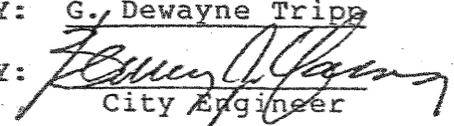


CITY OF TUCSON, ARIZONA  
DEPARTMENT OF TRANSPORTATIONENGINEERING DIVISION  
ACTIVE PRACTICES GUIDELINES

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PREPARED BY: G. Dewayne Tripp

EFFECTIVE: 10/1/88

APPROVED BY:   
City Engineer

DATE: 9/9/88

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SUBJECT: CHANGE ORDER/FORCE ACCOUNT PROCEDURES

1.01 PURPOSE

- A. To establish guidelines for the authorization of extra work through supplemental agreements; to provide guidelines for emergency authorizations for extra work that must be accomplished prior to execution of the supplemental contract agreement; and to provide guidelines for the preparation of supplemental agreements.

1.02 BACKGROUND

- A. Change Orders and Force Account Work Requests, when executed by the contractor/consultant and the City, are valid agreements supplementing the original contract, binding and protecting both parties.
- B. Change Orders and Force Accounts shall be prepared considering that the approving authority and other sections may not be as familiar with the intimate aspects of the work as the Project Engineer/Contract Administrator, consequently the preparation of the Change Order must be self-explanatory, such that the approving authorities may understand the intent, governing specifications, and cost analysis with a minimum of individual research required.

1.03 GENERAL

- A. No work shall be authorized or allowed to be started in the execution of alterations in construction, or substantial increases or decreases (or omissions) to the quantities in the bidding schedule, or changes to the scope of work, which under the specifications, requires a Change Order or Force Account Work Request, unless there is an executed copy of the agreement on file, with the following exception:

In the event of an emergency requiring work to commence on such change before a supplemental agreement can be prepared, executed by the parties concerned and returned to the file, it is possible to obtain emergency authorization to proceed with the proposed work prior to complete execution of the supplemental agreement.

The following procedures will be adhered to for obtaining authorization under emergency conditions:

1.04 EMERGENCY SITUATIONS INVOLVING DEPUTY CITY ENGINEER APPROVAL

- A. In emergency situations, a verbal or written request to perform work under a Change Order or Force Account basis shall be made through the Deputy City Engineer. Before contacting the Deputy City Engineer, any proposed supplemental agreement is to be discussed with, and approval obtained from all concerned/affected parties. Those parties to be contacted may include, but not necessarily be limited to, Materials, Design Section, Floodplain Section, Real Estate Section, Traffic Engineering, Parks and Recreation Department, Streets Division, and Purchasing Department.
- B. In the absence of the Deputy City Engineer, another official will handle the approval request. The usual order of alternate authorizing official is: City Engineer; Deputy Director of Transportation; Director, Transportation Department; Deputy City Manager; and lastly, the City Manager. Authorization, when received (either verbally or in writing) shall be recorded and indicated by the Project Engineer/Contract Administrator on the appropriate form (copy attached) and properly stored in the project file, pending preparation of the official Change Order or Force Account.
- C. Prior approval does not relieve the Project Engineer/Contract Administrator of the responsibility for developing all necessary costs and support data for the proposed change, and the submission of the completely executed supplemental agreement immediately.

1.05 EMERGENCY SITUATIONS INVOLVING SECTION HEAD APPROVAL

- A. On occasions where an immediate approval for a Change Order and/or Force Account Work is required, the Section Head shall have the authority to approve such work not to exceed twenty-five thousand (\$25,000.00) dollars. This approval will include changes in specifications, design, or unit price adjustments. In such emergency situations, a written or verbal request to perform such work will be made to the Section Head by the Project Engineer/Contract Administrator. Prior to contacting the Section Head, the Project Engineer/Contract Administrator will discuss and obtain approval/concurrence from all concerned parties. Those parties to be contacted may include, but not necessarily be limited to, Materials, Design Section, Floodplain Section, Real Estate Section, Traffic Engineering, Parks and Recreation Department, Streets Division, and Purchasing Department.
- B. If, in the judgement of the Section Head, such authorization should be granted, verbal approval may be given by the Section Head who will then immediately indicate approval in writing to the Project Engineer/Contract Administrator on the appropriate form (copy attached), a copy of which shall be properly stored in the project file.
- C. The Project Engineer/Contract Administrator may proceed with work as soon as authorization is granted by the Section Head. The applicable Change Order and/or Force Account forms will be prepared IMMEDIATELY and distributed through appropriate channels.

1.06 EMERGENCY SITUATIONS INVOLVING PROJECT ENGINEER OR CONTRACT ADMINISTRATOR APPROVAL

- A. Work of a minor nature that requires emergency approval of a Change Order and/or Force Account, such as engineering errors, etc., may be authorized by the Project Engineer/Contract Administrator, providing the cost does not exceed five-thousand (\$5,000.00) dollars, and the work does not involve a change in the specifications, design, or unit prices. All other authorizations must originate from the office of the Deputy City Engineer or the Section Head.

- B. When emergency conditions arise which fall within the above stated limitations, the Project Engineer/Contract Administrator shall prepare an authorization form (copy attached) to the Section Head indicating that he has authorized such work to be done on an emergency basis.
- C. The applicable Change Order and/or Force Account forms will be prepared IMMEDIATELY by the Project Engineer/Contract Administrator and distributed through normal channels.
- D. Each authorization shall include the following minimum information:
  - 1. The project number and date of authorization.
  - 2. A description of the work authorized and location by stationing.
  - 3. The estimated costs of the emergency work.
  - 4. If any other approval, such as Materials, Design, Traffic Engineering, etc., was obtained, so indicate in the authorization form.
- E. There is no limit to the number of items or amount of work which may be included in a supplemental agreement, providing the required supporting data/documentation is included in sufficient detail for reviewing and checking, and providing all items are related to a specific phase or area of the work.

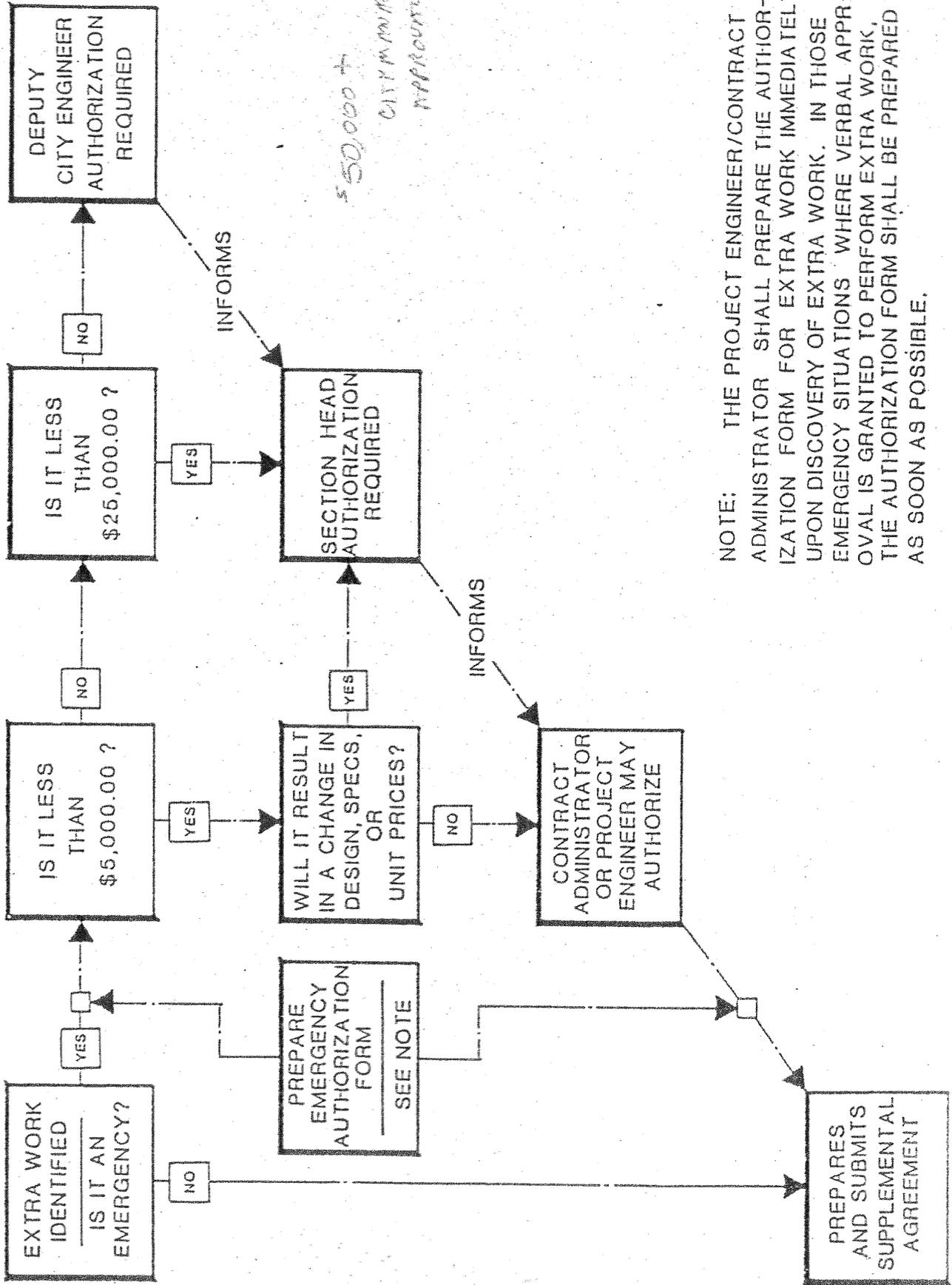
#### 1.07 CONCLUSION

- A. Prior to preparation of the supplemental agreement, the Project Engineer/Contract Administrator shall completely analyze the work which is proposed to be done. A complete review of the Specifications, Plans, Special Provisions, and contract documents relative to the change is mandatory, prior to preparation of the agreement, to insure contradictory information or an oversight in the proposal and analysis does not occur.
- B. In cases where it is necessary for the contractor/consultant to submit an analysis to support the cost of the change, the Project Engineer/Contract Administrator shall perform a complete review of the analysis and be completely satisfied that it is equitable and justified prior to its acceptance and becoming a portion of the supplemental agreement.

- C. The proposed change shall be stated clearly under the "Request", by indicating whether an increase, decrease, alteration, substitution, change in design, change in specifications, etc., is to be made.
- D. When a supplemental agreement is entered into, the Change Order and/or Force Account shall clearly indicate whether or not the change is substantial enough to possibly justify an increase in contract time. The number of days considered by the contractor/consultant to be necessary to accomplish the extra work, will have to be completely substantiated in an analysis by the contractor/consultant however, the Change Order/Force Account document shall indicate if an extension of time for the increased work will be considered.

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NOTE: THE PROJECT ENGINEER/CONTRACT ADMINISTRATOR SHALL PREPARE THE AUTHORIZATION FORM FOR EXTRA WORK IMMEDIATELY UPON DISCOVERY OF EXTRA WORK. IN THOSE EMERGENCY SITUATIONS WHERE VERBAL APPROVAL IS GRANTED TO PERFORM EXTRA WORK, THE AUTHORIZATION FORM SHALL BE PREPARED AS SOON AS POSSIBLE.