



Yuma County Building Construction and Modification Administrative Policy and Process Guidelines

August 2016

A handwritten signature in blue ink, reading "Susan K. Thoye", is written over a horizontal line.

County Administrator's Signature

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Building Construction and Modification Guide

Purpose:

The purpose of the Building Construction and Modification Guide is to facilitate communication and coordination between departments involved with building capital improvements and capital outlay projects and with various project stakeholders. Established standards and specifications of construction, early communication, and coordination aids project development and commitment to decisions. This results in a cohesive project with few delays and overall cost savings.

This guide does not replace individual department processes, policies, or practices such as delivery of services, inspection, record keeping, final project acceptance, budgeting, financial tracking, or scheduling of employee work. This policy applies to projects exceeding \$50,000, or when the complexity warrants as determined by the County Administrator.

General Services will manage facility capital outlay and capital improvement projects less than \$50,000. General Services will also manage capital improvements \$50,000 and over for system repairs and replacement. Information Technology Services will manage phone and network capital outlay and improvement projects. The Engineering Section will manage capital improvement projects greater than \$50,000 for new construction or as assigned by the County Administrator. A project begins when the County Administrator identifies a funding source and directs the appropriate department to begin the project assessment.

The Administrator may appoint a Project Manager upon reviewing the 5-year Capital Improvement Program for available funding and need. Funding will be programmed to initiate the scoping. The Project Manager is responsible for identifying Team members and presenting the list to the County Administrator. A project kickoff meeting will be held that includes all Team members to present these procedures and a project overview to the tenants and stakeholders.

1. Project Assessment

A. Project Scoping

The first phase of project development will clearly define the purpose of the project, create an understanding of the needs and relationships between functions and departments, identify the funding sources, and set the budget. The following questions serve as a guide to determine project scope.

1. What are the proposed improvements? Why are the improvements needed/desired? What rationale supports the need, including but not limited to, operational performance data, operations trends, Board priorities, the county's overall needs and strategies, or an identified agency risk?
2. What is the minimum improvement necessary to address the need?
3. Is it necessary to act at this time? If not, what is the optimal time to act?
4. Could the requested need or desire be addressed by other means? If so, how?
5. What political considerations are associated with the project, if any?
6. Is the project scope and budget acceptable to all? What budget contingencies and alternative actions have been considered?
7. When does the improvement need to be completed?
8. Have the future occupants (if applicable) had the opportunity to review the scope?
9. Can the need be addressed by operational changes rather than capital improvements?
10. Is there a preferred construction delivery method?

B. Cost Analysis

The second phase of project development is to identify costs to address existing infrastructure deficiencies, future maintenance and equipment, and related staffing for the options identified during the Project Scoping. Costs should be identified for the items in the following list:

1. Analysis of utility and infrastructure needs.
2. Analysis of current and future needs of the tenant(s) for 10 years, including projected utility, maintenance, and maintenance staffing expenses.
3. Furniture, Fixture, and Equipment.
4. Analysis of Information Technology and Life Cycle.
5. Analysis of the costs for other options identified.
6. If tenant relocation is required before, during, or after construction, who will pay for it?

C. Estimating Project Budgets for All Alternatives

The Project Manager will prepare project budget estimates for all of the alternatives identified during the Project Scoping phase.

D. Identifying a Funding Source

The Project Manager, in consultation with the County Administrator, Finance Director, and Budget Director, will identify possible funding sources for each of the alternatives identified during the Project Scoping phase.

E. Decision Making Process

Once the tasks in Sections A through D have been completed, the next step is the decision whether a project should move forward. Once that decision is made, the Review Team will rank options from those analyzed. The following questions serve as a guide for the decision-making process, and much of the information will be found in the responses from Sections A through D.

- a) What has occurred that triggered the need?
 - Who is most affected by the situation?
 - What do they want?
 - What do they need? What are their primary motivations?
- b) What are the project objectives?
- c) What are the limiting factors that impact project development?
- d) What are the key factors to consider?
- e) What stakeholders should be involved?
- f) What criteria are most important for decision making?
- g) What is the best solution benefitting the greatest number of people based on the established criteria?
- h) What is the preferred delivery method for project construction (for example, contract project manager or in-house)
- i) How well do the project's objectives align with the strategic goals of the department and the Board of Supervisors?
- j) What risks, both positive and negative, will affect attainment of the project's objectives? Who will be assigned to own each of the risks identified?
- k) What treatments will be put in place to address the risks? Who will be assigned to own the implementation of each treatment identified?
- l) What monitoring tools will be instituted to: 1) ensure that risk treatments are implemented and 2) determine the effectiveness of the decisions made and the decision-making process?

Expected Outcomes:

- Develop a guiding vision for the project
- Establish priorities
- Identify internal and external stakeholders and relationships
- Identify project risks and treatments
- Develop project cost estimate(s).

- Determine if a CIP project needs to be created and funded.

Deliverable: Feasibility Study/Report with Alternatives including review team ranking.

The Review Team may include consist of the following persons depending on the scope of the project:

- County Administrator
- County Engineer
- Consultants as necessary
- General Services Director
- Information Technology Director
- Administrative Services Director
- Impacted Department Heads/Stakeholders

2. Conceptual Planning and Construction Plan Design

A. Conceptual Plan (15% Design)

The second phase of project development is preparing general plans to address the needs identified during the scoping phase. Some items to be reviewed with the prospective tenant(s) include the following:

- Board priorities
- Strategic Plan and department priorities
- The public's needs
- Functional dependency
- Spatial dependency
- Present and future building utilization
- Building efficiency regarding function, operations, and maintenance
- Building codes and facility standards
- Safety and security
- Site constraints
- Level of amenities
- Budget

Outcomes: Direction for designing construction plans and bid documents, revised priorities, and a revised budget. The stakeholders will provide all required standards, policies, and specifications to the Project Manager to be included in the project. The final direction may represent a compromise between expressed needs and the budget constraints and other limitations. Stakeholders will rank alternatives.

Deliverable: Conceptual plans with alternatives to address as many identified needs as possible within budget constraints. Conceptual plans may also identify more expensive alternatives and

must be accounted for in a budget or as a potential add-alternate if additional funds become available.

The Review Team may consist of the following persons depending on project scope:

- County Administrator
- County Engineer
- General Services Director
- Information Technology Director
- Administrative Services Director
- Impacted Department Heads/Stakeholders
- Consultants as necessary

B. Construction Plan Design

The final phase is the development of construction plans is to determine specifications, bid and contract documents, and final cost estimates for the project. Reviews are provided to address adherence to the Board-approved conceptual plan and to provide specific guidance. Conceptual changes can be made during plan development, but this is rare because such changes usually result in additional consultant fees for additional design work. It is typical to perform only two to three reviews during design described as follows:

- The 30% review consists of dimensional layout plans, and is the last time that dimensional layout changes can occur to the plans without significant impacts to the project.
- The 60% review occurs when detailed plans and sectional views and most plan notes are complete and specifications are starting to be prepared. At the 60% review, the stakeholders are to submit all special provisions (policies and regulations), specifications, and minor changes that do not alter layout or plumbing, electrical, or mechanical systems are to the Project Manager.
- The 90% review occurs when the plans are complete and specifications are ready for thorough review. Review at this stage is limited to compliance with previously agreed upon decisions, constructability, and code compliance. No new direction or design changes are permitted. Final plan review occurs when the design engineer/architect believes the plans are complete and ready for final review. The review team will be given a reasonable time to review plans and other documents for comment. Comments must be provided prior to the identified deadline. Silence on the part of stakeholders or tenants indicates agreement.

During this phase, requested improvements and amenities are balanced against the estimated budget. Also, each tenant department or agency is responsible for working with architects and

engineers throughout the project to place their staff within the facility to best meet customer needs.

Outcomes: Recommendation for acceptance of plans and authorization to bid.

Deliverable: Bid-ready plans and specifications with an estimated cost at or below the project budget, including contingencies. Annual costs for operation and maintenance should be included as part of the annual operating budget.

The Review Team may consist of the following persons depending on project scope:

- County Administrator
- County Engineer
- Consultants as necessary
- General Services Director
- Information Technology Director
- Administrative Services Director
- Impacted Department Heads/Stakeholders

3. Construction Phase

A. Construction - Shortly after award and notice to proceed, the contractor works to complete the construction described by the plans. During construction, the Project Manager will hold weekly or biweekly construction meetings with stakeholders to discuss progress, anticipated activity, request clarifications, and address any change orders. The role of the Project Manager during construction is to ensure compliance with the contract and budget.

If a stakeholder requests a change order, the request may be considered based on the following factors:

- The requested change improves tenant functions.
- The change does not negatively impact the overall function of the building for planned or future uses.
- The change does not require significant redesign or rework.
- The change does not impact the project budget.
- The change is consistent with the approved plans and Yuma County facility standards.

If these conditions are not met, the change request may be placed on the unfunded needs list for possible consideration at the end of the project

B. Unfunded Items

As the project approaches completion and if funding is available within the project budget, the Project Manager will make a recommendation to the County Administrator, who may recommend to the Board of Supervisors, how to utilize the remaining funds. The Project Manager will consider input from the review team in preparing the recommendation.

C. Communications between the Project Manager and Review Team

- The Project Manager is the authorized project representative and point of contact for the architect and contractor. This authority is established to prevent miscommunication regarding scope of work, project budget, and approved activities.
- The Project Manager will develop a process to review change requests.
- Members of the Review Team, except for the County Administrator, are not authorized to communicate directly with the contractor or architect without permission of Project Manager.
- The Project Manager will provide the County Administrator with monthly budget and schedule assessments and reports.
- Review Team member requests for information and project modifications are to be directed to the Project Manager.
- The Project Manager's decisions may be appealed to the Project Manager's direct supervisor, following the chain of command, and finally to the County Administrator, if needed.
- During construction, it is typical to hold weekly or biweekly construction meetings with the contractor and architect to discuss upcoming work, clarify issues, and discuss schedule. Tenants are invited to these meetings to be informed about the project and schedule.
- Tenants are included in selection of finishes based upon the specified finish options prepared by the architect and, if applicable, shown on Board-approved plans and specifications for colors, carpet, fabric, stains, and treatments. If consensus cannot be reached by the tenants, the architect's recommended finishes will be used.
- Tenants will be involved in finish selection for furniture, fixtures, and equipment (FF&E).
- Each department or agency being relocated is responsible for identifying FF&E needs early in the process and coordinating acquisition of any items needed to complete the move with the Project Manager. Purchase of items in excess of the FF&E budget will be reviewed by the Budget Review Team and County Administrator to determine whether funding is available to make the purchase.

- Tenants should contact other departments and the Online Auction Coordinator to identify any existing FF&E that might be available to meet the needs identified above.
- Data, power, and cable drop locations will be coordinated with tenants.
- Access control will be coordinated with tenants so that appropriate security parameters are set.
- The Main Distribution Facility room will be coordinated with ITS and General services so the system can be complete and operational.

Expected Outcomes: Building construction and modifications that meet the scope of the project. Process for communicating project updates, determining changes or modifications.

The Review Team may consist of the following persons depending on project scope:

- County Administrator
- County Engineer
- Consultants as necessary
- General Services Director
- Information Technology Director
- Administrative Services Director

4. Move-In and Occupancy Phase:

Move-in will require ongoing coordination between the Project Manager and tenants. Depending on project complexity and contractual obligations, exact building move in may not be scheduled until weeks before building completion. The Project Manager will provide estimated completion dates but are subject to change.

Prior to move-in, a decision will be made whether existing tenant FF&E will be moved, whether county staff will be working within the construction area, and other items. All parties need to work together to ensure the move will minimize impacts to the public. The Project Manager will develop a public outreach plan to inform people that services are being moved and when.

A. Move-in Phase Considerations:

- Building occupancy is allowed when the permitting agency grants substantial completion, the contractor releases the area, and/or the county accepts the limited or complete project.
- Remaining project budget may be used to address wish list items based on county and statutory procurement requirements and Board authorization.
- Items not covered by the budget can be submitted as a tenant's supplementary budget request.

- Damage during move-in is not the responsibility of the project contractor. Care should be taken to prevent damage.
- The physical move of staff may be accomplished by contracting a private firm to provide equipment and staff to perform the services. Several companies provide this service and are well equipped to make the move quick and efficient. General Services staff, in conjunction with other agencies (Adult or Juvenile Probation, the agencies being moved, or volunteers) could provide the service as a **Priority 3** work request (see below for priority definitions). Tenants should be prepared prior to the scheduled move and have items properly boxed and labeled.
- Tenants should conduct Public outreach informing county residents of service changes should at least 60 days prior to the move date.
- Tenants must notify the Project Manager immediately of any possible defects in construction that are noticed during the move-in.
- The fix of any defects may be delayed to allow for completion of the project. Depending upon the scope of the change/fix, it may be performed by General Services staff (Priority 2 or 3), or contracted out to a private firm.
- General Services and/or tenants may identify any mechanical or structural needs created by a change in use.

B. General Services Work Request Priority Definitions:

Priority 1 – Items with direct impact on safety and/or security of occupants or customers, items needed to meet legally enforceable standards, or items affecting the operational integrity of equipment;

Priority 2 – Items needed to meet the mandated mission of the organization(s) housed in the facility, but not reaching the level of Priority 1, or preventive maintenance work required to keep warranties valid or extend the life expectancy or performance of equipment;

Priority 3 – Items requested to increase the comfort of the occupants, items of decorative nature, requests for operational assistance (i.e. meeting setups), or other requests which would impact General Service’s ability to complete Priority 1 or Priority 2 projects.

C. Occupancy Phase Considerations:

- Yuma County uses a standard one (1) year warranty for its building construction. Tenants must notify the Project Manager immediately of any item they believe is a warranty item.

- After the Project Manager determines that the warranty period for building construction has expired and all warranty items have been addressed, General Services will coordinate any warranty needs with the individual equipment and machinery providers. Warranty information will be entered into the General Services Maintenance Connection program.
- The project will be completed per the conceptual design. Changes to staffing or stationing after conceptual design is the tenant's responsibility.
- There may be operational needs not identified until staff is on site. Depending on the size of the project, work may be performed by General Services (Priority 2 or 3) or contracted out to a private firm.
- Unforeseen structural or safety construction or improvements can be performed by General Services staff (Priority 1) or contracted out, depending on the issue.

The Review Team may consist of the following persons depending on project scope:

- County Administrator
- County Engineer
- Consultants as necessary
- General Services Director
- Impacted Department Heads/Stakeholders
- Communications Director

Part Five: Close Out Considerations

Each department will follow its procedures for closing out contractual, record keeping, and reporting responsibilities. A closeout meeting may be held to discuss how the project went, lessons learned, improvements that can be made to this process and outcomes, and identify unique situations and innovations that can benefit the county in the future.