BUILDING PROJECTS APPROVAL AND MANAGEMENT POLICY 2014

The Vice-Chancellor and Principal, as delegate of the Senate of the University of Sydney, adopts the following policy.

Dated: 12 March 2014

Last amended: 28 August 2017(administrative amendment only)

                  24 March 2019 (administrative amendment only)

                  23 September 2021 (administrative amendments)

Signature:

Name: Dr Michael Spence

Current policy approver: Vice-Principal (Operations)

_____

CONTENTS

1   Name of policy

This is the Building Projects Approval and Management Policy 2014.

2   Commencement

This policy commences on 17 March 2014.

3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates.

4 Statement of intent

This policy:

     (a)   sets out the University's requirements for applying for and undertaking building projects on University lands; and

     (b)   provides for the development of infrastructure on University lands that is safe and fit for purpose.

5 Application

This policy applies to:

     (a)   all University staff and affiliates;

     (b)   lessees and licensees of premises on University lands; and

     (c)   any premises of which the University is lessee or licensee.

6 Definitions

allocated space	means the physical space allocated to a user, as recorded in the University's space allocation register. **Note:** See the *Space Management Policy 2012*
BEC	means the Building and Estates Committee of the University Senate.
Campus Assist Online	means the CIS online help desk that is accessed through the University's website and intranet.
Campus Improvement Program	means the University's plan of major development priorities for the period up to 2020. **Note**: See Campus Improvement Program
capital projects prioritisation process	means the annual process undertaken by UE to determine the relative funding priority of otherwise unfunded capital projects.
CIS	means Campus Infrastructure & Services.
DCIS	means the Director of Campus Infrastructure & Services.

delegate	means a person authorised by the Senate to act on behalf of the University in specified situations, as provided by the *University of Sydney (Delegations of Authority – Administrative Functions) Rule 2016.*
ICT	means the University's Information and Communications Technology PSU.
major project	means a project for which the budget is more than $10 million and less than $100 million.
PCG	means a Project Control Group, as required by clauses 13, 14 and 15.
precinct	means a group of University buildings and spaces designated by CIS as a unit for the purposes of providing services to users.
Precinct Project Board	means an oversight body with responsibility for small and medium projects established under clause 13.
Principal Officer	means any of the Vice-Chancellor and Principal, a Deputy Vice-Chancellor, General Counsel or the University Librarian.
project	means any building project, regardless of value, from the initiation and planning phase through to completion.
PSU	means a professional services unit of the University.
PUG	means a Project User Group, as required by clauses 13, 14 and 15.
small or medium project	means a project for which the budget is less than $10 million.
transformational project	means a project for which the budget exceeds $100 million or which is so designated by the Vice-Chancellor.
UE	means the University Executive
unfunded projects	means capital projects that have no user funding or grant funding and are submitted for University capital funding through the capital projects prioritisation process.
University lands	includes any land or roads occupied or used in connection with the University, including the whole or any part of any building or structure and any land or roads occupied or used in connection with the whole or part of any building or structure.
user	means (as appropriate) the occupant of any University lands or premises situated on University lands, or the occupant of any lands or premises of which the University is lessee or licensee. This includes faculties, PSUs, centres, institutes, foundations, University controlled or associated bodies, and lessees or licensees of any University lands.
WHS	means work health and safety. **Note:** See the *Work Health and Safety Policy*

7 General principles

(1) CIS must be consulted before any projects are:

    (a) planned; or

    (b) commenced.

(2) All projects must be logged with Campus Assist Online.

(3) Except as provided in this clause, users must not undertake projects directly or without approval under this policy.

(4) ICT may undertake projects without approval provided that the work involved:

    (a) is minor in nature and involves no construction works or alterations to walls, floors or ceilings;

    (b) is undertaken for the repair or replacement of existing communications cabling; and

    (c) does not alter or disrupt power supply or essential services.

(5) The DCIS may authorise a user to undertake a project directly in exceptional circumstances. Authorisation must be applied for through a project request on Campus Assist Online.

(6) Leases or licences of University lands will require lessees or licensees to comply with this policy.

8 Funding

(1) Building projects may be:

    (a) unfunded projects, which form part of an annual capital projects prioritisation process;

    (b) WHS projects, which address a hazard and must be completed promptly; or

    (c) user funded projects, which will be assessed for approval by CIS as soon as practicable, taking into consideration the criteria set out in sub-clause 10(6).

(2) Most work undertaken in the University will be centrally funded, with some funded from the annual capital projects prioritisation process.

(3) If a user has sufficient funds for a proposed project, the project will be assessed by CIS for approval as soon as practicable.

    Note: Users must comply with any applicable directives from the University's Chief Financial Officer about the capped amount of operational budget they are allowed to allocate to capital projects.

(4) Project costs will be calculated by CIS to include all consequential costs of the project, including:

    (a) the project management team;

    (b) relocation;

(c)   additional infrastructure required as a consequence of the project;

(d)   all *Building Code of Australia* and *Disability Discrimination Act 1992 (Cth)* compliance works;

> **Note:**   The *Building Code of Australia* is available from: http://www.abcb.gov.au/

(e)   furniture and fittings;

(f)   information and communication and audio visual technology; and

(g)   making good any space being vacated.

(5)   Unfixed equipment and fittings will be user funded, unless they are expressly identified in the project request.

9   Capital projects prioritisation process

(1)   The UE will administer the capital projects prioritisation process.

(2)   CIS will request faculties, PSUs and student organisations to submit, prioritise and review their capital project requirements annually.

(3)   The UE will use this information to produce an annual capital projects prioritisation list, which will identify the year in which each project is expected to commence, taking into consideration the University's projected annual capital budget.

(4)   Users may submit a project request at any time during the year, but unfunded projects will only be considered for funding when the annual capital projects prioritisation process occurs.

(5)   CIS will publish the approved annual capital projects prioritisation list on the University intranet.

10   Approval for internal University applicants

(1)   All projects submitted through Campus Assist Online will be assessed by CIS and must be approved to proceed before any work commences.

(2)   All projects must comply with the University's *Procurement Policy*.

(3)   After assessing a proposal, CIS will prepare a project request recommendation, which details:

(a)   the outline scope;

(b)   the program; and

(c)   the proposed budget.

(4)   **Unfunded projects** will be subject to the capital projects prioritisation process as provided in clause 9.

(5)   **Proposed user funded projects** must be approved by the relevant Principal Officer, Dean, Head of School and Dean (University school) or head of PSU before being submitted through Campus Assist Online.

> **Note:**   Officers can only approve costed projects up to their delegated maximum amount. See *University of Sydney (Delegations of Authority – Administrative Functions) Rule 2016*.

(6)   User funded projects may be approved to proceed by the DCIS if:

   (a)   CIS assesses the proposed project and recommends that it proceed, taking into account:

      (i)   any statutory requirements;

      (ii)   the University of Sydney Strategic Plan;

      (iii)   the Campus Improvement Program;

      (iv)   the business case provided; and

      (v)   the program for the project;

   (b)   CIS is to procure and manage the project delivery;

   (c)   the number of people being moved or established is less than 50;

   (d)   the space being refitted or utilised is less than 500 square metres; and

   (e)   the space involved is already allocated to the user.

   Note: See the *Space Management Policy 2012*.

(7)   Any user funded project which does not meet the requirements of clause 10(6) may not proceed until endorsed or approved (as appropriate) by:

   (a)   the relevant delegate;

   (b)   the DCIS; and

   (c)   the UE.

(8)   CIS will undertake approved and funded projects in accordance with clause 12.

11   Approval for works to premises occupied by third parties

(1)   Lessees and licensees who wish to undertake building works on their premises must obtain the written approval of the Properties and Development Division of CIS before any project request is submitted.

(2)   Applications for approval:

   (a)   must provide details of the proposed project including:

      (i)   purpose of the project;

      (ii)   detailed scope of work;

      (iii)   diagram illustrating scope of work; and

      (iv)   photographs of existing area; and

   (b)   must be submitted by email to cis.properties@sydney.edu.au.

(3)   The Properties and Development Division of CIS will be responsible for:

   (a)   submitting project requests for approved proposals; and

   (b)   informing the relevant lessee or licensee when this has been done.

12   Commencement of works

(1)   No work may commence on any project, including closing or digging up of roads or footpaths, without approval from the DCIS.

(2)   Applications for commencement approval must be submitted through Campus Assist Online or by email to campus.assist@sydney.edu.au.

13   Project management generally

(1)   CIS will manage all projects, unless an exemption has been approved by the DCIS as provided in sub-clause 13(5).

(2)   For user funded projects, funds must be transferred to the project account before the project will commence.

(3)   All contracts for project works must be recorded in writing in a form approved by the Office of General Counsel. This may be done by:

   (a)   use of a pre-approved template agreement, to which no substantial amendment is made; or

   (b)   preparation of a transaction specific document approved by the Office of General Counsel.

(4)   Each relevant user must identify an individual representative to act as key stakeholder.

   (a)   The nominated key stakeholder must have sufficient capacity and authority to represent the user.

   (b)   The key stakeholder will be the main point of contact for CIS throughout the project.

(5)   The DCIS may grant permission for a user to manage an approved project if:

   (a)   an application for such permission is lodged through the project request process on Campus Assist Online;

   (b)   the project assessment and costs calculation are undertaken by CIS; and

   (c)   the project meets all relevant:

      (i)   University Design Standards;

      (ii)   University policies and procedures;

      (iii)   WHS obligations; and

      (iv)   statutory requirements.

(6)   At the completion of each project, CIS will seek occupation or building certification and any other required documentation, including operation and maintenance manuals and fire evacuation plans. This information will be used by CIS to manage the ongoing maintenance of the building.

(7)   No building or part of a building may be occupied until the tenant or occupant has received formal notice in writing from CIS.

14 Project governance for small and medium projects

(1) The key stakeholder(s) for each small or medium project must approve the scope of works:

    (a) before the project commences; and

    (b) if there are any changes to the scope of works during the construction period.

(2) A Project User Group (PUG) must be convened for each project, consisting of the key stakeholder(s) and the CIS Precinct Manager.

(3) The PUG must meet regularly and will:

    (a) approve the scope of works;

    (b) authorise variations to the scope of works, but only within the approved budget;

    (c) monitor and review the various stages of the project to ensure it remains true to concept and of maximum benefit to the users; and

    (d) facilitate formal communication between representatives of all relevant stakeholders.

(4) A Precinct Project Board will be established for each precinct and will meet monthly.

(5) The composition of each Precinct Project Board will be determined by DCIS, but would usually consist of:

    (a) an independent chair;

    (b) the CIS Precinct Manager;

    (c) the responsible CIS Capital Works Project Manager(s);

    (d) a representative of the CIS planning team;

    (e) a representative of the Finance PSU;

    (f) a representative of the ICT PSU; and

    (g) a faculty or University school representative.

(6) Each Precinct Project Board will be responsible for:

    (a) reviewing the time, cost and quality of all small and medium projects within its precinct; and

    (b) facilitating the controlled project handover of completed projects to the occupants and to facilities maintenance.

(7) All small and medium projects will be overseen by a single Project Review Group (PRG). The composition of the small and medium projects PRG will be determined by the DCIS, but would usually consist of:

    (a) an independent chair;

    (b) the CIS Capital Works Manager;

    (c) all CIS Precinct Managers; and

    (d) a Finance representative.

(8)   The PRG is responsible for:

     (a)   monitoring governance across the program of small and medium projects;

     (b)   reviewing actual and forecast costs and cash flows; and

     (c)   reviewing the capital works program of works.

(9)   The PRG will meet monthly.

15   Project governance for major projects

(1)   A PUG must be convened for each major project. The composition of the PUG is determined by the DCIS, but would usually consist of:

     (a)   the CIS Project Director or Capital Works Senior Project Manager;

     (b)   the relevant CIS Precinct Manager;

     (c)   the relevant CIS project manager; and

     (d)   the key stakeholder(s).

(2)   The PUG will meet regularly and will:

     (a)   recommend the scope of the project for approval by the PCG;

     (b)   monitor and review the various stages of the project to ensure it remains true to concept and of maximum benefit to the users; and

     (c)   facilitate formal communication between representatives of all relevant stakeholders.

(3)   A separate PCG will be convened for each major project. The membership and terms of reference for each major project PCG will be determined by the DCIS, but would usually consist of:

     (a)   an independent chair;

     (b)   the CIS Project Director or Capital Works Senior Project Manager;

     (c)   the relevant CIS Precinct Manager;

     (d)   a faculty or University school representative;

     (e)   an ICT representative;

     (f)   a finance representative; and

     (g)   the key stakeholder(s).

(4)   The PCG will meet monthly and will be responsible for:

     (a)   approving the scope of the project;

     (b)   monitoring the time, cost and quality of the project; and

     (c)   approving any changes to the scope within the approved budget.

16   Project governance for transformational projects

(1)   A PUG must be convened for each transformational project. The membership will be determined by the DCIS in consultation with BEC, but would usually consist of:

     (a)   the Project Director; and

     (b)   key stakeholder(s).

(2)   The PUG will meet regularly and will:

   (a)   recommend the scope of the project for approval by the PCG;

   (b)   monitor and review the various stages of the project to ensure it remains true to concept and of maximum benefit to the users; and

   (c)   facilitate formal communication between representatives of all relevant stakeholders.

(3)   A separate PCG will be convened for each transformational project. The membership and terms of reference of the PCG must be agreed to by DCIS and BEC, but would usually consist of:

   (a)   an independent chair;

   (b)   the DCIS or a nominated delegate;

   (c)   the Project Director;

   (d)   representatives of the lead Faculties;

   (e)   a finance representative; and

   (f)   the key stakeholder(s).

(4)   The PCG will meet monthly and will be responsible for:

   (a)   approving the initial scope of the project;

   (b)   monitoring the time, cost and quality of the project; and

   (c)   approving any changes to the scope within the approved budget.

17   Replacements and rescissions

This policy replaces the following documents, which are rescinded as from the date of commencement of this policy:

   (a)   The Approval and Management of Building Works Policy, which was effective from 4 April 2003; and

   (b)   The Project User Groups Guidelines, which were effective from 20 May 1997.

NOTES

Building Projects Approval and Management Policy 2014

Date adopted: 12 March 2014

Date commenced: 17 March 2014

Date amended: 20 February 2017 (administrative amendments only)

                                  19 June 2017 (administrative amendments only)

                                  28 August 2017 (administrative amendment only)

                                  24 March 2019 (administrative amendments only)

	23 September 2021 (administrative amendments)
Original administrator:	Director, Campus Infrastructure & Services
Current policy owner:	Chief University Infrastructure Officer
Review date:	12 March 2019
Related documents:	Disability Discrimination Act 1992 (Cth)
	Environmental Planning and Assessment Act 1979 (NSW)
	Building Code of Australia
	University of Sydney (Delegations of Authority – Administrative Functions) Rule 2016.
	Heritage Management Policy
	Procurement Policy
	Work Health and Safety Policy 2016
	Procurement and Purchasing Guidelines
	Work Health and Safety Procedures 2016
	Building Projects Approval and Management Procedures
	Tree Management Procedures
	Campus Improvement Program
	Design Standards
	University of Sydney Strategic Plan

_____

AMENDMENT HISTORY

Provision	Amendment	Commencing
6	Removing references to SCPC and FIC; amending reference to SEG to UE	20 February 2017
9(1); 9(3)	Changing references to SCPC to UE	20 February 2017
9(7)	Removal of clause; renumbering of remaining clauses	20 February 2017
Notes	Removal of Capital Projects Prioritisation List from related documents	20 February 2017

6; 10(5) Note; related documents	Updated references *to University of Sydney (Delegations of Authority – Administrative Functions) Rule 2016*	19 June 2017
8(4)(d) note	Updated external hyperlink	19 June 2017
10(5); 14(5)(g); 15(3)(d)	Consequential amendments relating to organisational design changes	19 June 2017
Related documents	Amended reference to internal policy documents	19 June 2017
Related documents	Amendment to hyperlink to Campus Improvement Program	28 August 2017
6	Removed 'the Registrar' from definition of Principal Officer	24 March 2019