

BUILDING PROJECT TOOLS

CONSTRUCTION PROJECTS (\$100,000 and over)

PROCEDURES FOR CONSTRUCTION PROJECTS UTILIZING A CONSTRUCTION MANAGER AT RISK AND GUARANTEED MAXIMUM PRICE APPROACH:

The following is a brief summary for the approval and implementation process of all capital improvement projects in the Diocese of Phoenix.

Step One - Formation of Proposed Project:

After consulting with the Parish Advisory and Finance Councils, the Pastor will write a letter to the Bishop explaining the proposed project and the rationale for it. The letter should contain the following information:

1. General description of the project and why it is important for the Parish.
2. An estimated total cost of the project (including architects fees, construction, furniture, furnishings, etc.). The Office of Buildings and Properties (OBP) can be of assistance at this point.
3. A statement that the Parish Finance Council understands the current Diocesan funding formula for the project and its proposed plans to raise or secure necessary funds. The Offices of Finance and Stewardship can be of assistance at this point.

Step Two - Project Field Visit:

The Parish's request is acknowledged by the Bishop's Office and forwarded to the OBP for a field visit. The OBP will conduct a field visit meeting with the Pastor and parish representatives to document the project scope in detail and, with the input of the Catholic Schools Office and the Office of Worship (as needed), will issue a field visit report outlining the project scope and preliminary budget to the Planning and Budget Committee (PBC). This report is also copied to those offices that will provide staff support to the parish during the construction process (i.e. Offices of Finance, Stewardship, and Catholic Schools and Worship as required).

Step Three - Project Scope Review:

The PBC reviews the project scope from the following perspectives:

- Financial
- Demographic
- Stewardship
- Building

The PBC authorizes the project to proceed to the Feasibility Study Process. Projects over \$1 million must receive approval from the Diocesan Finance Council and the Bishop. Only upon receipt of written approval from the Bishop's Office can the Feasibility Study Consultant Selection Process begin. In the event that the parish has 100% financing, PBC may make recommendation to proceed to Step 6.

Step Four - Stewardship Feasibility Study /Consultant Selection Process:

Upon receipt of written approval from the Bishop's Office, the Pastor shall contact the Diocesan Office of Stewardship (DOS) to begin the Feasibility Study Consultant selection process. The DOS staff will assist in soliciting Request For Qualifications (RFQ) from consultants.

Upon receipt of the RFQ responses, a short list is developed in coordination with the Parish and DOS staff. The DOS staff will solicit Request For Proposals (RFP) and schedule interviews with each of the short-listed firms. As the RFQs have already been reviewed, the consulting firm will have the opportunity to expand on that information and also provide additional data supporting their qualifications, their firm's background, relevant experience, proposed approach, proposed fees and why their firm is most qualified. The Parish Building Committee, in concert with the DOS staff, will make a recommendation for a Feasibility Consulting firm to the Bishop's Office for approval (all contracts must be signed by the Bishop). Upon written approval from the Bishop's Office, the feasibility study may begin.

Step Five - Stewardship Feasibility Study Process:

Once selected, and in receipt of a fully executed contract for Feasibility Study services, the consulting firm shall evaluate the fund raising capabilities of the parish. Upon completion of this study, the Pastor and DOS will forward the results to the PBC for review. The PBC will forward its recommendations to the Bishop's Office for approval to proceed to Master Plan. Upon written approval from the Bishop's Office on the potential project funding, the project moves to the Master Plan Phase.

Step Six - Architect Selection Process:

Upon receipt of written approval from the Bishop's Office, the Pastor shall contact the OBP to begin the architect selection process. The OBP support staff will assist in soliciting RFQ from architects on the Diocesan approved list (any Architect the parish wishes to solicit that is not on the Diocesan approved list must be pre-approved prior to the interview process).

Upon receipt of the RFQ responses, a short list analysis of 3-4 architectural firms is developed in coordination with the Parish and OBP support staff. The OBP support staff will solicit RFP and schedule interviews with each of the short-listed firms. During the interview, since the RFQs have already been reviewed, the architect will have the opportunity to expand on that information and also provide additional data supporting their qualifications, their firms background, relevant experience, proposed approach, proposed fees and why their firm is most qualified. Again, the Parish Building Committee, in concert with the OBP support staff, will make a recommendation for an architect to the Bishop's Office for approval (all contracts must be signed by the Bishop).

Step Seven - Master Plan Process:

Once selected, and in receipt of a fully executed contract for Master Plan services, the Architect shall revise an existing Master Plan or develop a new Master Plan based upon an evaluation of needs consistent with long range Diocesan plans and models. Upon completion of the Master Plan and preliminary budget (square foot cost estimate to be provided by the architect), the Pastor and Parish Building Committee, along with the Architect, will submit this plan for review to the PBC and request a meeting with the Diocesan Building Commission (DBC). With the recommendation of the PBC, the Parish and Architect will present the project to the DBC. This presentation shall also include a proposed architectural design services budget, identifying the cost of each architectural phase (Schematic, Design Development, and Construction Documents). From this meeting, the DBC forwards recommendations to the Bishop's Office. Upon written approval from the Bishop's Office, the project can move to the Schematic Drawing Phase.

Step Eight - Schematic Drawings and Budget:

Upon written approval of the Master Plan with noted stipulations, if any, PBC approval of design services fees, and receipt of a fully executed contract for design services, the Architect will be authorized to begin work on only the

Schematic Drawings and Budget phase of the project. The schematic drawings and budget will be based on the results of the feasibility study for the parish's capital campaign abilities.

Step Nine – Liturgical Consultant:

If the Parish, in coordination with the Office of Worship, decides that the project requires a Liturgical Consultant, that individual or firm must be chosen from the Office of Worship pre-approved list, available through the OBP. When the Liturgical Consultant is selected, that person/firm will be a contracted consultant with the selected architect, subject to review of fees by the OBP.

Step Ten - Construction Manager Selection Process:

Prior to completion of the schematic drawings, the OBP support staff, in concert with the Architect, will solicit RFQ from Construction Managers (CM) on the Diocesan approved list (any CM firm the parish wishes to solicit that is not on the Diocesan approved list must submit their qualifications and the past two years audited financial statements for review by the DFO and be pre-approved prior to the interview process).

Upon receipt of the RFQ responses, a short list analysis of 3-4 CM firms is developed in coordination with the Parish, the OBP support staff and the Architect. The OBP support staff will solicit RFP and schedule interviews with each of the short-listed firms. As the RFQs have already been reviewed, the CM firms will have the opportunity to expand on that information and also provide additional data supporting their qualifications, their firm's background, relevant experience, proposed approach, and proposed fees and why their firm is most qualified. Again, the Parish Building Committee, in concert with the OBP support staff and the Architect, will interview each firm and make a recommendation for a CM to the Bishop's Office for approval (all contracts must be signed by the Bishop). Upon written approval from the Bishop's Office, and receipt of a pre-construction contract, the CM shall work with the Parish and the Architect to create a baseline budget, based on the completed schematic drawings.

Step Eleven - Schematic Drawings Submittal:

Prior to submission of schematic drawings to the Diocese, pre-application meetings with the city shall be completed. Once schematic drawings, budget and pre-application meetings are complete, the Pastor, Parish Building Committee, Architect and the CM will submit this plan for review to the PBC and

request a meeting with the DBC to review the schematic design and budget. With the recommendation of the PBC, the Parish, Architect and CM present the project to the DBC. From this meeting, the DBC forwards its recommendations to the Bishop's Office. Upon written approval from the Bishop's Office, and prior to proceeding to design development, the parish shall request the DOS to evaluate the status of their capital campaign, if applicable.

Step Twelve - Capital Campaign:

The DOS is available to assist parishes in identifying and selecting firms to conduct a Capital Campaign upon request. The DOS and the Diocesan General Counsel must review all Capital Campaign Agreements/ Contracts with such firms which are then sent to Bishop for his approval. Upon completion of the DOS capital campaign review, a recommendation shall be submitted to the PBC. With the recommendation of the PBC and written approval from the Bishop's Office, the project moves on to the Design Development phase.

Step Thirteen - Design Development Process:

Upon written acknowledgement of preliminary project funding and approval of the design services budget for the Design Development Phase of the architectural contract, the Parish, Architect, and CM can move into Design Development Phase. Once design development drawings and budget are complete, the Pastor, Parish Building Committee, Architect and CM will submit this plan to the PBC and request a meeting with the DBC to review the design development drawings and budget. With the recommendation of the PBC, the Parish, Architect and CM present the project to the DBC. From this meeting, the DBC forwards its recommendations to the Bishop's Office. Upon written approval from the Bishop's Office, the project can move on to the construction drawings phase.

Step Fourteen - Construction Drawings Process:

Upon written approval of Design Development drawings, the Architect produces a permitable set of Construction Documents. Upon the completion of this set of drawings, the Pastor, Architect, and CM will submit these documents to the OBP and Bishop's Office, as they must have final review and approval. Concurrently, the CM will produce a Guaranteed Maximum Price (GMP) for approval by the Parish, the OBP and the PBC. Once construction documents are permitted, the GMP is approved and signed by the Bishop's Office, the

construction phase may begin. The GMP may be approved during an earlier phase with a slightly higher contingency.

Step Fifteen - Parish Project Manager:

Depending on the size and scope of the project, the parish may be required to hire an independent parish project manager as part of the project team. The construction project team consists of: Pastor, Architect, CM, OBP and Parish Project Manager (if required). If required, the cost for the Parish Project Manager is to be included in the total project budget. Prior to beginning construction, the Parish shall contact the OBP to confirm this requirement.

Step Sixteen: Project Closeout:

Construction begins under the supervision of the OBP, and the Parish Project Manager (if required). Construction progress payments will be requested, approved and paid to the CM on a monthly basis. Each payment request will be submitted to the Architect for review and approval prior to submission to the OBP. All payment requests must be approved by each member of the Project Team prior to submission to the Diocesan Finance Office for payment. All project expenditures will be tracked by OBP, even if funded by the parish.

Step Seventeen: Project Closeout:

Project closeout requirements and punch list shall be coordinated through the Project Team. The OBP will notify the insurance company at the time of substantial completion to add the capital improvements to the insurance coverage.

Step Eighteen: Project Dedication:

Parish to coordinate any dedication services through the Bishop's Office and the Office of Worship.

BUILDING PROJECT TOOLS

PROCEDURES FOR CONSTRUCTION PROJECTS UTILIZING A DESIGN/BID/BUILD APPROACH:

The following is a brief summary for the approval and implementation process of all capital improvement projects in the Diocese of Phoenix.

Step One - Formation of Proposed Project:

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1. General description of the project and why it is important for the Parish.
2. An estimated total cost of the project (including architects fees, construction, furniture, furnishings, etc.). The Office of Buildings and Properties (OBP) can be of assistance at this point.
3. A statement that the Parish Finance Council understands the current Diocesan funding formula for the project and its proposed plans to raise or secure necessary funds. The Offices of Finance and Stewardship can be of assistance at this point.

Step Two - Project Field Visit:

The Parish's request is acknowledged by the Bishop's Office and forwarded to the OBP for a field visit. The OBP will conduct a field visit meeting with the Pastor and parish representatives to document the project scope in detail and, with the input of the Catholic Schools Office and the Office of Worship (as needed), will issue a field visit report outlining the project scope and preliminary budget to the Planning and Budget Committee (PBC). This report is also copied to those offices that will provide staff support to the parish during the construction process (i.e. Offices of Finance, Stewardship, and Catholic Schools and Worship as required).

Step Three - Project Scope Review:

The PBC reviews the project scope from the following perspectives:

- Financial
- Demographic
- Stewardship
- Building

The PBC authorizes the project to proceed to the Feasibility Study Process. Projects over \$1 million must receive approval from the Diocesan Finance Council and the Bishop. Only upon receipt of written approval from the Bishop's Office can the feasibility study consultant selection process begin. In the event that the parish has 100% financing, PBC may make recommendation to proceed to Step 6.

Step Four - Stewardship Feasibility Study Consultant Selection Process:

Upon receipt of written approval from the Bishop's Office, the Pastor shall contact the Diocesan Office of Stewardship (DOS) to begin the Feasibility Study Consultant selection process. The DOS staff will assist in soliciting Request For Qualifications (RFQ) from consultants.

Upon receipt of the RFQ responses, a short list is developed in coordination with the Parish and DOS staff. The DOS staff will solicit Request For Proposals (RFP) and schedule interviews with each of the short-listed firms. As the RFQs have already been reviewed, the consulting firm will have the opportunity to expand on that information and also provide additional data supporting their qualifications, their firm's background, relevant experience, proposed approach, proposed fees and why their firm is most qualified. The Parish Building Committee, in concert with the DOS staff, will make a recommendation for a Feasibility Consulting firm to the Bishop's Office for approval (all contracts must be signed by the Bishop). Upon written approval from the Bishop's Office, the feasibility study may begin.

Step Five - Stewardship Feasibility Study Process:

Once selected, and in receipt of a fully executed contract for Feasibility Study services, the Consulting firm shall evaluate the fund raising capabilities of the parish. Upon completion of this study, the Pastor and DOS will forward the results to the PBC for review. The PBC will forward its recommendations to the Bishop's Office for approval to proceed to Master Plan. Upon written approval from the Bishop's Office on the potential project funding, the project moves to the Master Plan Phase.

Step Six - Architect Selection Process:

Upon receipt of written approval from the Bishop's Office, the Pastor shall contact the OBP to begin the architect selection process. The OBP support staff will assist in soliciting RFQ from architects on the Diocesan approved list (any Architect the parish wishes to solicit that is not on the Diocesan approved list must be pre-approved prior to the interview process).

Upon receipt of the RFQ responses, a short list analysis of 3-4 architectural firms is developed in coordination with the Parish and OBP support staff. The OBP support staff will solicit RFP and schedule interviews with each of the short-listed firms. During the interview, since the RFQs have already been reviewed, the architect will have the opportunity to expand on that information and also provide additional data supporting their qualifications, their firm's background, relevant experience, proposed approach, proposed fees and why their firm is most qualified. Again, the Parish Building Committee, in concert with the OBP support staff, will make a recommendation for an architect to the Bishop's Office for approval (all contracts must be signed by the Bishop).

Step - Seven - Master Plan Process:

Once selected, and in receipt of a fully executed contract for Master Plan services (See Appendix ____ for sample contract), the Architect shall revise an existing Master Plan or develop a new Master Plan based upon an evaluation of needs consistent with long range Diocesan plans and models. Upon completion of the Master Plan and preliminary budget (square foot cost estimate to be provided by the architect), the Pastor and Parish Building Committee, along with the Architect, will submit this plan for review to the PBC and request a meeting with the DBC. With the recommendation of the PBC, the Parish and Architect will present the project to the DBC. This presentation shall also include a proposed architectural design services budget, identifying the cost of each architectural

phase (Schematic, Design Development, and Construction Documents). From this meeting, the DBC forwards recommendations to the Bishop's Office. Upon written approval from the Bishop's Office, the project can move to the Schematic Drawing Phase.

Step Eight - Schematic Drawings and Budget:

Upon written approval of the Master Plan with noted stipulations, if any, PBC approval of design services fees, and receipt of a fully executed contract for design services, the Architect will be authorized to begin work on only the Schematic Drawings and Budget phase of the project. The schematic drawings and budget will be based on the results of the feasibility study for the parish's capital campaign abilities.

Step Nine - Schematic Budget:

Prior to completion of the schematic drawings, the parish will solicit pricing from certified construction estimating firms. The OBP can be of assistance at this point. Once selected, the construction estimating firm will create a baseline budget for review and approval.

Step Ten – Liturgical Consultant:

If the Parish, in coordination with the Office of Worship, decides that the project requires a Liturgical Consultant, that individual or firm must be chosen from the Office of Worship pre-approved list, available through the OBP. When the Liturgical Consultant is selected, that person/firm will be a contracted consultant with the selected architect, subject to review of fees by the OBP.

Step Eleven - Schematic Drawing Submittal:

Prior to submission of schematic drawings to the Diocese, pre-application meetings with the city shall be completed. Once schematic drawings, budget and pre-application meetings are complete, the Pastor, Parish Building Committee and Architect will submit this plan for review to the PBC and request a meeting with the DBC to review the schematic design and budget. With the recommendation of the PBC, the Parish and Architect present the project to the DBC. From this meeting, the DBC forwards its recommendations to the Bishop's Office. Upon written approval from the Bishop's Office, and verification of funding, the project moves to the Design Development Phase.

Step Twelve - Design Development Process:

Upon written acknowledgement of preliminary project funding and approval of the design services budget for the Design Development Phase of the architectural contract, the Parish and Architect move into the Design Development Phase. Once design development drawings and budget are complete, the Pastor, Parish Building Committee and Architect will submit this plan to the PBC and request a meeting with the DBC to review the design development drawings and budget. With the recommendation of the PBC, the Parish and Architect present the project to the DBC. From this meeting, the DBC forwards its recommendations to the Bishop's Office. Upon written approval from the Bishop's Office, the project can move on to the construction drawings phase.

Step Thirteen - Construction Drawings and Bid Process:

Upon written approval of Design Development drawings, the Architect produces a permitable set of Construction Documents. Upon the completion of this set of drawings, The OBP support staff, in concert with the Architect, will solicit RFP from General Contractors on the Diocesan approved list (any General Contracting firm the parish wishes to solicit that is not on the Diocesan approved list must submit their qualifications and the past two years audited financial statements for review by the Diocesan Finance Office and be pre-approved prior to the bidding process).

Step Fourteen - Project Manager:

Depending on the size and scope of the project, the parish may be required to hire an independent parish project manager as part of the project team. The construction project team consists of: Pastor, Architect, General Contractor, OBP and Parish Project Manager (if required). If required, the cost for the Parish Project Manager is to be included in the total project budget. Prior to beginning construction, the Parish shall contact the OBP to confirm this requirement.

Step Fifteen - Construction Begins:

Construction begins under the supervision of the OBP and the Parish Project Manager (if required). Construction progress payments will be requested, approved and paid to the General Contractor on a monthly basis. Each payment request will be submitted to the Architect for review and approval prior to submission to the OBP. All payment requests must be approved by each

member of the Project Team prior to submission to the Diocesan Finance Office for payment. All project expenditures will be tracked by the OBP, even if funded by the parish.

Step Sixteen - Project Closeout:

Project closeout requirements and punch list shall be coordinated through the Project Team. The OBP will notify the insurance company at the time of substantial completion to add the capital improvements to the insurance coverage.

Step Seventeen - Project Dedication:

Parish to coordinate any dedication services through the Bishop's Office and the Office of Worship.

**MAJOR CONSTRUCTION PROJECT
OVER \$100,000 WITH
CONSTRUCTION MANAGER AT RISK WITH GMP**

DRAFT

TASKS	PARISH TEAM PASTOR BLDG/FINANCE COMMITTEES	ARCHITECT DESIGN & ENGINEERING	ATTORNEY		CONSTRUCTION MANAGER	PARISH PROJECT MANAGER	BUILDINGS & PROPERTIES ASSISTANCE	PLANNING AND BUDGET/ FINANCE	STEWARDSHIP	DIOCESAN BUILDING COMMISSION RECOMMEND	CATHOLIC SCHOOLS*/ OFFICE OF WORSHIP**	BISHOP	
			PARISH	DIOCESE								ACKLMNT	APPROVAL
Request Letter to Bishop	✓											✓	
Concept Plan and Needs Program Developed, Establish Scope and Preliminary Budget	✓						✓	✓			✓		✓
Stewardship/Feasibility Study	✓				✓				✓				✓
Stewardship/Campaign Planning & Resources									✓				
Interview and Select Architect (Contract)	✓	✓		✓			✓						✓
Prepare and Submit Master Plan and Preliminary Budget	✓	✓					✓	✓		✓	✓		✓
Interview and Select Construction Manager (Contract)	✓	✓		✓	✓		✓						✓
Prepare and Submit Schematic Drawings and Budget	✓	✓			✓		✓	✓		✓	✓		✓
Begin City Site Plan Approval and Permitting Process	✓	✓	✓		✓		✓						
Prepare and Submit Design Development Drawings and Updated Budget	✓	✓			✓		✓	✓		✓	✓		✓
Finalize GMP w/Construction Manager (Contract)	✓	✓		✓	✓		✓						✓
Interview and Select Parish Project Manager (Contract)	✓			✓		✓	✓						✓
Prepare and Submit Construction Drawings	✓	✓			✓		✓	✓		✓	✓		
Construction Phase	✓				✓	✓	✓						
Dedication	✓				✓	✓	✓						✓

* As project relates to Diocesan, parish or interparish schools
** As project relates to Liturgical renovations and new churches

**MAJOR CONSTRUCTION PROJECT
OVER \$100,000
WITH GENERAL CONTRACTOR**

DRAFT

TASKS	PARISH TEAM PASTOR BLDG/FINANCE COMMITTEES	ARCHITECT DESIGN & ENGINEERING	ATTORNEY		GENERAL CONTRACTOR	PARISH PROJECT MANAGER	BUILDINGS & PROPERTIES ASSISTANCE	PLANNING AND BUDGET/ FINANCE	STEWARDSHIP	DIOCESAN BUILDING COMMISSION RECOMMEND	CATHOLIC SCHOOLS**/ OFFICE OF WORSHIP**	BISHOP	
			PARISH	DIOCESE								ACKLMNT	APPROVAL
Request Letter to Bishop	✓											✓	
Concept Plan and Needs Program Developed, Establish Scope and Preliminary Budget	✓						✓	✓			✓		✓
Stewardship / Feasibility Study				✓					✓				✓
Stewardship/Campaign Planning & Resources									✓				
Interview and Select Architect (Contract)	✓	✓		✓			✓						✓
Prepare and Submit Master Plan and Preliminary Budget	✓	✓					✓	✓		✓	✓		✓
Prepare and Submit Schematic Drawings and Budget	✓	✓					✓	✓		✓	✓		✓
Begin City Site Plan Approval and Permitting Process	✓	✓	✓				✓						
Prepare and Submit Design Development Drawings and Updated Budget	✓	✓					✓	✓		✓	✓		✓
Prepare and Submit Construction Drawings and Updated Budget	✓	✓					✓	✓		✓	✓		✓
Interview and Select Parish Project Manager (Contract)	✓			✓		✓	✓						✓
Finalize City Permits	✓	✓					✓						
Bid Process	✓	✓				✓	✓						
Select General Contractor (Contract)	✓			✓	✓		✓						✓
Construction Phase	✓				✓	✓	✓						
Dedication	✓				✓	✓	✓						✓

* As project relates to Diocesan, parish or Interparish schools
** As project relates to Liturgical renovations and new churches