

DA 2574



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January 6, 2014


VICE CHANCELLOR – REAL ESTATE

**RE: Delegations of Authority held by the former Vice Chancellor – Facilities Services**

This is to confirm that all Presidential delegations of authority formerly held by the Vice Chancellor – Facilities Services (listed below) are now delegated to the position of Vice Chancellor – Real Estate, effective January 11, 2014. Any re-delegations by the former Vice Chancellor – Facilities Services are to remain in force until such time as you rescind or reassign said delegations.

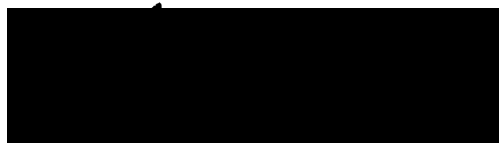
Delegation ID	Title / URL	Description/Comments	Re-delegated To
DA 606	Approve siting of individual buildings or projects <a href="http://policy.ucop.edu/files/da/da0606.html">http://policy.ucop.edu/files/da/da0606.html</a>	Authority to approve the siting of individual buildings or projects, provided that their locations are generally in accordance with a long-range development plan previously approved in principle by the Board, and to approve the siting of individual buildings or projects on University properties, such as field stations or research stations, which may not be covered by approved long-range development plans.	Associate Vice Chancellor – Project Management (Currently Rob Gayle)

Delegation ID	Title / URL	Description/Comments	Re-delegated To
DA 693	Solicit and accept or execute extramural grants and contracts for construction of facilities <a href="http://policy.ucop.edu/files/da/da0693.html">http://policy.ucop.edu/files/da/da0693.html</a>	These actions shall be in accordance with the Grants Procedures published in the Facilities Manual.	Associate Vice Chancellor – Project Management (Currently Rob Gayle)
DA 856	Enter into and execute agreements pertaining to purchase of utilities commodities and services <a href="http://policy.ucop.edu/files/da/da0856.html">http://policy.ucop.edu/files/da/da0856.html</a>		Assistant Vice Chancellor – Physical Plant Campus Services (Currently Chris Christofferson)
DA 1058	Execute agreements <a href="http://policy.ucop.edu/files/da/da1058.html">http://policy.ucop.edu/files/da/da1058.html</a>	Delegation for filming program only	Assistant Vice Chancellor – Real Estate Services (Currently Robert Hatheway)
DA 2220	Agreements for Executive architects, executive landscape architects, and executive and consulting engineers <a href="http://policy.ucop.edu/files/da/da2220.pdf">http://policy.ucop.edu/files/da/da2220.pdf</a>	Authority for projects with approved budgets with a total individual project cost not exceeding \$60,000,000, subject to design and design professional requirements set out in the University Facilities Manual.	Associate Vice Chancellor – Project Management (Currently Rob Gayle)
DA 2231	Authority to negotiate, approve and execute University-related real property rental agreements (leases) <a href="http://policy.ucop.edu/files/da/da2231.pdf">http://policy.ucop.edu/files/da/da2231.pdf</a>	Risk Services must approve indemnification language	<ul style="list-style-type: none"> <li>Assistant Vice Chancellor – Real Estate Services: Lease duration 10 years, annual consideration not to exceed \$500,000 (Currently Robert Hatheway)</li> <li>Manager – Real Estate Services: Lease duration 5 years, annual consideration not to exceed \$350,000 (Currently Helen Levay)</li> </ul>
DA 2232	Authority to negotiate, approve and execute licenses for use of real property <a href="http://policy.ucop.edu/files/da/da2232.pdf">http://policy.ucop.edu/files/da/da2232.pdf</a>	Risk Services must approve indemnification language	<ul style="list-style-type: none"> <li>Assistant Vice Chancellor – Real Estate Services: Lease duration 10 years, annual consideration not to exceed \$500,000 (Currently Robert Hatheway)</li> <li>Manager – Real Estate Services: Lease duration 5 years, annual consideration not to exceed \$350,000 (Currently Helen Levay)</li> </ul>

Delegation ID	Title / URL	Description/Comments	Re-delegated To
DA 2233	Authority to negotiate, approve and execute real property easements and rights of way <a href="http://policy.ucop.edu/files/da/da2233.pdf">http://policy.ucop.edu/files/da/da2233.pdf</a>	Specific parameters set out in the delegation	<ul style="list-style-type: none"> <li>• Assistant Vice Chancellor – Real Estate Services (Currently Robert Hatheway)</li> <li>• Manager – Real Estate Services (Currently Helen Levay)</li> </ul>
DA 2564	Authority for bid solicitation and execution of construction contracts <a href="http://policy.ucop.edu/files/da/da2564.pdf">http://policy.ucop.edu/files/da/da2564.pdf</a>	Restrictions set out in the delegation	<ul style="list-style-type: none"> <li>• Associate Vice Chancellor – Project Management (currently Rob Gayle)</li> <li>• Director – Contracts Administration (currently Mike Cole)</li> <li>• Contracts Manager: documents up to \$200,000 (Currently Theresa Cerney)</li> <li>• Contracts Administrator: documents up to \$100,000 (Currently Martha Mendoza, David Hunsberger, Pam Sasagaw, Jennifer Aquino)</li> <li>• Contracts Administrator: documents up to \$50,000 (Currently Donald King, Amanda Palmquist)</li> <li>• Contracts Analyst: documents up to \$50,000 (Currently Catherine Dang)</li> </ul>
 DA 2574	Authority to approve amendments to the capital improvement program and make transfers of funds <a href="http://policy.ucop.edu/files/da/da2574.pdf">http://policy.ucop.edu/files/da/da2574.pdf</a>	Minor capital improvement projects (total project cost not to exceed \$750,000) only	Associate Vice Chancellor – Project Management (currently Rob Gayle)
DA 2575	Authority to approve project design <a href="http://policy.ucop.edu/files/da/da2575.pdf">http://policy.ucop.edu/files/da/da2575.pdf</a>	Total project costs not to exceed \$10,000,000	Associate Vice Chancellor – Project Management (currently Rob Gayle)
G-38	Tax Exemption and Refund Claim Filing for Property Leased by the University <a href="http://policy.ucop.edu/doc/3420352/BFB-G-38">http://policy.ucop.edu/doc/3420352/BFB-G-38</a>		No re-delegation on record

Any re-delegation of the above authorities must be in writing, with a copy to the Campus Delegations of Authority Coordinator. Please contact Campus DA Coordinator Janice Hing in the Office of Ethics, Risk and Compliance Services at 643-9318 or [jhing@berkeley.edu](mailto:jhing@berkeley.edu) with any concerns or changes you may have regarding these delegations of authority.

All Best,



Nicholas Dirks

cc: Vice Chancellor John Wilton  
Chief Campus Counsel Chris Patti  
Associate Chancellor Linda Williams  
Chief Audit Executive Wanda Lynn Riley  
Campus DA Coordinator Janice Hing



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March 1, 2013

## CHANCELLORS

**DIRECTOR – LAWRENCE BERKELEY NATIONAL LABORATORY  
 VICE PRESIDENT – AGRICULTURE AND NATURAL RESOURCES**

### Delegation of Authority – Amendments to the Capital Improvement Program<sup>1</sup> and Transfers of Funds

The Standing Orders of The Regents provide certain authorities to the President of the University concerning amendments to the Capital Improvement Program.

#### A. Non-State-Funded Major and Minor Capital Improvement Projects with a Total Project Cost Not to Exceed \$10,000,000

##### 100.4 Duties of the President of the University

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(q)(1) Except as provided in paragraph (q)(2) below, the President is authorized to approve amendments to the Capital Improvement Program for projects not to exceed \$10 million. The President is also authorized to approved amendments to the Capital Improvement Program for projects exceeding \$10 million up to and including \$20 million, provided that concurrence is obtained from the Chairman of the Board and the Chairman of the Committee on Grounds and Buildings and also provided that all actions taken in excess of \$10 million up to and including \$20 million under this authority to be reported at the next following meeting of the Board. However, the following shall be approved by the Board: (1) projects with a total cost in excess of \$20 million, (2) for projects in excess of \$20 million, any modification in project cost over standard cost-rise augmentation in excess of 25%, or (3) capital improvement projects of any construction cost when, in the judgment of the President, a project merits review and approval by The Regents because of special circumstances related to budget matters, external financing, fundraising activities, project design, environmental impacts, community concerns, or substantial program modifications.

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Effective immediately, you are delegated authority in your respective areas of responsibility to approve amendments to the Capital Improvement Program for non-State-funded minor capital projects (total project cost equal to or less than \$750,000) and non-State-funded

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<sup>1</sup> For the purposes of this delegation, "amendments to the Capital Improvement Program" refers to capital project budget and associated scope approvals.

major capital improvement projects (total project cost greater than \$750,000) with a total project cost not to exceed \$10 million. This authority excludes: (1) the addition of a new project with a cost in excess of \$10 million; (2) any modification in project budget that results in a project costing in excess of \$10 million; (3) any substantial program modification<sup>2</sup> in physical characteristics or intended use of a project previously approved by The Regents or by my office, including any internal re-delegations; (4) any project funded wholly or in part by State funds; (5) any project that was denied funding by the State for reasons other than the unavailability of funding; or (6) projects involving Chancellorial residences or offices. Category (6) projects are subject to the approval requirements established in the policy on *University-Provided Housing*, <http://regents.universityofcalifornia.edu/policies/7708.pdf>.

Any project with potential significant environmental impact is subject to the California Environmental Quality Act. Therefore, there is no guarantee that projects added to the Capital Improvement Program will necessarily proceed to construction. The decision to proceed occurs, typically, at the design approval stage and must be accompanied by appropriate environmental impact information. Authority for project design approval is addressed in DA 2575.

The authority herein for non-State-funded major capital improvement projects (total project cost exceeding \$750,000 and not to exceed \$10 million) may not be redelegated. The authority herein for non-State-funded minor capital improvement projects (total project cost not to exceed \$750,000 and as consistent with the constraints referenced above) may be redelegated.

B. Pilot Phase of the Delegated Process for Capital Improvement Projects ("Delegated Process") - Amendments to the Capital Improvement Program for Projects Not to Exceed \$60 million

100.4 Duties of the President of the University

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(q)(2) This paragraph shall apply exclusively to capital projects for those campus entities approved by the Committee on Grounds and Buildings for inclusion in the *Pilot Phase of the Delegated Process for Capital Improvement Projects*.

The President is authorized to approve amendments to the Capital Improvement Program for projects not to exceed \$60 million. However, the following shall be approved by the Board: (1) projects with a total cost in excess of \$60 million, (2) for projects in excess of \$60 million, any modification in project cost over standard cost-rise augmentation in excess of 25%, or (3) capital improvement projects of any construction cost when, in the judgment of the President, a project merits review and approval by The Regents because of special circumstances related to budget matters, external financing, fundraising activities, project design, environmental impacts, community concerns, or substantial program modifications.

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<sup>2</sup> As used herein, "substantial program modification" to be determined in consultation with my office.

This paragraph shall become inoperative and is repealed on March 31, 2014, unless a later Regents' action, that becomes effective on or before March 31, 2014, deletes or extends the date on which it becomes inoperative and is repealed.

\* \* \*

Effective immediately, Chancellors are delegated the authority provided under Standing Order 100.4(q)(2) for projects within their respective jurisdictions to approve amendments to the Capital Improvement Program for qualifying projects not to exceed \$60 million. A qualifying project is one that is eligible for, and has been reviewed under the Delegated Process, and has been determined not to require elevation to The Regents for approval.<sup>3</sup> You may approve budget and/or scope modifications provided: (1) the total project budget when augmented does not exceed \$60 million, or (2) any modification in project cost does not exceed a cumulative augmentation of 25% over the original approved budget, and (3) a scope change does not entail a substantial program modification<sup>4</sup> in physical characteristics or intended use of a project previously approved under the Delegated Process. Because The Regents desire to be informed of significant budget, scope, or schedule changes for all projects--including delegated projects--campuses are to inform the Office of the President of such changes through procedures developed for early Regental notification for high interest projects.

Chancellors are responsible for ensuring the financial feasibility of their campus's Ten-Year Capital Financial Plans, consistent with the Delegated Process. Changes or updates to those Plans are submitted annually to the office of the Vice President of Budget and Capital Resources for presentation to and acceptance by The Regents.

For individual projects not identified in the accepted Ten-Year Capital Financial Plan, and with a total project cost under the \$60 million threshold, a campus may either: (a) seek Regental budget approval for the project; or (b) seek approval by The Regents of an amendment to the Ten-Year Capital Financial Plan for eligibility for inclusion of the project in the Delegated Process.

The authority delegated to the Chancellors under Standing Order 100.4(q)(2) may not be further redelegated.

### C. Reporting

The exercise of the authority per Standing Order 100.4 (q)(1) and (q)(2) shall be in accordance with guidelines established by The Regents and the President, as they may be amended from time to time. These shall include and are not limited to the following reporting and accountability requirements: (a) the *Major Capital Projects Implementation Report*, reporting the adherence to plans and aggregated performance on specific metrics of

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<sup>3</sup> Eligibility for the Delegated Process requires that the project: conforms to the campus Physical Design Framework; complies with the campus Long Range Development Plan; is identified in the accepted Ten-Year Capital Financial Plan; and complies with all applicable laws, regulations, and University of California policies.

<sup>4</sup> As used herein, "substantial program modification" to be determined in consultation with my office.

Regental and Presidential interest; and (b) an audit, monitoring the factual validity of information reported throughout the process, along with Regental and Presidential policy compliance.

D. Transfer of Funds for Capital Improvement Projects Approved by Authority Delegated Herein

100.4 Duties of the President of the University

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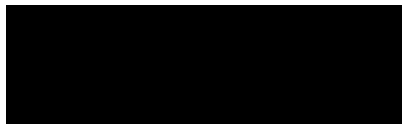
(o) The President is authorized to approve transfers or allocations of University operating funds and transfers of funds designated for Capital Improvement purposes, subject to any limitations which might be imposed by the terms of said funds, provided:

1. That no such transfer or allocation shall result in the establishment of a new policy, program, or project involving a continuing commitment;
2. That no transfer or allocation shall be made from a reserve fund for a purpose other than that for which the reserve fund was established.

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Effective immediately, you are delegated the authority provided under Standing Order 100.4 (o) to transfer funds to capital improvement projects approved by authority delegated to you herein. The authority delegated under Standing Order 100.4(o) for non-State-funded minor capital improvement projects (total project cost not to exceed \$750,000), approved by you or your delegee, may be redelegated. The authority delegated under Standing Order 100.4(o) for non-State-funded major capital improvement projects (total project cost over \$750,000) approved by you may not be further redelegated.

This delegation supersedes the delegation of September 1, 2009 to the Chancellors, the Interim Director – Lawrence Berkeley National Laboratory, and the Vice President – Agriculture and Natural Resources (DA 2230) and the delegation of September 1, 2009 to the Chancellors and the Vice President – Agriculture and Natural Resources (DA 2229).



Mark G. Yudof  
President

cc: Members, President's Cabinet  
Vice President – Budget and Capital Resources  
Associate Vice President – Capital Resources Management  
Associate Vice President – Budget Operations  
Universitywide Policy Office