Policy on Authority to Execute Construction Projects

I. **POLICY STATEMENT**

Auburn University’s (the University’s) “Policy on Authority to Execute Construction Projects” mandates the process for executing construction projects on the University’s main campus and other land owned by the University.

II. **POLICY PRINCIPLES**

The University executes construction projects to build new facilities; maintain, repair, and renovate existing facilities; and implement other improvements to the campus infrastructure, grounds, or lands owned by the University. These projects represent major investments of University resources and have long-term impact to the University campus. As such, it is essential that:

A. all construction projects are executed in a well-planned, professional, and high-quality manner;

B. all construction contracts executed by the University are managed and administered in compliance with the Alabama Competitive Bid and Public Works Laws;

C. all construction projects are designed with sound architectural and engineering principles and practices as well as comply with national life safety, fire protection, electrical, and other building codes intended to ensure and maintain safety, as well as binding declarations and covenants;

D. all construction projects for new facilities comply with the Auburn University Campus Master Plan, as well as binding declarations and covenants;

E. all construction projects comply with the Auburn University Character and Image Standards and Design and Construction Standards, as well as binding declarations and covenants;

F. all construction projects that make improvement to University land and property comply with applicable national, state, and/or local regulations regarding environmental concerns and storm-water management.

G. To ensure that these requirements are met, Auburn University Facilities Management (“Facilities Management”) has the sole authority to bid, award, and manage construction contracts on behalf of the University or to execute construction projects on University property.

III. **EFFECTIVE DATE**

July 7, 2014

IV. **APPLICABILITY**

This policy applies to all University organizations and all projects executed on property owned by the University as well as all capital grants (federal, state, corporate, and/or foundation supported) provided for construction projects.

V. **POLICY MANAGEMENT**

- **Responsible Office:** Auburn University Facilities Management
- **Responsible Executive:** Executive Vice President, Auburn University
- **Responsible Officer:** Associate Vice President, Facilities Management
VI. DEFINITIONS

Construction Project: any project that constructs, repairs, renovates, alters, remodels, installs, maintains, modifies, or replaces University facilities, infrastructure or grounds as well as their associated equipment and components. See Appendix A for additional guidance as to what constitutes a construction project.


VII. POLICY PROCEDURES

A. Execution of Construction Contracts and Project by Facilities Management:

1. With few exceptions, all construction contracts on behalf of the University will be bid, award, and managed by Facilities Management. All construction projects involving University General Funds or those impacting University facilities, grounds, and property shall be managed and executed by Facilities Management.

B. Delegation of Authority to Execute Construction Projects by Facilities Management:

1. Under certain circumstances, Facilities Management may delegate the authority to execute a construction project to another University organization. The process by which this delegation shall occur is explained below and further detailed in Appendix B:

   a. The organization desiring to execute a construction project will submit a request to Facilities Management to initiate a project. This request will provide the following information, at a minimum:

      i. Requesting organization
      ii. Project location
      iii. A detailed scope of work
      iv. Rationale for why the requesting organization needs to execute this project
      v. Proposed method for design and engineering
      vi. Proposed execution schedule
      vii. Estimated cost
      viii. Proposed project manager
      ix. Bidding and contracting strategy

   b. Facilities Management will review the project request, and if acceptable, issue a Preliminary Project Approval.

   c. If a Preliminary Project Approval is granted, Facilities Management will work with the requesting organization during the project development and will conduct design reviews at the following milestones: schematic design, 50% construction documents, and 95% construction documents.
d. If the project development and design steps proceed satisfactorily, Facilities Management will issue the requesting organization a Construction Project Permit.

e. With this permit, the requesting organization is authorized to solicit bids for the work through Procurement and Payment Services, or Facilities Management, per the following:

i. If University, State of Alabama, or Federal funds are used to fund the project, Facilities Management will bid the contract and manage the project.

ii. If funds other than University, State of Alabama, or Federal funds are used to fund the project, Facilities Management will coordinate with Procurement and Payment Services to determine whether Procurement or Payment Services will bid the project or the requesting organization.

f. Once the project has been successfully bid and Facilities Management determines the contractor to be qualified to execute the work, Facilities Management will issue a Construction Project Notice to Proceed to the requesting organization authorizing them to commence work.

2. No construction projects or contracts shall be undertaken on the University's main campus or other property without written approval by Facilities Management.

VIII. SANCTIONS

Failure to follow the procedures listed above may result in the cancellation of non-conforming contracts and projects.

IX. EXCEPTIONS

A. Third Party Construction Projects: Construction projects executed by Private Corporations, State of Alabama Organizations, University-affiliated Foundations, or Non-University Organizations will be governed by the University Policy on Third-Party Construction Projects.

B. Auburn University Montgomery: Construction projects executed on the Auburn University Montgomery campus will be governed by a separate University Policy.

C. Projects at the Auburn University Regional Airport: Construction projects regarding airport infrastructure and other facilities funded by the Federal Aviation Administration (FAA) and/or the state’s Aeronautics Bureau at the Auburn University Regional Airport are not subject to the requirements of this policy but will be coordinated with Facilities Management. These projects will be accomplished using University policies and procedures regarding grant funding. Construction projects involving the University General Fund funding or University owned facilities at the Airport are subject to the requirements of this policy. Special consideration, however, for delegation of authority in Section VII (B) will be given since it is recognized that the airport is under contract with an engineering firm that has been selected using University procedures and in compliance with FAA and Aeronautics Bureau standards. All projects, University and third-party, will be completed in compliance with the airport’s master plan and the Guidelines for the Development, Design, and Construction of Aircraft Hangars by Third Parties, as approved by the University’s Board of Trustees and amended by the Board from time to time.

D. Minor Projects by Auxiliary Services or Athletics Department: Minor maintenance and repair projects, that do not meet the definition of construction projects as defined above, in Auxiliary Services and the Athletics Department facilities on the University’s main campus by their “in-house” staffs are not subject to the requirements of this policy. Additionally, projects involving athletic facility equipment such as scoreboards, timers, public address and sound systems, special event lighting systems,
advertising boards, as well as work involving graphic packages or other non-building system related work are not subject to the requirements of this policy.

E. **Minor Agricultural, Veterinary, or Forestry Related Projects on Main Campus**: Minor maintenance and repair projects, that do not meet the definition of construction projects as defined above, for the College of Agriculture, School of Forestry and Wildlife Science, College of Veterinary Medicine, Agricultural Experimental Station, and Agricultural Cooperative Extensive Service facilities located in designated “Field Laboratories” on the University’s main campus are not subject to the requirements of this policy.

F. **Minor Agricultural or Forestry Related Projects on Property outside the Main Campus**: Minor maintenance and repair projects, that do not meet the definition of construction projects as defined above, for the College of Agriculture, School of Forestry and Wildlife Science, College of Veterinary Medicine, Agricultural Experimental Station, and Agricultural Cooperative Extensive Service facilities located on property outside of the University’s main campus are not subject to the requirements of this policy.

G. **Agricultural and Forestry Operations**: Agricultural tilling and planting, as well as tree planting and harvesting, by the College of Agriculture, School of Forestry and Wildlife Science, Agricultural Experimental Station, and the Agricultural Cooperative Extensive Service are not subject to the requirements of this policy.

H. **Rural Studio**: Projects located on property outside of the University’s main campus that are undertaken as student learning assignments where the project is designed, administered, and constructed primarily by students working under faculty direction and oversight are not considered to be a construction project as defined by this policy, and are not subject to the requirements of this policy. Faculty providing direction and oversight to student workers shall be licensed professionals and are responsible for safety and compliance.

**X. INTERPRETATION**

All questions regarding this policy are the purview of the Associate Vice President for Facilities Management.

REVISED: May 22, 2015
Additional Guidance for Determining What Constitutes a Construction Project

Any project that involves work of the following nature is considered to be a construction project for the purpose of determining applicability of this policy:

1. any project that adds square footage to the campus facility inventory.

2. any project that erects or builds a facility or structure, even if intended as a temporary structure.

3. any project that installs, replaces, repairs, or modifies heating, ventilating, air conditioning, plumbing, drainage, sanitary sewer, or water distribution systems.

4. any project that adds load to a facility’s electrical system, involves work in electrical distribution panels, involves work on systems with a voltage of 120 volts or higher, or which that installs, replaces, repairs, or modifies a building’s electrical system.

5. any project that involves hazardous material such as lead-based paint or asbestos.

6. any project that installs, replaces, repairs, or modifies key building systems such as elevator, fire detection, fire sprinkler, emergency notification, or energy management systems.

7. any project that disturbs over 2,500 square feet of University land is considered a construction project and is subject to storm-water-management requirements.

8. any project that modifies campus landscaping, ground cover, drainage, or storm-water-management systems.

9. any project involving facility or building-related maintenance work in excess of $50,000.
APPENDIX B

Process for Obtaining a Construction Permit and Notice to Proceed

1. Requesting Organization Submits a Request to Initiate a Project
   - AU Facilities Management Reviews Request
     - Project Request is Acceptable?
       - Yes: AU Facilities Management Issues Preliminary Project Approval
       - No: Requestor Modifies or Cancels Project
     - No: Requestor Modifies or Cancels Project

2. AU Facilities Management Issues Preliminary Project Approval
   - AU Facilities Management Reviews Project Design at Schematic Design, 50%, and 95% Construction Drawing Milestones
     - Project Design Acceptable?
       - Yes: AU Facilities Management Issues Construction Project Permit and Coordinates Bidding with PPS
       - No: Requestor Modifies or Cancels Project

3. AU Facilities Management Issues Construction Project Permit and Coordinates Bidding with PPS
   - Project Is Bid and Managed by Facilities Management
     - Yes: Project Involves University, State or Federal Funds?
       - Yes: AU Facilities Management Issues Notice to Proceed
       - No: Project Is Bid by PPS or Requesting Organization
     - No: Project Is Bid by PPS or Requesting Organization