

Texas Tech University System Regulation 05.01

Project Planning and Management

Approved: January 1, 2020

Next Scheduled Review: September 1, 2025

1. Purpose

- a. The Texas Tech University System (the “System”) and its component institutions (the “Institutions”) engage in both new construction projects and repair and renovation projects for existing facilities. Regents’ Rules Chapter 08 establishes board approval requirements required for major construction projects. Major construction projects are defined to include both new construction and repair and renovation with a total project budget as defined in Chapter 8 of the Regent Rules.
- b. This Regulation sets out the requirements for the System and its Institutions relating to project planning and project management for all major construction projects. Minor construction projects, defined as in Chapter 8 of the Regent Rule, and major construction projects approved by the Board of Regents to be managed by a component institution are not subject to this Regulation and are governed by applicable procedures set by the respective component institution.

2. Project Planning

- a. *MP-1, 5-Year Capital Project Plan.* Each component institution is responsible for the development of its capital project plan as reported on MP-1, including final approval by the respective President. Final MP-1 plans are submitted as part of the Facilities Agenda each May for Board of Regents approval.
- b. *Project Progression – Preliminary Review.* Each component institution is responsible for defining procedures for all projects listed on the MP-1 to be reviewed and prioritized by executive leadership. Executive leadership is the sole authority to move projects listed on the MP-1 to the Preliminary Planning phase.
- c. *Project Progression – Preliminary Planning.* Preliminary Planning could include additional component specific steps but must start with the Operations/Physical Plant Division at the respective component institution working with the applicable department or division benefiting or impacted by new construction and/or renovation projects. Internal discussions with appropriate areas within the institution is the responsibility of Operations/Physical Plant leading to the completion of the Initial Construction Planning & Funding Summary Document. This Document must include, but is not limited to the following items:
 - i) Brief description of the project and its location

- ii) Identified space and program needs, including priority on MP1.
 - iii) Design Criteria and goals:
 - a. Space requirements (teaching, research, office, etc.), including any specialty needs (labs, equipment, IT, etc.).
 - b. Infrastructure requirements which may include deferred maintenance, life safety, ADA requirements, parking lots and utilities.
 - iv) Component institution election and reasoning:
 - a. Project Manager role served by FP&C, Component Institution Operations/Physical Plant, outsourced or combination.
 - b. Inspector role served by FP&C, Component Institution Operations/Physical Plant, outsourced or combination.
 - c. Public Art and Landscaping Enhancement proposed inclusion/exclusion and any requested funding limits.
 - d. New furniture and/or equipment proposed inclusion/exclusion documented.
 - v) Estimated cost and/or budget limits and funding source. Component institution may elect to included annual maintenance and operating cost estimates.
 - vi) Required signature approval sections.
- d. *Project Progression – Executive Leadership Approval.* The Initial Construction Planning & Funding Summary Document must be submitted to the respective institutional CFOs for discussion with the President. The President must approve proceeding with the project by signing and dating such Document. The President may elect to fund the limited scope of further design and development of fundraising materials before proceeding with full project planning scope. This approval is required prior to engaging FP&C in any planning, design, discussions or consultations.
- e. *Project Submission to Facilities Planning & Construction (“FP&C”).*
- i) The Initial Construction Planning & Funding Summary Document once approved by the President, will be sent to FP&C along with the President’s recommendation for institutional representatives to be included on the Project team.
 - ii) The President, or his/her designee, are the only ones that can contact FP&C and authorize planning and design of a project to begin.
 - iii) Each component institution should provide FP&C with campus standards that must be followed on projects. Campus standards would include, but not be limited to, the following:
 - (1) Infrastructure (HVAC, plumbing/fixtures, electrical/fixtures, roofing, etc.).
 - (2) Technology (IT, security systems, AV, etc.).
 - (3) Standard room size or square foot per occupant requirements for offices, classrooms, labs, conference rooms, breakrooms, and others needed with the project.
 - (4) FF&E including campus furniture standards and level of responsibility for the institution’s Procurement Office to procure items for facility. FP&C will be consulted based on existing agreements and the necessity to coordinate the installation, confirm placement of furniture and equipment and infrastructure needs. FP&C may procure on behalf of the institution.

- (5) General finishes (ceiling tile, floors, cove base, etc.)
- (6) Architect/Engineering teams may present options that might differ from the standards related to new trends/improvement, etc., but approval is required prior to design from the Executive Leadership Team and/or Operations/Physical Plan component.
- (iv) Recommended value engineered changes require prior approval from the Component Institution Representative (Owner).
- (v) Recommended scope changes outside the Construction Planning & Construction Document require component institution executive leadership approval.
- (vi) Identify project construction delivery method related to project management (FP&C, Component Resources, Outsourcing)

3. Project Management

- a. *Project Team.* The Project Team will be structured to allow for efficiencies based on project needs. Once selected all team members have equal representation on the Project Management Team.
 - i) Team Members must include the following:
 - (1) Component Institution Representative (Owner). This is a required member on all projects whose primary function is to provide campus expertise and decisions for the project. It is the responsibility of the Component Institution Project Manager to facilitate communications within the institution for decisions to be made in a timely manner.
 - (2) FP&C Representative. The primary function of this role is to coordinate the Project by facilitating communications to ensure project budget and timelines are met with decisions made by Owner and approvals made by Board of Regents, as necessary. Responsibilities include, but not limited to, constructability reviews, cost control, RFQ/RFP development, solicitation, contracting, HUB selection committees and document management.
 - (3) Project Manager. This role serves as the primary project manager, e.g., day-to-day “boots on the ground” project manager, reporting daily to the Project Team. It is critical that this individual works with/reports to Project Representative (Owner) and FP&C.
- b. *Project Team.* Inspections will be structured to allow for efficiencies based on project needs and may consist of the following members: FP&C, Project Manager, and/or Component Institution personnel. All projects must have at least one individual identified to serve in this role.
- c. *Project Monitoring Process.*

- i) FP&C is responsible for providing Executive Leadership/Component Institution Owner Representative with a completed Construction Project Progress Form on a regular basis. This should be completed monthly but can be more often based on the project.
 - ii) The Construction Project Progress Form must include, but is not limited to, the following:
 - (1) Analysis of the construction completion-to-date with budget-to-date information.
 - (2) Identified savings/cost increases on an ongoing basis.
 - (3) Scope change requests, including Value Engineering must receive Executive Leadership and Component Representative approval.
 - (4) Funding to date information.
 - (5) Timeline of construction project milestones.
 - iii) Any changes from the original approvals by the Executive Leadership Team must be routed and approved prior to proceeding with the changes.
 - iv) Executive leadership will determine the use or reinvestment of any excess project funding.
- d. *Substantial Completion.* Substantial Completion is defined in the Uniform General Conditions in Article 12 of the contract. The Project Team shall be involved in identifying outstanding items. Prior to acceptance of substantial completion, all member of the Project Team must receive a copy and confirm the outstanding items which are required to be completed and the time frame required to complete the outstanding items. In all cases, the Project Team must sign off on the Completion Form including acknowledgment that training has been provided for all new equipment and/or infrastructure, including IT equipment, installed in the facility.
- i. Substantial Completion does not resolve the responsibility of FP&C and the General Contractor from cleaning and preparing the building for the official Ribbon Cutting or any other scheduled functions.
- e. *Post Substantial Completion.* Post Substantial Completion tasks will include the following processes that will be documented as part of the project file:
- i) Evaluations submitted on the role and effectiveness of each team member.
 - ii) Responsibilities for punch list items and outstanding work. This could include a workorder system to be utilized.
 - iii) Responsibilities during warranty period.
 - iv) Assessments to include Owner and Senior PM evaluating/rating the CM, CMA, and Inspector at the end of the project.

Contact Office: TTUS Facilities Planning and Construction
 (806) 742-2116