

APPENDIX 1: CDD Application Approval Process

Level 1 Projects:

1. The client (i.e. the applicant) completes the CDD Project Application Form (electronic).
2. The client completes Step 1 of the application form and fulfills the Step 1 requirements.
3. If the space for the proposed project is not part of the Department or Unit's current space allocation, the client completes a Space Allocation Change Form, for review by the Space Planning Committee and recommendation of approval by CDD. Approval of space allocation is required before the project can proceed for approval by the CDD Committee.
4. Design and Construction Management ("DCM") or Facilities Management Department ("FMD"), depending on the requirements of the project, prepares Step 2 that includes a preliminary review of the project requirements with the client and provides a low-high estimate of the project cost. The creation of a Project Charter at this stage is optional at the discretion of the assigned PM.
5. Step 2 is taken to CDD Committee for prioritization and approval to seek funding (should funding be required). This step, for the most part, should precede the annual Planning & Priorities cycle.
6. Projects prioritized in Step 2, and that have approved funding, are scheduled into the DCM or FMD work plan and further vetted by CDD Committee for sequence of design and implementation and for approval of early works funding related to project specific requirements (i.e. abatement, code review or other consulting, etc.)
7. If an architect or consultant is required, DCM or FMD arranges for this. If an outside architect is required, DCM must complete a Project Charter (i.e. Abridged Project Planning Report), as noted in section 3A of the Policy.
8. DCM or FMD prepare detailed design and construction/tender/permit drawings and costing with the client and submit the following documents for inclusion in the CDD approval package:
 - Total Project Cost ("TPC")
 - Quotation or tender results
 - Post-tender results if the quotations or tender fall outside of the high/low budget
 - estimate in the application and recommendation of funding support
 - Abridged Project Planning Report, if applicable.
9. Financial Services Department ("FSD") assembles the CDD approval package for approval by the CDD Committee.

10. If a Project Request is declined, the CDD Committee will instruct the appropriate staff to review the proposal with the applicant with the purpose of amending the application and or scope to achieve CDD Committee approval.
11. Following approval, FSD distributes the approval to the client and others.
12. DCM or FMD implements the project, providing quarterly updates to the Capital Projects Operational and Progress Review Group (OPRG) and the CDD Committee.
13. Changes in Scope
 - 13.1 For Level 1 projects, minor changes in scope and those related to building operations and/or deferred maintenance, may be approved by the Chair of the OPRG.
 - 13.2 User requested changes that trigger an increase to budget or scope will go back to the CDD Committee for approval
 - 13.3 Cardinal changes in scope, as defined in section 3B of the Policy, must be approved by the CDD Committee. Such change would include:
 - an addition that is not related to the purpose, nature, and intent of the approved project as described in the CDD application
 - a modification that changes the purpose, nature and intent of the approved project as described in the CDD application.
14. Budget Increases
 - 14.1 Budget changes which do not result from cardinal changes in scope may be approved by the Chair of the OPRG, following the submission of a revised TPC by DCM or FMD and a rationale for the change on behalf of the client. The most typical examples of this would be unforeseen site conditions which require change orders exceeding the contingency in the initial TPC or higher costs than budgeted for CDD projects which were approved prior to the project being tendered. Approvals by the OPRG Chair made within this delegated authority shall be included in meeting minutes and reported to the CDD Committee as an information item at its next scheduled meeting.
 - 14.2 The OPRG Chair's authority to approve cumulative budget increases for a project is limited to the greater of 15% of the original TPC approved by the CDD committee or \$50K (whichever is higher). Cumulative budget increases exceeding 15% of the original TPC or over \$50K (whichever is higher) must be approved by the CDD Committee.
 - 14.3 If cumulative budget increases result in an approved Level 1 project moving into the Level 2 category, governance approval is not required if the total budget increases are no more than 10% of the original TPC. Otherwise, the project must be submitted for approval as a Level 2 project. This is documented in section 3B of the Policy.

- 14.4 Projects with budgets close to the upper threshold, at their outset, are to be carefully considered for implementation stream.
- 15 Vendor Performance Evaluation will be completed for all Consultants and Contractors at project completion. This evaluation will be used for the following:
- a) Debrief and Summary with Consultants and Contractors
 - b) Recommendation to continue or remove from Vendor Approved List from FS
 - c) Analysis of short and long term trends for internal and external processes

Level 2 Projects:

The Level 2 and 3 project approval process is different, as noted in section 3B of the Policy.

1. For Level 2 projects (i.e. greater than \$10 million and not exceeding \$50 million), the CDD Committee may recommend the project which is then submitted to the UTSC Campus Affairs Committee and then to Campus Council, which may recommend the project to Academic Board. Normally, such projects will be placed on the Academic Board's consent agenda and will be confirmed by Executive Committee of Governing Council. Execution of projects is approved by the Business Board.
2. For level 3 projects (i.e. greater than \$50 million), the CDD Committee may recommend the project which is then submitted to Campus Affairs Committee and then to Campus Council, which may recommend the project to Academic Board for consideration. Normally, such projects will require approval of the Governing Council. Execution of such projects is approved by the Business Board.
3. Level 2 and 3 projects also require the establishment of a Project Planning Committee and the submission of a Project Planning Report, as described in Section 3A of the Policy.
4. Any project requiring financing as part of its funding, including Level 1 projects, requires the approval of the Business Board.