2: Track- PM Training Sessions**
Track the number of PM Training Sessions including adherence to bi-weekly training sessions and systematic training for new PMs

Source of Evidence: Activity volume

**Target:**
The bi-weekly session will be held at a minimum of 18 times during the year with a goal of 25 sessions.

**OthOtcn 2:** Const Admin will ensure that all construction projects are closed efficiently and effectively
Construction Administration will ensure that all construction projects are closed efficiently and effectively and meet the needs of the end users (Students, Faculty and Staff).

**Related Measures**

**M 3: Ensure Projects are Closed within 90 days**
(Part 1) Ensure that all Projects are closed within 90 days of the effective date of the Certificate of Substantial Completion (COSC) - (Frank Marsac, Brooks Ballantine and Ben Henson)

Source of Evidence: Efficiency

**Target:**
75% of Projects at a minimum will be closed within 90 days of the effective date of the Certificate of Substantial Completion and an ideal rate of 90%.

**M 4: Ensure Facilities Meet needs of End Users**
(Part 2) Ensure the facilities meet the needs of the end users (students, faculty, and staff). Per direction of Dr. Gilbert in the Financial Review Meeting, Construction Administration needs to address the question—do constructed buildings meet user demands, as per SACS previous comments on the intermediate review.

Source of Evidence: Client satisfaction survey (student, faculty)

**Target:**
100% of development of an assessment plan to determine the facilities meet the end user needs and objectives.

**OthOtcn 3:** Const Admin internal/external stakeholders will be able to monitor the real time status of projects
Construction Administration internal and external stakeholders will be able to monitor the real time status of projects through the use of technology.

**Related Measures**

**M 5: Implementation of ePAF work flow**
Implementation of ePAF through the use of the automated workflow process. (Matt Skinner)

Source of Evidence: Efficiency

**Target:**
100% implementation of the ePAF

**M 6: Monitoring usage of ePAF**
Monitor usage of the ePAF system when fully implemented. Verification that the system functions for all entities that use the features.

Source of Evidence: Activity volume

**Target:**
Minimum target of 70% usage of ePAF system with a maximum target of 100%, based on number of PAFs processed when system is fully implemented.

**OthOtcn 4:** Const Admin stakeholders will have a comprehensive, user friendly and accessible set of design guidelines
Construction Administration stakeholders will have a comprehensive, user friendly and accessible set of design guidelines.

**Related Measures**

**M 7: Review Design Guidelines**
Review Design Guidelines for clearness, cohesiveness, and adherence to Policy, Campus Master Plan and other relevant documents. (Tim Leopard, Randy Barton, and David Cordingly)

Source of Evidence: Professional standards

**Target:**
Review a minimum of 80% of the guidelines and review maximum target of 100% complete with all guidelines.

**M 8: Develop Design Guideline for BIM**
Develop a comprehensive guideline for designers to use to generate all projects in Revit 3D models.

Source of Evidence: Document Analysis

**Target:**
100% complete with the development of BIM (Revit 3D) design guidelines.
OthOtcn 5: Const Admin will limit unscheduled service outage to campus facilities

Construction Administration will limit unscheduled service outage to campus facilities (disruption to the live/learning environment).

Related Measures

M 9: Update data and Improve Access to Information for University Utility Infrastructure Systems
Document, update and enhance the level of data and improve access to the information for the Utility Infrastructure systems (Al Willingham, Justin McPherson, Randy Barton, Chad Elliot).
Source of Evidence: Service Quality
Target:
A minimum of 90% of new utilities and a maximum goal of 100% of new utilities will be updated on the utility map.

M 10: Limit unscheduled utility outages
This measure is to track any unscheduled outages or disruptions caused by construction operations not having complete and accurate information on the location of utilities.
Source of Evidence: Activity volume
Target:
Limit the number of unscheduled outages to a maximum of 5 per year.

Details of Action Plans for This Cycle (by Established cycle, then alpha)

Process Improvement 2011-2012
Issues and concerns identified. Feedback from stakeholders was encouraged. Improvements in ESTUS were made. User security levels and content was added to ESTUS to improve functionality and enhance accountability and transparency.

Established in Cycle: 2012-2013
Implementation Status: Planned
Priority: High
Implementation Description: Implementation Description: From July 1, 2012 to June 30, 2012 enhancements will be added.
Projected Completion Date: 06/2013
Responsible Person/Group: Area of Construction Administration (AVP Tim Leopard, Executive Secretary Carla Brown, and other staff) Division of Financial Affairs - Delphine Harris (Executive Director of Business Process Innovation) Department of FA- Information Technology (Andrew Beeson, Sr. Web Architect)

Update Existing Policy for Construction Administration

UA updated the existing Policy for Construction Administration.
UA will continue to monitor the implementation of these new policies as well as other existing policies in an effort to maintain an efficient and effective program for Construction Administration.

Established in Cycle: 2012-2013
Implementation Status: Planned
Priority: High
Projected Completion Date: 01/2013
Responsible Person/Group: A. Delphine Harris (Exec. Dir. for BPI)
Additional Resources: Dan Rodgers, Contract Administrator, Contract Administration; Contract Administration, Vince Dooley, Contract Specialist, Contract Administration; Tim Leonard, AVP for Construction Administration, Dana Keith, Associate VP for Financial Affairs, Matt Skinner, Director of Capital Budgets & Estimating, Construction Administration; Kathy Black, Director, BACPP; Christina Mullis, Assistant Director, BACPP; Julie Shelton, Director, FAR; Meredith Bolter, Assistant Director, FAR; Brooks Ballentine, HOAR Senior Project Manager; Matt Dennaburg, HOAR Project Manager; Andrew Beeson, Senior Web Architect, FA-IT, Nancy Whittaker, Associate VP for Administration; Bob Pugh, Director of Risk Management

Connected Documents
FAZ.1 Guidelines for Establishing Capital Budgets 12.01.2010
FA-2.3 Policy Establishing CA Project Budgets 06.07.13
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Organization:
Construction Administration, an Area of the Division of Financial Affairs, is headed by the Assistant Vice President of Construction Administration. Construction Administration intersects with other Areas, Divisions, Departments, Colleges across the University. By example, a project initiator/requester can be from any of those organizational units. Construction budget management involves Financial Accounting & Report, Business Activities for Construction and Physical Plant. Financial Affairs - Information Technology plays a crucial role in providing the platform (software, hardware and expertise) to help manage construction projects effectively and efficiently through technology. Contract Administration provides both oversight and management of the Alabama Competitive Public Works Law process while administering all contracts and agreements. The Furnishings & Design Department is responsible for building interior spaces that adhere to all building codes and the guidelines for the Americans with Disabilities Act (ADA). Facilities and Grounds maintains the facilities and deferred maintenance assessment. University Planning and Design is responsible for the Campus Master Plan and Design Guidelines which guide facilities planning. Building Information Services gathers and maintains accurate building information. The Department of Risk Management is responsible for the transference builder’s risk (property insurance for construction projects) to permanent property insurance coverage. All of these Divisions, Areas, Departments, Colleges are important in different roles and functions to assist Construction Administration in its mission and provide facilities for students, faculty and staff. Therefore, collaboration across all of these entities is necessary to achieve the most effective and efficient business processes.

Other Outcomes, with Any Associations and Related Measures, Targets, Findings, and Action Plans

OthOtcm 1: Stakeholders will have effective and encompassing policy
Stakeholders (internal and external) including Construction Administration, Division of Financial Affairs, Administration, External Contractors, Colleges, Departments, and other Areas, will have access to effective and encompassing policy. A review of existing Construction Administration Policy: Guidelines for Establishing and Expending Capital Project Budgets will be undertaken and changes recommended (if any) will be made.

Background:
On December 1, 2010, Construction Administration was implemented for Construction Administration regarding the establishment and expending of capital project budgets. This policy was titled "GUIDELINES FOR ESTABLISHING AND EXPENDING CAPITAL PROJECT BUDGETS, Policy # FA-2 Version: 1.0.) In June of 2012, a need was identified by the Division of Financial Affairs to perform a comprehensive analysis of the policy and make changes (if any) as appropriate. This original version is attached in document form as FA2.1 Guidelines for Establish Capital Budgets.

Connected Documents
FA2.1 Guidelines for Establishing Capital Budgets 12.01.2010
FA-2.3 Policy Establishing CA Project Budgets 06.07.13

Related Measures
M 1: Analysis of Policy
Perform a comprehensive review of the Guidelines for Establishing and Expending Capital Projects and recommend changes (if any) as appropriate.

Source of Evidence: Document Analysis

Connected Documents
FA2.1 Guidelines for Establishing Capital Budgets 12.01.2010
FA-2.3 Policy Establishing CA Project Budgets 06.07.13

Target:
100% applicability and full compliance with federal and state laws, other relevant regulations, and internal guidelines and policies.

Connected Documents
FA2.1 Guidelines for Establishing Capital Budgets 12.01.2010
FA-2.3 Policy Establishing CA Project Budgets 06.07.13

Finding (2012-2013) - Target: Met
Summary of Results:
The policy was examined for organizational compliance, State of Alabama guidelines, federal regulations, good industry practices and clarity of language. Although the policy as a whole did not have any explicit conflicts with any governing body of law, there were certain internal UA policies which were not addressed in the existing Policy for Construction Administration. In addition, there were a number of provisions which did not seem to promote the most effective and efficient use of Construction Administration’s resources. The original version (FA-2.3 Version I attached as FA2.1 Guidelines for Establishing Capital Budgets 12.01.2010) was two and a half pages long. While it did provide a good framework, it was determined that additional information was necessary to provide the stakeholder with a comprehensive policy. Changes were made including updating the Project Management Fee from 1.5% to 2.0% which was a change implemented by Construction Administration in 2012.

Interpretation and Conclusions:
The revised policy (FA-2.3 Policy Establishing CA Budgets attached) was expanded from two and a half pages to eight pages. This expansion was deemed necessary to fully articulate the policy and procedures established in accordance with the Division of Financial Affairs in sufficient detail.

Connected Documents
FA2.1 Guidelines for Establishing Capital Budgets 12.01.2010
FA-2.3 Policy Establishing CA Project Budgets 06.07.13

Related Action Plans (by Established cycle, then alpha):
Update Existing Policy for Construction Administration
Established in Cycle: 2012-2013
UA updated the existing Policy for Construction Administration. UA will continue to monitor the implementation of these new...

For full information, see the Details of Action Plans section of this report.

M 6: Internal and External Stakeholder Discussions - Policy
Seek input from both internal (Construction Administration) and external stakeholders. In order to effectively analyze and develop a more comprehensive policy, input was gathered from stakeholders within Construction Administration including: AVP for Construction Administration, Executive Secretary, Project Managers, Project Administrative Assistants, Field Coordinators, General Superintendents, Director of Capital Management and Estimating.

Discussions were held in person, telephone and email communications. This was collaborative and informal to encourage open communication led by the Executive Director of Business Process Innovation (Division of Financial Affairs). External (outside of the Area of Construction Administration) stakeholders included staff from Contract Administration, Business Activities for Construction Physical Plant, Financial Accounting and Reporting, FA Information Technology, Furnishings and Design, Division of Financial Affairs and the Areas of Administration and Business Activities.

Source of Evidence: Discussions / Coffee Talk

Connected Documents
FA2.1 Guidelines for Establishing Capital Budgets 12.01.2010
FA-2.3 Policy Establishing CA Project Budgets 06.07.13

Target:
100% consultation/discussions with representatives from each stakeholder groups (internal and external) to provide a mechanism for input/feedback (if any) on existing Construction Administration Policy.
This includes stakeholders from Construction Administration; Division of Financial Affairs; Areas of Administration, Business Activities and Finance; Departments of Business Administration of Construction and Physical Plant, Financial Reporting and Accounting, FA Information Technology and Contract Administration. Within these Divisions, Areas, and Departments, stakeholders represented a cross section of job titles including, Assistant Vice Presidents, Associate Vice Presidents, Executive Directors, Senior Web Architect, Project Managers, Project Accountants, Administrative Assistants, Coordinators, Senior Project Managers and others as appropriate.

Connected Documents
FA2.1 Guidelines for Establishing Capital Budgets 12.01.2010
FA-2.3 Policy Establishing CA Project Budgets 06.07.13

Finding (2012-2013) - Target: Met
Summary of Findings:
Representatives from each stakeholder groups (internal and external) were contacted and input/feedback was requested on existing Construction Administration Policy.
This included stakeholders from Construction Administration; Division of Financial Affairs; Areas of Administration, Business Activities and Finance; Departments of Business Administration of Construction and Physical Plant, Financial Reporting and Accounting, FA Information Technology and Contract Administration. Within these Divisions, Areas, and Departments, stakeholders represented a cross section of job titles including, Assistant Vice Presidents, Associate Vice Presidents, Executive Directors, Senior Web Architect, Project Managers, Project Accountants, Administrative Assistants, Coordinators, Senior Project Managers and others as appropriate.
These discussions were held by meetings (individual and group), telephone calls and emails.

Interpretations and Conclusions:
The general consensus among internal stakeholders was that a standard guidelines for cost allocations was necessary. External stakeholders agreed with this sentiment and requested clarification on various policy elements including tax exempt bonds.

By utilizing this approach, the Construction Administration policy was enhanced through collaboration. The policy became more comprehensive by covering a broader base of material and thereby provided a greater total understanding among stakeholders.

Connected Documents
FA2.1 Guidelines for Establishing Capital Budgets 12.01.2010
FA-2.3 Policy Establishing CA Project Budgets 06.07.13
Stakeholders (Construction Administration Internal Staff, Contractors, Architects, Engineers, the Public at Large, End Users including Departments, Areas, Divisions and Colleges) will have appropriate access to all relevant project information in an efficient and effective manner. Successful implementation (and stakeholder adaption) of Construction Administration on The University of Alabama's designated repository, Microsoft Sharepoint (ESTUS). ESTUS is utilized for intranet content management and document management, and serves as a repository. Furthermore, it serves as a communication tool among users.

ESTUS is a collaborative platform which provides: system integration, process optimization, project timelines and management, logistics, document control and expense tracking for Construction Administration.

**Background/Summary**

A SharePoint site is a Web site that provides a central storage and collaboration space for documents, information, and ideas. A SharePoint site is a tool for collaboration, just like a telephone is a tool for communication, or a meeting is a tool for decision making. A SharePoint site helps groups of people (whether work teams or social groups) share information and work together. For example, a SharePoint site can help you:

- Coordinate projects, calendars, and schedules.
- Discuss ideas and review documents or proposals.
- Share information and keep in touch with other people.

SharePoint sites are dynamic and interactive -- members of the site can contribute their own ideas and content as well as comment on or contribute to other people’s” (Source: Microsoft Office online, retrieved July 2012)

Based on research, existing information technology expertise and budget constraints, SharePoint was selected to serve as management tool for Construction Administration. It was subsequently named ESTUS as a unique identifier. ESTUS provides project management support from inception to close-out. ESTUS serves as a management tool wherein information and project specific documentation is stored and also accessible by internal and external stakeholders.

**Connected Documents**

[CA ESTUS Focus Group Final](#)
[CA ESTUS Trend Analysis 2012 to 2013](#)

**Related Measures**

**M 2: Focus Group Discussion for Operational Content of ESTUS**

Focus group discussions will be formed to determine ESTUS content organization, user security, and clean-up of content on current SharePoint sites for Construction Administration. Stakeholders include staff from Construction Administration, Division of Financial Affairs, FA Information Technology, Business Activities for Construction Physical Plant, Financial Accounting & Reporting, Administration, Contract Administration and others as appropriate. This group will provide dynamic improvement recommendations to enhance the functionality of ESTUS.

The planning and subsequent basic framework for ESTUS began in fall 2011 and the ESTUS site was functional in its earliest form in spring 2012. This involved extensive collaboration between the staff and administration of the Division of Financial Affairs, Area of Construction Administration, Contract Administration, Departments of Financial Affairs Information Technology (FAIT - Project Lead), Business Activities for Construction Physical Plant and Building Information Services (BIS). Collaborative efforts to establish a “one-stop” system to meet the needs of internal and external users and customers were made.

Recognizing the need to have early stakeholder adaption, focus groups were formed which consisted of stakeholders (internal and external) to access and modify (as appropriate) content, user security roles and provide user friendly accessible information.

User roles were established and refined based on external stakeholders such as: Architects, Contractors, the Public at Large and Subcontractors as well as internal stakeholders such as staff (Division, Area, Departments) and project initiators (faculty, staff, administration from Colleges, Academic Affairs, Financial Affairs and Athletics). Care was taken to assign both appropriate levels of security and relevant, meaningful data based on the type of user/stakeholder role. Representatives of each group were consulted as appropriate for input. Discussion of how content in the various areas of the site would interact with one another was important to the success of the site. Therefore meetings were conducted to carefully plan how areas would connect or not connect to other areas based on roles or positions.

By the end of summer 2012, ESTUS training documents by role were developed and training sessions were conducted for Construction Administration Staff including: Internal and External Project Managers, Project Administrative Assistants, the Assistant Vice President for Construction Administration, Executive Director, Executive Secretary, Field Coordinators, Superintendents, Plan Room Coordinator and Director of Capital Budgets and Estimating as well as staff from the Division of Financial Affairs and related areas and departments.

The focus group worked diligently toward the common overarching goal of a fully developed user friendly, one stop information portal which served as the official repository which provides transparency, accountability and a communication tool for all stakeholders.

**Source of Evidence:** Focus groups

**Connected Document**

[CA ESTUS Focus Group Final](#)

**Target:**

100% formulation of ESTUS content organization, user security, and clean-up of content on current SharePoint sites. The Focus Group will hold meetings in a collaborative setting to discuss the ESTUS content organization, user security, and clean-up of content on current SharePoint sites.
Finding (2012-2013) - Target: Met

Summary of Results:
Numerous meetings were held to discuss ESTUS content organization, user security, and clean-up of content on current SharePoint sites. Based on these discussions, ESTUS content was organized, user security was established and content of prior SharePoint site was carried forward or archived as appropriate. These objectives were managed and administered successfully. All stakeholders (Construction Administration, Division of Financial Affairs, FA Information Technology, Business Activities for Construction Physical Plant, Financial Accounting & Reporting, Administration, Contract Administration) and other appropriate staff were in attendance. In addition to those on the focus groups members, other staff was utilized at particular junctures for their practical experience and knowledge including: Frank Marsac (General Superintendent), Alan Butler (Project Manager), Sommer Coleman (Project Manager), Brandi Williams (Executive Administrative Assistant), Nicole Merschbach (Project Administrative Assistant), and Carrie Nye (Assistant Administrative Assistant). Discussion included content organization, user security, and clean-up of content on current SharePoint sites. From July 1, 2012 to June 30, 2013, meetings were conducted to continue development of the construction site on ESTUS.

Interpretation and Conclusions:
In order to assure that the content of the site included information critical to project managers and provide essential functionality, the ESTUS Migration team created focus groups. The focus groups successfully achieved their target to determine the operational content for the site based on the variety of information various roles and positions require, refine security roles and provide a method to actively engage feedback.

Related Action Plans (by Established cycle, then alpha):
Process Improvement 2011-2012
Established in Cycle: 2012-2013
Issues and concerns identified. Feedback from stakeholders was encouraged. Improvements in ESTUS were made. User security levels...

For full information, see the Details of Action Plans section of this report.

M 7: Gauge popularity and extent of ESTUS after implementation
After full implementation of ESTUS, UA will review the site’s usage to determine the number of “hits”, number of sites established, the amount of space used to store documents to the site on a monthly trend analysis data. A synopsis of this data is presented as a Source of Evidence attached: CA ESTUS Trend Analysis 2012 to 2013 and will be discussed further in the findings section. This assessment measure provides both a starting point of July 1, 2012 and an ending date of June 30, 2013. Data was examined periodically throughout the course of the assessment by UA stakeholders from Construction Administration (Director of Capital Budgeting), Contract Administration (Contract Administrator), Division of Financial Affairs (Executive Director of Business Process Innovation) and FA Information Technology (Senior Web Architect). These stakeholders formed the Ad Hoc Committee. Three data elements will be utilized: 1) Storage (space utilized) 2) Site Count; and 3) Activity (the number of site hits).
These data elements will be analyzed both as a fixed point in time and as moving averages over longer time periods as data accumulates.
Source of Evidence: Activity volume

Target:
The minimum target to achieve is 50% increase in each of the following three variables: 1) Storage (space utilized) 2) Site Count; and 3) Activity (the number of site hits). The desired target is for the site to be fully utilized for all construction administration related projects.

Summary of Results:
All the findings discussed reference the period beginning July 1, 2012 and ending June 30, 2013 unless otherwise stated. Three types of analysis (both trend and at designated points in time) are examined: 1) Storage; 2) Site Count and 3) Activity. Data on the attached documentation is referenced in megabytes (MB). However, it will be referenced as gigabytes (GB) for both clarity and conciseness. There are 1024MB in 1GB. It will also be rounded to the nearest whole number.

Storage Analysis
On July 1, 2012, 17GB of storage was utilized on ESTUS. On June 30, 2013, 73GB of storage was utilized for an increase of 56GB which is 304%. The moving average is represented by an upward sloping line when observed over the entire year on a weekly basis.

Site Count Analysis
On July 1, 2012, there were 290 sites and 590 sites on June 30, 2013, an increase of 103%. The moving average is represented by an upward sloping line when observed over the entire year on a weekly basis.
Activity (# of hits) Analysis

On July 1, 2012, 900 hits were recorded on ESTUS. On June 30, 2013, there were 2020 hits for an increase of 1,120 or 80%. The moving average (on a weekly basis) over the entire year has some minor ups and downs which can be attributed to several factors including: activity increases in preparation for Board of Trustee Meetings and/or other holidays including Christmas.

Interpretations and Conclusions:

As referenced above, the minimum target of a 50% increase was met and exceeded by all three variables considered. The desired target of 100% was exceeded in two areas, Storage and Site Count.

OthOtcm 3: Users will receive Closeout of Construction Project Budgets in a timely manner

Users (Staff and Faculty who request/initiate Construction Projects from Departments, Areas, Divisions, and/or Colleges) will receive Closeout of Construction Project Budgets in a timely manner. This includes the return of surplus funding (if any) to the original source of fund: department, area and/or division. Closeout of Construction Project Budgets in a timely manner by Construction Administration facilitates issue (if any) identification, financial reporting and allows more efficient administration of financial resources.

Closeout of Construction Project Budgets for those projects that have completed construction, but have not met the requirements for final closeout is addressed in this outcome.
Finding (2012-2013) - Target: Met
Summary of Results:
Construction projects (those that could be closed but have not) were identified and categorized in order to facilitate close out in a systematic manner. A numerical value was assigned to each factor to allow for sorting of projects by status and to determine the cause of delay (if any). Through this categorization, it was determined the specific factors that were most likely to affect closeout and focus its efforts in those areas. This categorization is presented in summary format in the attached documentation, CA Summary of Projects by Status 06.28.2013.

Interpretations and Conclusions:
Identification and categorization of Construction Projects based allowed a more structured approach to facilitate closeout of projects. The assigned status number allowed quick identification of staff resources needed to address any issues and/or delays. Furthermore, it helped provide the basis to address any future potential delays that may be avoided by an enhancement and/or clarification to policy, procedures, processes and/or training.

Connected Document
CA Summary of Projects by Status 06.28.2013

OthOtcm 4: Stakeholders will have effective and efficient means to facilitate project approvals.
Stakeholders will have effective and efficient means to facilitate project approvals. Construction Administration staff will have a standardized Project Approval Form (PAF) in order to make the approval process more efficient and expedite the process for construction project approvals. Appropriate internal and external stakeholders will have the means to track status of the PAF at any point in the process. This provides stakeholders with more real time information in order to make both financial and non-financial decisions.

Connected Documents
CA Summary of Projects by Status 06.28.2013

Related Measures
M 5: Analysis of Existing Project Approval Form
Perform a comprehensive review of the Project Approval Form (PAF). Obtain input from both internal and external stakeholders to the Area of Construction Administration.

This PAF as of 07.01.12 is attached as CA PAF 07.01.2012 for reference.

The Project Approval Form is the mechanism for submission of this Project Approval Form authorizes the Area of Construction Administration to proceed with the following services:

Encumber funds in a Banner account in the amount of the Approved Total Budget noted on the cover sheet to fund Design, Project Management, and other services needed to complete the tasks identified below and to ultimately fund completion of the total project. - Assignment of a permanent Project Manager to meet with the Project Contact to review and confirm project scope - Initiation of Project Design Process using either in-house or outside design professionals. - Monitor the projects design against the approved project scope and budget and notify the Project Contact of any observed variances. - Conduct periodic design reviews with appropriate University personnel to ensure compliance with Campus design guidelines. - Assemble Construction Documents Bid Package ready for solicitation of advertised bidding. - Confirm final budget and Scope of Work with Project Contact prior to soliciting bids. - Solicit bids either on the open market or, if time and project scope warrants, by Facilities Operation & Maintenance. - Manage and monitor all aspects of the construction process including periodic quality control inspections at appropriate intervals. - Complete all project close-out activities.

Construction Administration will not solicit construction bids until any variance between Project Budget and the Scope of Work are acknowledged and appropriate steps have been taken to bring the Project Scope and the available budget into alignment

Background:
A PAF is required for each project regardless of value of the contract(s). For all projects including capital projects, a Project Worksheet and all relevant backup documentation must be attached to the PAF. A PESS (Project Execution Strategy & Schedule) must be completed for projects exceeding $100,000. Board Resolutions are also required to be attached to all BOT projects.

Revisions to the PAF are required when adjustments to the total project budget are required. These revisions include:

- Increases in the total budget of BOT items, which also requires a revised BOT resolution.
- Changes due to bids that come under/over the original PAF amount.
- A scope change such as changing a lay in ceiling to a hard ceiling; or changing pre-cast concrete versus natural stone.
- Changes that impact the budget beyond the amount of contingency.

Upon completion of a project, a Financial Closeout PAF must be completed and approved for each project. Any unused funds will be returned to the originating source.

Source of Evidence: Document Analysis

Connected Documents
CA PAF 07.01.2012
CA PAF 12.17.2012

Target:
A complete (100%) analysis of the existing Project Approval Form will be achieved.

Connected Documents
CA PAF 07.01.2012
Finding (2012-2013) - Target: Met
Summary of Results:
The Project Approval Form (PAF) was examined for compliance to organizational policies, user friendly and appropriate content and layout and completeness. Based on this analysis and with feedback from stakeholder groups, a standardized form was proposed and approved. This new PAF forms the basis for workflow implementation which will result in a more effective and efficient means of execution.

Interpretations and Conclusions:
The standardization and revisions to the PAF provided the platform for implementation of workflow which will be completed in the 2013/2014 year. This represents a significant step toward leveraging technology for Construction Administration in order to facilitate business processes in a more effective and efficient manner.

Connected Documents
CA PAF 07.01.2012
CA PAF 12.17.2012

M 8: PAF Internal and External Stakeholder Discussions
Seek input from both internal (Construction Administration) stakeholders and external stakeholders. Obtain input from both internal and external stakeholders to the Area of Construction Administration.

Source of Evidence: Discussions / Coffee Talk

Connected Documents
CA PAF 07.01.2012
CA PAF 12.17.2012

Finding (2012-2013) - Target: Met
Summary of Results:
The Project Approval Form (PAF) was revised to include standardized construction categories. This language was incorporated into policy and procedures to provide clear and concise methodology to stakeholders.

Interpretations and Conclusions:
Without appropriate documentation, Construction Administration would be unable to provide efficient and effective construction management services. The revised Project Approval Form which was based on feedback gained through discussions with both internal and external stakeholders resulted in an enhanced tool which improves both productivity and efficiency.

Connected Documents
CA PAF 07.01.2012
CA PAF 12.17.2012

Details of Action Plans for This Cycle (by Established cycle, then alpha)

Process Improvement 2011-2012
Issues and concerns identified. Feedback from stakeholders was encouraged. Improvements in ESTUS were made. User security levels and content was added to ESTUS to improve functionality and enhance accountability and transparency.

Established in Cycle: 2012-2013
Implementation Status: Planned
Priority: High

Relationships (Measure | Outcome/Objective):
Measure: Focus Group Discussion for Operational Content of ESTUS | Outcome/Objective: Stakeholders will have appropriate access to information resources needed for successful project completion

Implementation Description: Implementation Description: From July 1, 2012 to June 30, 2012 enhancements will be added.

Projected Completion Date: 06/2013
Responsible Person/Group: Area of Construction Administration (AVP Tim Leopard, Executive Secretary Carla Brown, and other staff) Division of Financial Affairs - Delphine Harris (Executive Director of Business Process Innovation) Department of FA- Information Technology (Andrew Beeson, Sr. Web Architect)

Update Existing Policy for Construction Administration
UA updated the existing Policy for Construction Administration.

UA will continue to monitor the implementation of these new policies as well as other existing policies in an effort to maintain an efficient and effective program for Construction Administration.

Established in Cycle: 2012-2013
Implementation Status: Planned
Priority: High

Relationships (Measure | Outcome/Objective):
Measure: Analysis of Policy | Outcome/Objective: Stakeholders will have effective and encompassing policy
Projected Completion Date: 01/2013
Responsible Person/Group: A. Delphine Harris (Exec. Dir. for BPI)
Additional Resources: Dan Rodgers, Contract Administrator, Contract Administration; Vince Dooley, Contract Specialist, Contract Administration; Tim Leopard, AVP for Construction Administration, Dana Keith, Associate VP for Financial Affairs, Matt Skinner, Director of Capital Budgets & Estimating, Construction Administration; Kathy Black, Director, BACPP; Christina Mullis, Assistant Director, BACPP; Julie Shelton, Director, FAR; Meredith Botler, Assistant Director, FAR; Brooks Ballentine, HOAR Senior Project Manager; Matt Dennaburg, HOAR Project Manager; Andrew Beeson, Senior Web Architect, FA-IT; Nancy Whittaker, Associate VP for Administration; Bob Pugh, Director of Risk Management
Connected Documents
FA2.1 Guidelines for Establishing Capital Budgets 12.01.2010
FA-2.3 Policy Establishing CA Project Budgets 06.07.13
Mission / Purpose

To provide an attractive, clean, comfortable, safe and healthy environment that is well maintained and functional for use by the University of Alabama community as we work, learn and live.
PROJECT APPROVAL FORM (PAF)

Construction Administration Tel. 205-348-5950 Web link here

If PAF TYPE is 'Construction Project', UA Facilities will have been skipped.

---

Financial PROJECT CLOSEOUT
Original Submission
Revision No. 0

Project

- **PIR #**: 70
- **PAF Type**: Construction Project
- **Project Banner Fund #**: 94550
- **ACTIVITY CODE**: IS - Interior/Finish Sys
- **Date Required by**: 1/24/2014
- **Date**: 1/14/2014
- **Project Title / Name**: Reese Phifer/Re-programming facility to incorporate vacated space
- **CA Filing Code**: 205-14-070
- **Scope of Work**: Programming for renovation of facility to include incorporation of vacated space into existing programs.

Requestor

- **Prefix**: 
- **First Name**: Matthew
- **Last Name**: Skinner
- **Tel. No.**: 
- **Job Title**: Director of Capital Management and Estimating
- **Campus Address (Box No.)**: 870186
- **Org Code**: 509101
- **E-Mail Address**: mskinner@fa.ua.edu
- **Fax. No.**: 
- **Org Name**: Construction Administration

Capital Asset Classification

(Must check at least one of the following)

- Deferred/Routine Maintenance
- Fixed Equipment
- New Construction
- Land Improvements
- Building Improvements
- Infrastructure

Project Manager

- **Prefix**: 
- **First Name**: Matthew
- **Last Name**: Denaburg
- **Tel. No.**: 
- **Job Title**: Contractors Not Paid by UA PR
- **Campus Address (Box No.)**: 670186
- **Org Code**: 509101
- **E-Mail Address**: mdenaburg@fa.ua.edu
- **Fax. No.**: 
- **Org Name**: Construction Administration
Submission of this Project Approval Form authorizes the Office of Construction Administration to proceed with the following services:

- Encumber funds in a Banner account in the amount of the Approved Total Budget noted on the cover sheet to fund Design, Project Management, and other services needed to complete the tasks identified below and to ultimately fund completion of the total project.
- Assignment of a permanent Project Manager to meet with the Project Contact to review and confirm project scope.
- Initiation of Project Design Process using either in-house or outside design professionals.
- Monitor the projects design against the approved project scope and budget and notify the Project Contact of any observed variances.
- Conduct periodic design reviews with appropriate University personnel to insure compliance with Campus design guidelines.
- Assemble Construction Documents Bid Package ready for solicitation of advertised bidding.
- Confirm final budget and Scope of Work with Project Contact prior to soliciting bids.
- Solicit bids either on the open market or, if time and project scope warrants, by Facilities Operation & Maintenance.
- Manage and monitor all aspects of the construction process including periodic quality control inspections at appropriate intervals.
- Complete all project close-out activities.

Construction Administration will not solicit construction bids until any variance between Project Budget and the Scope of Work are acknowledged and appropriate steps have been taken to bring the Project Scope and the available budget into alignment.

### PAF Project Budget

<table>
<thead>
<tr>
<th>Expenses</th>
<th>Last Approved Version</th>
<th>Original or Revised Version</th>
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</thead>
<tbody>
<tr>
<td>1. Construction</td>
<td>$</td>
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<tr>
<td>2. Site Development</td>
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<td>3. Shared Costs for Utilities</td>
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<td>$</td>
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<td>4. Hazardous Materials</td>
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<tr>
<td>5. Landscaping</td>
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<td>$</td>
</tr>
<tr>
<td>6. Furniture, Fixtures &amp; Equipment (Moveable)</td>
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<td>$</td>
</tr>
<tr>
<td>7. Donated Materials</td>
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<td>$</td>
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<tr>
<td>8. Security Systems &amp; Access Control</td>
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<tr>
<td>9. Telecommunications/Data</td>
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<td>$</td>
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<tr>
<td>10. Architect/Engineer Fees</td>
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<tr>
<td>11. Other Fee &amp; Services</td>
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<td>$ 2,500.00</td>
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<tr>
<td>12. Contingency Fee</td>
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<td>Total Project Budget with Contingency</td>
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<td>$ 52,500.00</td>
</tr>
<tr>
<td>Grand Total</td>
<td>$</td>
<td>$ 52,500.00</td>
</tr>
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Contingency %: 10.00

### PAF Funding Sources

Funding Source must be identified before Business Administration for Construction and Physical Plant (BACPP) can process this PAF.

<table>
<thead>
<tr>
<th>Banner Fund # (C-F-O-A-P-A-L)</th>
<th>Description</th>
<th>Amount</th>
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<tr>
<td>A-11000-200007-700001</td>
<td>OAA funding</td>
<td>52,500.00</td>
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</table>

Total: $ 52,500.00
The customer project approval path by division that this PAF will follow for approval is defined below:

1. The authorized department representative is not shown in the PAF path below. The authorized representative will be always be setup as the first customer project approver. There is no need to add the authorized representative to the path below.

2. The customer project approval path for this PAF will follow the approver order defined below, which is based on the "Customer Project Approval Path by Division" image displayed on the left.

3. The Business Administration for Construction and Physical Plant department is not shown in the PAF path below. BACPP will always be setup as the last PAF approver. There is no need to add a BACPP employee to the path below.

### PAF Approvals

<table>
<thead>
<tr>
<th>Date of Action</th>
<th>Action Taken</th>
<th>Login ID</th>
<th>Prefix</th>
<th>First Name</th>
<th>Last Name</th>
<th>Job Title</th>
<th>Organization</th>
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</thead>
<tbody>
<tr>
<td>01/14/2014 08:46</td>
<td>Approve and convey</td>
<td>K2LDAP:skinn017</td>
<td>Matthew</td>
<td>Skinner</td>
<td>Director of Capital Management and Construction Administration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>01/16/2014 13:24</td>
<td>Approve</td>
<td>K2LDAP:bballentir</td>
<td>Brooks</td>
<td>Ballentine</td>
<td>Project Manager</td>
<td>Assoc VP for Facilities</td>
<td></td>
</tr>
<tr>
<td>01/17/2014 09:20</td>
<td>Approve</td>
<td>K2LDAP:mcdenab</td>
<td>Matthew</td>
<td>Denburg</td>
<td>Contractors Not Paid by UA PR</td>
<td>Construction Administration</td>
<td></td>
</tr>
<tr>
<td>01/17/2014 09:48</td>
<td>Approve</td>
<td>K2LDAP:talove</td>
<td>Thomas</td>
<td>Love</td>
<td>Exec Dir Construction Admin</td>
<td>Construction Administration</td>
<td></td>
</tr>
<tr>
<td>01/17/2014 15:47</td>
<td>Approve</td>
<td>K2LDAP:tleopard</td>
<td>Timothy</td>
<td>Leopard</td>
<td>Assistant Vice President for ConstrucConstruction Administration</td>
<td>Construction Administration</td>
<td></td>
</tr>
<tr>
<td>01/17/2014 15:57</td>
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<td>K2LDAP:skinn017</td>
<td>Matthew</td>
<td>Skinner</td>
<td>Director of Capital Management and Construction Administration</td>
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<tr>
<td>01/17/2014 15:59</td>
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<td>Matthew</td>
<td>Skinner</td>
<td>Director of Capital Management and Construction Administration</td>
<td>Construction Administration</td>
<td></td>
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</tr>
<tr>
<td>01/17/2014 16:02</td>
<td>Approve</td>
<td>K2LDAP:skinn017</td>
<td>Matthew</td>
<td>Skinner</td>
<td>Director of Capital Management and Construction Administration</td>
<td>Construction Administration</td>
<td></td>
</tr>
<tr>
<td>01/17/2014 18:26</td>
<td>Approve</td>
<td>K2LDAP:rhine001</td>
<td>Lisa</td>
<td>Rhiney</td>
<td>Associate Provost</td>
<td>Academic Affairs</td>
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<tr>
<td>01/20/2014 12:15</td>
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<td>K2LDAP:dkkeith</td>
<td>Dana</td>
<td>Keith</td>
<td>Associate Vice President for Fiinancial Affairs</td>
<td>Construction Administration</td>
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</tr>
<tr>
<td>01/21/2014 10:46</td>
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<td>Matthew</td>
<td>Skinner</td>
<td>Director of Capital Management and Construction Administration</td>
<td>Construction Administration</td>
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<tr>
<td>01/21/2014 10:50</td>
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<td>K2LDAP:skinn017</td>
<td>Matthew</td>
<td>Skinner</td>
<td>Director of Capital Management and Construction Administration</td>
<td>Construction Administration</td>
<td></td>
</tr>
<tr>
<td>01/22/2014 20:10</td>
<td>Approve</td>
<td>K2LDAP:rhine001</td>
<td>Lisa</td>
<td>Rhiney</td>
<td>Associate Provost</td>
<td>Academic Affairs</td>
<td></td>
</tr>
<tr>
<td>01/27/2014 10:47</td>
<td>Approve</td>
<td>K2LDAP:kablash</td>
<td>Kathy</td>
<td>Black</td>
<td>Director</td>
<td>Business Administration for Construction &amp;</td>
<td></td>
</tr>
</tbody>
</table>
PM to confirm scope of work and initiate contract documents as needed.

Missing dynamic approval route.

i do not have a commitment on this paf. who is funding?

This project should be funded and approved by the Provost Office. Send to Lisa Rhiney. DSK

Per Tim Leopard email of 1/21/14, this project is to be funded by the Office of the Provost. Email is att

Project FOAP - A-94550-509101-700
PA Carol Lipscomb

Prefix: Matthew
First Name: Matthew
Last Name: Denaburg
Job Title: Contractors Not Paid by UA PR
Campus Address (Box. No.): 870186
Org Code: 509101
E-Mail Address: mdenaburg@fa.ua.edu
Org Name: Construction Administration
1. If you are a **Financial Affairs User**, please ensure that your MyBama directory information routes your email to the fa.ua.edu address. Instructions are Attachment A.

2. Click on the link: [https://everest-sf.fa.ua.edu/Runtime/Login.aspx?ReturnUrl=%2fRuntime%2fRuntime%2fForm%2fProject%2bInitiation%2bRequest%2f](https://everest-sf.fa.ua.edu/Runtime/Login.aspx?ReturnUrl=%2fRuntime%2fRuntime%2fForm%2fProject%2bInitiation%2bRequest%2f)

3. You will be directed to the following log on screen:

   ![Login Screen](image)

4. By using specific formatting as highlighted on the login screen, your login credentials can be quickly authenticated within Everest. If you are a **Financial Affairs User** (those with an fa.ua.edu email) please follow Step 5. Otherwise, please skip to Step 6.

5. As a **Financial Affairs (FA) User**, you will need to specify “FA_NET\” in front of your FA account name (not your FA email address). For example, if Jon Doe’s FA network account name is jdoe, he will use **FA_NET\jdoe** as his user name to login to Everest. His password will be his FA network password which is the same password used to login to an FA PC and/or Estus).

6. All other **Campus Users (other than Financial Affairs)** should login using their MyBama login credentials, you will need to specify “K2LDAP:” in front of your MyBama user name. For example, **K2LDAP:jdoe**. The MyBama password will be the same you use for logging into the MyBama portal.

7. After successful login, the Project Initiation Request (PIR) is available.
8. Please complete the project information as requested. The fillable fields are indicated in blue.

9. You now have the ability to add file attachments. Scroll down until you see PIR file attachments. Click on Add New File to upload files. **Important: Do not use: " # % & * : < > ? \ { | } ~** in the filenames of the files that you attach, as they will not be saved.

10. After you have completed the project information, scroll down to the bottom of the page to the section entitled Next PIR Approver and click on Select Next Approver.

If you have any questions and/or would like additional training, please contact Margaret Smith at msmith@fa.ua.edu or **********special number**********
### Project Initiation Request

#### Construction Administration Tel. 205-348-5950 [Web link here]

---

### PAF Panel

Click below to view:
- Original PAF
- Process Flow for this PIR

---

### PIR Number

<table>
<thead>
<tr>
<th>PIR Number</th>
<th>70</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Title / Location</td>
<td>Reese Phifer/Re-programming facility to incorporate vacated space</td>
</tr>
</tbody>
</table>

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### Expedited PIR for

<table>
<thead>
<tr>
<th>Prefix</th>
<th>Timothy</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name</td>
<td>Leopard</td>
</tr>
<tr>
<td>Last Name</td>
<td>Tel. No.</td>
</tr>
<tr>
<td>Job Title</td>
<td>Assistant Vice President for Construction</td>
</tr>
<tr>
<td>Campus Address (Box. No.)</td>
<td>870186</td>
</tr>
<tr>
<td>Org Code</td>
<td>509101</td>
</tr>
<tr>
<td>E-Mail Address</td>
<td><a href="mailto:tleopard@fa.ua.edu">tleopard@fa.ua.edu</a></td>
</tr>
<tr>
<td>Org Name</td>
<td>Construction Administration</td>
</tr>
</tbody>
</table>

---

### Authorized Representative

<table>
<thead>
<tr>
<th>Prefix</th>
<th>Matthew</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name</td>
<td>Skinner</td>
</tr>
<tr>
<td>Last Name</td>
<td>Tel. No.</td>
</tr>
<tr>
<td>Job Title</td>
<td>Director of Capital Management and Estimating</td>
</tr>
<tr>
<td>Campus Address (Box No.)</td>
<td>870186</td>
</tr>
<tr>
<td>Org Code</td>
<td>509101</td>
</tr>
<tr>
<td>E-Mail Address</td>
<td><a href="mailto:mskinner@fa.ua.edu">mskinner@fa.ua.edu</a></td>
</tr>
<tr>
<td>Org Name</td>
<td>Construction Administration</td>
</tr>
</tbody>
</table>

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### Primary Contact

<table>
<thead>
<tr>
<th>Prefix</th>
<th>Matthew</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name</td>
<td>Skinner</td>
</tr>
<tr>
<td>Last Name</td>
<td>Tel. No.</td>
</tr>
<tr>
<td>Job Title</td>
<td>Director of Capital Management and Estimating</td>
</tr>
<tr>
<td>Campus Address (Box. No.)</td>
<td>870186</td>
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<td>Org Code</td>
<td>509101</td>
</tr>
<tr>
<td>E-Mail Address</td>
<td><a href="mailto:mskinner@fa.ua.edu">mskinner@fa.ua.edu</a></td>
</tr>
<tr>
<td>Org Name</td>
<td>Construction Administration</td>
</tr>
</tbody>
</table>

---

Under Alabama law, the services of a registered architect are required on all buildings. No state official may waive this requirement. The state may not accept or approve any plans or specifications not prepared by a registered architect. The only exemptions to this rule are listed in Alabama Code section 34-2-32(b) and are rarely applicable at The University. Code of Alabama §34-2-32(c). The State may not engage in the construction of any public works involving the practice of engineering unless (1) the engineering drawings, plans, specifications and estimates have been prepared by a professional engineer; and (2) the construction is done under the direct supervision of a professional engineer. This paragraph does not apply to public works whose total costs do not exceed $20,000. Code of Alabama §34-11-10. Pursuant to the 2010 ADA Standards for Accessible Design, published September 15, 2010, an alteration that affects or could affect the usability of or access to an area of a facility that contains a primary function (i.e., a major activity for which the facility is intended) shall be made so as to ensure that, to the maximum extent feasible, the path of travel to the altered area and the restrooms, telephones, and drinking fountains serving the altered area are readily accessible to and usable by individuals with disabilities, including individuals who use wheelchairs. Costs for alterations made to provide an accessible path of travel to the altered area may be limited to a maximum of 20% of the cost of the alteration to the primary area. Costs that may be counted as expenditures to provide an accessible path of travel may include things such as widening doorways or installing ramps; making restrooms accessible; providing accessible telephones, and relocating an inaccessible drinking fountain. If the 20% limit does not make the path of travel to the altered area fully accessible, then priority will be given to elements that provide the greatest access in the following order: accessible entrance, accessible route to altered area (such as elevator), one accessible restroom for each sex, accessible telephones, accessible drinking fountains, and when possible, accessible parking, storage and alarms.
### Project Initiation Request

| 1. Description of work being requested. | Reprogramming facility to incorporate vacated space. |
| 2. Desired completion date, if approved and funded. | 4/1/2014 |
| 3. What is the present use and/or primary function of the space? | n/a |
| 4. What is the proposed use and/or primary function of the space? | n/a |
| 5. Describe if and how an individual with a disability will be able to obtain access to the renovated space. | n/a |
| 6. Are there any work limitations or restrictions which might require overtime consideration? | n/a |
| 7. If you have any additional information relative to the following, please comment. Attach additional files as required. |   |
| a. Special architectural features required | n/a |
| b. Special electrical requirements | n/a |
| c. Fire and/or security alarm system requirements | n/a |
| d. Special plumbing requirements | n/a |
| e. Heating, air conditioning, ventilation & humidity requirements | n/a |
| f. Are there any known hazardous materials? | n/a |
| g. List number of telephone, fax, and data line outlets required | n/a |
| h. Describe Furniture Requirements & Finishes: (example: special flooring, type of furniture, if matching existing, special finishes outside of University standards (note: this request would require VP approval) etc.) | n/a |
| 8. Attach a drawing showing rough dimensions; floor plan; and indicate changes required for your project. Also show location of electrical, telephone and computer terminal outlets required as well as other special features. Use dimensions if locations are critical. Use north arrow or other method of orientation. |   |
| 9. Attach below any other relevant documents, including drawings or equipment specifications. |   |
| 10. What funds are available to complete this project? |   |
| a. Amount: $ | 50,000.00 |
| b. Source of funds (Departmental funds, College fund, Academic Affairs, Financial Affairs, etc.): | Academic Affairs |
IN ADDITION TO COMPLETING THE PRECEDING DOCUMENT, THE DEPARTMENT MAKING THE REQUEST SHALL BE RESPONSIBLE FOR ROUTING THIS PIR TO ALL REQUIRED APPROVERS SHOWN IN THE LEFT IMAGE BEFORE ROUTING THIS PIR TO THE OFFICE OF CONSTRUCTION ADMINISTRATION. Approvals are required by the appropriate Dean in academic units, and by the appropriate University Vice-President to authorize Construction Administration to begin work to support the planning for a proposal for a Construction Project.

PIR Approval History

<table>
<thead>
<tr>
<th>Date of Action</th>
<th>Action Taken</th>
<th>Login ID</th>
<th>Prefix</th>
<th>First Name</th>
<th>Last Name</th>
<th>Job Title</th>
<th>Organization</th>
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<tr>
<td>01/13/2014 15:21</td>
<td>PIR INITIATION</td>
<td>K2LDAP:skinn017</td>
<td></td>
<td>Matthew</td>
<td>Skinner</td>
<td>Director of Capital Management and EConstruction Administration</td>
<td></td>
</tr>
<tr>
<td>01/13/2014 15:26</td>
<td>Approve</td>
<td>K2LDAP:skinn017</td>
<td></td>
<td>Matthew</td>
<td>Skinner</td>
<td>Director of Capital Management and EConstruction Administration</td>
<td></td>
</tr>
<tr>
<td>01/14/2014 08:46</td>
<td>Approve and convert</td>
<td>K2LDAP:skinn017</td>
<td></td>
<td>Matthew</td>
<td>Skinner</td>
<td>Director of Capital Management and EConstruction Administration</td>
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PIR Comment History

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<td>Skinner</td>
<td></td>
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<tr>
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<td>K2LDAP:skinn017</td>
<td></td>
<td>Matthew</td>
<td>Skinner</td>
<td></td>
</tr>
</tbody>
</table>

Currently Assigned To

Prefix:        
First Name:   
Last Name:    
Tel. No.:

Job Title:    

Campus Address (Box. No.): 
E-Mail Address: 
Fax. No.:

Org Code:    
Org Name:    

Close this form
About Us

The ePIRPAF Helpdesk provides help to Faculty and Staff in the use of the Project Initiation Request and Project Approval Forms through the Everest/K2 workflow system.

This is accomplished by providing training materials, individualized training sessions and assistance on an as-needed basis.

Some common helpdesk requests include:

- first time login questions
- scheduling a training session
- process-specific questions

For these and other information needs please visit the Helpful Info links in the side navigation bar. Also, feel free to contact the ePIRPAF Helpdesk directly with questions, comments, or feedback at:

Phone: (205) 348-6413
Email: msmith@fa.ua.edu

Thank you! We look forward to serving your Everest/K2 ePIRPAF information needs!
Everest/K2 ePIRPAF Frequently Asked Questions

I can’t log in to approve/view an ePIRPAF.

1. Have you previously logged on with no issues?
   a. If the answer is “no”, then please contact Margaret Smith at the ePIRPAF Helpdesk 205/348-6413 or msmith@fa.ua.edu for a short (5 to 10 minutes) training session. “Refresher” training is also available.
   b. If the answer is “yes” and you have logged on before, continue down the list of questions.

2. Are you a Financial Affairs user, if so did you enter “fa_net\” before your FA user name? For example, if Jon Doe’s FA network account name is jdoe, he will use fa_net\jdoe as his user name to login. His password will be his FA network password which is the same password used to login to an FA PC and/or Estus

3. Are you a Campus user (other than Financial Affairs) did you enter “K2LDAP:" in front of your MyBama user name? For example, K2LDAP:jdoe. The MyBama password will be the same you use for logging into the MyBama portal.

4. Have you recently changed your password? If so, please enter your new password.

5. Please reboot your computer and attempt another login. If you receive an error message, then please email the error message to msmith@fa.ua.edu


7. Add the site to the Compatibility List, instructions can be found at http://windows.microsoft.com/en-us/internet-explorer/use-compatibility-view#ie=ie-11

8. Are you logging in remotely? If “yes” please contact Margaret Smith and provide this information.
I can’t attach a file.

1. Are you using special characters in the name such as ....

<table>
<thead>
<tr>
<th>!</th>
<th>&quot;</th>
<th>#</th>
<th>$</th>
<th>%</th>
<th>&amp;</th>
<th>'</th>
<th>(</th>
<th>)</th>
<th>*</th>
<th>+</th>
<th>,</th>
<th>-</th>
<th>/</th>
</tr>
</thead>
<tbody>
<tr>
<td>exclamation point</td>
<td>double quotes</td>
<td>number sign</td>
<td>dollar sign</td>
<td>percent sign</td>
<td>ampersand</td>
<td>single quote</td>
<td>opening parenthesis</td>
<td>closing parenthesis</td>
<td>asterisk</td>
<td>plus sign</td>
<td>comma</td>
<td>minus sign - hyphen</td>
<td>slash</td>
</tr>
</tbody>
</table>

2. If they answer “yes”, please rename the file without the special characters and attempt to attach. If “no”, then please contact msmith@fa.ua.edu

I received an email to approve an ePIRPAF and it won’t let me.

1. Did you click the email link that states “Click to open worklist item” and at log in please make sure you
   a. For campus user - input ”k2LDAP:” in front of their mybama username or
   b. for a FA user input “fa_net\” in front of their FA user name
ePIRPAF Helpdesk

Welcome to the Everest/K2 ePIRPAF Helpdesk!
The ePIRPAF Helpdesk provides help to Faculty and Staff in the use of the Project Initiation Request and Project Approval Forms through the Everest/K2 workflow system.
The Helpdesk is available to assist you Monday thru Friday, 8 to 5

Email: msmith@fa.ua.edu Phone: 205-348-6413

Greetings one and all!
My name is Margaret Smith and I will now be your Help Desk for questions that you might have regarding the ePIRPAF. Just like you, this will also be a learning curve for me. We can all learn together and have fun while learning. If I am unable to answer your questions, your inquiry will be forwarded to Delphine Harris or Matt Skinner. They will still be available to answer any questions that I cannot answer for you. My responsibility is to assist everyone and answer your questions, if possible. Hopefully with my assistance, Delphine and Matt can proceed on their next project.

In case there are some of you that have not talked to me prior to this time, I would like to give you some information about my work experience as it relates to the Help Desk. Hopefully, this will make you feel comfortable talking to me. It has been my pleasure to work for Nancy Whittaker since October, 2005. Prior to coming to work at the University, I worked for over 38 years with the former Gulf States Paper Corporation. From 1995 until my departure in 2005, I worked at the Computer Support Help Desk. My first responsibility was to answer the telephone, record the request in a database and assign it to the proper technician. My specialty was the software that was being used at that time. I did assist with training of our salesmen on their laptop upgrades as well as their new software. I also conducted specific training for other departments. As you can see, customer service has always been one of my top priorities and it will continue to be.

Thank you for the opportunity to assist you. We will have fun while we learn together!

Margaret Smith
Help Desk Contact
348.6413
msmith@fa.ua.edu
<table>
<thead>
<tr>
<th>PIR Number</th>
<th>CA Filing Code</th>
<th>PIR Log Link</th>
<th>Project Name / Location</th>
<th>Created Date</th>
<th>Last Execution Date</th>
<th>Next Approver</th>
<th>Current Activity</th>
<th>PAF Type</th>
<th>PAF Revision</th>
<th>Project Manager</th>
<th>Primary Contact Name</th>
<th>Primary Contact Email</th>
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<td>224</td>
<td>851-13-111</td>
<td>Click Here</td>
<td>Pikes Peak New Chapter House</td>
<td>6/18/2014 5:53 PM</td>
<td>6/19/2014 3:42 PM</td>
<td>Thomas Love</td>
<td>CA Executive Director Review</td>
<td>Construction Project</td>
<td>0</td>
<td>Trenton Hall</td>
<td>Trenton Hall</td>
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<tr>
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<td>104-16-422</td>
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<td>Retail Center on Blyant Drive</td>
<td>6/17/2014 8:49 AM</td>
<td>6/18/2014 5:48 PM</td>
<td>Timothy Leopold</td>
<td>CA A/V Review</td>
<td>Construction Project</td>
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<td>Matthew Shelby</td>
<td>Teresa Shaver</td>
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<tr>
<td>220</td>
<td>016-16-420</td>
<td>Click Here</td>
<td>CAD wall and door additions</td>
<td>6/11/2014 6:14 PM</td>
<td>6/10/2014 2:34 PM</td>
<td>Brook Ballantine</td>
<td>CA Project PM Assignment</td>
<td>Construction Project</td>
<td>0</td>
<td>Vivian McKinley</td>
<td>Vivian McKinley</td>
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<tr>
<td>219</td>
<td>129-16-129</td>
<td>Click Here</td>
<td>Relocation of CDR lobby</td>
<td>6/11/2014 5:15 PM</td>
<td>6/12/2014 8:26 AM</td>
<td>Matthew Skinner</td>
<td>CA PIR Final Review</td>
<td>Construction Project</td>
<td>0</td>
<td>Vivian McKinley</td>
<td>Vivian McKinley</td>
<td></td>
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<tr>
<td>217</td>
<td>151-16-127</td>
<td>Click Here</td>
<td>Capstone Village Rear Patio Entrance</td>
<td>6/10/2014 12:40 PM</td>
<td>6/10/2014 12:40 PM</td>
<td>Charles Hillburn</td>
<td>PIR Dynamic Routing with Approval</td>
<td>Construction Project</td>
<td>0</td>
<td>Donna Weaver</td>
<td>Donna Weaver 3470456</td>
<td></td>
</tr>
<tr>
<td>216</td>
<td>166-16-126</td>
<td>Click Here</td>
<td>Capstone Village - West Stainwell Entrances</td>
<td>6/10/2014 12:31 PM</td>
<td>6/10/2014 12:31 PM</td>
<td>Charles Hillburn</td>
<td>PIR Dynamic Routing with Approval</td>
<td>Construction Project</td>
<td>0</td>
<td>Donna Weaver</td>
<td>Donna Weaver 3470456</td>
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<tr>
<td>214</td>
<td>176-16-124</td>
<td>Click Here</td>
<td>Rose School - Stallings Center Rooms 115, 116, 117, 112, 123 and 124</td>
<td>6/10/2014 9:42 AM</td>
<td>6/10/2014 2:10 PM</td>
<td>Brook Ballantine</td>
<td>CA Project PM Assignment</td>
<td>Construction Project</td>
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<td>Donna Weaver</td>
<td>Donna Weaver 3470456</td>
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<tr>
<td>213</td>
<td>086-16-123</td>
<td>Click Here</td>
<td>Site Development at 26</td>
<td>6/9/2014 1:52 PM</td>
<td>6/13/2014 11:14 AM</td>
<td>Daniel Kelley</td>
<td>Project Construction</td>
<td>Construction Project</td>
<td>0</td>
<td>Daniel Kelley</td>
<td>Todd Leary 7137181473</td>
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## Construction Administration ESTUS Focus Group(s) Meetings

<table>
<thead>
<tr>
<th>Subject</th>
<th>Location</th>
<th>Start</th>
<th>End</th>
<th>Duration</th>
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<tr>
<td>Bond Compliance Review/ESTUS Access</td>
<td>326 Rose Admin</td>
<td>1/25/12 2:00 PM</td>
<td>1/25/13 1:00 PM</td>
<td>1 hour</td>
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<tr>
<td>BOT on ESTUS</td>
<td>AIB-Computer Lab</td>
<td>1/21/12 10:00 AM</td>
<td>1/21/12 11:00 AM</td>
<td>1 hour</td>
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<tr>
<td>Bond Compliance/ESTUS Access</td>
<td>AIB-Computer Lab Room # 233</td>
<td>12/10/12 9:30 AM</td>
<td>12/10/12 9:30 AM</td>
<td>1 hour</td>
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<tr>
<td>CPPMS ESTUS Project Update</td>
<td>Tim Leopard's Office</td>
<td>12/3/12 10:00 AM</td>
<td>12/3/12 11:00 AM</td>
<td>1 hour</td>
</tr>
<tr>
<td>CA Projects Report/Work</td>
<td>AIB-Computer Lab</td>
<td>2/25/12 12:00 PM</td>
<td>2/25/12 12:00 PM</td>
<td>1 hour</td>
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<tr>
<td>Contract Administration</td>
<td>AIB-Computer Lab</td>
<td>5/3/12 3:30 PM</td>
<td>5/3/12 3:30 PM</td>
<td>1 hour</td>
</tr>
<tr>
<td>Environmental Protection</td>
<td>AIB-Computer Lab</td>
<td>5/2/12 3:30 PM</td>
<td>5/2/12 3:30 PM</td>
<td>1 hour</td>
</tr>
<tr>
<td>Estus Migration Follow-up</td>
<td>AIB-Computer Lab</td>
<td>5/2/12 12:00 PM</td>
<td>5/2/12 12:00 PM</td>
<td>1 hour</td>
</tr>
<tr>
<td>Estus Migration Follow-up</td>
<td>AIB-Computer Lab</td>
<td>5/2/12 2:00 PM</td>
<td>5/2/12 2:00 PM</td>
<td>1 hour</td>
</tr>
<tr>
<td>Hold for ESTUS meeting</td>
<td>AIB Lab</td>
<td>5/2/12 1:00 PM</td>
<td>5/2/12 2:30 PM</td>
<td>1.5 hours</td>
</tr>
</tbody>
</table>
Continue Estus Migration Discussion Around Projects
AGB-Computer-Lab 5/2/2012 1:00 PM 5/2/2012 2:30 PM
Tina Howell, Director; Project Management Officer; Andrew Beeson, Sr. Web Architect; Mike Sheldon, Director; Judy Atkins (jatkins@huso.edu); Administrative Assistant; Carrie Nye, Student Administrative Assistant; Nicole Mersbach, Administrative Assistant; Frank Manac, General Superintendent; Alan Baxter, Project Manager; Stacey Franklin, Project Accountant; Carla Brown, Executive Secretary; Tim Leapant, AV President for Construction Administration; Matt Slover, Director of Capital Management and Estimating; Sonnie H. Coleman, Project Manager; Brand Williams, Administrative Assistant; Carolyn Hyde, Plan-Room Coordinator;Trip Farmer, Director of Contract Administration
1.5 hours

Project Manager Training for the new Project Information on Estus
AGB-Computer-Lab 6/27/2012 8:00 AM 6/27/2012 10:30 AM
Tina Howell, Director; Project Management Officer; Andrew Beeson, Sr. Web Architect; Stefan Kim, Director of Application Development; Brooks Baldwin, Project Manager; Bee Hines (beehines@huso.edu); Sr. Project Manager; Lauren Loeves, Administrative Assistant; Tina Simmons, Administrative Assistant; Allison McCants, Administrative Assistant; Carrie Nye, Student Administrative Assistant; Nicole Mersbach, Administrative Assistant; Wes Holman, Project Manager; William Little, Project Manager; James S. Davis, Harrison Project Manager; Andy Maddox, Executive Director; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Sonnie H. Coleman, Project Manager; 2 hours

ASP Estus Training
AGB-Computer-Lab 6/28/2012 2:00 PM 6/28/2012 3:30 PM
Tina Howell, Director; Project Management Officer; Andrew Beeson, Sr. Web Architect; Kathy Black, Director; Cathy Tittle, Executive Director; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Andy Maddox, Executive Director; 1 hour

Training and Discussion on Parametric Processes for Estus Migration
AGB-Computer-Lab 6/28/2012 3:30 PM 6/28/2012 4:30 PM
Tina Howell, Director; Project Management Officer; Andrew Beeson, Sr. Web Architect; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Andy Maddox, Executive Director; 1.5 hours

Discuss Estus Training Schedule
AGB-Computer-Lab, AGB-Confrence Room 6/29/2012 2:00 PM 6/29/2012 2:30 PM
Tina Howell, Director; Project Management Officer; Andrew Beeson, Sr. Web Architect; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Andy Maddox, Executive Director; 30 minutes

Andrew estus trend analysis
AGB-conf 6/4/2013 4:00 PM 6/4/2013 5:00 PM Delphine Harris, Executive Director Business Process Innovation; Andrew Beeson, Sr. Web Architect; 1 hour

Meetings - Projects
AGB-Computer-Lab 7/1/2012 2:30 PM
Delphine Harris, Executive Director Business Process Innovation; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Andy Maddox, Executive Director; 1 hour

Meetings - Projects
AGB-Computer-Lab 7/19/2012 1:00 PM
Delphine Harris, Executive Director Business Process Innovation; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Andy Maddox, Executive Director; 1 hour

Meetings - Projects
AGB-Computer-Lab 7/2/2012 9:00 AM
Delphine Harris, Executive Director Business Process Innovation; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Andy Maddox, Executive Director; 1.5 hours

Meeting continued - SACS estus.docck & ePM
AGB 7/24/2013 11:00 AM 7/24/2013 12:00 PM
Delphine Harris, Executive Director Business Process Innovation; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Andy Maddox, Executive Director; 2 hours

Meetings - Projects
AGB-Computer-Lab 7/2/2012 1:00 PM
Delphine Harris, Executive Director Business Process Innovation; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Andy Maddox, Executive Director; 1 hour

Meetings - Projects
AGB-Computer-Lab 7/2/2012 2:00 PM
Delphine Harris, Executive Director Business Process Innovation; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Andy Maddox, Executive Director; 1 hour

Meetings - Projects
AGB-Computer-Lab 7/2/2012 9:00 AM
Delphine Harris, Executive Director Business Process Innovation; Carla Brown, Executive Secretary; Brand Williams, Administrative Assistant; Andy Maddox, Executive Director; 1.5 hours
Delphine Harris, Executive Director Business Process Innovation.

1.00 Staff Architec; Justin McPherson, Civil & Engineering Technician; Carla Brown, Executive Secretary; Hugh Epperly, Staff Architect; Justin McPherson, Civil & Engineering Technician.

TBD

9:00 AM

7/3/2012

Delphine Harris, Executive Director Business Process Innovation.

Carla Brown, Executive Secretary; Summer H. Coleman, Project Manager; Sumner H. Coleman, Project Manager.

Delphine Harris, Executive Director Business Process Innovation.

Carla Brown, Executive Secretary; Summer H. Coleman, Project Manager; Sumner H. Coleman, Project Manager.

Carla Brown, Executive Secretary; Summer H. Coleman, Project Manager; Sumner H. Coleman, Project Manager.

Carla Brown, Executive Secretary; Summer H. Coleman, Project Manager; Sumner H. Coleman, Project Manager.

Carla Brown, Executive Secretary; Summer H. Coleman, Project Manager; Sumner H. Coleman, Project Manager.

Access Adkins, Judy Adkins (jadkins@fa.ua.edu), Administrative Assistant; Tina Streiten, Administrative Assistant; Lauren Lowers, Administrative Assistant; Nicole Merchbach, Administrative Assistant; Allison McCants, Administrative Assistant; Carla Brown, Executive Secretary; Brandt Williams, Administrative Assistant; Leigh Ann Hugdy, Program Assistant for Contract Administration; Kristie Denaburg, Office Associate.

William Beeson, Architect; Bill Tontin, Pre-Construction Manager; Carla Brown, Executive Secretary; Tim Leopard, AV President for Construction Administration; Matt Skinner, Director of Capital Management and Estimating.

William Beeson, Architect; Bill Tontin, Pre-Construction Manager; Carla Brown, Executive Secretary; Tim Leopard, AV President for Construction Administration; Matt Skinner, Director of Capital Management and Estimating.

William Beeson, Architect; Bill Tontin, Pre-Construction Manager; Carla Brown, Executive Secretary; Tim Leopard, AV President for Construction Administration; Matt Skinner, Director of Capital Management and Estimating.

William Beeson, Architect; Bill Tontin, Pre-Construction Manager; Carla Brown, Executive Secretary; Tim Leopard, AV President for Construction Administration; Matt Skinner, Director of Capital Management and Estimating.

William Beeson, Architect; Bill Tontin, Pre-Construction Manager; Carla Brown, Executive Secretary; Tim Leopard, AV President for Construction Administration; Matt Skinner, Director of Capital Management and Estimating.
Discussion of List
Delphine’s Office
8/20/2012 9:30 AM
8/20/2012 11:00 AM

Innovation;

Judy Adkins; Judy Adkins
jadkins@fa.ua.edu, Administrative Assistant;

Carla Brown, Executive Secretary; Brandi Williams, Administrative Assistant; Matt Briner, Director of Capital Management and Estimating; Leigh Ann Hugley, Program Assistant for Contract Administration;

30 minutes

ESTUS Documents: 8/1/2012 9:00 AM 8/20/2012 9:30 AM
Judy Adkins; Judy Adkins
jadkins@fa.ua.edu, Administrative Assistant;

Carla Brown, Executive Secretary; Brandi Williams, Administrative Assistant; Matt Briner, Director of Capital Management and Estimating; Leigh Ann Hugley, Program Assistant for Contract Administration;

30 minutes

ESTUS Documents: 8/20/2012 9:00 AM 8/20/2012 9:30 AM
Judy Adkins; Judy Adkins
jadkins@fa.ua.edu, Administrative Assistant;

Carla Brown, Executive Secretary; Brandi Williams, Administrative Assistant; Matt Briner, Director of Capital Management and Estimating; Leigh Ann Hugley, Program Assistant for Contract Administration;

30 minutes

Delphine Harris, Executive Director Business Process

Discussion of List
Delphine’s Office
8/20/2012 9:30 AM
8/20/2012 11:00 AM

Innovation;

Tina Howell, Director Project Management Office; Andrew Beeson, Sr. Web Architect;

Carla Brown, Executive Secretary; Brandi Williams, Administrative Assistant; Carrie Nye, Student Administrative Assistant; Randy Barnett, Director for Architecture; Ben Hemson (bhenson@fa.ua.edu), Sr. Project Manager;

2 hours

ESTUS Training
AGB-Computer Lab - 22/2012 11:00 AM
8/22/2012 1:30 PM

Innovation;

Nicole Menschbach, Administrative Assistant; Tina Simmons, Administrative Assistant; Bill Toomey, Pre-Construction Manager;

Jennifer F. Simmons, Construction Administrations Executive Secretary; Hugh Kappenstein, Staff Architect;

2 hours

ESTUS Training
AGB-Computer Lab - 8/31/2012 8:30 AM
8/23/2012 10:30 AM

Tina Howell, Director Project Management Office; Andrew Beeson, Sr. Web Architect;

Steve Sale, Director of Architecture; Nance Dooley, Contract Specialist; Trip Farmer, Director of Construction Administration; Leigh Ann Hugley, Program Assistant for Contract Administration; Dan Rodger, Contract Administrator;

2 hours

ESTUS Training
AGB-Computer Lab - 8/28/2012 3:00 PM
8/28/2012 5:00 PM

Tina Howell, Director Project Management Office; Andrew Beeson, Sr. Web Architect;

Matt Shelby, Project Manager; Daniel Collins, Project Manager; Greg Cross (jmcdermott@fa.ua.edu), Project Manager; J. Dykes, Project Manager; Carl McConkey, Project Manager;

Brandi Williams, Administrative Assistant; Somer H. Coleman, Project Manager;

2 hours

ESTUS Training
AGB-Computer Lab - 8/28/2012 3:00 PM
8/28/2012 5:00 PM

Tina Howell, Director Project Management Office; Andrew Beeson, Sr. Web Architect;

Matt Shelby, Project Manager; Daniel Collins, Project Manager; Greg Cross (jmcdermott@fa.ua.edu), Project Manager; J. Dykes, Project Manager; Carl McConkey, Project Manager;

Brandi Williams, Executive Secretary; Brandi Williams, Administrative Assistant; Somer H. Coleman, Project Manager;

2 hours

Discussion of List
Delphine’s Office
8/3/2012 3:30 PM
8/3/2012 5:00 PM

Innovation;

Lauren Losario, Administrative Assistant;

Rob Cooper, Project Manager; Garnette Hatchett, Project Manager; Trenton A. Hall, Project Engineer; Somer H. Coleman, Project Manager; Brandi Williams, Administrative Assistant; Paula Marquez;

2 hours

ESTUS Training
AGB-Computer Lab - 8/6/2012 1:00 PM
8/6/2012 3:00 PM

Carla Brown, Coordinator of Information Management;

Tina Howell, Director Project Management Office; Andrew Beeson, Sr. Web Architect;

Tommy Atkins, Project Manager; Alan Butler, Project Manager; Wes Holston, Project Manager; Justin T. Hult, Project Manager; Brad Cook, Project Manager; Will Little (will@hrfco.com), Project Manager; Dennis W. McConkey, Project Manager; Carl McConkey, Project Manager;

Rob Cooper, Project Manager; Garnette Hatchett, Project Manager; Trenton A. Hall, Project Engineer; Somer H. Coleman, Project Manager; Brandi Williams, Administrative Assistant; Paula Marquez;

2 hours

ESTUS Training
AGB-Computer Lab - 8/6/2012 1:00 PM
8/6/2012 3:00 PM

Carla Brown, Coordinator of Information Management;

Tina Howell, Director Project Management Office; Andrew Beeson, Sr. Web Architect;

Tommy Atkins, Project Manager; Alan Butler, Project Manager; Wes Holston, Project Manager; Justin T. Hult, Project Manager; Brad Cook, Project Manager; Will Little (will@hrfco.com), Project Manager; Dennis W. McConkey, Project Manager; Carl McConkey, Project Manager; Matt Denburg, PM Engineer; James Davis (dlharris@fa.ua.edu), Project Manager; Steven Mercado, Field Coordinator;

Rob Cooper, Project Manager; Garnette Hatchett, Project Manager; Trenton A. Hall, Project Engineer; Somer H. Coleman, Project Manager; Brandi Williams, Administrative Assistant; Paula Marquez, Mechanical Engineer;

2 hours
Please note that titles and Divisions, Areas and/or Departments of responsible individuals may differ due to transfers, onboarding and/or exiting. Meetings may appear to overlap due to the lack of data. Many discussions were held among stakeholders and not formally documented. The collaborative and informal settings encouraged free and open communication.
Trend Analysis By Month

Storage Trend Analysis

- Storage - Size
- Storage - Size

Storage (MB)

- 0
- 5000
- 10000
- 15000
- 20000

Dates:

Years:
- 2011
- 2012
Activity Trend Analysis

Number of Requests


2011    2012

Activity - Requests  Activity - Moving Average
Selection:

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<tr>
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<th>Type</th>
<th>Name</th>
<th>URL</th>
<th>Path</th>
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<td>✔️</td>
<td>SharePoint</td>
<td>SharePoint_Construction (1)</td>
<td><a href="https://construction-estus.fa.ua.edu/">https://construction-estus.fa.ua.edu/</a></td>
<td>ESTUS &gt; SharePoint_Construction</td>
</tr>
</tbody>
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Percentage of Maximum (Storage, Activity, Site)

Selection:

<table>
<thead>
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<th>Type</th>
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<th>URL</th>
<th>Path</th>
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<tr>
<td>✅</td>
<td>SharePoint_Construction (1)</td>
<td><a href="https://construction-estus.fa.ua.edu/">https://construction-estus.fa.ua.edu/</a></td>
<td>ESTUS &gt; SharePoint_Construction</td>
<td></td>
</tr>
</tbody>
</table>
**Purpose:**

The purpose of this policy is to clarify the guidelines to be followed when establishing budgets and expending funds for capital projects.

**Policy Statement:**

Funds that have been dedicated for capital projects are derived from a variety of sources. These sources include UA bonds, Public School and College Authority (PSCA) or state provided bonds, gifts, deferred maintenance funds, plant funds or reserve funds. The University of Alabama’s philosophy is that capital project funds should be primarily for bricks and mortar and landscaping or hard construction costs. In general, construction and contingency should represent the majority of the total project costs and be 85% or higher of the total capital project budget.

**Policy:**

Capital projects are long-term investment projects that require larger sums of monies to fund new construction and additions and renovations that will improve existing facilities. Capital projects may also include infrastructure projects, such as road projects, storm water drainage, utility projects, and parking lots and decks. In some cases, equipment purchases and large software purchases may also be considered capital projects. Buildings and other infrastructure projects with a total project cost greater than $750,000 must be approved by The Board of Trustees of The University of Alabama (BOT). Equipment purchases as a group for a particular project or as a single item that exceed $500,000 must also be approved by the BOT. Exceptions to the equipment rule do exist if the project is funded from grant or sponsored program funds.

Below is a synopsis of the types of budget line items that are specified for UA Capital Projects.

**Construction** - Initially, this budget category corresponds to the approved construction amount included in the project budget based on the estimated cost of construction per gross square foot. Prior to the receipt of bids, the total construction line indicates the maximum amount available for award of a construction contract(s); thereafter, the construction line reports the actual award amount for each contract, and shall include change order amounts as the project progresses. If the project is to be bid in more than one bid package, a budget shall be established for each in a separate bid package. The individual packages shall be described, e.g. site work, infrastructure, building contract, etc…

**Site Development** - This budget line is established to fund project related infrastructure needs, such as storm drainage and utility connections. This category may also be used to budget the cost to clear the site for construction.
**Contingency** - This budget item is reserved for unforeseen design and construction costs and incidental expenses. In accordance with Board Rule 415, contingency must be equal to 5% and 10% of construction and site development costs for new construction and renovations, respectively.

**Landscaping** - This budget line item covers the cost of all labor and materials necessary to install plant materials and irrigation systems. The cost to design the landscaping for a project is not charged to the project as the University has a landscape architect on staff that will prepare the design documents. Plant materials should be large enough to meet the scale of the structure. The design of the exterior landscape should appear as if it has been established for many years. All capital project landscaping projects must be approved by the Landscape and Grounds Committee.

**Architect/Engineering Fees** - The fees paid to the architect/engineer for basic and additional services (including special consultants) and reimbursable expenses are included in this budget category.

**Telecommunications and Data** - This budget line includes all costs necessary to provide telecommunication and data services. These costs include providing access to University fiber, wired and/or wireless network connectivity (including network closets, network switches, network ports, access points) and phone connections.

**Furniture, Fixtures, and Equipment** – This expense includes the costs associated with moveable furnishings and equipment and attached fixtures.

**Project Management Fees** - This fee is paid to cover the costs of a project manager to manage the project from conceptual design through final completion. A project manager may be a UA employee or an external service provider (i.e., Hoar Program Management). This fee is established at 1.5% of Construction, Site Development, and Contingency.

**Other Fees** – Examples of other fees include:

- Testing Fees - Costs associated with surveys, soil tests, geotechnical testing, and all construction tests to be paid by the owner, such as concrete tests & HVAC system tests. If material, some of these testing fees may be budgeted as a separate budget line.
- Inspection Services - Costs associated with inspections, e.g. architect/engineer's project representative, roofing inspection, and threshold inspection.
- Impact/Environmental Fees - The fees required to be paid to governmental agencies or other utility providers.
- Advertising and printing - Fees necessary to advertise the project for bid in accordance with Title 39 (Public Works Statute) and associated printing costs.
- Commissioning - This cost is associated with the process of verifying, in new construction, that all the subsystems for HVAC, Plumbing, Electrical, Fire/Life safety, Building Envelopes, and Interior Systems (example laboratory units), achieve the owner's project requirements as intended by the building owner and as designed by the building architects and engineers. Building commissioning is a quality-focused process necessary for both non-complex and complex modern construction projects. Normally the initial commissioning team and a team leader (typically known as the commissioning authority) are involved from
project initiation through one year of occupancy. If the expense is large enough, commissioning could be a separate budget line item.

As noted above, a large majority of University capital projects are funded through the issuance of UA bonds. In general, the period of repayment on the bond proceeds is for 30 years. Therefore, as the capital project budget is prepared, construction project managers and users should be mindful of the length of time required to pay off the project. A general rule of thumb to apply when developing a capital project budget is that if the finished building could be picked up and turned upside down, then whatever falls out should not be charged to the capital budget. The reason for this philosophy is that it is not cost effective to fund an item that may have a useful life of only 3 to 5 years with monies that cannot be paid off until 30 years have passed. The majority of expenses for a capital project should be for services necessary to construct the facility, actual bricks and mortar, and other interior finishes that are attached. Exceptions to this general rule would be furniture and equipment that are needed to place the building in service. For example, a classroom building would require tables, chairs, desks, podiums, and other items to furnish the building. However, purchasing several computers for a computer lab would be more efficiently accomplished through other funding sources than a capital project based on a computer’s useful life.

**Project Completion:**

Upon completion of a project, any unused funds will be returned to the originating source. Users cannot use the capital project budget to fund operating expenses.
PROJECT APPROVAL FORM

The University of Alabama
Construction Administration
1205 14th Street, P.O.Box 870186
Tel: 8 - 5950        Fax: 8 - 9105

PROJECT No: ________________  Activity Code: ____________  Date: ____________

PROJECT NAME: ________________________________________________

LOCATION: ____________________________________________________

SCOPE OF WORK (If Revision, provide brief explanation why revision to prior Project Approval is required)

User completes shaded areas only; Construction Administration to complete other fields

| Capital Asset Classification                                                                 |
| Fixed Equipment                                                                                           |
| New Construction                                                                                           |
| Building Improvements                                                                                     |
| Deferred/Routine Maintenance                                                                               |
| Infrastructure                                                                                             |
| Building Improvements                                                                                     |

Project Contact: ____________________________  Telephone: __________
Address: ____________________________________
Date Approved: ________________  Date Project Required: __________

Submission of this Project Approval Form authorizes the Office of Construction Administration to proceed with the following services:

- Encumber funds in a Banner account in the amount of the Approved Total Budget noted on the cover sheet to fund Design, Project Management, and other services needed to complete the tasks identified below and to ultimately fund completion of the total project.
- Assignment of a permanent Project Manager to meet with the Project Contact to review and confirm project scope.
- Initiation of Project Design Process using either in-house or outside design professionals.
- Monitor the project's design against the approved project scope and budget and notify the Project Contact of any observed variances.
- Conduct periodic design reviews with appropriate University personnel to insure compliance with Campus design guidelines.
- Assemble Construction Documents Bid Package ready for solicitation of advertised bidding.
- Confirm final budget and Scope of Work with Project Contact prior to soliciting bids.
- Solicit bids either on the open market or, if time and project scope warrants, by Facilities Operation & Maintenance.
- Manage and monitor all aspects of the construction process including periodic quality control inspections at appropriate intervals.
- Complete all project close-out activities.

Construction Administration will not solicit construction bids until any variance between Project Budget and the Scope of Work are acknowledged and appropriate steps have been taken to bring the Project Scope and the available budget into alignment.

Submit completed Project Approval Form to Construction Administration
### APPROVED PROJECT BUDGET

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Original</th>
<th>Revised</th>
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<tbody>
<tr>
<td>1. Construction (new)</td>
<td>$</td>
<td></td>
</tr>
<tr>
<td>1a. Construction (renovation)</td>
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<td></td>
</tr>
<tr>
<td>1b. Construction/Renovation (Thermal Energy &amp; Chiller)</td>
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<td></td>
</tr>
<tr>
<td>2. Construction Related</td>
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<td></td>
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<tr>
<td>3. Hazardous Materials</td>
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<tr>
<td>4. Furnishings - (Allowance)</td>
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<td></td>
</tr>
<tr>
<td>5. Equipment</td>
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<td></td>
</tr>
<tr>
<td>6. Telephone/Data/Security</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Architect/Engineer Fees</td>
<td></td>
<td></td>
</tr>
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<td>8. Project Management Services</td>
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</tr>
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<td>9. Other Fees</td>
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<td>12. Inflation</td>
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### FUNDING

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<th>Account to be Charged:</th>
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<tbody>
<tr>
<td></td>
<td>$</td>
</tr>
<tr>
<td></td>
<td>$</td>
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<tr>
<td></td>
<td>$</td>
</tr>
</tbody>
</table>

### REQUIRED APPROVALS

- **Project Manager**: ___________________________ Date: __________
- **AVP Construction**: ___________________________ Date: __________
- **Project Requester**: ___________________________ Date: __________
- **Department Chair / Director**: ___________________________ Date: __________
- **Dean / V.P.**: ___________________________ Date: __________

Copy to:
Purpose:
The purpose of this policy is to clarify the guidelines to be followed when establishing budgets and expending funds for construction projects (“Projects”).

Policy Statement:
Funds that have been dedicated for projects are derived from a variety of sources. These sources include: University bonds, Public School and College Authority (PSCA) or state provided bonds, gifts, deferred maintenance funds, plant funds, and reserve funds. The University of Alabama’s philosophy is that capital project funds should be primarily for brick and mortar structures and landscaping/hardscaping/lighting or hard construction costs. In general, construction and contingency should represent the majority of the total project cost which is the equivalent of 85% or higher of the total project budget.

Policy:
The term “Projects” refers to all construction projects administered by Construction Administration. Capital projects are long-term investment projects that require larger sums of monies to fund new construction and additions and renovations that will improve existing facilities. Capital projects may also include infrastructure and land improvement projects, such as: road projects, storm water drainage, utility projects, parking lots, and decks. In some cases, equipment purchases may be considered capital projects. Buildings and other infrastructure projects with a total project cost greater than $750,000 must be approved by The Board of Trustees of The University of Alabama (the “Board”). However, all projects (regardless of cost) which substantially impact the visual appearance of the University or that involve historically significant or otherwise notable structures, as determined by the Chancellor or designee, must be presented to the Board for review and approval. Equipment purchases, as a group for a particular project or as a single item, that exceed $500,000 must also be approved by the Board. Exceptions to the rule on equipment purchases exist if the project is funded from grant or sponsored program funds. Departmental projects that are not designated as construction projects such as large software projects (over $100,000) will be provided oversight by Financial Accounting and Reporting (FAR).

Below is a synopsis of the types of budget line items that are specified for University Construction Projects.

Construction - Initially, this budget category corresponds to the approved construction amount included in the project budget based on the estimated cost of construction by total amount as well as per gross square foot. Prior to the receipt of bids, the total construction line indicates the maximum amount available for award of a construction contract(s); thereafter, the construction line reports the actual award amount for each contract, and shall include change order amounts as the project progresses. If the project is to be bid in more than one bid package, a budget shall be established for each in a separate bid package. The individual packages shall be described, e.g. site work, infrastructure, building contract, etc. This category consists of all structures used for operating purposes. This includes all permanently attached fixtures, machinery, and other components that cannot be removed without damaging the buildings (NACUBO - FARM).
**Site Development** - This budget line is established to fund project related infrastructure needs, such as storm drainage and utility connections. This category may also be used to budget the cost to clear the site for construction which includes the demolition of buildings.

**Contingency** - This budget item is reserved for unforeseen design and construction costs and incidental expenses. In accordance with Board Rule 415, “the contingency allowance should not exceed a maximum of 5% of construction cost for new projects and 10% of construction costs for renovation projects.” Construction cost is defined as following items combined: Construction, Site Development, Shared Costs for Utilities, Hazardous Materials, Landscaping, and Donated Materials. Contingency will be recalculated when a revised Project Approval Form (PAF) is issued and the amount of the underlying items increase or decrease.

**Hazardous Materials** - Materials such as Asbestos are considered hazardous if it appears on a list of hazardous materials prepared by a federal, state, or local agency, or if it has characteristics defined as hazardous by such an agency. (The Environmental Protection Agency maintains a searchable database of hazardous materials at [http://yosemite.epa.gov/oswer/lol.nsf//Alphabet?OpenView&restricttocategory=A&count=200](http://yosemite.epa.gov/oswer/lol.nsf//Alphabet?OpenView&restricttocategory=A&count=200)). Excavation may expose buried hazardous materials resulting from prior use of the proposed site or adjacent property to the site. This category must be used for costs associated with testing and removal of hazardous materials. It must be separated in order for FAR to determine the appropriate method of financial reporting under the Governmental Accounting Standards Board (GASB).

**Landscaping** - This budget line item covers the cost of all labor and materials necessary to install plant materials, irrigation systems, and uplighting for the building. The cost to design the landscaping for a project is not charged to the project as the University has a landscape architect on staff that will prepare the design documents. Plant materials should adequately meet the scale of the structure. The design of the exterior landscape should appear as if it has been established for many years. All capital project landscaping projects must adhere to the standards in the Campus Master Plan and be approved by the Landscape and Grounds Advisory Group.

**Architect/Engineering Fees** - Fees paid to the architect/engineer for basic and additional services (including special consultants) and reimbursable expenses are included in this budget category.

**Telecommunications and Data** - This budget line item includes all costs necessary to provide telecommunication and data services. These costs include providing access to University fiber, wired and/or wireless network connectivity (including network closets, network switches, network ports, access points) and phone connections.

**Furniture, Fixtures, and Equipment (FF&E)** - This expense category includes the costs associated with moveable furnishings, equipment and fixtures. Movable furniture, fixtures or other equipment have no permanent connection to the structure of a building or utilities and can be removed without damaging the building. Examples of FF&E include desks, chairs, computers, electronic equipment and tables.

**Security System and Access Control** - This budget line item covers the cost of all labor and materials necessary to establish and/or enhance campus security and safety for the building. This includes items such as intrusion alarms, security cameras, and keys (electronic and manual).

**Shared Cost for Utilities** - Typically, utility services (power, water, and gas) related to the construction project that is supplied from the University distribution system will be paid by the University based on the appropriate operating procedures. For construction projects across multiple users (Auxiliary, E&G, etc.), utility services expense will be allocated based on the appropriate method, pro rata (i.e. square feet) among those areas determined by Energy Management. Construction Administration defines the terms and conditions of utility expense in the General Contractor’s agreement including addendums. Construction Administration will notify (in writing via a Project Execution and Strategy
Schedule (PESS) form Business Administration for Construction and Physical Plant (BACPP) if terms related to utility expense differ from the typical procedures as described above.

**Project Management Fee** - This fee is paid to offset the costs of a project manager to manage the project from conceptual design through final completion. A project manager may be an employee of the University or an external service provider (i.e., Hoar Program Management). This fee is established at 2.0% of the combined cost of the following items: Construction, Site Development, Shared Costs for Utilities, Hazardous Materials, Landscaping, Donated Materials, and Contingency. Project Management Fees will be recalculated when a revised PAF is issued and the amount of the underlying items increase or decrease.

**Other Fees and Services** - Examples include:
- *Testing Fees* - Costs associated with surveys, soil tests, geotechnical testing, and all construction tests to be paid by the owner, such as concrete tests & Heating, Ventilation, and Air Conditioning (HVAC) system tests. If material, some of these testing fees may be budgeted as a separate budget line.
- *Inspection Services* - Costs associated with inspections, e.g. architect/engineer's project representative, roofing inspection, and threshold inspection.
- *Impact/Environmental Fees* - Fees required to be paid to governmental agencies or other utility providers.
- *Advertising and Printing* - Fees necessary to advertise the project for bid in accordance with Title 39 (Public Works Statute) and associated printing costs.
- *Commissioning* - This cost is associated with the process of verifying, in new construction, that all the subsystems for Heating, ventilating and air conditioning (HVAC), Plumbing, Electrical, Fire/Life safety, Building Envelopes, and Interior Systems (example laboratory units), achieve the owner's project requirements as intended by the building owner and as designed by the building architects and engineers. Building commissioning is a quality-focused process necessary for both non-complex and complex modern construction projects. Normally, the initial commissioning team and a team leader (typically known as the commissioning authority) are involved from project initiation through one year of occupancy. If the expense is substantial, commissioning could be a separate budget line item on the Board submittal and will require Board approval if the cost is greater than $100,000.

**Projects Funded from Tax-Exempt Bond Proceeds:**
As noted above, a large majority of University capital projects are funded through the issuance of University bonds. In general, the period of repayment on bond proceeds is 30 years. Therefore, as the capital project budget is prepared, construction project managers and users should be mindful of the length of time required to pay off the project. The majority of expenses for a capital project should be for services necessary to construct the facility, actual bricks and mortar, and other interior finishes that are attached. Furniture and equipment that are needed to place the building in service are an allowable use of tax-exempt bond funds. For example, a classroom building would require tables, chairs, desks, podiums, and other items to furnish the building. However, purchasing several computers for a computer lab would be more efficiently accomplished through other funding sources than a capital project based on a computer's useful life.

**Records Retention:**
The University has adopted a record retention policy for projects that are funded with tax-exempt funds. Documentation should be maintained for the entire terms of the bonds issued plus three years after the bonds have matured. If the bonds are refunded in later issues, the combined term of the issues plus three years will be the required retention period. For example, if bonds were originally issued in 2004 and refunded in 2012, the record retention period would be through 2045 (2012 plus 30 years plus 3 additional years).
Unallowable Expenses for Construction Projects:

Due to fiscal responsibility, some items that are allowable per the University Spending Policy may not be allowable items for construction projects. Thus, this policy provides guidance to assist in identifying operating expenses that are not allowable on construction projects.

Below are the guidelines that will assist in identifying operating expenses that are not allowable on construction projects. While the list is not all inclusive, it does capture the majority of items that should not be charged to capital and construction project budgets. If project managers are not clear about the allowability of a particular type of expense, they should contact Business Administration for Construction and Physical Plant (BACPP) to obtain a final determination. Items will be added to this list as they are discovered and researched:

- Meal and entertainment expenses
- Promotional items (articles of merchandise, generally with a logo such as the University and/or other types of corporations, businesses, etc., used in marketing or advertising. Examples include T-shirts, caps, tote bags, imprinted pens, and key chains.
- Travel, unless specifically approved by The Office of the Vice President for Financial Affairs and Treasurer
- Personal items including clothing, rewards, electronics, decorations, etc.
- Purchase of vehicles, trailers, fork lifts or similar equipment as well as any maintenance costs associated with these items
- General and administrative costs normally charged to the operating budget such as office supplies, cleaning supplies, removal tools, etc.*
- Payroll charges not specifically identified to a particular project
- Computer software and/or software upgrades used for operations
- Moveable FFE for all Student Organization projects (i.e., Fraternity and Sorority housing)

*Exception: Consumable office supply (toner, copy paper, pens, etc.) costs directly associated with an on-site project office may be charged to the construction project, provided appropriate documentation is maintained to indicate the related project.

Purchasing and Payments to Vendors:

Project budgets are reviewed on a regular basis to ensure they do not include unallowable purchases. If a purchase is found to be unallowable on a project but allowable on state funds, it is corrected with a journal entry and the costs are transferred to a state funded account. Any purchase that is found to be unallowable and cannot be paid for with state funds will be discussed with the Vice President for Financial Affairs and Treasurer to determine proper handling.

All purchase requests for capital and construction projects, with the exception of telecommunication charges, are submitted to Business Administration for Construction and Physical Plant (BACPP). Requests are reviewed by a member of management to ensure that purchases are appropriate and allowable. If requests include questionable items, an email that requests justification is sent to the requester. If requests include unallowable items, they are returned to the requester and he/she is required to correct the request by either resubmitting it or by sending an email with details of the correction to the appropriate professional staff member.

Furnishings and Design purchase requests are submitted to Business Administration for Construction and Physical Plant by an email from the Furnishings and Design department. The purchase requisitions are reviewed in Banner. If the purchase is accurate, appropriate and allowable, the requisition is approved in Banner. If there is a question or unallowable item on the requisition, it is disapproved in Banner and the Furnishings and Design department is notified.

Payments to Vendors

In addition to the Purchasing and Accounting Policies and Guidelines followed by The University of Alabama, Business Administration for Construction and Physical Plant (BACPP) administers further requirements for Construction Projects. These additional requirements are necessary due to
governing laws, regulations as well as the policies of the University including the Alabama Building Code, Title 39, Title 41, and Board Rule 415.

A contract must be in place before payment can be processed. In certain circumstances, a Letter of Intent (LOI) may be used as an authorization for payment. A contractual agreement ensures a complete understanding of the responsibilities and terms. All requests for payment are to be submitted to BACPP.

Miscellaneous Disbursement Vouchers (MDVs) cannot be used to disburse payments other than those to utility companies as approved by BACPP.

**Timely Expenditure of Tax-Exempt Bond Funds:**

For projects that use tax-exempt bond funds as a funding source, the project should be completed within three years of issuance of the bond proceeds. Projects may be approved by the Board with a funding source of future bonds, and projects may be started prior to the issuance of bonds. In those instances, the board resolution must declare the University’s intent to use bond funds. The following language must be included in the resolution for the project:

WHEREAS, officials at The University of Alabama have determined that the Board will incur certain costs in connection with the acquisition, construction, and installation of the Project prior to the issuance of the Bonds, and the Board intends to allocate a portion of the proceeds of the Bonds to reimburse the Board for certain costs incurred in connection with the acquisition, construction and installation of the Project paid prior to the issuance of the Bonds; and

The University of Alabama does hereby declare that it intends to allocate a portion of the proceeds of the Bonds to reimburse the Board for expenses incurred after the date that is no more than sixty days prior to the date of the adoption of this resolution, but prior to the issuance of the Bonds in connection with the acquisition, construction, and installment of the Project; therefore,

This portion of this resolution is being adopted pursuant to the requirements of Treasury Regulations Section 1.150-2(c).

**Funding:**

In order to ensure timely expenditure of bond funds, the University draws down bond funds first for projects that are funded with bonds. If the project is funded with a combination of federal and state grant funds or PSCA funds in addition to tax-exempt bonds, the University will drawdown the grant funding and state bond funding first followed by the bond proceeds unless the grant agreements require a pro-rata drawdown of funds. FAR is responsible for funding issues which may arise from an excess of the approved Project Approval Form (PAF).

A PAF is required for each project regardless of value of the contract(s). For all projects including capital projects, a Project Worksheet and all relevant backup documentation must be attached to the PAF. A PESS (Project Execution Strategy & Schedule) must be completed for projects exceeding $100,000. Board Resolutions are also required to be attached to all BOT projects.

**PAF Revisions:**

Revisions to the PAF are required when adjustments to the total project budget are required. These revisions include:

- Increases in the total budget of BOT items, which also requires a revised BOT resolution.
- Changes due to bids that come under/over the original PAF amount.
• A scope change such as changing a lay in ceiling to a hard ceiling; or changing pre-cast concrete versus natural stone.
• Changes that impact the budget beyond the amount of contingency.

Note that adjustments to accounts within specific expense accounts that do not change the total budget can and should be adjusted by submission of a Cost Projection Worksheet with explanation to BACPP in a timely manner.

Contract Funded by Multiple Projects
In order to gain cost efficiencies, it may be necessary to jointly bid portions funded by more than one project fund (“multiple project funds”) in the same contract. In which case, it must be clearly defined in the base bid/alternates and other documentation.

Contract Funded by Three or Less Projects
The accounting for a contract split will be managed by BACPP as coordinated with the project manager. Therefore, no cost allocation PAF is necessary. The contract, board related documents, and other appropriate backup documentation will be used for an audit trail.

Contract Funded by More Than Three Projects
The Project Manager should provide all information to the Director of BACPP in order to evaluate the necessity of a PAF Cost Allocation. If the contract is split between four or more projects a cost allocation may be used. When a cost allocation is required, a journal voucher will be prepared by BACPP, which will allocate the joint expenditures. The project that is incurring the cost (Funded Project) on behalf of another project will receive a credit, and the project that shares the expense (Funding Project) will be debited for the expenditure. The contract, board related documents and other appropriate backup documentation will be used for an audit trail.

Cost Allocations:
Cost allocations are authorized and implemented through a PAF. Cost allocations facilitate keeping the original budget in place when a bid benefits multiple projects. Cost allocations are used when funding from a project is used to fund a joint cost in another project. For example, site development costs for infrastructure may be bid in one project that actually supports multiple projects. When identified, a cost allocation will be made from the funding project to the project incurring the cost. Cost allocations will increase expenditures in the funding project for its share of the joint cost and expenditures will be decreased in the project incurring the cost. A separate line in the project budget will be used for cost allocations. Cost allocations that are capitalized with the funding project will use line item 795997, and cost allocations that are capitalized with the funded project will use line item 795996. Cost allocations must be supported by documentation that includes all documents and analysis that provides the basis for the amount of the cost allocation. For example, if utilities’ piping is being run to multiple projects, there must be an appropriate method for the allocation (i.e., linear sq. ft.).

Designated Repository:
ESTUS is a collaborative platform that is the designated repository of the Division of Financial Affairs of The University of Alabama. As such, there are on-boarding and off-boarding mechanisms provided by Financial Affairs Information Technology which must be utilized by Construction Administration, Contract Administration, and BACPP. An example of this would be the procedure for Construction Administration to add a new stakeholder (Project Manager, Administrative Assistant, General Contractor, Architect, etc.) to ESTUS. These designated roles control the level of access which the stakeholder is given.

Limited access is also provided to the public at https://construction-estus.fa.ua.edu/default.aspx
All stakeholders have the ability to create email alerts within their access area and unsubscribe to the alerts they no longer require. Instructions can be found at http://office.microsoft.com/en-
RSS feeds are also available as a tool to alert of changes by a stakeholder. Instructions for RSS feeds can be found at https://construction-estus.fa.ua.edu/Lists/How%20do%20I/AllItems.aspx. Additionally, stakeholders can email a document or the section in ESTUS via a link. Instructions for email an ESTUS link can be found at http://office.microsoft.com/en-us/windows-sharepoint-services-help/send-a-link-to-a-document-library-file-RZ010233836.aspx?section=4.

E-mailing documents to stakeholders as attachment results in full mailboxes and unnecessary use of server storage space. In addition, this action results in circumventing procedure as well as engaging in an inefficient process. If a stakeholder is sent a link and are unable to access this link--- this alerts Construction Administration to a failure in the on-boarding process so that it may be addressed immediately.

**Active Projects:**

Project managers and project accountants will update the Notes Log and User Defined Fields at a minimum on the 15th and the 30th of each month. This information is made available on both ESTUS and AIM. A Cost Project Worksheet must be completed and uploaded to ESTUS on the 15th of each month. This process facilitates timely reconciliation of Projects. A Cost Project Worksheet must also be completed each time there is a financial commitment (Change Order, PAF, Purchase Order, Revisions, etc.).

**Project Completion:**

In order to facilitate the timely financial closeout of Projects, all billing by external contractors and vendors must be complete and final (excluding Contractor retainage and final Architect draw) within 90 days from the executed date of the Certificate of Substantial Completion (COSC). At which point, Financial Accounting and Reporting will suspend further Banner activity.

Work Orders by internal stakeholders of the University (OIT, Facilities, etc.) related to a Project must be billed within seven days of the work completion of an individual work order. When a Project Manager requests an estimate of work, a new work order should be generated.

Upon completion of a project, a Financial Closeout PAF must be completed and approved for each project. Any unused funds will be returned to the originating source. In addition to all other project completion requirements required by both Construction Administration and Contract Administration, the following applies:

**Property Insurance Requirements**

A Certificate of Occupancy must be sent to the Director of Risk Management & Special Projects, which prompts the conversion from builder’s risk (property insurance for construction projects) to permanent property insurance coverage.

A Property Insurance Form must be completed once a construction project is completed to allow the transition from builders risk insurance to the University’s property insurance program. The form should be completed and submitted within 30 days of the issuance of the occupancy permit to the Director of Risk Management & Special Projects for review. This form is required in the following situations:

- newly completed buildings;
- projects where the improvements result in a material change (greater than 15%) in the replacement value of the building;
- the footprint of an existing building is expanded or reduced; or,
- unattached structures are added (e.g. dumpster enclosure, energy plants, etc.) to an existing building.

The form is available on the Alabama Department of Finance-Division of Risk Management (ALDORM) website:
The ALDORM form is needed for each separate and distinct structure even though a connection to another structure with underground piping, electrical systems, etc. may exist.

The form is not required for interior renovations, reconfigurations, or other interior improvements, unless the project includes the replacement or addition of a critical building system, and the project increases the replacement cost of the building by more than 15%.

Some of the requested information will be completed by Risk Management including the Division, Location, Item Number, Insured, Contents Value, and Town Class. In general, most of the requested information is self-explanatory, and the sections to be completed by the Project Manager are highlighted on the attached Property Insurance Request. The University’s Risk Management office will complete the form, take photographs of the building, and submit the information to ALDORM.

The Director of Risk Management & Special Projects is available to answer any questions or to clarify any points of confusion or concern.
### SUMMARY OF OPEN CONSTRUCTION ADMINISTRATION PROJECTS BY STATUS

As of June 30, 2013

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<td>4</td>
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<td>In Design</td>
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<td>Open Commitments to Contractors</td>
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<td>Athletics Projects</td>
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<td>Closeout Documents in Process</td>
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<td>33</td>
<td>Punchlist Review</td>
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<td>Closed out with Contract Administration, not closed with Business Activities for Construction &amp; Physical</td>
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<td>47</td>
<td>Plant (BACPP)</td>
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<td>8</td>
<td>Resolving claims/issues with Contractor</td>
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<td>PAF Revision/Surplus Funding</td>
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<td>Waiting for Final Contract Doc/Requested Project</td>
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<td>24</td>
<td>Manager Updates</td>
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<td>PSCA Related Issue</td>
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<td>Revised PAF submitted for approval</td>
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<td>Confirmed by BACPP that they are processing</td>
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<tr>
<td>336</td>
<td>Project Fund Officially Closed</td>
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**Notes:**

*The darker the color the closer it becomes to the end of the Project and generally requires more monitoring or given higher priority.*
## SUMMARY BY PRIORITY RANGE

<table>
<thead>
<tr>
<th>Priority Range</th>
<th>-1 to -.05</th>
<th>0 to 2.25</th>
<th>3.0 to 3.05</th>
<th>3.06 to 3.9</th>
<th>Total</th>
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<tr>
<td># of Projects</td>
<td>54</td>
<td>126</td>
<td>55</td>
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</table>

M. Skinner (CA)/D. Harris (DFA)
Update Directory Information

1. Sign in on mybama.ua.edu

2. Click on the Employee Tab

3. In the middle at the top, click inside the Update Your Directory Contact Information

4. Type in your fa.ua.edu address unless it is already there. Check to make sure everything is up to date.

5. Click Apply Changes
Submission of this Project Approval Form authorizes the Office of Construction Administration to proceed with the following services:

- Encumber funds in a Banner account in the amount of the Approved Total Budget noted on the cover sheet to fund Design, Project Management, and other services needed to complete the tasks identified below and to ultimately fund completion of the total project.
- Assignment of a permanent Project Manager to meet with the Project Contact to review and confirm project scope.
- Initiation of Project Design Process using either in-house or outside design professionals.
- Monitor the project’s design against the approved project scope and budget and notify the Project Contact of any observed variances.
- Conduct periodic design reviews with appropriate University personnel to ensure compliance with Campus design guidelines.
- Assemble Construction Documents Bid Package ready for solicitation of advertised bidding.
- Confirm final budget and scope of work with Project Contact prior to soliciting bids.
- Solicit bids either on the open market or, if time and project scope warrants, by Facilities Operation & Maintenance.
- Manage and monitor all aspects of the construction process including periodic quality control inspections at appropriate intervals.
- Complete all project close-out activities.

Construction Administration will not solicit construction bids until any variance between Project Budget and the Scope of Work are acknowledged and appropriate steps have been taken to bring the Project Scope and the available budget into alignment.

Submit completed Project Approval Form to Construction Administration

To submit the Project Approval Form: Complete form, upon signing, the Save Dialog will appear.

Rename and Save the Project Approval Form to your computer.

E-mail the completed Project Approval Form and any additional documents as attachments to:

Brandi Williams at bwilliams@fa.ua.edu
**PROJECT APPROVAL FORM (PAF)**

**Financial PROJECT CLOSEOUT**

**Revision No.**

**Project Banner Fund #**

**Requestor**

**Division/College**

**ACTIVITY CODE:**

**PIR #**

**PROJECT NAME:**

---

**Approved Project Budget**

<table>
<thead>
<tr>
<th>Expenses</th>
<th>Last Approved Version</th>
<th>Revised</th>
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<tbody>
<tr>
<td>1. Construction</td>
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<tr>
<td>2. Site Development</td>
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<tr>
<td>3. Shared Costs for Utilities</td>
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<td></td>
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<tr>
<td>4. Hazardous Materials</td>
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<td></td>
</tr>
<tr>
<td>5. Landscaping</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Furniture, Fixtures &amp; Equipment</td>
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<tr>
<td>7. Donated Materials</td>
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<tr>
<td>8. Security System &amp; Access Control</td>
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<tr>
<td>9. Telecommunications/Data</td>
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<tr>
<td>10. Architect/Engineer Fees</td>
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<td>11. Other Fee &amp; Services</td>
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<td>12. Contingency Fee</td>
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**Total Project Budget With Contingency**

**PM Services Fee (2%)**

**Grand Total:**

**PM Notes:**

**AVP Notes:**

---

**Funding Sources**

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<tr>
<th>Banner Fund #</th>
<th>Description</th>
<th>Amount</th>
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**Required Approvals**

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<tr>
<th>Role</th>
<th>Date Signed</th>
<th>Authorized Dept. Representative</th>
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<tr>
<td>Project Manager</td>
<td>Aug 06, 2014</td>
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<td>AVP Construction</td>
<td>Aug 06, 2014</td>
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<td>Dean/V.P.</td>
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</tr>
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</table>

Phone: 348-5950  Fax: 348-9105
## PROJECT NAME:

### 1. Related Projects: Cross Project Funding Dominoes

### 2. Basis of Budget

**Estimate Generated By:**
- Comparable Projects

<table>
<thead>
<tr>
<th>Unit Price</th>
<th>Order of Magnitude</th>
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</thead>
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### 3. Schedule: Relative to Approval

**BOT**

<table>
<thead>
<tr>
<th>Stage</th>
<th>Date</th>
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</thead>
<tbody>
<tr>
<td>Stage I</td>
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<tr>
<td>Stage II</td>
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<td>Stage III</td>
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<tr>
<td>Stage IV</td>
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<tr>
<td>Design</td>
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<tr>
<td>Bid</td>
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<tr>
<td>Construction</td>
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### 4. Packaging & Execution

**UA Ops Works**

<table>
<thead>
<tr>
<th>Packages</th>
<th>Phasing</th>
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</thead>
</table>

**Owner Furnished Equipment**
5. Related Projects:
   - Accommodation of Future Projects
   - Master Plan Considerations

6. System Utility Impacts & Shutdowns:
   - Electrical Load
   - Storm Water
   - Plumbing
   - Thermal Energy

7. Campus Impacts:
   - OIT
   - Parking
   - Roadways
   - Pedestrian Paths
   - Landscape
   - Trees
8. Risk/In determinant Variables:

<table>
<thead>
<tr>
<th>Potential/Un-Included Costs</th>
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</thead>
<tbody>
<tr>
<td>Exclusions</td>
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<tr>
<td>Market Issues</td>
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9. Critical Action Items:

Attach any additional documents to the email containing the completed PAF.