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Comprehensive Standard 3.11.1

The institution exercises appropriate control over all its physical resources.

Judgment: Compliant

Response:

System/Columbia

The University of South Carolina (USC) exercises control over its physical resources through effective planning and management processes and through a dedicated and professional staff that oversees and maintains the facilities to meet the needs of students, faculty, and staff. The flagship campus in Columbia is a diverse and well-established comprehensive campus that includes over 567 acres of land, 12 million square feet (MSF) of facilities in 205 buildings, and leased space in 12 additional facilities. Approximately half of this square footage is dedicated to education and general purpose facilities, with approximately 0.5 MSF dedicated to research, 2.1 MSF dedicated to on-campus housing, 0.8 MSF to athletic facilities, and 2.8 MSF to parking. These facilities serve more than 28,000 students, more than 5,000 faculty and staff members, and a multitude of programs and services required to support the operation of a comprehensive public research institution.

The University of South Carolina uses several means to exercise appropriate control over all its physical resources. The **Board of Trustees (BOT)** provides general oversight to ensure appropriate management of physical resources through its **Building and Grounds Committee**. As outlined in the **Board of Trustees By-Laws (p.18)**, this Committee reviews recommendations from University administration regarding capital projects and long-range plans that impact the University's allocation of funds for current and future capital needs. This Committee also reviewed the **Campus Master Plan** and recommended approval to the full Board of Trustees. The Campus Master Plan has been a fixture since 1994 and was most recently updated in 2010. The Campus Master Plan ensures that the University is making the necessary preparations to ensure that its facilities are adequate to support its teaching, research, and service mission. (Section 2.11.2 provides a more detailed discussion of the Campus Master Plan.) The recent update to the Campus Master Plan identifies the University's facilities needs and compares these requirements with existing resources. This effort outlines a Plan for ensuring that the institution continues to have sufficient and appropriate physical resources, including laboratories, materials, equipment, and buildings and grounds, whether owned or rented, to support its mission and that these resources are designed, maintained, and managed to serve institutional needs.

To further ensure the appropriate development of physical resources, **USC Design Guideline [Warning: Very slow loading file]** was developed in 2008 to set standards for design throughout the campus. This guideline establishes strict design parameters for green and public spaces, streets and parking, character and scale, space and architectural definitions, and material for all campus spaces. The design guidelines retain the distinctive character of the historic region of the Columbia campus, particularly as manifested in the architectural and open space legacy, by outlining principles for architecture and landscaping design that respond to the University's heritage while advancing a vision for the future. This guideline is provided to all architectural and engineering firms that are designing on-campus projects.

In addition to the Campus Master Plan, further capital planning is accomplished through the recent development of a **30-year capital budget. [Warning: slow loading file]** This budget identifies both current and long-term financial needs associated with capital projects and serves as an important tool for identifying and monitoring available funding resources. The Campus Master Plan and the 30-year Capital Budget comprise comprehensive capital plan for the University.

The University also controls its physical resources through maintaining an up-to-date **Facilities Inventory** for all land and buildings on the Columbia campus. Through this inventory and other facility records, the University tracks information for all owned and leased properties. USCF staff members also conduct an annual inspection of inventory to document the space use and type. Recently, the University hired a consultant to conduct an independent verification of current space and converted drawings of all University facilities to CAD documents. In 2010, the University created a Space Allocation Subcommittee of the Capital Planning Committee (CPC) to review all requests for changes in space use on campus, recommend approval to the CPC for any changes in space utilization, and ensure that campus facilities are used in a manner consistent with the University mission.

In addition to controlling the use of physical space, the University has **unique controls** in place for all assets valued above \$5,000. All university equipment assets valued at \$5,000 or more are recorded as fixed assets when they are purchased, and accountability is established and maintained through an annual fixed assets inventory that requires site verification of each item. The University Controller maintains records of fixed assets and reports information annually on the University's financial statements.

The University also uses a **system-wide policy** and a **structured process** for reviewing and approving new capital construction and major projects. New project requests are submitted to the Facilities Department by Deans, Directors, or other senior leadership and are forwarded to the Capital Planning Committee (CPC) for initial consideration. If the project is supported by the CPC and the President, and funding is secured, the project approval process is begun. For those projects less than \$250,000, the University President is delegated approval authority. For projects greater than \$250,000 and less than \$500,000, the USC Board of Trustees is the approval authority. Projects greater than \$500,000 are generally considered state level projects and must pass through a six step approval process to establish the estimate and schedule and to obtain approval for final design and construction. This six step process begins with the University's Buildings and Grounds Committee of the BOT, and continues with

the full BOT, the State's Facilities and Finance Committee of the Commission on Higher Education (CHE), the full CHE, the Joint Bond Review Committee, and final approval with the State Budget and Control Board. This entire process operates in conjunction with the University policy for capital planning, which systematically reviews and prioritizes capital requests, determines available and appropriate funding for capital needs, and plans capital projects and expenditures within available resources.

Construction and renovation projects at all system campuses are managed by the **Facilities Department** in Columbia. Over the past three years, 90 major projects (i.e., projects valued at greater than \$500,000) have been initiated, with a total value of more than \$770 million. In addition to the major projects, the Facilities Department managed 742 minor projects (i.e., those valued at less than \$500,000) over the same time period, with a total value of \$53 million. All facilities are constructed and maintained in accordance with building code requirements to ensure access, safety, security, and a healthy environment with consideration for environmental and ecological concerns. This effort is accomplished with a staff of 9 engineers and architects, a 17 person support staff, and contractors.

While deferred maintenance is a significant challenge, it is also one of the University's highest priorities. Currently there is an approximate backlog of more than \$600 million in deferred maintenance for the 100 largest facilities. These needs have been identified and prioritized. The University has recently initiated a more targeted plan for funding dedicated to deferred maintenance. Some federal stimulus funds and carry forward funds from previous fiscal years have been dedicated to renovations, and an additional allocation from the University's Institutional Capital Project Funds (ICPF) has been reserved to address deferred maintenance needs during the 2010-11 fiscal year. In FY 2011 through additional tuition collections, an additional \$800,000 in recurring funds have been identified to provide a consistent and recurring source of funding to help the University address its most significant deferred maintenance needs. Funds not expended from this account will be carried forward into subsequent fiscal years and will only be used to address deferred maintenance needs.

Lancaster

USC Lancaster maintains control over all physical assets in accordance with University of South Carolina **Policies & Procedures**. The responsibility for establishing a system of internal controls for safeguarding the physical plant is vested with the Campus Dean. The Dean may delegate some aspects of authority to implement procedures but retains ultimate responsibility.

USCL **Facilities Management** conducts annual physical inventories of capital assets in accordance with university policy and reports its findings to **USC Consolidated Services**.

The USCL Archivist has physical control of **Native American Pottery Collections and archival materials**. Annual physical inventories will be conducted on these newly acquired collections.

Building access and key control is under the authority of Facilities Management. The **USCL Business Office** monitors adherence to university policies and procedures and follows generally accepted accounting principles in recording asset activity.

The Business Manager works through the USC **Risk Management Office** and maintains insurance coverage through the SC Insurance Reserve Fund.

The USCL **Law Enforcement and Security Office** provides night watchmen to safeguard university property, checking that all doors are secured after hours and monitoring activity on or near the campus. That Office also coordinates with the local law enforcement to provide additional oversight of activities after hours.

The USC **Office of Internal Audit** conducts periodic audits of the campus and includes the safeguarding of assets in its review of the campus. Up-to-date records are maintained on physical inventories and are available for inspection.

The **USCL Business Office** has well qualified staff to monitor adherence to internal controls and the safeguarding of assets:

- The Business Office is headed by a Certified Public Accountant who has a Bachelor of Business Administration, Accounting major.
- The Assistant Business Manager has a Bachelor of Science in Business Administration, Finance major.
- The Cashier has an Associate of Science degree and is currently a candidate for the Bachelor of Organizational Leadership.
- The Student A/R Fiscal Technician has a Bachelor of Science in Business Administration, Information Systems major and is currently a MBA candidate.
- The Accounts Payable Technician has a Bachelor of Science in Business Administration, Marketing major.

Salkehatchie

The physical resources of the University of South Carolina Salkehatchie are handled through the Business Office and the office of the Facilities/Maintenance Director. The Facilities/Maintenance Director ensures that the maintenance and development of the physical and environmental facilities of the university will result in a high quality environment for students, faculty, staff and visitors in performing the university's mission.

USC Salkehatchie conducts a physical inventory each year, and the results are kept on file within respective department areas such as maintenance and information technology. Duplicate copies of the inventory are maintained within the Dean's Office. In order to reduce exposure to risk, USC Salkehatchie coordinates with the USC **Risk Management** Department in Columbia to ensure proper insurance levels of coverage on all physical assets are maintained and updated.

There are periodic **Internal Audits** of the physical resources that are reported to the USC Board of Trustees. There is a standard **Inventory Accountability Policy** for all USC divisions. The Director of

Finance prepares an annual **Budget** that is submitted for approval to the USC Board of Trustees. The Director of Finance also submits an annual **CPIP** (Comprehensive Permanent Improvement Plan) to the South Carolina Commission on Higher Education (CHE). CPIP priorities are then ranked by CHE for project completion and budget allocations. Budget requests are also prioritized by the **MRR (Mission Resource Requirements) Funding Model** established by CHE.

Sumter

The physical resources of the University of South Carolina Sumter are handled through the Business Office and the office of the Facilities/Maintenance Director. The Facilities/Maintenance Director ensures that the maintenance and development of the physical and environmental facilities of the university will result in a high quality environment for students, faculty, staff and visitors in performing the university's mission.

USC Sumter conducts a physical inventory each year, and the results are kept on file within respective department areas such as maintenance and information technology. Duplicate copies of the inventory are maintained within the Dean's Office. In order to reduce exposure to risk, USC Sumter coordinates with the USC **Risk Management** Department in Columbia to ensure proper insurance levels of coverage on all physical assets are maintained and updated.

There are periodic **Internal Audits** of the physical resources that are reported to the USC Board of Trustees. There is a standard **Inventory Accountability Policy** for all USC divisions. The Director of Finance prepares an annual **Budget** that is submitted for approval to the USC Board of Trustees. The Director of Finance also submits an annual **CPIP** (Comprehensive Permanent Improvement Plan) to the South Carolina Commission on Higher Education (CHE). CPIP priorities are then ranked by CHE for project completion and budget allocations. Budget requests are also prioritized by the **MRR (Mission Resource Requirements) Funding Model** established by CHE.

Union

The physical resources of USC Union are handled through the Business Office. The Facilities/Maintenance Director and staff, under the leadership of the Business Manager, ensures that the maintenance and development of the physical and environmental facilities of the university will result in a high quality environment for students, faculty, staff and visitors in performing the university's mission.

There are periodic **Internal Audits** of the physical resources that are reported to the USC Board of Trustees. There is a standard **Inventory Accountability Policy** for all USC divisions. The Business Manager prepares an annual **budget** that is submitted for approval to the USC Board of Trustees. The Business Manager also submits an annual **CPIP** (Comprehensive Permanent Improvement Plan) to the South Carolina Commission on Higher Education (CHE). CPIP priorities are then ranked by CHE for project completion and budget allocations. Budget requests are also prioritized by the **MRR (Mission Resource Requirements) Funding Model** established by CHE. Maintenance services are provided through an in-house work force and selective contract services for roof repair, elevator maintenance, fire alarm systems, building environments controls and automatic door maintenance.

Supporting Documentation:

Description	Source
Policies	
Procurement of Agricultural/ Engineering	http://www.sc.edu/policies/fcmn100.pdf
Leasing of Retail Property	http://www.sc.edu/policies/fcmn103.pdf
Establishment of Permanent Improvement Projects	http://www.sc.edu/policies/fcmn106.pdf
Capital Planning Policy	http://www.sc.edu/policies/btru130.pdf
Inventory Accountability Policy	http://www.sc.edu/policies/busf500.pdf
Policies & Procedures	http://www.sc.edu/policies/index.shtml
Boards, Committees, Organizational Background	
Board of Trustees	http://trustees.sc.edu/
By-Laws	http://trustees.sc.edu/Board_ByLaws.pdf
Facilities Department	http://www.facilities.sc.edu/
Organizational Chart	https://sharepoint.sc.edu/sites/uts/public/Public%20Library/Facilities%20Department%20Org%20Chart%204-30-10.pdf
Background and Qualifications of Directors	https://sharepoint.sc.edu/sites/uts/public/Public%20Library/Biographies%20for%20Facilities%20Directors.pdf
Facilities Management – Lancaster	http://usclancaster.sc.edu/facilities/index.html
Building and Grounds Committee	https://sharepoint.sc.edu/sites/uts/public/Public Library/Members Building Grounds Committee.pdf
Services and Offices	
Services	
Consolidated Services	http://purchasing.sc.edu/cs.shtml
Offices	
Business Office – Lancaster	http://usclancaster.sc.edu/busoffice/index.html
Budget Office	http://busfinance.admin.sc.edu/budget/
Law Enforcement and Security Office - Lancaster	http://usclancaster.sc.edu/security/index.html
Office of Internal Audit	http://www.sc.edu/iaudit/charter.htm

Risk Management	http://ehs.sc.edu/RiskManagement.htm
Plans and Reports	
Plans	
Campus Master Plan	https://sharepoint.sc.edu/sites/uts/public/Public Library/USC Campus Master Plan.pdf
Comprehensive Permanent Improvement Plan	http://www.che.sc.gov/Finance/FacilitiesInformation/CPIP.htm
Master Plan - Union	http://uscunion.sc.edu/about/inst_repts.html
30 Year Capital Plan	https://sharepoint.sc.edu/sites/uts/public/Public Library/30 Year Capital Plan.pdf . [Warning: slow loading file]
USC Design Guideline	http://www.cpc.sc.edu/USCDGFEB08.pdf [Warning: Very slow loading file]
Internal Audit Reports	
Salkehatchie	http://www.sc.edu/iaudit/2007AuditReports/0711Salk.pdf
Sumter	http://ire.uscsumter.edu/homey/InternalAuditReport.pdf
Union	http://www.sc.edu/iaudit/2005AuditReports/0501Union.pdf
Inventories, Models, and Projects	
Inventory	
Facilities Inventory	https://sharepoint.sc.edu/sites/uts/public/Public Library/Facilities Inventory 4-30-10.pdf
Native American Studies	http://usclancaster.sc.edu/NASarchive/index.html
Mission Resource Requirements Funding Model	http://www.che.sc.gov/New_Web/ForInstitutions/MRR.htm
Projects	
Major Projects	https://sharepoint.sc.edu/sites/uts/public/Public%20Library/2010-06-07%20Fac%20Projects%20GT%20500k.pdf
Minor Projects	https://sharepoint.sc.edu/sites/uts/public/Public%20Library/2010-06-07%20Fac%20Projects%20LT%20500k.pdf
Capital Project Approval Process	http://ipr.sc.edu/pdf/CapProjApprProc.pdf

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SITE INFORMATION

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