



## ADMINISTRATIVE DIRECTIVE

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### I. **PURPOSE**

To establish policy and procedures for the design, planning and execution of construction and renovation of all City-owned buildings and facilities.

### II. **POLICY**

All construction for new or renovated City facilities shall conform to all City of Tucson standards.

Customer departments shall initially consult with the Architecture and Engineering Division (AE) of the General Services Department (GSD) for all projects involving City facilities that may require a permit. AE will provide a cost estimate at no charge along with all applicable standards.

AE provides City facilities expertise and ensures that the standards and the needs of both the public and the customers departments are met, and the buildings achieve highly functional, cost-effective, low maintenance and sustainable solutions.

### III. **DEFINITIONS**

- A. **Annual Permit** – AE currently holds an annual permit which allows internal approval of certain types of permits for City facilities which expedites and reduces the cost of the permitting process.
- B. **Architectural Design Program (Programming)** – The phase of the project where the project sponsor identifies the user facility and building needs, the intended uses, and planned occupants.
- C. **Architectural Project** – All phases of a City building or facility construction or remodeling project, including planning, programming, design, construction, and warranty period. Architectural projects may include new buildings and modifications/additions to existing buildings.
- D. **Building Permit** – The formal permission granted by the City to begin the planned construction, demolition, or renovation of a facility. Often, permits for mechanical, plumbing, and electrical work are also required.
- E. **Contract Representative – (Project Manager)** – The City staff member designated as the person responsible for administering the contract for the City of Tucson, and who provides day-to-day project oversight and management of the design and construction including the project budget and schedule.
- F. **Customer Department** – The department, agency, or office, which uses, or will use, the facility being remodeled or constructed.



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- G. Department Liaison** – The customer department’s liaison delegated responsibility by the project sponsor for departmental coordination and developing and distributing public information on a project. Typically, the day-to-day contact for the project manager and contract officer.
- H. Design Development (DD)** – The phase of a project where plans, specifications, and updated construction cost estimates are advanced and ultimately provided to the project sponsor. Once approved, the design proceeds to the construction documents phase.
- I. Field Inspection** – On-site construction project investigations, critical appraisals, and examinations (including demonstration runs) to determine and make certain of compliance with construction drawings, specifications, contract requirements, or work standards.
- J. Field Review** – The arms-length on-site review of construction conditions, equipment, materials, processes, workmanship, and accomplishments to ascertain the quality of materials used, standards of workmanship, and work progress in general, conformance to construction drawings, specifications, work schedules, and other contract requirements.
- K. Project Coordinator** – The person who is tasked with performing field reviews. It is also the responsibility of the project coordinator to initiate any change orders and to review and process contractor’s estimates for payment. The project coordinator will report to the project manager.
- L. Project Sponsor** – The customer department representative with the overall responsibility for initially defining the scope and approving the budget and providing oversight of project execution. The project sponsor formally assigns the project manager, the department liaison, and the fiscal support person. For projects where more than one department, office or agency will use the facility, the customer department-assigned individuals shall meet and mutually agree to the project director for the project. That person shall also be responsible for communicating project information to the public.
- M. Project Manager** – The individual assigned to either: (1) provide architectural or engineering services for in-house projects, or (2) administer architectural or engineering projects, or (3) act as technical advisor and project manager to a contract architect, engineer or other professional for in-house projects, and/or (4) serve as the contract representative. The project manager will be assigned based on knowledge, experience, and collaborative approach. The project manager is the focal point of contact between the contract architect, department liaison and contractor, and with support from the fiscal support contact, tracks overall project budget and related activities.



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- N. **Project Team** – The group of subject-matter experts assembled from throughout the City, and supporting contractors, to plan, execute and close out a project.
- O. **Registered Plant** – The designation applied by the City Building Official to qualified organizations that are issued an Annual Permit.
- P. **Schematic Design** – An initial design scheme or multiple schemes that seek to define the general scope and conceptual design of the project, the rough plans, and costs.
- Q. **Stakeholders** – Organizations and individuals outside the Project Team who may be impacted by a project.

### IV. **RESPONSIBILITIES**

#### A. **AE Division, for projects under its management control, shall:**

Provide in-house and/or contractual architectural advice, counsel and technical assistance in developing, analyzing, coordinating, and monitoring architectural projects. This may involve planning and conceptual designs, cost estimates, plans and specifications, and construction monitoring and inspection.

1. Coordinate the receipt and distribution of record plans, and operations and maintenance manuals.
2. Serve as the depository and custodian for City buildings within the GSD archive of all official design and construction records including plans (originals and as-builts), specifications, and related data. This is applicable to those projects that AE manages and where records have been provided to AE.
3. Provide guidance on interior design, decor, costs, and space utilization.
4. Ensure appropriate coordination: (1) through the review of architectural projects with FCM relative to building and facility maintenance and operational considerations; (2) Information Technology Department relative to telephone and communication requirements; and (3) other necessary agencies.
5. Obtain the services of contract architects or other technical disciplines such as structural, civil, mechanical or electrical engineers when special conditions or projects require such specialized services.
6. Provide contract management of architectural and other professional contract services rendered and of construction contracts where a contract architect has been retained as the construction administrator.



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7. Promote and advocate the architectural needs and requirements of the customer department.
8. Qualify proposed improvements to existing facilities under Annual Permit as determined by the latest City adopted version of International Building Code and City Amendments. The following is NOT covered by the Annual Permit:
  - a. Work resulting in the change of use or occupancy for any portion of a building.
  - b. Work resulting in the change of a building type.
  - c. Work that adds, alters, removes or penetrates rated fire or smoke control assemblies, exit courts or exit passageways.
  - d. Work that requires moving more than five sprinkler heads.
  - e. Work that modifies load bearing structures.
  - f. Outdoor lighting changes that are regulated by the City of Tucson/Pima County outdoor lighting code.
9. Approve payments for contracted design and construction services.
10. Develop, maintain, and update standards for building design, construction and renovation. Ensure design and construction meet these standards.
11. Ensure the seamless transition of the improved or modified facility to FCM for ongoing maintenance.

**B. City of Tucson Departments shall:**

1. Contact AE prior to the start of any design phase involving the construction of a new City facility or modification of an existing City facility.
2. Assign the project sponsor and department liaison.
3. Provide the necessary funding source and staff support to initially define a project's requirements and objectives, and to obtain City approval of those requirements and objectives.
4. Participate throughout the consultant selection process from assisting AE in drafting the scope of professional service through the selection of the contract professional(s).



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5. Contribute basic technical and non-technical data required for the project (i.e., number of proposed occupants, special equipment or uses, non-standard work areas).
6. Obtain approval for project budget changes.
7. Aid to resolve, in conjunction with the project manager, the Procurement Director and other staff, various issues that may arise during programming, designing, and the construction of the project.
8. Initiate the ordering of, and provide the follow-up on, the installation of telephone service well in advance of the anticipated occupancy date of the building or facility.
9. Ensure that the provisions are followed of the City's Public Art Program as provided for in Administrative Directives 7.01-1 through 7.01-7.
10. Approve/coordinate the public information aspect of the project.
11. Expedite/coordinate the user review of the project design and assist in resolving conflicts with and among users.
12. Coordinate with appropriate parties to set up utility service and billing and building maintenance.

**C. City Manager's Office (CMO):**

The City Manager's Office shall approve architectural projects for which costs for all phases exceed \$10,000 before the projects can proceed. The project sponsor for any architectural project exceeding \$10,000, and that otherwise has not received written authorization from the CMO, must submit the total project to the designated Assistant, Deputy or City Manager under which the project falls for approval. The project sponsor must also receive CMO approval for changes in previously-approved project scope, such as increased building size or change in building function, that result in additional costs that exceed \$10,000.



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### V. AE PROCESS OVERVIEW

The following explanation is intended to provide City departments with an overview of the phases, processes and procedures involved in the planning, designing and construction of public buildings and facilities.

#### A. Project Planning

1. AE provides expertise in City facilities to all entities, departments, agencies, and offices to include the following:
  - a. Professional architectural and engineering counsel.
  - b. Technical assistance, and information involved in preparation of the City's Five-Year Capital Improvement Program (CIP) for City buildings and related facilities, except for Housing and Community Development.
  - c. Developing preliminary project proposals, scopes and budgets which are consistent with the applicable standards.
2. Requests for preliminary project proposals shall be initiated with the submission of a work order estimate request, submitted to the GroupWise email address "FM-Estimate."
  - a. Customer departments are responsible for refinement and approval of the preliminary project requirements.
  - b. AE will develop, based on the preliminary project requirements, conceptual design criteria and a statement of probable project cost.

#### B. Project Initiation

1. The AE Administrator will evaluate the project's requirements, design criteria, objectives and budget allocation.
2. The project sponsor will clarify project requirements and objectives based upon the budget allocation to ensure the facility can be built for the funds available.
3. The project manager will develop specific design criteria that meets the needs of the customer department and will update, when necessary, the probable project costs. The project manager, in conjunction with the customer department, will describe the professional services to be provided by City staff and/or contract architects or other consultants, and will provide an estimate of fees for those services.



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**C. Design Consultant Selection and Monitoring**

1. Design consultant required:
  - a. Procurement, in consultation with the customer department and the project manager, shall a conduct a selection process in accordance with all applicable Procurement Code requirements.
  - b. Upon a consultant contract award, the project manager is responsible for the day-to-day coordination and administration of all matters between the contract professional and the City to include monitoring the performance, approval of requests for payment, and design changes, as well as to aid in resolving disputes between the construction contractor and contract professional.

**D. Design**

1. **An Architectural Design Program (ADP) may be required to either confirm or develop:**
  - a. Detailed design criteria
  - b. Detailed functional and relationship requirements
  - c. Site plan information
  - d. Budget and construction cost data
  - e. Time schedules and other project requirements
  - f. This phase may require special research, visits to buildings of a similar type, "mock-up" studies of the actual activities to be housed, or materials and assemblies work flow analysis
2. **Customer department responsibilities:**
  - a. Provides basic technical and non-technical data
  - b. Is responsible for reviewing and approving the overall program
  - c. The project sponsor's written approval is required before the project moves into the design phase



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#### 3. Design and construction documents:

- a. Upon approval of the ADP, the project design proceeds to the actual schematic design, design development, and preparation of construction documents.
- b. The construction documents provide drawings that define the project spatially, as well as the construction specifications to define the materials, equipment, workmanship, and quality standards to be used.

#### 4. Project Manager:

- a. Monitors the contractor's progress and interfaces with contractor on behalf of the customer department.
- b. Reviews and provides comment on the design, construction documents, and construction cost estimate which establishes minimum standards of quality of material and equipment.
- c. Coordinates with the customer department and other stakeholders to ensure that all City reviews take place in a timely fashion and issues are resolved.

#### 5. Project Sponsor:

- a. Provides design review, as well as the selection of design alternatives based on architectural advice, and for approval of the completed design.
- b. Coordinates, or delegates the coordination of, public meetings, reviews and outreach if needed.

#### 6. All changes with budgetary impact:

- a. Must identify funding.
- b. Be authorized by the Budget and Internal Audit Office prior to submission to the Procurement Director.

#### 7. Plans:

Registered professionals preparing plans and specifications for different parts of a project must stamp each sheet so as to clearly indicate the professional responsibility for each part.



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### 8. **Final Project Package:**

- a. A set of contract documents are to be used for obtaining competitive bids or proposals.
- b. The package includes the general conditions of the contract, the standard and special provisions as may be necessary.

### E. **Solicitation and Award**

The solicitation process and the contract award of design and construction contracts will be facilitated by the Procurement Department in accordance with all procurement code requirements and other applicable statutes, policies and procedures.

### F. **Construction Responsibilities**

1. The construction contractor shall supervise and direct the work and shall be solely responsible for, and have control over, construction means, methods, techniques, safety, sequences and procedures.
2. The construction contractor shall be responsible for coordinating all portions of the work unless the contract documents give other specific instruction concerning these matters.
3. The contract officer shall be kept fully advised by the project manager of all material aspects of the project as construction progresses.
4. The Procurement Department Director, after consultation with the project sponsor and Project Manager, has the ultimate authority to resolve disputes concerning contract performance and to stop the work whenever such stoppage may be necessary to ensure the proper execution of the work.

### G. **Construction Change Orders**

Should conditions encountered in the performance of construction differ from the construction documents, or should a party to the construction contract request a change, addition, or deletion, an equitable adjustment may be accomplished in accordance with the contract provisions and the following criteria.



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### 1. Field Change Orders

- a. Unforeseen conditions or minor design errors or omissions and that do not amount to \$10,000 or 10% of the contract amount (whichever is less).
- b. Can be approved by the project manager unless the change involves a significant change in the scope of work.
- c. Notifications to the contract officer and stakeholders must be in writing (e.g., job meeting minutes, fax or e-mail). The notification shall clearly identify the contract number, project description, contractor name, change order number, description of the change, and purchase order number.
  - i. The contract officer shall be notified in writing of the Field Change within five (5) business days with a formal change order document to follow.
  - ii. Notification that a Field Change has been authorized should also be sent in writing to any stakeholders for their information and records.
- d. Minor change orders can be bundled and approved prior to a formal change order being issued. However, the contractor cannot be paid for the changes until a formal change order has been completely executed.

### H. Contractor Performance Problems

If there is a performance failure, violation, or default in either a professional services contract or construction contract, then the project manager, in consultation with the AE Administrator, Procurement and the project sponsor, will seek resolution through a "meet and confer" process between the parties. If these individuals cannot resolve the situation, then it shall be delegated to the contract officer who will address the problem in accordance with the applicable provisions of the Tucson Procurement Code.



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**Appendices**                      None

**References**                      Public Art Administrative Directives 7.01-1 through 7.01-7  
Project Management Process AD 1.02-18  
Architecture and Engineering Division Change Order Standard  
[https://www.tucsonaz.gov/files/gs/AE\\_Project\\_Managers\\_Manual\\_02-27-2015.pdf](https://www.tucsonaz.gov/files/gs/AE_Project_Managers_Manual_02-27-2015.pdf)

**Review Responsibility and Frequency**      The General Services Department Director shall review this directive annually, based on date of publication. Last review date: 9/9/09.

**Authorized**

  
\_\_\_\_\_  
City Manager

11/3/15  
\_\_\_\_\_  
Date