

# Auburn University Facilities Management Policy on

## CONTRACT MANAGEMENT OF UNIVERSITY PROJECTS

### I. PURPOSE

Provides guidance regarding which directorate within Auburn University Facilities Management ("Facilities Management") has the management lead for design contracts and construction contracts, including contracts with General Contractors (GC) and Construction Managers (CM), during each phase of a project's life.

### II. POLICY MANAGEMENT

**Responsible Office:** Auburn University Facilities Management

**Responsible Executive:** Assistant Vice President, Facilities Management

**Responsible Officer:** Executive Director, Design and Construction

### III. APPLICABILITY

This policy applies to contracts for all projects constructed by Auburn University ("The University"). Organizationally, it applies to the Executive Director Design and Construction and the University Architect.

### IV. DEFINITIONS

**Construction Contract:** an Agreement with a General Contractor (GC) or Contractor for construction of a University construction project. The contract may further categorized as Small Public Works (SPW) or Large Public Works (LPW).

**Construction Management Contract:** an Agreement with a Construction Manager for pre-construction and/or construction services on a University construction project. The contract may further categorized as Small Public Works (SPW) or Large Public Works (LPW).

**Construction Manager (CM):** a firm/individual hired to provide construction management professional services for selected University projects.

**Construction Phase:** activities after the Notice to Proceed (NTP). Construction activities include site mobilization, material procurement, submittal approval, construction, testing, commissioning, and closeout of a construction contract.

**Construction Project Manager (CPM):** the member of Facilities Management, within the Construction Management Directorate, who acts as the University Project Lead during the construction phase. The CPM is responsible for managing the Facilities Management processes throughout the construction and closeout phases of the project.

**Design Contract:** an Agreement with an architectural, engineering, or specialty consultant for design services on a University construction project. Design contracts may take the form of: Owner-Architect Agreements (OA), Professional Services Contracts (PSC), or Professional Service Purchase Orders (PSPO).

**General Contractor (GC):** a firm hired through a competitive bidding process that will construct a scope of work as described within the construction documents.

**Pre-Construction Phase:** activities prior to the Notice to Proceed (NTP) on a construction project. Pre-Construction activities include planning, program development, testing, design, production of plans and specifications, budgeting, construction contract packaging, contractor pre-qualification, bidding and award of the construction project, and preparing the construction contract.

**Project:** any undertaking to maintain, repair, alter, modify, renovate, or construct University facilities or buildings, including component building systems. Projects are further categorized by the type of work being performed as follows:

**Alterations and Modifications Projects:** change how the space within a facility is used. Alterations and modifications projects may also improve or upgrade building systems or components, including those that are not necessarily deteriorated to the point that repair or replacement is required. The difference between an alterations and modification project and a renovation is that the primary purpose of an alteration/modification is to change the use of space within the facility or upgrade the quality of an otherwise functional space, whereas the primary purpose of a renovation is to keep the facility in good operating condition and extend the life of the building.

**Maintenance and Repair Projects:** keep facilities in good operating condition and maintain the existing functionality by fixing or replacing inoperable, deteriorated, or malfunctioning building systems or components. Maintenance and repair projects in a facility typically are not as extensive as renovation projects.

**New Construction Projects:** constructs a new facility or builds a substantive addition to an existing building or infrastructure that increases the assets of the University.

**Renovation Projects:** repair, replace, and upgrade all or most of the systems in a facility, or a major portion of a facility. The purpose of a renovation project is to extend the life of a building. Renovation projects are undertaken when building deterioration is so extensive that a comprehensive repair to the whole building is required to keep facility in good operating condition and to maintain its functionality. Renovation projects may alter, modify, or reconfigure the spaces within a facility.

## **V. BACKGROUND**

Facilities Management projects are managed by multiple directorates to include University Architect, Design Services Directorate, and Construction Management Directorate. These projects are executed through multiple phases from Planning to Design to Construction to Closeout. Due to the complexity of this multiphase process and the numerous contracts involved, it is essential that responsibilities be clearly defined. In the past, the management of Design Contracts was often handed off as projects progressed from the Pre-Construction to the Construction Phase. To ensure continuity of management, Design Contracts will now be managed by a single directorate from start to finish.

**VI. POLICY**

- A. Within Facilities Management, the Design Services Directorate, University Architect, and Construction Management Directorate are responsible for managing and directing numerous contracts for the University.
- B. Within Facilities Management, the University Architect and Design Services Directorate have 100% ownership and responsibility for all contract oversight and enforcement for their respective projects from initiation through NTP.
- C. The Construction Management Directorate has 100% ownership and responsibility for all contract oversight and enforcement from NTP through the one-year warranty period.
- D. Contract modification responsibilities remain with the contract creator, excluding the Construction Contract, of which the Construction Management Directorate is 100% responsible for contract modifications. This policy addresses the process for contract modification responsibilities. See Appendix.

**VII. EFFECTIVE DATE**

1 April 2014

**VIII. APPROVAL**

\_\_\_\_\_  
Responsible Officer



\_\_\_\_\_  
Date  
7.8.14

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Assistant VP, Auburn University Facilities Management



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Date  
7/14/14

ADOPTED: April 21, 2014

REVISED: July 7, 2014

**Table 1: Contract Modification Responsibilities**

TYPE OF CONTRACT	PRE-CONSTRUCTION PHASE	CONSTRUCTION PHASE
Contracts created by University Architect's Office	University Architect	University Architect
Contracts created by Design Services Directorate	Design Services Directorate	Design Services Directorate
Contracts created by Construction Management Directorate	Construction Management Directorate	Construction Management Directorate
Construction Management Services (preconstruction phase, construction phase, or both).	Construction Management Directorate	Construction Management Directorate
General Contractor Construction Contracts	N/A	Construction Management Directorate

Note: The above matrix specifies responsibility for contract modification. It is understood that the University Project Lead during each phase is responsible for all contract oversight and enforcement and that this is a separate issue from the responsibility of contract modification.