

D- 3. CAPITAL PROJECTS POLICY PROCEDURES

This procedure supports the Policy for Campus Planning, Capital Projects and Space Management by establishing a framework to guide orderly advancement of capital projects. Adherence to this procedure assures all projects will be guided by:

- Professionally developed facility programs, budgets and schedules;
- Licensed professionals which have been selected in accordance with established policies and procedures of Auburn University;
- Applicable design standards and guidelines of Auburn University;
- Applicable regulatory requirements for buildings, building systems, life safety and accessibility for individuals with disabilities;
- Applicable image and character guidelines to create and maintain consistency of appearance;
- Applicable comprehensive and/or land-use master plans;
- Reviews and recommendations of the President and Board of Trustees at selected stages of project development.

APPLICATION

Application of this procedure extends to capital projects (not maintenance), including new construction and renovation/adaptation of existing facilities and/or systems constructed on Auburn University property, regardless of funding source, unless specifically excluded hereinafter. Project types include but are not limited to buildings, landscape, hardscape, parking lots, infrastructure, outdoor pavilions, athletic/recreational facilities, etc. Each potential project will be validated by the Office of Campus Planning and Space Management (CPSM) and the procedure implementation may be adjusted as circumstances, good judgment and practicality warrant.

DEFINITIONS

Capital improvement projects include all new construction of and substantive additions to buildings and infrastructure. Capital improvements generally, are considered those which increase the assets of the University. Capital improvements may also include projects of renovation/adaptation to existing facilities.

Major projects are those with total project budgets equal to or greater than \$750,000.

Intermediate projects are those with total project budgets between \$500,000 and \$749,999.

Minor projects are those with total project budgets less than \$500,000.

Renovation is the alteration of: 1) existing space to modernize and eliminate obsolescence; or 2) an entire facility to accommodate a new program requirement. Renovation projects larger than those funded from operating budgets may incorporate capital improvements and/or deferred maintenance as renewal of the facility.

Adaptation is the alteration of existing facilities and systems as necessary to bring them into compliance with current regulatory requirements. Renovation/adaptation projects may be considered capital improvements if the project results in an increased value of the renovated space and facility. Maintenance may be incorporated into renovation/adaptation projects to preserve the value of assets.

Maintenance is reinvestment in existing facilities and involves renewal and replacement of existing systems, parts, finishes and furnishings, etc. *Renewal* is the repair and/or change-out of parts of a system or components. *Replacement* is the substitution of a new system or components for a major portion of a facility. Forms of maintenance may be routine, preventative, major or deferred.

PROJECT TYPES MATRIX			
	CAPITAL IMPROVEMENTS	RENOVATION/ ADAPTATION	MAINTENANCE
New Facilities	•		
Existing Facilities	•	•	•
New Infrastructure	•		
Existing Infrastructure	•	•	•
Result	Increased Asset Value	Increased or Restored Asset Value	Preserved Asset Value

PROCEDURE

When capital projects are proposed the following procedure will be operative unless other specific action is authorized by the Board of Trustees.

1. *Project Initiation:*

Proposals for potential projects shall originate at the departmental level or higher; secure endorsement of the Dean or Vice President and then advance to the Office of Campus Planning and Space Management (CPSM) for initial classification, logging and routing.

2. *Project Justification and Concept Development:*

CPSM and the project initiating agency, often in the form of a building committee, shall collaborate in justifying need for the project and developing conceptual facility program requirements. A report of this collaboration shall be presented to the Dean for review and recommendation to the Provost or Vice President.

3. *Project Feasibility:*

The Provost or Vice President, with the support of CPSM, shall validate the recommendation of the Dean as it impacts institutional strategic, academic and financial plans. A report of this validation, in the form of a project prospectus that includes: 1) a justification statement; 2) a conceptual space summary; 3) the magnitude of cost; 4) a probable funding plan; and 5) potential site(s), shall be presented to the President with recommendations, proposed priorities and funding alternatives.

4. *Facility Programming and Schematic Design*

Based upon evaluation of the project prospectus, the President may: 1) defer immediate action; 2) engage qualified professionals to program and/or design minor and intermediate projects; or 3) in the case of major projects, invite a proposals from the initiating agencies requesting the Board of Trustees to consider action that approves the project and authorizes the President to initiate the selection process for naming professional consultants; and limit the project and plan development to the schematic design phase until the facility program, site, budget and funding plan are approved by the Board. CPSM, in collaboration with the initiating agency, shall guide the: 1) consultant selection process to identify qualified professionals for the President's recommendation to the Board through its Property and Facilities Committee; 2) architectural programming; and 3) schematic design. Approval of the schematic design by the Property and Facilities Committee is required to allow advancement of the project to the design development phase and following phases. Formal review by the Board and/or the Property and Facilities Committee is not required beyond the schematic design phase, except when requested for specific projects. No significant changes may be made to the program, design, budget, site or intended use of the building after approval of the schematic design by the Property and Facilities Committee without the recommendation of the President and approval of the Property and Facilities Committee.

5. *Design Development and Construction*

Upon receiving approval of the schematic design, the project may advance to the design development and construction phases under the shared guidance of CPSM and the Facilities Division, Design and Construction (DC) organization.

EXPEDITED PROJECTS

Upon recommendation by the President, a project may be designated by the Board of Trustees as an expedited capital project based upon specific circumstances that include but are not necessarily limited to: required coordination with local, state and federal agencies; required regulatory compliance; scheduled expenditure of bond proceeds;

mitigation of structural and climatic emergencies; response to inflationary market conditions; accommodation of academic and athletic schedules and other specific circumstances as may be determined by the Board of Trustees.

Upon designation of a capital project as an expedited project by the Board of Trustees, the Property and Facilities Committee of the Board shall have the authority to take all action otherwise designated by these procedures as requiring full Board of Trustee approval.

A review of any actions of the Property and Facilities Committee shall be a regular order of business at each meeting of the Board, and such actions shall be subject to revision and alteration by the Board, provided that no rights of third parties shall be affected by any such revision or alteration.

REVIEW BY GENERAL COUNSEL

During the conduct of this procedure, General Counsel of Auburn University shall, as requested, review related documents as to legal form.

ADOPTED: September 1, 2006

REAFFIRMED: June 19, 2009