



## 4.14 Capital Priorities and Planning Process Policy

*This online version is for convenience; the official version of this policy is housed in the University Secretariat. In case of discrepancy between the online version and the official version held by the Secretariat, the official version shall prevail.*

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Contact Mary Mason at

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The Master Plan in coordination with the overall Campus Capital Plan sets out the major Capital Projects. The President's Group will begin the governance process the prioritization of projects brought forward and the Buildings and Property Committees, as well as ensure that projects are prepared to ensure cost and design control as well as that costs have been identified, a Project Implementation Report and Project Status Reports are provided regularly to the Board and a

The Master Plan which will guide the University in establishing, among other things, the plan, the University will address building and landscape design

The University will ensure that campus development must be consistent with the context and the development plans of the cities of Waterloo, Brantford and Kitchener. The campus should be sustained and enhanced by campus development. The design and construction of any new project must be sensitive to the historic significance should be preserved and enhanced, and an appropriate integration of new additions must be ensured. The design of University facilities and contribute to the quality and coherence of the campus.

This document at first appearance may be found below.

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The development of a modern university campus presents no easy challenges.

From the perspective of faculty and student recruits in working, studying, and dreaming in an inspirational and creative environment, the University's commitment to design must be consistent with (and indeed, a core component of) the highest standards. The standards for design excellence should be no less exacting than those that are set in the academic disciplines. Good design has a profound impact on the character and quality of human interactions within the University community.

On modern campuses, the challenges are: to effectively integrate the new with the existing structures; to achieve interconnectivity through thoughtful green landscaping; to be cognizant of the existing cultural landscape; and to ensure new landmark buildings feature high quality designs and materials that will serve to systematically strengthen and further enrich overall campus connectivity.

The University's development of its physical assets should be guided by a best practices approach to physical planning, design and construction. Accordingly, this policy defines the norms for carrying out such an approach, specifies the framework within which individual projects can evolve, and establishes approval and reporting requirements.

This policy must be viewed as a living document to be updated at regular intervals in reflection of necessary changes to, and/or the refinement of, existing procedures as appropriate.

## 1. General Planning Matters

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The planning approach is to invest in maintaining a comprehensive Campus Master Plan for each campus and to systematically establish Capital Plans that set out specific Capital Projects to be designed and built in such a way as to be low maintenance, as defined in an appropriate *Infrastructure Renewal Plan*.

### 1.1 Campus Master Plans

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The University will undertake comprehensive Master Planning reviews for the Waterloo, Brantford and Kitchener campuses on a 5-year cycle. The planning process will be chaired by the Assistant Vice President of Physical Resources and will involve extensive community input from students, faculty, staff and the surrounding neighbourhood. After each review process is complete, the Board shall adopt the Master Plan for each campus and for other properties as required. Master Plans may designate certain sites as priority locations for specific University units, activities or projects. Such plans normally address the type and quality of the public spaces on each campus, the parameters for individual buildings and growth opportunities.

### 1.2 Capital Plans

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The Board shall adopt, from time to time, Capital Plans. These Capital Plans, which are an outcome of the University's Academic Planning and Master Planning processes, set out the major Capital Projects to which the University has assigned priority for a specified period of time.<sup>2</sup> Such plans are normally adopted for multi-year periods and are updated, as required, to reflect progress made and new or altered priorities. Capital Plans include all Capital Projects valued at \$2M or greater, which are expected to be in planning and or implementation stage during the period of the Capital Plan. A Capital Plan provides provisional estimates of overall costs and sources of funds and is implemented by Physical Resources.

<sup>2</sup> *Priority represents an ordering among needs. Needs may be established in a variety of ways: through an approved divisional plan linking the quality and effectiveness of academic programs to space requirements, through an external assessment of academic programs, through the introduction of a new or expanded program or service, through an assessment of space using provincial or institutional standards, or through the availability of a fixed sum of money for a project congruent with the University's plans.*

### 1.3 Infrastructure Renewal Plans

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The Board may adopt, from time to time, Infrastructure Renewal Plans for the renewal costs of building systems and other infrastructure in excess of \$500K. Each year, a number of projects will be undertaken that are identified within the Infrastructure Renewal Plan. Such plans express the University's priorities for a multi-year period and are updated, at appropriate intervals, to reflect the progress made and new or altered priorities.

In addition to these more routine maintenance and infrastructure projects, which are integral to an Infrastructure Renewal Plan, the Board shall adopt, as the need arises, special projects that address extraordinary and/or urgent needs to support the infrastructure of the University. Such plans will normally include major and/or innovative types of utility infrastructure and will normally include a business case for the repayment of the required investment.

## 2. Planning Principles

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Campus Master Plans, Capital Plans, as well as Infrastructure Renewal Plans should be developed and implemented within the context of principles that express the University's commitment to the orderly and responsible development and use of its assets. Such principles extend to the development of individual projects that are integral to the academic mission of the University. All projects should stand as examples of high quality design, incorporating an appropriate level of functionality and responsibility towards the environment. Furthermore, each individual project should be satisfactorily integrated into the comprehensive Campus Master Plan of the University. These *Planning Principles*, as set out in [Appendix A](#), constitute the enduring interests of the University and are to be taken into account in all detailed planning.

Operating within the framework of the Campus Master Plan, it will be necessary at various times to strike working groups with the specific objective to explore the independent needs and interactions between faculties, divisions and units in advance of establishing *Project Committees* for new Capital Projects. Working groups will be established by the VP of Finance and Administration (or designate) in consultation with the divisions (Faculties, etc.) and will report to the VP Finance and Administration (or designate). The results of these working groups will serve to more sharply define the Terms of Reference that are formally established with the formation of the Project Committee for each new Capital Project. Working groups will also be struck, as needed, to identify collective space requirements in support of academic programs. The use of working groups is intended to facilitate the planning process and provide an opportunity for divisions to investigate greater integration and the sharing of facilities with academic collaborators across the University.

Residences and all other major use facilities of a non-academic nature, including student services, athletics and recreation, child-care, multi-faith facilities, parking, etc. will conform to the same procedural requirements (outlined below) for Capital Projects initiated in support of the academic program requirements of the University. The essential differences being the governance approval process that requires approval by the Board and the particular financial arrangements made to address building costs, i.e. a long-term mortgage normally carried by the ancillary in the case of new residential construction.

### 3. Overview of Project Approvals, Planning Process and Reporting Requirements (2M and Over)

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**Note:** For projects in the \$50K to under \$2M range, a separate process is outlined in Appendices [F](#) and [G](#).

A brief summary of project approvals, planning process and reporting requirements, as outlined in Sections 4 and 5, follows to clarify the elements of the Capital Priorities and Planning Process Policy. Please see Section 3.1 – Figure 1 for a diagram of the components of this process and the sequence of events within the University governance structure.

The President's Group will oversee the full life cycle of any Capital Project, Infrastructure Renewal Project, Departmental / Faculty Project or Project arising from dedicated government funding at the University valued at \$2M or greater. All proposals for new projects at or over \$2M will be brought forward to the President's Group for consideration on an as required basis. All proposals will be submitted using the *Capital Project Proposal* document attached as [Appendix E](#).

Upon approval by the President's Group, a Project Committee will be established and will prepare the first comprehensive cost estimate of the project (Project Planning Report) while Financial Services will identify the sources of funding. Once the Project Planning Report has been reviewed and approved by the President's Group, a Project Implementation Report will be prepared and forwarded to the Finance and Investments and Buildings and Property Committees of the Board for review.

Upon the recommendation by the Finance and Investments and Buildings and Property Committees, the Project Implementation Report will be forwarded to the Board of Governors for approval. The selection of consultants (architect, landscape architect, planners, etc.) will remain a part of the Project Committee's responsibility. Throughout this continuing process, User Groups will be consulted and independent advice on the design elements of the project and its integration into the campus environment will be sought from the Aesthetics Committee.

In the event costs have increased from the approved / tendered price to beyond the lesser of \$2M or 10% of the project cost, the project is required to be resubmitted for Board approval. Should the Board of Governors not approve additional resources as a result of the change, the Project Committee will recommend a course of action to the President's Group for review and approval.

#### 3.1 Figure 1: Project Approvals, Planning Process and Reporting Requirements (\$2M and Over)

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(See [Appendix F](#) for Project Approvals, Planning Process and Reporting Requirements for Projects From \$50K to \$2M.)

### 4. Projects: Authority to Plan and Implement

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Separate projects originate through Capital Plans, Infrastructure Renewal Plans and as a result of new Dedicated Government Funding or Departmental / Faculty initiatives brought forward with the approval of the President's Group.

#### 4.1 Capital Projects

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The authority to plan and implement all Capital Projects is delegated by the Board of Governors to the President (or designate), subject to:

##### 4.1.1

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President's Group approval of Project Planning Reports for separate Capital Projects with a projected cost of \$2M or greater.

- All major Project Planning Reports are to be reviewed by the President's Group.
- All completed Capital Projects between \$50K and \$2M shall be reported annually to the Board of Governors through the VP Finance and Administration.

##### 4.1.2

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For each project identified by an approved Project Planning Report, Board approval of the companion Project Implementation Report is required.

##### 4.1.3

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The President's establishment of administrative mechanisms related to the exercise of this authority includes means for:

- Ensuring the interests of the University and of individual project users are taken into account in all projects.
- Tracking the developing project with respect to the general Planning Principles set out in [Appendix A](#) and the specific parameters approved for the individual project.

- Resolving in a timely fashion any discrepancies that arise between the project as planned and the project as proposed for implementation.
- Reporting on significant developments within the evolution of projects. Such mechanisms should ensure review by the AVP Physical Resources of key issues that significantly affect the University's ability to plan or implement current or future projects, or that may significantly affect relations among divisions or with the community at large.

## 4.2 Infrastructure Renewal Projects

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Each year, a listing of all Infrastructure Renewal Projects requiring attention shall be forwarded through the Finance and Investments and Buildings and Property Committees to the Board for information.

All ministry funded Infrastructure Renewal Projects between \$50K and \$2M shall be reported annually through the Finance and Investments and Buildings and Property Committees to the Board.

For separate Infrastructure Renewal Projects with a projected cost greater than \$2M, the development of a Project Planning Report consistent with the approval process for Capital Projects is required. Similarly, the approval of both the President's Group and the Board are required to proceed with the implementation of the project. For Infrastructure Renewal Projects, the Project Planning Report and the Project Implementation Report will be substantially reduced from that required for Capital Projects, see Appendices B and D.

## 4.3 Departmental / Faculty Capital Project Requests and Projects Arising From Dedicated Government Funding

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See Section 3 for the appropriate guidelines, based on whether the project is valued at under \$2M or \$2M and greater.

## 5. Projects: Planning and Implementation Requirements (\$2M and Over)

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### 5.1 Project Committee

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For each project significant enough to require individual Board approval, the VP Finance and Administration or his/her delegate shall establish a Project Committee. The Project Committee, which is advisory to the President's Group, shall be formed at the onset of project planning and continue to exist until the completion of the project. This will ensure functional continuity throughout the life of the project as the Project Committee will include a core membership representative of the interests of the project users, the staff responsible for space and facilities planning, and the staff responsible for liaison with design consultants and contractors. The membership of the Project Committee must comprise the senior representative(s) of the User(s), normally the Dean(s), Chair(s) or equivalent (or delegates) with recognition of multi-unit participation, i.e. Faculty and/or Department, and the AVP Physical Resources (or delegate). A representative from each of these constituencies will constitute a working executive committee. The Chair of the Project Committee<sup>3</sup> will be identified from within the executive committee and the Chair may be changed during the life of the project. All Project Committees will include faculty, staff and student representation.

In cases of large, complex or sensitive projects additional core members may be designated by the President's Group including a Project Coordinator, whose role will be to ensure the project moves forward and the differing responsibilities of core members of the group are harmonized. The total membership of the Project Committee, its terms of reference and the designation of its Chair are subject to the approval of the President's Group and shall be reported for information to the Finance and Investments and Buildings and Property Committees.

<sup>3</sup> *The Project Committee may have different chairs at different stages in a project. For example, in the planning phase the chair may be the dean or other senior representative of the users, with a senior administrative officer becoming chair during the implementation phase. The administrative responsibilities and accountabilities of the AVP Physical Resources would continue irrespective of who chairs the Project Committee.*

### 5.2 Project Planning Report

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Project Planning Reports are prepared for all individual Capital Projects and Infrastructure Renewal Projects for which Project Committees are established. The intent of the Project Planning Report is to initiate the fundamental understanding of what the project will entail. Items such as: total project costs, secondary effects, site approval, environmental considerations, operating costs, space inventory, utilization analysis and space programs are items considered in the report. The Project Planning Report provides a very detailed analysis of the project with the intent being that the majority of the difficult design issues are contemplated and resolved early on in the project life cycle and that the Users have a sound knowledge of project requirements, thereby allowing the project to proceed smoothly in the implementation phase.

The Project Planning Report typically will address the types of matters listed in [Appendix B](#) and all other matters that require administrative attention or Board approval prior to a project moving into an implementation phase. The Project Planning Report constitutes, in the first instance, advice to the President's Group who is responsible for conveying it to the appropriate bodies together with a report on any modifications made to the Report and on the project's conformity with the University's overall physical planning interests as expressed by the Planning Principles set out in [Appendix A](#). Furthermore, some concise reference to the quality

standards anticipated for the particular project with respect to existing and or equivalent facilities should be included in the Report to facilitate and clarify the objectives of the project, e.g. exceptionally durable materials, architecturally significant exterior components, unique landscaping elements, etc. may be required in certain projects and this should be identified for costing purposes.

The Project Planning Report must include provisional estimates<sup>4</sup> of the cost of the project, the potential sources of revenue, cost escalation, the details of a projected cash flow analysis with respect to both revenues and expenditures, and the operating costs. The Project Planning Report constitutes the parameters within which further planning and implementation of the project shall take place.

It is important that the documents approved in connection with the Project Planning Report specify all desired functional requirements and/or special facilities consistent with academic priorities and requirements. Such provisions should not normally be introduced after the Project Planning Report has received formal approval. Significant changes to the approved Report or to other key elements of the project (site, space program, overall project cost, and sources of funding) will be returned to the President's Group for further consideration if such changes are beyond the authority of the President to approve, see Section 5.7.3 below.

Since the estimated costs of the complete project are identified in the Project Planning Report, the initial acceptance and approval of the project by the Finance and Investments and Buildings and Property Committees of the Board should include a specific recommendation for initial funding to commence the architectural and related design work necessary to advance the project. The magnitude of the funding requested will depend on the scope of the project. Approval for full funding of the project requires a Project Implementation Report, which will normally only be secured once approval has been received by the Board of Governors.

<sup>4</sup> Detailed external estimates are required, see [Appendix B](#).

### 5.2.1 Fast Tracking

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On occasion, the "fast tracking" of a project may be required as a result of schedules or conditions of funding/finance. In this case, the Finance and Investments and Buildings and Property Committee's approval of the Project Implementation Report will be sought without the receipt of tenders. In such cases, approval will be given on the condition tenders come in as projected.

In cases where the total project budget is less than \$2 million and when time is of the essence, final approval may be sought from the President's Group based on the Project Planning Report.

At this point, selection of the consultant (architect, landscape architect, planners, other) will commence and the executive of the Project Committee will formalize the content of the proposal call.

In very rare cases such as emergencies or disaster recovery situations, projects can be approved in principle by the Board of Governors, but will normally require the complete source(s) of funds be defined or supported through the University budget.

### 5.3 Project Implementation Report

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Project Implementation Reports are required for all individual Capital Projects and Infrastructural Renewal Projects with values of \$2M or greater to proceed to the implementation stage. The purpose of the Project Implementation Report is to provide a summary of the key issues of the project for review by the Board of Governors. The report will also capture any significant issues arising subsequent to the Project Planning Report that may change the project scope. The report also addresses cost and schedule, but more importantly includes a recommendation on whether or not to move the project forward.

When the design has proceeded to a point where a project can be tendered and a total project cost fixed after consultation with the Project Committee and the Aesthetics Committee, the responsible administrative officer prepares a Project Implementation Report for review by the Finance and Investments and Buildings and Property Committees. The Project Implementation Report shall include comments on any changes in essential elements previously approved in the Project Planning Report, on conformity with the overall Planning Principles in Appendix A, any variances with advice rendered by the Aesthetics Committee, any other approvals that remain, the proposed total project cost, the sources of revenue funding, the timing of projected expenditures, the projected cash flow and the required financing and escalation costs. A representative template of the Project Implementation Report can be found in [Appendix D](#). In considering approval of the project for implementation, the Finance and Investments and Buildings and Property Committees will assess the extent to which the project is within its approved parameters, its cost effectiveness, and the extent to which full funding is committed or obtainable, and whether there are any significant outstanding and unresolved issues with respect to the project. If satisfied with the Project Implementation Report, the Finance and Investments and Buildings and Property Committees will forward their recommendation to the Board of Governors for their consideration.

### 5.4 Project Status Report

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Project Status Reports will be provided to the President's Group and the Board of Governors at appropriate milestones of all Capital Projects and Infrastructure Renewal Projects, or more frequently if required.

### 5.5 Project Conclusion Report

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At the completion of a Capital Project or Infrastructure Renewal Project, a Project Conclusion Report is required. The purpose of the report is to bring closure to the project and to provide useful feedback on all procedures as well as the cost of the project. All Project Conclusion Reports are to be reviewed by the President's Group. A summary of Project Conclusion Reports will be provided to the Board of Governors at the close of each project and in particular to the Audit and Compliance Committee of the Board.

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## 5.6 Aesthetics Committee

The Terms of Reference of the Aesthetics Committee are detailed in [Appendix C](#). It is in the University's interest that each project significant enough to require individual Board approval, and which has an exterior design component or public area, be reviewed from a design perspective by a Committee established for this purpose. In making this provision, the University seeks to obtain a level of advice commensurate with its desire to build in ways which provide outstanding examples of the work the design profession can contribute to a university environment.

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## 5.7 Project Implementation

Project implementation is the responsibility of an officer designated by the President's Group, subject to the parameters established through the approval of the Project Planning Report and in consultation with the Project Committee, the Aesthetics Committee, and other relevant bodies.

The following additional provisions apply:

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### 5.7.1 Project Consultants

Project consultants can be retained under each of the following scenarios: Planners, architects, landscape architects and other consultants may be retained, and site preparation work authorized, for any project approved as part of a Capital Plan. The cost of this activity is to be included as part of the project cost. Such consultants may also be retained for projects not approved as part of a Capital Plan, but only with the approval of the AVP Physical Resources (or designate), irrespective of the source of funds and with funding only up to \$250,000 from a source of guaranteed funding. Greater expenditures for such projects require the approval of the Finance and Investments and Buildings and Property Committees.

For projects with approved Project Planning Reports, authority to appoint architects and other consultants is delegated to the AVP Physical Resources (or designate), acting after receiving advice from the Project Committee. In the case of projects not requiring Project Planning Reports, authority to appoint architects and other consultants is delegated to the AVP Physical Resources (or designate), subject to confirmation of project funding.

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### 5.7.2 Board of Governors

Except as outlined in Section 5.7.1 above, no contract for the implementation of a project, for which a Project Planning Report is required, may be signed before approval of the project by the Board of Governors. This approval of the Board normally will be given on the basis of a Project Implementation Report, outlined in Section 5.3 above. The Project Committee can recommend an expenditure of partial funding to hire the appropriate consultants and architects to advance the project to the implementation stage subject to approval by the Finance and Investments and Buildings and Property Committees. Final approval of the project by the Board of Governors will normally only be given when the Project Implementation Report is available.

Repeat requests for partial funding can be made to the Board and must be accompanied with a detailed report of all expenditures authorized by previous allocations to advance the project to the implementation stage.

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### 5.7.3 Project Cost Increases

Increases in the cost of projects with approved Project Planning Reports may be authorized by the President's Group up to a total of the lesser of \$500,000 or 10% of the total project cost. In the event costs have increased from the approved / tendered price to beyond the lesser of \$2,000,000 or 10% of the project cost, the project is required to be resubmitted for approval to the Finance and Investments and Buildings and Property Committees and, with respect to sources of funding and Board approval, is required to secure approval when significant changes to a space program have been introduced.

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### 5.7.4 Changes In Scope

Irrespective of cost issues, a re-submission to the Board is required to secure approval when significant changes to a space program have been introduced.

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## Appendix A: Planning Principles

To ensure excellence in campus planning and design, directives that guide the University towards a systematic and comprehensive approach for evaluating design alternatives for buildings and grounds are necessary.

The Planning Principles that guide the University in various development proposals related to campus planning, building design, site planning and landscaped open space are loosely categorized below. These principles address accessibility, safety and environmental issues. In addition, it is important to refer to the Master Plan for each campus to delineate those issues that are campus specific,

notably parking, etc.

## A.1 Campus Planning

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### A.1.1

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It should be recognized that the University is set within an established urban environment and that campus development must fall within the parameters of the existing context and the development plans of the Cities of Waterloo, Brantford and Kitchener.

### A.1.2

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The development capacity of Wilfrid Laurier University property should be fully realized, while respecting the integrity of each campus to support the University's academic endeavours.

### A.1.3

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The use of transit should be encouraged while co-operating with the Cities of Waterloo, Kitchener and Brantford in new endeavours to examine and rationalize parking.

### A.1.4

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The architectural and visual coherence of the campus should be sustained and enhanced by campus development.

### A.1.5

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Structures and outdoor spaces of historical, architectural, or environmental significance should be preserved.

### A.1.6

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The University's heritage and traditions should be enhanced and emphasized.

### A.1.7

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Unified academic communities should be planned with a fundamental framework of social and environmental amenities (e.g. child care, food services, recycling facilities, etc.).

### A.1.8

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The expansion of campus-wide service networks, such as utilities and communications, should be integral to campus planning.

### A.1.9

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The University campus and global environment should be maintained and enhanced.

## A.2 Site Planning

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### A.2.1

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Structures, open space, and areas of historic significance should be preserved and enhanced and an appropriate integration of new development, renovations, or additions must be ensured.

### A.2.2

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A system of continuous pedestrian routes throughout the campus should be established which provide safe and convenient access to all University facilities, including convenient access for the physically disabled.

### A.2.3

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The grouping of buildings with related use and technical support facilities should be encouraged.

### A.2.4

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Aesthetic aspects of public areas should be enhanced.

### A.2.5

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Personal safety considerations must be paramount in building and landscape design.

## A.3 Landscaped Outdoor Open Space

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### A.3.1

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Designated funding for landscape improvements are required to be included within total building project budgets in accordance with the University's budget guidelines.

### A.3.2

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Priority should be given to landscape improvements on the Waterloo Campus.

### A.3.3

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Existing University open space, gardens and treed areas of significance should be respected and enhanced when planning new development, renovations and additions to adjacent buildings.

### A.3.4

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Optimal microclimatic conditions should be promoted through site and building design. Specifically, design must take into account that peak use of each campus occurs in fall and winter.

### A.3.5

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Streetscapes should be identifiable through distinctive paving, lighting, signage, and outdoor furnishings.

## A.4. Property and Land Use

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### A.4.1

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The use of physical resources of all kinds should aim to promote the University's academic goals. All University lands should be regarded as resources to serve the University's overall mission.

### A.4.2

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No buildings or campus areas should be irrevocably assigned to or controlled by a particular division or department.

### A.4.3

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Capital improvements and the use of existing space should be coordinated to ensure the most effective use of all resources. The secondary ramifications of every major capital project should be identified as part of the planning for the project.

### A.4.4

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Building renovation and adaptation should be given equal consideration with building replacement in order to maximize use of the existing space inventory and to preserve sites for development.

### A.4.5

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Where possible and desirable, the University should plan multiple use facilities.

### A.4.6

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The periphery of the campus should be planned in a consultative fashion so as to reflect the plans of both adjacent communities and the University.

### A.4.7

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Faculties and departments that have close functional or disciplinary relationships should be grouped whenever possible.

### A.4.8

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The University should vacate leased space funded by the operating budget whenever cost effective alternatives are presented to do so.

### A.4.9

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Surface parking should be replaced wherever possible by parking structures.

### A.4.10

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The university should retain oversight of design and quality when leasing land to a third party.

## A.5 Considerations for Building Design

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#### A.5.1

All buildings should be identifiable as University facilities and contribute to the quality and coherence of the campus.

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#### A.5.2

On the perimeter of the campus, the buildings should convey the identity of the University as well as ensuring appropriate integration with the adjacent communities.

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#### A.5.3

Each building project should be developed as part of an integrated whole, consisting of built space, open space, and functional inter-relationships.

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#### A.5.4

The gross area of each building should be minimized to reduce capital and operating costs while fulfilling program requirements according to a system of objective space standards (Council of Ontario Universities' Space Classification Codes).

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#### A.5.5

Building design should make efficient use of each building site taking into account the limited availability of undeveloped campus lands.

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#### A.5.6

Building design should take into account impact on micro-climatic conditions.

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#### A.5.7

Facilities that do not require surface locations should be built below grade when possible.

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#### A.5.8

Infill should be considered to capitalize on unused space or where it can preserve and reinforce the historical, aesthetic or functional attributes of existing buildings.

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#### A.5.9

Accessibility for the disabled must be taken into account in building design.

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#### A.5.10

Building design should provide flexibility to facilitate changes in use and improvements in technical support facilities.

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#### A.5.11

All building projects should take into account the principles described above in order to improve adjacent existing facilities whenever possible.

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#### A.5.12

When making decisions about designs, processes and products that influence resource use and other environmental impact, alternative methods that result in good environmental practices should be considered.

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#### A.5.13

All buildings are to be designed according to principles of green building in order to minimize energy and materials demand, and to minimize interior pollution.

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### Appendix B: Project Planning Report Template

- I. Membership of Project Committee
- II. Terms of Reference
- III. Background Information
  - history
  - previous approvals/reference documents
- IV. Statement of Academic Plan
- V. Space Program

- overview of existing space
- nominal space allocation required by Academic Plan or other initiatives
- summary of space utilization analyses
- tabular listing of renovated and new space
- special facilities
- VI. Functional Plan
  - description of relationships between activities
  - functional space allocation diagram
- VII. Environmental Impact
  - energy/water use
  - open space
  - materials
- VIII. Special Considerations
  - standards of construction and quality
  - landscape requirements
  - accessibility and personal safety
  - computing and communications
  - environmental issues
  - hazardous waste disposal
  - campus planning issues
- IX. Resource Implications
  - site service relocates
  - infrastructure upgrades in the sector
  - construction costs
  - other costs (secondary effects, construction contingency, demolition)
  - permits and insurance
  - professional fees
  - landscaping
  - computer and telephone terminations
  - furniture and equipment
  - miscellaneous costs (signage, security, other)
  - donor recognition
  - moving and staging
  - commissioning
  - financing costs
  - total project cost estimate
- X. Operating Costs
- X1. Other Related Costs
- XII. Funding Sources and Cash Flow Analysis
- XIII. Schedule
- XIV. Recommendations

**Appendices:**

1. Space Inventory
2. Utilization Analyses
3. Equipment/Furnishings
4. Computing
5. Total Project Cost (TPC) Estimate (see B.1 – Table 1)
6. Room Specification Sheets

**Notes:**

1. This template is specific to Capital Projects. Items IV and V and elements of item IX are not directly applicable to Infrastructure Renewal Projects and should be identified as N/A.
2. A detailed Construction Cost Estimate (see B.1 – Table 2) will be systematically updated for all Capital Projects, beginning with the initial design cycle and continuing through to completion. This information will be maintained for internal use by the office of the AVP Physical Resources and available to the President's Group.

**B.1 Table 1: Total Project Cost Estimate (TPC)**

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- Column 1 will be completed with the Project Planning Report.
- Columns 1 to 5 will be included in the Project Implementation Report.

**B.2 Table 2: Construction Cost Estimate**

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- A Construction Cost Estimate will be systematically updated for all Capital Projects, beginning with the initial design cycle and continuing through to completion.
- This information will be maintained for internal use by the office of the AVP Physical Resources and available to the President's Group in the review of Capital Projects.

## Appendix C: Aesthetics Committee

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### C.1 Terms of Reference

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The Aesthetics Committee advises the President's Group on the development of campus built form environment in order to enable the President to implement the University's commitment to a level of excellence in this area comparable to that established for its academic activities. The Committee uses high standards in discharging its duties with respect to architect selection, design review and the interplay of design issues with other planning concerns. All projects are assessed with respect to approved Campus Master Plans, which will also be reviewed from time to time by the Aesthetics Committee.

The Committee's mandate includes:

#### C.1.1.

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Providing advice on Campus Master Plans, the University's Planning Principles, and physical planning and building design.

#### C.1.2.

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Reviewing and making recommendations on design concepts for building and landscape projects.<sup>5</sup> Matters under review should include the extent to which overall campus planning and design objectives are met, design excellence is achieved and environmental and heritage issues are addressed. The Committee focuses primarily on the overall integrity of the basic design, rather than on design details.<sup>6</sup>

#### C.1.3.

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Being available for consultation, on an as needed basis, by administrative officers responsible for campus planning and design.

#### C.1.4.

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Reporting to the Board on its activities, on a basis to be established by the President's Group.

<sup>5</sup> *The University's normal approach to design of major capital projects is to choose consultants, who will then work with users and others to develop a building design. It may be advisable on occasion to choose consultants (architects) for a specific project on the basis of design competitions, instead of via selection process. Such competitions are established prior to the process leading up to the completion of a Project Planning Report and only after consultation with the Aesthetics Committee.*

<sup>6</sup> *Such reviews are normally required at the following stages: (a) prior to finalization of schematic plans in order to ensure timely and effective oversight of the basic approach being taken to individual projects, (b) at the conclusion of design development, prior to permission being sought, normally through the Finance and Investments and Building and Property Committees, to proceed to project implementation, and (c) at any other time during project development when, at the request of a core member of the Project Committee, the Co-Chairs of the Aesthetics Committee consider it advisable to review the fundamental design aspects of a project. Such a review, for example, could arise from concerns that the balance being struck between project design and project cost will lead to a disregard for overarching design values. The reviews are intended to be sufficiently rigorous that the President can be advised on the overall conformity of the proposal to the high standards expected of it, both with respect to design and in terms of its integration with other elements of the University's built form environment. It is the President's responsibility to resolve problems arising from different or conflicting advice given, e.g. by a Project Committee and the Aesthetics Committee.*

### C.2 Composition

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The Aesthetics Committee will comprise a total of nine members plus four formally appointed *ex officio* members. The membership of the Committee represents a coalition of design expertise, university governance, Physical Resources and representation of the three campuses. Additional members will be recruited, as needed, to further strengthen particular campus representation when campus specific Capital Projects are tabled for review.

The Committee will have two Co-Chairs. One will be the AVP Physical Resources (or designate). The second Co-Chair will be appointed annually from among the non *ex officio* members by the President's Group. Any member of the Committee may be appointed by the Co-Chairs to chair a panel as this need arises.

The Executive Secretary to the Co-Chairs of the Aesthetics Committee will be the Director: Planning, Design and Construction.

Four persons appointed by the President because of their expertise and qualifications in design and related fields, at least two of whom shall be from outside the University. Other members can be recruited by the Committee for individual projects or purposes as required to enhance the review process. Specifically, members should be added to ensure adequate representation from each

campus when projects to be undertaken on that campus are reviewed, and to include the Chair of the relevant Project Committee and other Project Committee members, as appropriate, when individual projects are discussed.

### C.3 Method of Operation

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The Aesthetics Committee will normally meet as needed. To accommodate campus specific reviews of Capital Plans, meetings will be held on that particular campus which corresponds to the agenda items under review. This will also allow the Committee to be fully informed of site specific conditions, as these relate to the project.

The Committee will discharge its functions, at the discretion of its Co-Chairs, either in full committee or in panels, subject to the following:

#### C.3.1.

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The discharge of the functions set out in Section C.1.1 above require consultation with the full Committee.

#### C.3.2.

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An Architect Selection Panel must include the Chair (or designate) of the relevant Project Committee(s), two members of the Aesthetics Committee (or designates), the Principal of Brantford or a representative from the Kitchener Campus (depending on the site of the capital project), and the AVP Physical Resources (or designate). The AVP Physical Resources (or designate) will chair the Architect Selection Panel. Once a short list of architects has been identified, three additional representatives from the campus associated with the capital project will be invited to join the panel to recommend on the final architect selection.

#### C.3.3.

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At regular meetings of the Aesthetics Committee to assess the architectural design of a particular project, normal practice will require a brief presentation on the relevant background context of the project under review prior to the presentation by the architect.

## Appendix D: Project Implementation Report Template

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- I. Executive Summary
- II. Terms of Reference
- III. Project Overview
  - Relevant Elements of the Project Committee Report
  - Changes from the Project Committee Report
- IV. Project Summary
  - Build and Site Overview
  - Aesthetics Committee Input
- V. Resources Implications
  - Construction Cost Estimate (Update on the Project Planning Report)
  - Project Cost Estimate (Update of the Project Planning Report)
  - Schedule to Completion
  - Funding Sources and Cash Flow Analysis
- VI. Table 1: Total Project Cost Estimates (TPC) through the Development Cycle of the Project
- VI. Recommendations

## Appendix E: Capital Project Proposal (\$2M and Over)

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Instructions:

1. Review the Capital Priorities and Planning Process Policy at Wilfrid Laurier University – University Policies and Procedures.
2. Request a preliminary Total Project Cost estimate (TPC) from the Director: Planning, Design and Construction. (All costs are estimates only at this stage. Final costing will be included in the *Planning Implementation Report*.)
3. Complete each section of the *Capital Project Proposal* document electronically.
4. Obtain the appropriate signature(s) of approval.
5. Submit the original signed proposal and the preliminary TPC to the Assistant Vice-President: Physical Resources.

## Appendix F: Space – Changes in Use / Renovations (Under \$2M)

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### Preamble

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The University is constantly evolving and changing, often quickly, to meet the needs of students, faculty and staff. As departments carry out their responsibilities with respect to the University's academic programs and the activities which support those programs, they frequently identify requirements with respect to space:

- need for additional space
- need for alterations/renovations to:
  - reorganize existing space
  - convert space to other use

All space at the University is subject to changes in configuration and usage and no unit on campus has a proprietary right to any space. The authority to plan and implement all Capital Projects is delegated to the President (or designate), subject to:

1. Board of Governors approval of Project Planning Reports for individual Capital Projects with a projected cost of \$2M or greater.
2. All completed Capital Projects under \$2M shall be reported annually to the Board of Governors through the Finance and Investments and Buildings and Property Committees and are approved by the Facilities and Space Management Committee (FSMC). Projects under \$2M in value **do not** require Project Planning Reports.

To manage and control space changes for projects on all Laurier campuses with costs up to \$2M, the FSMC has been established to review requests and, where possible, to bring them forward for implementation.

(All projects with costs of \$2M or greater will be subject to the Capital Priorities and Planning Process Policy, and those with costs less than \$50K will be managed directly by Physical Resources.)

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## F.1 Figure 2: Project Approvals, Planning Process and Reporting Requirements (Under \$2M)

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## F.2 Role and Membership of the Facilities and Space Management Committee (FSMC)

The Committee reviews, approves and advances for implementation all construction, alteration, change in use of space and renovation projects valued at up to \$2M. The Committee also ensures a space inventory is maintained and kept current. In addition, the Committee will periodically review University space to ensure it is being used efficiently. The FSMC recommends priorities to Physical Resources for these projects after reviewing the list of possible projects compiled by Physical Resources.

### Decision Criteria:

- Do the changes reflect sound design according to Laurier standards
- Are the plans consistent with any future changes being considered
- The overall cost effectiveness of the project
- Do the changes result in conflicting uses of existing space
- Are the changes consistent with the academic mission

### Membership:

- Co-Chair: Assistant Vice-President: Physical Resources
- Co-Chair: Vice-President: Academic (or designate)
- Faculty Member
- Registrar (or designate)
- Director of Student Services (or designate)
- Director: Planning, Design and Construction
- Vice President: Finance and Administration (or designate)

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## F.3 Key Steps in Initiating a Space Request (See Figure 1 in Appendix F)

- Obtain approval of Supervisor, Vice-President / Principal or President's Group, as appropriate (see Sections F.4 and F.5).
- Complete the *Space / Renovations Request Form* (see Section F.6 and Appendix G) and request a completed TPC (see [Appendix B / B.1 – Table 1: Total Project Cost Estimate](#)) from Physical Resources.
- Obtain required signatures.
- Submit Space / Renovations Request Form and TPC to the AVP Physical Resources (Co-Chair, Facilities and Space Management Committee).

**Depending upon the scope of the Request**, the AVP Physical Resources may also request submission of the Capital Proposal Form (see [Appendix E](#)). Physical Resources will advise in this regard upon receipt of the Space/Renovations Request Form.

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## F.4 Departmental Requests for Additional Space or a Change in Use of Space Not Involving Renovations

A. Within a University Administrator's current space allocation:

Must be approved by the Administrator's Supervisor.

B. Outside a University Administrator's current space allocation and within the current space allocation of the department's Vice-President or Principal:

Must be approved by the appropriate Vice-President (or, for areas not reporting through a Vice-President or Principal, by the President).

C. Outside a University Administrator's current space allocation and also outside the current space allocation of the department's Vice-President or Principal:

Must be approved by the President's Group.

For each of A, B and C above, a completed Space / Renovations Request Form must be forwarded to the Facilities and Space Management Committee for ratification prior to the finalization of the space allocation. If the Facilities and Space Management Committee does not ratify the requested change in space allocation, the Facilities and Space Management Committee will inform the administrators involved of the rationale for the Committee's decision.

## F.5 Departmental Requests for Additional Space or a Change in Use of Space Involving Renovations under \$2M and That Alter the Physical Configuration of the Space

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**Note:** In all cases, a TPC (see [Appendix B / B.1 – Table 1: Total Project Cost Estimate](#)) must be requested from Physical Resources and appropriate funding sources identified prior to the approval of any space allocation. Renovations will not commence until an appropriate account number is provided to Physical Resources.

A. Within a University Administrator's current space allocation:

Must be approved by the appropriate Vice-President or Principal (or, for areas not reporting through a Vice-President or Principal, by the President).

B. Outside the current space allocation of the department's Vice-President or Principal (or, for areas not reporting through a Vice-President or Principal, the President):

Must be approved by the President's Group.

For each of A and B above, a completed Space / Renovations Request Form must be forwarded to the Facilities and Space Management Committee for ratification prior to the finalization of the space renovation. If the Facilities and Space Management Committee does not ratify the requested change in space allocation or the renovation request, the Facilities and Space Management Committee will inform the administrators involved of the rationale for the Committee's decision.

## F.6 Space / Renovations Request Process

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### F.6.1 Space / Renovations Request Form (See Appendix G)

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Individual space requests or renovation projects can be developed by the academic or administrative units at any time and should be consistent with divisional and/or departmental plans. Proposals are submitted using the Space / Renovations Request Form.

The same process and, therefore, the same application form apply to both major projects under \$2M and small projects (under \$50K).

The Request form is structured as follows:

#### **Part A: Project Information**

Part A is the description of the proposal, and is to be completed by the Primary Contact Person for the unit.

Primary Contact Signature - The Primary Contact Person is required to sign-off on the Request, thereby acknowledging that any future changes may cause delays or result in the need to prepare a revised Request.

#### **Part B: Project Cost Estimate / Operating Costs**

Physical Resources:

- Completes [Appendix B / B.1 – Table 1: Total Project Cost Estimate \(TPC\)](#)
- Returns the TPC to the Primary Contact Person for completion of Parts A, B and C

#### **Part C: Final Authorization and Submission to the Facilities and Space Management Committee**

Upon receipt of the TPC, the unit must determine whether it wishes to proceed further with the project request.

If so, the Space / Renovations Request Form must be sent for review and signature of approval to the appropriate Administrator.

The signature confirms:

- that the project is consistent with departmental and/or divisional plans.
- responsibility for the total cost of the project.

- that any project tendered at a cost exceeding \$2M will not proceed unless proper approvals are obtained according to the Capital Priorities and Planning Process Policy.

When the Space / Renovations Request Form is completed, it is forwarded to the AVP Physical Resources (Co-Chair, FSMC).

#### **Part D: Facilities and Space Management Committee Decision**

The Facilities and Space Management Committee generally meets on a monthly, or as needed, basis throughout the entire year. Upon receipt of a signed Space/Renovations Request Form, the Facilities and Space Management Committee will review the Request and make a decision to approve or deny the request. In the case of denial, the Facilities and Space Management Committee will provide an explanation in writing to the Administrator(s) involved. A copy of the notification will be sent to Physical Resources.

#### **F.6.2 Implementation of Approved Projects**

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The academic or administrative unit that proposes a project is responsible for the payment of the preliminary design work even if the project does not go ahead after tenders have been received.

##### **Tenders or Quotes that Exceed Estimates**

Tenders or quotes that exceed estimates will not be awarded until either the scope of the project is reduced or a source of additional funds is identified and committed. Overspending on Projects

The requesting unit is solely responsible for all cost overruns, for any reason, on a project.

#### **F.6.3 Implementing Major Projects**

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The majority of approved major projects require design work. For those which do not, the process for implementation of small projects applies.

##### **Project Manager**

The Project Manager, assigned by the Director: Planning, Design and Construction, notifies the Primary Contact Person of their role and the Project Manager's contact information as well as any other project details that will require coordination (e.g. schedule, impact on unit activities, etc.).

##### **Design Schedule**

Each project approved by the FSMC is added to a master project schedule which will reflect the sequence of projects in the system and projected timelines for each project.

##### **Project Prioritization**

The FSMC reviews and prioritizes the projects on the design schedule quarterly throughout the calendar year.

##### **New Information Regarding Scheduling Requirements**

Any new information as to the scheduling requirements for a project should be addressed, in writing, to the AVP Physical Resources (Co-Chair of the FSMC) and copied to the Director: Planning, Design and Construction seven (7) weeks prior to the start of the upcoming quarter, as follows:

- **First Quarter:** Second Monday in November
- **Second Quarter:** Second Monday in February
- **Third Quarter:** Second Monday in May
- **Fourth Quarter:** Second Monday in August

##### **Priority Factors in Scheduling**

- Requirement to comply with legislative codes, other governmental requirements or to enhance the personal safety of building occupants and users.
- Expiry date for funding in the case of government funding.
- Other relevant deadlines or to minimize user disruption, e.g. classrooms and laboratories.
- The scheduling priority assigned by the most senior administrator involved in cases where there is more than one project on the design schedule within their purview.
- The time elapsed since the approval of the project.

##### **Design Priority Notification**

The Director: Planning, Design and Construction is responsible for informing the Primary Contact Person of the project's priority on the design schedule.

##### **Use of Consultants**

With respect to the method of selecting architects, University Policy 4.11 Tendering Policy and Procedures will apply. This may involve incurring design fees early on in the process and will require prior agreement from those responsible for funding the project.

##### **Design and Preparation of Contract Drawings**



Physical Resources commences the design of a project according to the schedule developed by the FSMC.

#### **Costs Greater than Estimates**

During the preparation of contract drawings, it may become apparent the project cost may exceed the pre-design estimate. Physical Resources will immediately notify the Co-Chairs of the FSMC and the Primary Contact Person, providing reasons for the cost discrepancies and, where possible, suggesting measures for cost reduction.

In all cases where increased costs are identified, additional funding must be secured and committed and/or the scope of the project must be reduced before the design can be completed.

#### **Tender and Award**

University **Policy 4.11 Tendering Policy and Procedures** will apply.

#### **Bid Exceeds Budget**

If the lowest valid bid is greater than the identified budget, decisions will have to be made with respect to the project scope and/or additional sources of funding before the tender can be awarded.

#### **Changes in Project Scope**

Project scope changes made at the request of the academic or administrative unit involved may be permitted as long as the unit agrees to meet the entirety of additional costs involved.

Primary Contact Persons must submit requests for approval of scope changes to the FSMC.

#### **Project Completion and Billing**

The Project Manager is responsible for arranging payment of invoices against the project account purchase order. Depending on sources of funding for the project, Physical Resources will notify the Primary Contact Person when the account billings have been completed.

Any monies remaining under the purchase order after all project costs are paid will be returned to the project funders.

### **F.6.4 Implementing Small Projects (Under \$50K)**

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The majority of approved small projects do not require design. For those that do, the process described previously for the implementation of major projects applies. Where no design is required, the approved project is added to the work schedule for Physical Resources.

#### **Project Manager**

The Project Manager, assigned by the Director: Planning, Design and Construction, notifies the Primary Contact Person of their role and the Project Manager's contact information as well as any other project details that will require coordination (e.g. schedule, impact on unit activities, etc.).

#### **Scheduling**

Once a small project that does not require design is approved by the FSMC, it will be added to the Physical Resources work schedule.

Physical Resources will review the work schedule on a regular basis. While an attempt will be made to accommodate the scheduling requirements of the academic or administrative unit, the same priorities that are used to prioritize the design schedule for major projects will be applied.

#### **New Information Regarding Scheduling Requirements**

Any new information as to the scheduling requirements for a project should be addressed, in writing, to the AVP: Physical Resources (Co-Chair of FSMC) and copied to the Director: Planning, Design and Construction.

#### **Projects Funding**

The academic or administrative unit involved must issue an account number for the full amount of the project to Physical Resources before any work orders will be prepared.

#### **Quotations**

Quotes will be obtained in accordance with purchasing guidelines and the project work generally will be awarded to the lowest bidder.

#### **Changes in Project Scope**

Project scope changes made at the request of the academic or administrative unit involved may be permitted as long as the unit agrees to meet the additional costs.

The Primary Contact Person must contact the Project Manager and submit a request to the FSMC for approval of the scope changes.

#### **Project Completion and Billing**

The Project Manager is responsible for arranging the payment of invoices against the project account or the purchase order.

Depending on the sources of funding for the project, Physical Resources will notify the Primary Contact Person when the account billings have been completed.

Any monies remaining under the purchase order will be returned to the project funders.

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## Appendix G: Space / Renovations Request Under \$2M

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Instructions:

1. Review 4.14 Capital Priorities and Planning Process Policy – [Appendix F](#).
2. Primary Contact Person to complete Section A electronically, print off and complete Section B – Project Approval(s). Brantford campus must also complete Section B-2.
3. If no costs are associated with the Request, proceed to Instruction #5. Otherwise, submit Request to the Coordinator: Space Administration and request a preliminary Total Project Cost estimate (TPC).
4. Primary Contact Person then to complete Sections C (based on the preliminary TPC), D and E (required) electronically, print off and re-sign Section B.
5. If the Department wishes to proceed, obtain the appropriate approval signature(s) in Section F.
6. Submit the original signed request, and any TPC or accompanying floor plan(s), to the AVP: Physical Resources.

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## Appendix H: Mandates and Definitions

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### Aesthetics Committee

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The advisory body which assesses the external design features and public areas of new Capital Projects and their suitable integration into the functioning campus.

### Board of Governors (Board)

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The Board of Governors begins the planning process and ensures that all planning meets the future direction and needs of the University. The Board will also approve all Campus Master Plans, Capital Plans and Infrastructure Renewal Plans for individual projects and authorizes their execution within the estimated costs.

### Campus Master Plan (Master Plan)

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A comprehensive outline of all elements, present and future (open spaces, roads, buildings) that are to be constructed on the campus.

### Capital Plan

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The outcome of the academic planning process specifying a number of Capital Projects to be developed in a defined time frame.

### Capital Project

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A Capital Project is (a) a new building, (b) building alterations, or (c) infrastructure investment that involves more than system improvements, e.g. space reorganization, expansion or conversion to new uses. Significant open space projects are also Capital Projects.

### Capital Proposal Form

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Departmental or Faculty project proposals of \$2M or more are submitted to the President's Group for consideration using this form. (May also be required for larger projects under \$2M submitted to the FSMC for approval using the Space / Renovations Request Form, subject to the discretion of the FSMC.) See Appendix E.

### Construction Cost Estimate

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See [Appendix B / B.2 – Table 2](#).

### Facilities and Space Management Committee (FSMC)

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The Committee reviews, approves and advances for implementation all construction, alteration, change in use of space and renovation projects valued at up to \$2M. The Committee also ensures a space inventory is maintained and kept current and periodically ensures University space is being used efficiently.

### Infrastructure Renewal Plan

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A comprehensive plan detailing the renewal of campus infrastructure and building systems.

## Planning Principles

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Define the University's commitment to the orderly and responsible development of its assets. See Appendix A.

## President's Group

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A senior group comprising the President, Vice-Presidents and senior staff.

## Primary Contact Person

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The academic or administrative representative of a unit who is responsible for completing the Space / Renovations Request Form for departmental and/or Faculty project requests under \$2M.

## Project Committee

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The Project Committee brings together User interests, facilities planning personnel and project management elements for the duration of the development of a Capital Project.

## Project Conclusion Report

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The report prepared upon completion of the project to provide feedback on procedures and costs. It is reviewed by the President's Group and a summary is provided to the Audit and Compliance Committee.

## Project Implementation Report

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This report details all aspects of a Capital Project subject to approval by the Board of Governors prior to full implementation. Defined in Section 5.3.

## Project Planning Report

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The report of the Project Committee addressing user needs, which is considered by the President's Group as the first step in governance approval prior to the commencement of the detailed design of the Capital Project. Defined in Section 5.2.

## Project Status Report

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The report on the progress of each project at timely intervals to keep members of the Board informed. Defined in Section 5.4.

## User Groups (Users)

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Those identified as key stakeholders in the project's design, usually future tenants of the space concerned.