



PLANNING & DEVELOPMENT  
DEPARTMENT

# **SELF-CERTIFICATION PROGRAM RULES & REGULATIONS**

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For more information or for a copy of this publication in an alternate format, contact Planning & Development at 602-262-7811 voice or TTY use 7-1-1.

**A. Program Overview**

The Self-Certification Program delegates responsibilities to certified and trained State-registered architects or professional engineers. These responsibilities include examination of construction documents and certification of compliance with the Phoenix Building Construction Code prior to permit issuance. Depending on the scope of the project, permits can be issued within one to five business days.

In order to participate in the Self-Certification Program, the Professional must meet all the requirements detailed in Section E below. All Projects submitted for the Self-Certification Program must meet the eligibility requirements detailed in Section C below. Project submission requirements and procedures are detailed in Section F. All Self-Certified Projects are subject to audit as described in Section G.

The Department will advertise the Self-Certification Program and post on the city of Phoenix website the names of all Self-Certified Professionals who are eligible to participate in the Self-Certification Program. The website will also contain all documents related to the Self-Certification Program to assist the Self-Certified Professional with project submission.

The Department reserves the right to suspend operation of the Self-Certification Program as the Building Official deems necessary or appropriate. Nothing in these rules shall be construed to prevent a Self-Certified Professional from submitting a project through the Department's standard plan review process.

**B. Definitions**

As used in these rules, unless the context clearly indicates otherwise:

*“Auditor”* means any person designated by the Building Official to grade an audit.

*“Building Official”* means the designated official for the Planning & Development Department or its designee for civil, site and landscape.

*“Department”* means the city of Phoenix Planning & Development Department, also referred to as PDD.

*“Development Advisory Board”* (DAB) serves in an advisory capacity by providing the Department Director and City Council with general advisory oversight of the development process. For the purpose of the Self-Certification Program, the DAB can hear appeals of a decision by the Building Official or Department Director.

*“Electrical Peer Reviewer”* means a reviewer who is on the city-approved list expressly for the purpose of providing electrical peer reviews for the Self-Certification Program. To be placed on the list the following criteria must be met: 1) the electrical peer reviewer must be a registered professional Electrical Engineer in the state of Arizona, 2) the electrical peer reviewer must have attended the Self-Certification training class for Electrical Peer Reviewers, and 3) the electrical peer reviewer must be a different

professional than the professional Electrical Engineer of Record who is sealing the project.

*“Owner/Tenant”* for the purposes of Owner/Tenant Certification, means either the actual owner of the building or property, or the tenant who is “acting as an agent of” the owner.

*“Prepared”* or *“prepared by or under the direct supervision of”* means: (a) personally prepared by the Self-Certified Professional submitting the project, or (b) if such Self-Certified Professional is a professional structural engineer, prepared under the personal supervision and control of such professional structural engineer, or (c) if such Self-Certified Professional is an architect, prepared under the personal supervision and control of such architect.

*“Project”* means the work identified in a building permit application and accompanying plans.

*“Registrant”* means the architect or professional engineer registered in the State of Arizona.

*“Registration number”* or *“self-certification registration number”* means the registration number issued by the Department upon successful completion of the self-certification training class. Such registration number is separate and distinct from the professional registration issued by the State of Arizona.

*“Reviewed by”* or *“Reviewed and sealed by”* means: (a) the sealed plans were reviewed by the Self-Certified Professional for code compliance, or (b) the plans were drawn by others and were reviewed for code compliance and sealed by the Self-Certified Professional.

*“Self-certification”* or *“Self-certified”* means the submission to the Department of a signed, personal verification that: (a) is made by the Self-Certified Professional identified in a building permit application; and (b) accompanies plans filed with the Department by such Self-Certified Professional; and (c) attests that such plans do not contain any false information; and (d) attests that such plans are in compliance with the requirements of the Phoenix Building Construction Code; and (e) attests that such plans were prepared by, prepared under the direct supervision of, or were reviewed and stamped by the Self-Certified Professional identified in the building permit application.

*“Self-Certified Professional”* means the professional identified as such on a building permit application and accompanying plans.

*“Standard(s)”* or *“standard plan(s)”* means plans authorized by the Department to be used in construction on a repetitive basis. Standard plans may include options allowing variations to the building design that may alter the interior and/or exterior appearance.

*“Structural Peer Reviewer”* means a reviewer who is on the city-approved list expressly for the purpose of providing structural peer reviews for the Self-Certification Program. To be placed on the list the following criteria must be met: 1) the structural peer reviewer must be a registered professional Structural Engineer in the state of Arizona, 2) the structural peer reviewer must have attended either the Self-Certification training class or the structural discipline training for the Third-Party Building Plan Review program, and 3)

the structural peer reviewer must be a different professional than the professional Structural Engineer of Record who is sealing the project.

**C. Eligible Projects**

The projects appearing in the "Projects Eligible" section of the Self-Certification Eligibility Chart printed below are eligible for self-certification by a professional.

**Building Plans**

Projects Eligible	Projects Not Eligible
<ul style="list-style-type: none"> <li>• All new building construction and alterations not included in the "Projects Not Eligible" list to the right</li> </ul>	<ul style="list-style-type: none"> <li>• Hazardous occupancies and projects that contain any of the following:                             <ul style="list-style-type: none"> <li>- Hazardous processes</li> <li>- Electrically hazardous locations</li> <li>- Extraction rooms</li> <li>- Hazardous exhaust systems</li> <li>- Refrigerant monitoring systems</li> </ul> </li> <li>• New high rise buildings (occupied floor more than 75' above Fire Department access)</li> <li>• Projects located in a Hillside Development Area</li> <li>• Extra-large assembly occupancies (A4 &amp; A5)</li> <li>• Projects in FEMA Special Floodplain Hazard Area</li> </ul>

**Civil/Site/Landscape Plans**

Projects Eligible	Projects Not Eligible
<ul style="list-style-type: none"> <li>• New construction and improvements to parking lot site plans up to 5 acres</li> <li>• All new construction and alteration plans for landscape, salvage and inventory up to 20 acres (on-site and off-site)</li> <li>• Civil on-site grading &amp; drainage plans, &amp; storm water management plans for:                             <ul style="list-style-type: none"> <li>- Commercial projects up to 20 acres</li> <li>- Industrial and non-hazardous storage projects up to 80 acres</li> <li>- New residential single family home subdivisions up to 160 acres</li> </ul> </li> <li>• Civil grading &amp; drainage/concrete combination plans that meet the criteria above and limited to the following:                             <ul style="list-style-type: none"> <li>- Removal and installation of driveways</li> <li>- Repair/replacement of existing curb, gutter and sidewalk</li> <li>- Update existing curb ramps to meet ADA</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Projects located in a Hillside Development Area</li> <li>• Projects in FEMA Special Floodplain Hazard Area</li> <li>• Civil grading &amp; drainage/concrete combination plans for projects located in the Downtown Code or Walkable Urban Code as established by the Phoenix Zoning Ordinance</li> <li>• All other site and landscape plans</li> <li>• All other civil plans</li> </ul>

**Note: All Self-Certification plans must be submitted by the following types of registered professionals:**

- Building Plans – Architect or Professional Structural Engineer
- Landscape Plans – Landscape Architect
- Civil Grading and Drainage Plans – Professional Civil Engineer
- Parking Lot Site Plans – Architect, Landscape Architect or Professional Civil Engineer

If there is a dispute over whether a project is eligible for self-certification under these rules, the Self-Certified Professional can appeal to the Department Director by completing the Self-Certification Exception Request form. A final determination of eligibility shall be made by the Department Director.

**D. Audit Guidelines**

Self-Certification Projects are subject to random or automatic audit based on the following guidelines:

**Building Plans Audit Guidelines**

Random Audit Guidelines	Automatic Audit Guidelines
<ul style="list-style-type: none"> <li>• All projects not subject to automatic audit</li> <li>• Requires a structural peer review by a city-approved structural peer reviewer</li> <li>• Requires electrical peer review by a city-approved electrical peer reviewer for installation or modifications to electrical systems that exceed 400 amperes or the available fault current exceeds 22,000 amperes.</li> <li>• No audit fee assessed</li> <li>• Generally, a 10% chance of audit</li> </ul>	<ul style="list-style-type: none"> <li>• Remodels – 25,000 sf and above<sup>1</sup></li> <li>• Shell buildings – 25,000 sf and above<sup>1</sup></li> <li>• New buildings – 10,000 sf and above<sup>1</sup></li> <li>• All new E and I occupancies<sup>2</sup></li> <li>• All new A occupancies with an occupant load of 300 or more<sup>2</sup></li> <li>• All medical marijuana facilities</li> <li>• All ambulatory care facilities</li> <li>• All standard plans</li> <li>• No structural or electrical peer review required</li> <li>• Audit fee is equal to half plan review fee per Planning &amp; Development Fee Schedule</li> </ul> <p><sup>1</sup> Aggregate area of all buildings  <sup>2</sup> New = new building, addition, change of occupancy or initial tenant improvement</p>

**Civil/Site/Landscape Plans Audit Guidelines**

Random Audit Guidelines	Automatic Audit Guidelines
<ul style="list-style-type: none"> <li>• All landscape, civil grading and drainage, and parking lot plans up to 5 acres</li> <li>• No audit fee assessed</li> <li>• Generally, a 10% chance of audit</li> </ul>	<ul style="list-style-type: none"> <li>• Projects over 5 acres</li> <li>• Landscape plans for projects located in the Downtown Code or Walkable Urban Code as established by the Phoenix Zoning Ordinance</li> <li>• Civil grading and drainage/concrete combination plans</li> <li>• Audit fee is equal to half plan review fee per Planning &amp; Development Fee Schedule</li> </ul>

**E. Requirements for Self-Certified Professional**

**Eligible Professionals**

A. Professional Architects or Professional Structural Engineers:

Professional architects or professional structural engineers who have been responsible for ensuring code compliance for a minimum of three (3) years may be eligible for participating in the Self-Certification Program for eligible building and parking projects. During that time period, the professional must have been:

1. Registered in the State of Arizona, and
2. Responsible for compliance with the Phoenix Building Construction Code (based on codes and amendments adopted by the City of Phoenix), and
3. Certified to seal project drawings.

B. Landscape Architects:

Professional landscape architects who have been responsible for ensuring code compliance for a minimum of three (3) years may be eligible for participating in the Self-Certification Program for landscape and parking lot projects. During that time period, the professional must have been:

1. Registered in the State of Arizona, and
2. Responsible for compliance with the Phoenix Zoning Ordinance, the Maricopa Association of Governments (MAG) Standards and Specifications, City of Phoenix Supplements to MAG Standards and Specifications, and amendments to each document, and
3. Certified to seal project drawings.

Landscape architects who have qualified to participate in the Self-Certification Program are not eligible for reviewing plans and issuing permits for the construction of buildings unless they have also met the standards contained in paragraph A above.

C. Professional Civil Engineers:

Professional civil engineers who have been responsible for ensuring code compliance for a minimum of three (3) years may be eligible for participating in the Self-Certification Program for eligible civil and parking lot projects. During that time period, the professional must have been:

1. Registered in the State of Arizona, and
2. Responsible for compliance with the City of Phoenix Storm Water Policies and Standards Manual, MAG Standards and Specifications, City of Phoenix Supplements to MAG Standards and Supplements, and amendments to each document, and
3. Certified to seal project drawings.

Professional Civil Engineers who have qualified to participate in the Self-Certification Program are not eligible for reviewing plans and issuing permits for the construction of buildings unless they have also met the standards contained in paragraph A above.

D. Other Professionals:

At the discretion of the Department Director, other professionals such as, but not limited to, professional non-structural engineers or professional architects and professional structural engineers who have not been registered for at least three (3) years in the State of Arizona, may also qualify to participate in the Self-Certification



Program.

These professionals must demonstrate proven experience with the application of the Phoenix Building Construction Code and with performing as a “project prime professional” as defined by the Arizona State Board of Technical Registration.

For other professionals to be considered for admission to the Self-Certification Program, an “Application for Enrollment into Self-Certification Training” must be approved by the Director. In addition, a copy of the following must be submitted:

1. Architectural or Professional Engineering License registered in the State of Arizona, and
2. Resumé detailing at least 5 years of experience working with the Phoenix Building Construction Code, and
3. Certification to seal project drawings.

### **Insurance Requirements**

For each project, the Self-Certified Professional is required to furnish to the Department a certificate of professional liability insurance, issued by an insurer authorized to insure in Arizona, with limits of not less than \$500,000 per claim and \$1,000,000 in the aggregate for all claims made during the policy period.

### **Professional of Record Statement**

For each project, the Self-Certified Professional is required to submit a Professional of Record Self-Certification Statement in which the Self-Certified Professional shall be required to certify to the city and to the person hiring or otherwise retaining the Self-Certified Professional for such project that:

- A. The Self-Certified Professional has been a professional registered engineer or architect for at least three (3) years and is registered in the State of Arizona; and
- B. Within the preceding five-year period, the Self-Certified Professional has not been convicted or found liable of: (1) knowingly making a false statement of material fact on or in connection with any building permit application, or (2) knowingly submitting in support of a building permit application any document containing false or fraudulent information, or (3) knowingly affixing a false signature to any building permit application; and
- C. The attached application and every page of the accompanying plan(s) stamped by the Self-Certified Professional: (1) were prepared by, under the direct supervision of, or reviewed by such Professional; (2) are complete; and (3) are, as of the date of submission, in accordance with the requirements of the Phoenix Building Construction Code and all other applicable laws; and
- D. The attached application and all technical submissions made by the Self-Certified Professional in connection with the self-certified project were prepared in accordance with and meet the “standard of care” required of the profession; and

- E. All information and assertions made by the Self-Certified Professional in the permit application and documents submitted in support of such permit application are true and correct; and
- F. If the Self-Certified Professional becomes aware of any false or inaccurate statement in the permit application, accompanying plans or any document submitted in support of such permit application, regardless of whether such false or inaccurate statement was made by such Self-Certified Professional or by his agent or employee, the Self-Certified Professional will immediately take all measures necessary to correct such false or inaccurate statement; and
- G. The Self-Certified Professional understands that the Building Official will rely upon the truth and accuracy of the certifications contained in the Professional of Record Self-Certification Statement as the basis for issuing a permit under the Self-Certification Permit Program; and
- H. The Self-Certified Professional understands that the self-certified project identified in the building permit application is being approved for a building permit subject to audit and/or field inspection by the Department and the permit is subject to revocation by the Building Official if necessary or appropriate to protect the public health, safety or welfare; and
- I. If the Department determines that the submitted plans do not conform to the requirements of the Phoenix Building Construction Code or any other applicable law, the Self-Certified Professional agrees to submit a revision to permit to the Department in a timely manner and to take all remedial measures within such professional of record's control to bring the submitted plans and any construction there under into conformity with the requirements of the Phoenix Building Construction Code and any other applicable law; and
- J. The Self-Certified Professional understands that the failure to submit any required plan revision to the Department in a timely manner will result in automatic suspension of their self-certification privileges under the Self-Certification Permit Program, until such time that a plan revision is submitted to the Department and/or the matter is resolved by the Department; and
- K. The Self-Certified Professional understands that failure to take all remedial measures within their control to bring the submitted plans and any construction thereunder into compliance with the Phoenix Building Construction Code or any other applicable law shall result in revocation of the Self-Certified Professional's privileges under the Self-Certification Program and may result in notification of such fact to the Arizona Board of Technical Registration.

Nothing in this rule shall be construed to prohibit the Building Official from requiring additional certifications in the Professional of Record Self-Certification Statement.

**Owner/Tenant Certification Statement**

For each project, the Self-Certified Professional is required to submit to the Department, on a form prepared by the Department, an Owner/Tenant Certification Statement, which shall be signed and dated by the owner or tenant responsible for the work identified in the building permit application and in which such owner or tenant shall certify to the city that such owner or tenant:

- A. Authorized the work of all professionals and consultants named in the building permit application and accompanying plans; and
- B. Agrees to take all measures necessary to correct any misrepresentation or falsification of facts made knowingly or negligently in the building permit application or in any document submitted in support of such application by the owner or tenant, as applicable, or by such owner's or tenant's agents, contractors or employees; and
- C. Understands that the Self-Certified project is being approved for a building permit subject to audit and/or field inspection by the Department; and
- D. Agrees to take all remedial measures necessary to bring the plans and all construction completed under the permit for the project into conformity with requirements of the Phoenix Building Construction Code and all other applicable laws.

Nothing in this rule shall be construed to prohibit the Building Official from requiring additional certifications in the Owner/Tenant Certification Statement.

**Hold Harmless Letter**

For each project, the Self-Certified Professional is required to submit to the Department, on a form provided by the Department, an Owner Hold Harmless Letter, which shall be signed and dated by the owner responsible for the work identified in the permit application and in which such owner shall agree to the following:

- A. To protect, defend, indemnify and hold harmless the City of Phoenix and its officers, representatives, managers and employees against any and all claims, liabilities, judgments, costs, expenses, delays, demands or injuries arising out of or in any way connected with the design, construction, code compliance review or issuance of a building permit for the project identified in the building permit application; and
- B. That if construction is contrary to the Phoenix Building Construction Code or any other applicable law or to any permit issued under the Self-Certification Program, the owner, as applicable, shall, without undue delay, remove or modify, at such owner's own expense, any component of such construction that does not conform to the requirements of the Phoenix Building Construction Code or any other applicable law or to such permit.

Nothing in this rule shall be construed to prohibit the Building Official from requiring

additional agreements in the Owner Hold Harmless Letter.

### **Self-Certification Class**

Each Self-Certified Professional participating in the Self-Certification Program must successfully complete a self-certification training class offered by or under the direction of the Department. Such class shall provide attendees with instruction about the self-certification permit process, examining plans for compliance with the Phoenix Building Construction Code, and the administrative aspects of permit processing for which the Self-Certified Professional is responsible when self-certifying plans. The class, which shall be offered periodically by or at the direction of the Department, shall be open to all architects and professional engineers who are currently registered in the State of Arizona and meet the qualifications of Section E above.

Upon successful completion of the class, attendees will receive a certificate and registration number enabling them to self-certify projects and to otherwise participate in the Self-Certification Program. Information about registering for the Self-Certification Program training class is available at the PDD Development Center, Phoenix City Hall, 200 West Washington Street, 2<sup>nd</sup> floor; and on the Department's website at:

<https://www.phoenix.gov/pdd/self-certification-program/class-registration>

Enrollment in the class shall be on a "first-come, first served" basis.

A fee is required to attend the class. Such fee shall cover the cost of administering the Self-Certification Program. See the Planning & Development Department Fee Schedule at: [https://www.phoenix.gov/pddsites/Documents/TRT/dsd\\_trt\\_pdf\\_00042.pdf](https://www.phoenix.gov/pddsites/Documents/TRT/dsd_trt_pdf_00042.pdf).

The Self-Certified Professional's certification shall expire three years from the date of issuance. Should the Department adopt a new building code during the three year certification period the Self-Certified Professional will be required to complete a code amendment training class. Additional training on miscellaneous code amendments may be required at the discretion of the Department Director.

## **F. Project Submission Procedures**

The Self-Certification Program submission process flowchart is available online at <https://www.phoenix.gov/pdd/self-certification-program/procedures-forms-and-links>. The Self-Certified Professional can download the relevant Self-Certification Program Submittal Checklist at the same website location. Assistance with pre-submittal requirements can be obtained at the Department's Site Development Counter. Staff will determine if any variances, code modifications, or use permits are needed.

Once all the applicable pre-approvals listed on the relevant Submittal Checklist have been obtained, the Self-Certified Professional shall submit plans through the Electronic Plan Review system. All completed applications, forms, letters and other documents listed on the relevant Submittal Checklist, as applicable or otherwise required by the Department for the project shall be uploaded with the plans.

If the project identified in the permit application proposes the use of a standard plan approved by the Department under the current code, the previously approved standard plans signed and sealed by the same Self-Certified Professional must be identified in the building permit application.

The project address and scope of work stated in the permit application must agree with the address and the scope of work shown on the submitted plans. Such application must contain all required information about the contractors for the project, including, but not limited to, the name, address and license number of the general contractor.

The Owner or Tenant who is responsible for the work identified in the permit application must sign the permit application. If the project identified in the permit application is a build-out in an existing building, the work covered by the permit application must be limited to work for a single tenant only. Both the permit application and accompanying plans must be stamped by the Self-Certified Professional who prepared or reviewed the plans and is submitting the plans for Self-Certification under the Self-Certification Program.

If the self-certified project is a standard plan of a building approved by the Department under the current code, the following materials must also be submitted:

- a. (1) one set of the previously approved plans signed and stamped by the same Self-Certified Professional identified in the building permit application, or
- b. a copy, with all Department approvals, of the previously approved plans signed and stamped by the same professional of record identified in the building permit application. Each set of such plans must be:
  1. Sealed by the Self-Certified Professional certifying the plans; and
  2. Prepared by, under the direct supervision of, or reviewed by the Self-Certified Professional, certifying the plans; and
  3. Attached to a cover sheet meeting the requirements listed below:

A cover sheet shall be attached to each set of plans. Each required cover sheet shall:

- a. Be signed and stamped by the Self-Certified Professional responsible for preparing the plans; and
- b. Contain an Index of Drawings as required by law; and
- c. Contain an owner/ contractor notice with the following language:

“This project has been permitted under the City of Phoenix Self-Certification program. The project is subject to audit and field inspection by the Planning & Development Department. If the construction of the project is contrary to, or does not meet the standard of the City of Phoenix Building Construction Codes, the owner, at his/her own expense, shall remove or modify any and all components that do not conform. Any deviations from the approved plan must be coordinated in advance with the city inspector and revised plans or sketches must be provided by the self-certified professional.”

- d. Contain the following certification statement, which shall be wet-inked in black or plotted to the cover sheet: “I hereby certify that these drawings are prepared by me, under my supervision, or reviewed by me and to the best of my professional knowledge conform to the Phoenix Building Construction Code.” Such certification statement shall be signed by the professional of record who prepared the plans.

Each page of the construction plans **must** contain the following:

*SELF-CERTIFIED BY:* \_\_\_\_\_ *Date* \_\_\_\_\_  
(Insert name of Self-Certified Professional)

- *Plans were prepared by or under the direct supervision of, or reviewed by the Self-Certified Professional,*
- *Plans are complete,*
- *The plans are, as of the date of submission, in compliance with City of Phoenix building, civil, site and zoning codes, ordinances, and all other applicable laws.*

The Team Leader or designee will review the project to:

- A. Verify that all applicable applications, forms, letters and other documents listed on the Department’s relevant Self-Certification Submittal Checklists, or otherwise required by the Department, have been submitted and completed in full by the appropriate parties.
- B. Verify that the project meets the Self-Certification Program criteria.
- C. Verify that all necessary pre-approvals have been obtained.
- D. Verify all plan sheets and files are in accordance with Electronic Plan Review Submittal Standard Guidelines.
- E. Screen plans and documents to ensure complete submittal and necessary items have been provided.
- F. Verify Certificate of Approval from a city-approved structural peer reviewer, city-approved electrical peer reviewer, or standard plan approval if applicable.
- G. Screen plans for apparent compliance with the requirements of the Phoenix Building Construction Code, Zoning Ordinance, and other relevant codes and ordinances.

If, the Team Leader or designee determines that all Self-Certification Program requirements have been met, they shall accept the project for admission to the Self-Certification Program.

If the Team Leader or designee determines that the plans submitted by the Self-Certified Professional require minor corrections to bring the plans into compliance with the Phoenix Building Construction Code, the Self-Certified Professional will be given the opportunity to make the necessary changes and submit revised/additional sheets and/or documentation.

If the Team Leader or designee determines that any of the Self-Certification Program requirements have not been met, they shall reject the project for submittal to the Self-

Certification Program.

After a project is accepted for submittal to the Self-Certification Program and prior to the issuance of a permit for such project, the Team Leader or designee will conduct a final review of the project to verify that the application for the permit and all accompanying documents are complete.

Upon completing the final review of a project, the Department will notify the Self-Certified Professional as to whether the requested permit will be issued under the Self-Certification Program.

If the permit is issued, such permit shall be stamped by the Department, as follows:

***City of Phoenix Planning & Development Department – Self-Certified Project***

If the permit is not issued, such notification shall state the reasons why the permit was not issued.

**G. Auditing Procedures**

All self-certified plans are subject to audit by the Department to determine whether the plans and/or projects are in compliance with the requirements of the Phoenix Building Construction Code and other ordinances and codes adopted or followed by the City of Phoenix. The audit will also measure the efficiency of the Self-Certification Program. There are two types of audits: random and automatic. Audit review time frames will be the same as traditional plan review. Current time frames can be viewed at: [https://www.phoenix.gov/pddsit/Documents/TRT/dsd\\_trt\\_pdf\\_00486a.pdf](https://www.phoenix.gov/pddsit/Documents/TRT/dsd_trt_pdf_00486a.pdf).

**Random Audit Process**

The Department will perform audits on randomly selected new construction or renovation projects that are allowed in the Self-Certification Program and listed under “Random Audit Guidelines” on the Audit Guidelines Chart contained in Section D. The audits may be conducted prior to or after the issuance of the permit. The random audits will be conducted as follows:

1. In general, one out of ten projects submitted through the Self-Certification program will be selected for a random audit.
2. A field inspection conducted by the department finds that the plans permitted under the Self-Certification permit program are not in compliance with the requirements of the Phoenix Building Construction Code or other codes or ordinances of the city of Phoenix.
3. The Building Official maintains the authority to identify any project for random audit.

**Automatic Audit Process**

The Department will perform audits on all new construction or renovation projects that are allowed in the Self-Certification Program and listed under “Automatic Audit” on the Audit Guidelines Chart contained in Section D. The audits will be conducted prior to or after the issuance of the permit.

**Review Criteria**

Each self-certified project selected for an audit, whether random or automatic, will be audited for compliance with the Phoenix Building Construction Code, the Phoenix Zoning Ordinance, the Maricopa Association of Governments (MAG) Standards and Specifications, the City of Phoenix Storm Water Policies and Standards Manual, MAG



Standards and Specifications, and all supplements or amendments approved by the City of Phoenix to these or other City of Phoenix code, ordinance, or standard. The auditor for each discipline will complete the review in accordance with the scoring system described in the “Self-Certification Program Auditing and Appeal Procedures.”

Important Note: Fire construction plan review is not included in the Self-Certification Program. Separate review, permits and inspections must be completed for compliance to the Phoenix Fire Code.

### **Audit Results**

The Department shall notify the Self-Certified Professional and the Owner of Record in writing of the results of any audit conducted. The notification will provide a summary of the audit results and will direct the Self-Certified Professional to address all code violations found in the audit. Failure to submit required corrections by the date identified in the notification may result in the revocation of the Self-Certified Professional’s privileges. See Section I. Suspension and Revocation of Self-Certification Privileges (below) for additional causes that may lead to the revocation of a Self-Certified Professional’s privileges.

For information about the audit selection process and scoring system, see “Self-Certification Program Auditing and Appeal Procedures” on the Department’s website at: <https://www.phoenix.gov/pdd/self-certification-program/procedures-forms-and-links>.

## **H. Appeal Procedures**

If the Self-Certified Professional of an audited project disputes the results of the audit or disputes the accuracy or applicability of any code correction comment entered in connection with such audit, the Self-Certified Professional has the right to request a meeting to review the matter with the Technical Lead or file an administrative review to schedule a hearing with the Building Official or City Manager’s Representative. If the Self-Certified Professional disputes the results of the Building Official, an appeal can be made to the Development Advisory Board. Various fees apply for each of these options.

For information on the appeal process that must be followed, see the “Self-Certification Program Auditing and Appeal Procedures” on the Department’s website at: [https://www.phoenix.gov/pddsite/Documents/TRT/dsd\\_trt\\_pdf\\_00486.pdf](https://www.phoenix.gov/pddsite/Documents/TRT/dsd_trt_pdf_00486.pdf).

## **I. Revisions**

There are different procedures that must be followed for making field changes and revisions. The procedure that must be followed is dependent on whether it is a **voluntary** change due to a change in construction material, design or in response to field conditions; or a **mandatory** change due to an inspector identifying a code violation or plans missing critical information.

### **Voluntary Field Changes and Revisions**

The Design Professional or the General Contractor should provide to the Planning and Development Department Inspection staff a request for any proposed field changes or

revisions. The field inspector associated with the discipline that is being modified will determine if revised plans must be provided to complete the change. Notes will be documented in the KIVA system regarding the request, including a description of the change and the determination whether revised plans must be provided.

1. If the inspector determines that the change is minor and can be processed in the field, KIVA notes reflecting the change are sufficient documentation. The following examples are types of minor field changes that inspection staff may approve. Additional changes may be made at the inspector's discretion. Any deviations from the permit record set must be approved in advance by the field inspector. When revised plans are provided, the proposed revisions must be sealed by the applicable design professional and contain the Self-Certified Professional's approved stamp.
  - a. Electrical – Extension or relocation of branch circuitry.
  - b. Mechanical – Duct work or relocating registers within the same space.
  - c. Plumbing – Relocation of fixtures.
  - d. Structural – Relocation of non-bearing walls and non-structural items that do not affect occupant load, exiting or life safety systems.
  - e. Civil – Add, delete or relocate ADA ramps in the right of way as needed due to field conflicts, if ADA compliance is still met.
  - f. Landscape – Adjust placement of trees if the overall landscape design intent is still met.
  - g. General – Relocation of non-bearing walls and non-structural items. Minor changes to electrical, plumbing or mechanical systems such as outlet placement or mechanical register placement within the same room or space.
2. For complex changes, the field inspector and their supervisor will determine if revised plans are necessary. Revised plans shall be resubmitted through the normal submittal process. The plans must be stamped by the Self-Certified Professional and any structural changes must be approved by the Structural Peer Reviewer, and electrical revisions must be approved by an Electrical Peer Reviewer if applicable.
3. Changes or revisions which add to the scope of work included in the original plan submittal shall be treated as new work requiring a new permit application and permit.

### **Mandatory Field Changes and Revisions**

When an inspector determines that the plans contain code violations or are missing critical information, the inspector shall get a second opinion from his or her supervisor prior to requiring the customer to make changes. The supervisor is also encouraged to contact the Technical Lead or the Building Official for further discussion if necessary. If the item is confirmed to be a code violation or if PDD requires more information critical to ensuring the project meets the building code, the Field Supervisor will inform the Contractor in writing or by email. For Self-Certified projects, the Self-Certified Professional must also be contacted. Corrections and/or additional information will be

required to reach a resolution. Violations that require major design changes may require an audit of the self-certified plans. Follow the Voluntary Field Changes and Revisions process.

Regardless of the method used to resolve the violation, all violations will be tracked by the Inspection Section through the Field Supervisor. The violations will be noted in KIVA using an (02 non-certified and/or 02S for Self-Certified projects) result with the code section and a clear description of the violation. Self-Certified projects will be scored, and any project that accumulates five (5) 02S violations or more will be subject to a mandatory audit. The Field Supervisor should consult with the Technical Lead, the Building Official and the Deputy Director of Inspections prior to mandating an audit of the project. Refer to [Self-Certified Auditing and Appeal Procedures](#) for additional information.

**J. Deferred Submittals**

The self-certified professional shall clearly indicate on the cover sheet all items to be deferred. These items must be identified in the PDD policy for deferred submittals. Each deferred submittal must bear the shop drawing stamp of the professional engineer and architect of record. For projects that require peer review, the peer reviewer shall also review and place a shop drawing stamp on the deferred submittals.

**K. Suspension and Revocation of Self-Certification Privileges**

As described in Section F. Audit Results above, the failure of the Self-Certified Professional to submit required corrections identified in any audit by the specified date may result in revocation of the Self-Certified Professional's privileges. Privileges shall also be revoked by the Building Official or City Manager's Representative if the Self-Certified Professional fails three (3) audits within a three-year period; or fails to take all remedial measures within such Self-Certified Professional's control to bring the required plans and any construction thereunder into compliance with the City of Phoenix Building Construction Code.

If a Self-Certified Professional's privileges are subject to revocation for any reason, the Department shall cause a dated notice to be mailed, by first class mail, to such Self-Certified Professional at his or her last known business address. Such dated notice shall inform the Self-Certified Professional of the following facts:

A. Unless the Self-Certified Professional can show cause at a hearing for the Building Official not to revoke their privileges, they shall be revoked for a period of one year. To reinstate privileges, the Self-Certified Professional must again attend the full training class at full cost. The revocation of the Self-Certified Professional's Self-Certification Program privileges shall become effective ten (10) business days after the date on which notice is mailed under this rule. The Building Official or City Manager's Representative also has the authority to permanently revoke the Self-Certified Professional's privileges.

B. If the Self-Certified Professional has reason to believe that revocation of their Self-

Certification privileges is not warranted, the Self-Certified Professional has the right to request in writing, within ten (10) business days of the date on which notice is mailed under this rule, a hearing before the Development Advisory Board. The hearing before the Development Advisory Board would be solely to determine whether revocation of self-certified privileges is warranted.

- C. If a hearing under this rule is requested in a timely manner, such hearing shall be commenced within forty-five (45) business days of receipt of such request.

If no hearing under this rule is requested in a timely manner, or if a hearing is requested in a timely manner but the Self-Certified Professional fails to appear at such hearing, the Self-Certified Professional shall be deemed to have waived his right to such hearing and such privileges shall be deemed, by operation of law, to have been revoked by the Building Official on the date stated on the notice of revocation required by this rule. Conversely, if the Self-Certified Professional submits a written request for a hearing, but fails to appear at such hearing, the Building Official or City Manager's Representative may, upon a showing of good cause, reschedule the hearing.

A Self-Certified Professional's self-certification privileges shall be permanently revoked by the Department, if such Self-Certified Professional is convicted or found liable of: (1) knowingly making a false statement of material fact on or in connection with any building permit application, or (2) knowingly submitting in support of a building permit application any document containing false or fraudulent information, or (3) knowingly affixing a false signature to any building permit application.

The Building Official or City Manager's Representative may revoke any permit issued under the Self-Certification Program if an audit or inspection indicates that the permitted project or any portion thereof poses a threat to the public health, safety or welfare.