



THE AMERICAN
INSTITUTE
OF ARCHITECTS

The **Architect's Handbook** Of **Professional Practice**

Fifteenth Edition

WILEY

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THE AMERICAN INSTITUTE OF ARCHITECTS

The Architect's Handbook of Professional Practice

Fifteenth Edition

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Foreword

The Architect's Handbook of Professional Practice, published by the AIA since 1920, has become the definitive information source of architectural practice for over 90 years. While major changes have altered the demand for design and architectural services in the intervening decades, this handbook has kept pace and has risen in value to the profession.

The 15th edition, which you are about to read, reflects a range of current AIA initiatives aimed at improving the built environment and public well-being. At the same time, it reflects a contemporary ethos with emphasis on diversity and inclusion, small-firm culture, sustainability, and evolving representational and project delivery methods such as BIM and architect-led design-build.

How does the Handbook reflect these factors? By including expanded content for emerging professionals, such as information on career development, as well as expanded content for established architects who work for or own small and midsize firms. Case studies and targeted articles, written by real-world practitioners, portray a discipline that has been recently segmented by economic circumstances, technological change, and generational difference. Licensed architects, who are united in their professionalism, and those on the path to licensure—both are represented here, united in their desire to meet a high standard of excellence.

Architecture has become an adaptable enterprise for a world that requires nimbleness, pragmatism, and no small amount of ingenuity. From one architect to another, I think you will appreciate the strength of the knowledge base on which this 15th edition rests. I think you will also find it to be an indispensable tool in a time of great change and even

greater opportunity for architects.

Robert A. Ivy, FAIA
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Preface

The 15th edition of the *Architect's Handbook of Professional Practice* builds on its long tradition as a definitive resource while providing new and significantly revised material. Since the release of the 14th edition, rapidly developing technologies saw greater adoption and the economy plunged into recession. These and other changing conditions influence firm management, project delivery, and other aspects of practice, and the 15th edition has been modified and supplemented accordingly.

When the AIA and Wiley's editorial team asked us to serve on the Steering Group, we were honored to help guide the development of the 15th edition. Our members reflect the diversity of the profession in terms of firm size, geographical distribution, services offered, technologies and delivery methods employed, involvement in academia, and stages of firms and careers. We shared a common goal of crafting a reference relevant to firms of all sizes, and useful to emerging firms and professionals as well as established practitioners.

The Steering Group started work by reviewing the 14th edition in depth. We met for intense conversations regarding how the profession had changed and would continue to develop, which topics were important to retain and update, and what needed to be set aside or added to the 15th edition. As the content took shape, editors called on steering committee members to continue their involvement by suggesting potential authors and reviewing submissions.

We hope you find that our efforts—and the efforts of many others—have contributed to a reference that is both timely and farsighted. We were privileged to be part of this endeavor and believe that the work of the many architects

and allied professionals who undertook to develop and share their expertise has resulted in an indispensable resource. We expect you will turn to this Handbook many times as you make decisions related to participating in, developing, and managing a successful practice.

Linda Reeder, AIA

Associate Editor

15th Edition Handbook Steering Group Member

Acknowledgments

It has been my privilege to work with those who have participated in the creation of the 15th edition of the Handbook. I am deeply grateful to the contributing authors who have generously shared their knowledge. I especially appreciate their willingness to engage in our peer review process and work closely with the editorial team to produce excellent content.

At the outset of content development for the 15th edition, the Handbook editors turned to subject matter experts for guidance on many of the chapters. These “chapter captains,” as we called them, advised us on the articles needed for their chapter and, in many cases, recommended authors to write them. Many were tireless in their work as peer reviewers and in assisting us in creating comprehensive chapters with minimum redundancy. I would like to extend special and heartfelt thanks to these expert advisers, including Jim Atkins and Phil Bernstein, who gave significant time and thought to the Handbook effort. Similarly, the guidance and insight of the Steering Group has been critical to the development of the 15th edition and their effort is also greatly appreciated.

To enable coordination between Handbook authors and their related topics, especially within a chapter, most contributors also served as peer reviewers for the other authors in their chapters. I truly appreciate the willingness of the authors to accept this extra task on top of producing their own articles. In addition, we had a number of peer reviewers who were not Handbook authors and we are sincerely grateful for their efforts.

The efforts of AIA's publishing partner John Wiley & Sons, Inc., are also most appreciated. Katherine Malm Bourgoine,

Wiley's architecture and design Senior Acquisitions Editor, was always available to offer advice on publishing matters, and Senior Editorial Assistant Danielle Giordano was extremely helpful in addressing numerous administrative details.

Finally, on a personal note, I would like to thank the Handbook editorial team for their excellent work throughout this process. Although our collaboration was conducted almost entirely online, we worked together with remarkable effectiveness. I can only describe the team as insightful and dedicated and I am honored to have been able to work with Linda Reeder, Mary Anderson, and Richard L. Hayes.

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About the 15th Edition of the Handbook

Much has changed in the practice of architecture since the publication of the Handbook's 14th edition in 2008. Many tools that architects take for granted in 2013 were not widely used or available in 2008. More important, in 2008 the U.S. economy fell into the grip of a widespread and deep economic downturn, with a long-awaited recovery just now beginning at the time of this writing.

Many articles in the 15th edition discuss the significant impact of the Great Recession on the profession of architecture, including “Navigating Economic Cycles” by AIA Chief Economist Kermit Baker. Chapters on firm management, particularly in the areas of human resources and marketing, benefit from insight gained during this difficult period. Articles such as “Entrepreneurial Practice: Starting an Architectural Firm” offer understanding gained from practice experience about management strategies that respond to the new norm.

Significant changes in technology and project delivery have also taken place since 2008. Architects and owners are increasingly turning to delivery methods other than traditional design-bid-build in an effort to improve effectiveness and reduce risk. The 15th edition includes an expanded section on project delivery. It also includes, for the first time in the Handbook, an entire chapter devoted to technology.

While there is no chapter specifically focused on sustainability in the 15th edition, the topic is not being ignored. Just as sustainable design is no longer additive but instead integrated into the work of most architects, the

topic of sustainable design has been integrated into other content. This is particularly true in relation to teamwork, project delivery, and codes. A case study that illuminates strategies for sustainable office management practices is also included.

New to the 15th Edition

Two-thirds of the 15th edition content is completely new, reflecting the state of practice in 2013 and looking ahead to emerging trends. In an effort to present the most current information, over 90 percent of 15th edition authors are new to the Handbook, although all are experts in their topics. These authors have contributed articles that are new to the Handbook, have written new articles on topics that have previously appeared in the Handbook, or have updated articles written for the 14th edition by others. Many of these authors are seasoned practitioners, sharing insight sourced from personal practice experience. Overall, they represent a diverse group that is meant to be reflective of the profession as a whole.

New Chapters

In addition to *Technology in Practice*, the 15th edition includes a number of other chapters that are new to the Handbook. These include:

- **Diversity and Demographics.** The importance of diversity as a practice management issue is discussed in this chapter along with a historical perspective on diversity in the AIA. Significant data on practice trends from *The Business of Architecture: AIA 2012 Survey Report on Firm Characteristics* are also presented.
- **Career Development.** Contributions from the National Council of Architectural Registration Boards (NCARB)

explain the basics of the Intern Development Program and the path to licensure for emerging professionals. For seasoned practitioners, articles have been included to help increase understanding of the regulatory environment of professional practice, including state-mandated continuing education (MCE) and certification as a minority, women-owned, or small business enterprise.

- **Public Interest Design.** This new chapter reflects the growing interest and participation by architects in activities that benefit local communities and the public at large. Many examples of how architects are applying their skills and talents for the public good are included. Also discussed is the architect's role in disaster recovery and preparedness, pro bono work, and the profession's engagement with the nonprofit sector.
- **Research in Practice.** Research is increasingly becoming a regular and integrated aspect of architectural practice. In this chapter, academic researchers who work in practice settings and experienced practitioners who engage in research discuss various topics, including evidence-based design and research in a small firm context.

More Content for Smaller Firms

For the 15th edition, care has been taken to include information and best practices that are applicable to architects who practice in small and midsize firms, as well as large firms. Authors have been encouraged to help readers understand how to apply general information and recommend processes that work in the context of smaller practices. Authors from small firms were asked to write about their experiences to supplement information that might apply only to larger firms.

As a result there are a number of backgrounders targeted to small-firm practitioners, such as “Professional Developing and Mentoring in Small Firms,” “Architect-Led Design-Build for Small Projects and Small Firms,” “The Multi-Office Small Firm,” and “Research in Small Firm Practice.” There is also an article called “Small Firm Collaboration,” which explores ways that small firms are aligning with other design firms to acquire and deliver work. And in the realm of technology, there is an article about using Building Information Modeling (BIM), called “Small Firms, Small Projects, and BIM.”

Expanded Business Management Content

Twenty-first-century business realities require that entrepreneurial architects and their staffs develop skill in business management. The chapters on organizational development, marketing, finance, and human resources contain articles that demystify concepts and introduce firm leaders to best practices in each management arena. Consultants, who possess deep knowledge of specific aspects of practice, are the authors of most of these articles.

For owners of midsize firms with mature practices, there are articles on developing multiple offices or a global practice, and advice on how to maintain a culture of creativity. Articles on ownership transition, leadership effectiveness, the legal context of practice, and more provide information and knowledge vital to leaders of firms of all sizes.

Navigational Features

The Handbook is divided into four major sections:

- Part 1: The Profession
- Part 2: Firm Management

- Part 3: Project Delivery
- Part 4: Contracts and Agreements

Each part contains a number of chapters. For example, “Part 4: Contracts and Agreements” includes the chapters “Project Definition,” “Risk Management,” and “Agreements and AIA Documents.”

Each chapter contains multiple articles. Each article addresses a specific aspect of practice within the practice area covered by the chapter. For example, the chapter “Design Project Delivery” contains articles on integrated project delivery, design-build, and construction management, among others.

Some articles include backgrounders that elaborate on an aspect of the topic or bring a new perspective. For example, the article “Recruiting and Hiring” contains a backgrounder on social networking in recruiting activities.

Most articles conclude with a “For More Information” section, which lists and describes relevant resources about the subject. These resources may include publications, organizations, and URLs.

How to Use the Handbook

The Handbook is designed to have multiple entry points. It is expected that most users will have an interest or need for knowledge in a particular area of practice and start there.

Articles can be read individually and in any order. Many chapters begin with an overview article that can direct the reader to the location of more detailed information on a particular topic. When articles in a chapter are taken together, they are intended to present the whole picture of a practice area. Users may want to read an entire chapter to gain fuller understanding of the material presented in any one of the articles. For example, the articles on financial management work best when read together.

The index, which contains key words and concepts, will help readers readily find specific information. In addition, margin elements on the article pages contain both navigational and informational features by

- Reinforcing some aspect of the narrative with a quote
- Highlighting key ideas in brief notes or comments
- Pointing to related Handbook articles and backgrounders

The Handbook and the “Standard of Care”

Architects are expected to perform within the legal concept of the “standard of care,” which considers what reasonably prudent architects would do in the same community at the same time, facing the same or similar circumstances. As a result, fixed or uniform standards cannot be used to evaluate the performance of architects. Thus, the Handbook does not contain absolute rules and procedures. Rather, it presents concepts, principles, techniques, and other fundamental information that together provide guidance for the day-to-day needs of architects and other building design professionals.

Rena M. Klein, FAIA
Executive Editor

PART 1

THE PROFESSION

Laws, regulations, and codes of conduct govern the profession of architecture and define the obligations of architects to the public. AIA members comprise a community of practice that additionally agrees to abide by its Code of Ethics and its requirements for continuing education. For prospective architects, the path to licensure is prescribed. For emerging and mature practitioners, professional life includes participation in professional organizations and architectural education. For some architects, professional life at every stage includes engagement in public interest design.

CHAPTER 1

Ethics and Professional Practice

1.1 The AIA Code of Ethics and Professional Conduct

Michael L. Prifti, FAIA

Michael L. Prifti is managing principal of BLT Architects, a firm headquartered in Philadelphia, Pennsylvania. Prifti has played an instrumental role in promoting professional practice, serving for two terms on the National Ethics Council and speaking at numerous AIA National Conventions on related topics such as “The Role of Ethics in Sustaining the Profession.”

Members of the American Institute of Architects lead the way through the highest standards of professionalism, integrity, and competence. The Code of Ethics and Professional Conduct is both guide and measurement of those practices.

INTRODUCTION TO THE CODE OF ETHICS AND ETHICAL PRACTICE

Architecture in built form is exclusively predicated on the universal constant of gravity. This is true regardless of location, weather, material, building or client type, codes and regulations, aesthetic, or other variable. Architecture as