



To: Bond Reimbursement and Grant Review Committee

Thru: Elizabeth Nudelman, Director

From: Stuart Gerger, Facilities Architect

Date: July 25, 2013

Subject: Aug 1-2 CIP Work session: materials package summary

Please find the attached materials for your review before our meeting next week. This summary outlines what is included, with a few explanatory notes. Additional review materials may be provided at the work session.

1) Reorganized CIP Application dated FY2016

I cannot stress enough that this is a draft, intended for review and discussion. In undertaking a review of individual questions, it was determined that to meet the department's directives of clarity, transparency and simplicity, reorganizing the overall presentation of the application was necessary. A general outline of how it has been reorganized is included as item 5 of this materials list.

2) Individual questions addressed within the application:

Emergency Conditions (currently question #14; question 6a in reorganized format)

Life Safety Conditions (currently part of question #17; question 6b in reorganized format)

In both cases, the draft materials have replaced the question, the instructions and the raters guidelines with new text. There is no change to the point values (50 points each). Intent is to improve clarity and simplicity for users and transparency of scoring for users and raters. In addition, direction from the department is to improve, or remain aligned with, the intent of the current statute AS14.11.013(b) and regulation 4AAC 31.022(c) where criteria for evaluation, priority and ranking are established.

Scope of work (currently part of question 17; question 4a in reorganized format)

The text has been replaced to provide more specific directions to applicants as to what information is required and why. The intent is to offer guidelines on how to answer this question, leaving it open enough to encourage applicants to provide additional material that may be unique to their application.

Planning/Surveys/Cost Estimates (currently questions 16&18; combined into Section 5 in reorganized format)

This material has been reorganized and we may have time to begin reviewing it on day two.

3) Reorganized CIP Instructions dated FY2016

The instructions have been reorganized to present the information in a matching sequence as the application. This draft contains some existing text –shown in light gray- that has been relocated to align with the sequence changes, but has not yet been reviewed itself. Text shown in light gray is not yet ready for review at this work session.

4) Reorganized Raters Guide (excerpt) dated FY2016

This excerpt from the Raters Guide displays a draft guide for evaluating Emergency Conditions and Life Safety Conditions.

5) Outline (below) of reorganization strategy used in the application and instructions. The outline below summarizes the seven categories of the reorganized application and instructions.

What to submit (an introduction not a category)

General information about type and quantity of application materials

Name of project and certification signature by applicant

1. Category of funding and project type

Type of funding request: grant or debt retirement

Primary purpose of funding

2. Eligibility requirements to submit an application

Eligibility items per AS14.11.011(b)(1-4): six year plan, fixed asset inventory, not maintenance project, insurance, a currently certified PM program

3. Eligibility requirements for space to be added or replaced

Eligibility items per AS14.11.013(a)(1)(b).

4. Project information: describing what is being proposed (scope)

Fact-only description of scope of work

List of materials (attachments) making up the complete description

Is the project already completed?

Additional land required?

Transition planning required?

5. Project planning

Analysis of problem (ed spec and/or condition survey)

Conceptual planning (determining a general direction based on thorough evaluation)

Committed planning (schematic and design development)

Budget

6. Factors for rating required by statute or regulation

Emergency

Life Safety

Housing unhoused students

District's priority

New local elementary and secondary programs

School facilities and their condition

Regional community facilities as solution options

Operating funds expended for maintenance

Other options for solving the problem(s) that generate the need

Long term benefits: relationship of cost of project to annual operating cost savings

Previously funded by intention

7. Factors for rating at the department's discretion

Quality of PM program (above and beyond meeting basic requirements; energy efficiency)

Quality of planning (based on analysis and conceptual work only)

Quality of budget development for reasonableness



Application for Funding
Capital Improvement Project by Grant
or
State Aid for Debt Retirement

FY2016

PREPARING AND SUBMITTING THIS APPLICATION:

- 1) For each application, please submit four complete copies of this application. This includes the application and the attachments specific to that project. One of these must have the original signature of the Superintendent or Chief School Administrator below.
- 2) For each district, please submit one bound set of districtwide materials (PM program, insurance, six-year plan and other eligibility items) as a separate attachment.
- 3) Please submit the entire application (1 & 2 above) in PDF format that can allow the department to select portions of the information for filing in our databases.
- 4) Each district can submit up to 10 individual project applications per rating period. This includes previous year applications submitted for reuse. A project application can be submitted only once for reuse if no changes are made to the application.
- 5) If the district wishes to reuse an application making no changes or updates, a letter requesting reuse must be submitted by the same deadline as a new application. The template for a reuse of application is included as Appendix ((to be developed)).
- 6) **IMPORTANT BEFORE COMPLETING THIS APPLICATION:** To improve chances of a successful application, please review the supplemental materials associated with this application: Instructions, Rater's Guide and Eligibility Checklist. These are available at: <http://education.alaska.gov/facilities/FacilitiesCIP.html> under CIP Application Information.

CERTIFICATION:

School District: _____
Community: _____
School Name: _____
Project Name: _____

I hereby certify that this information is true and correct to the best of my knowledge, and that the application has been prepared under the direction of the district school board and is submitted in accordance with law.

Superintendent or Chief School Administrator

Date

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1. CATEGORY OF FUNDING AND PROJECT TYPE:

1a. Type of funding requested (*Choose only one funding source*).

Grant Funding

Aid for Debt Retirement (Bonding)

1b. Primary purpose of project (*Choose only one category, per AS 14.11.013 for grant projects, or AS 14.11.100(j)(4) for debt retirement projects*). *The department will change a project category as necessary to reflect the primary purpose of the project.*

School Construction:	Major Maintenance:
<input type="checkbox"/> Health and life-safety (Category A, this category is not available for debt retirement)	<input type="checkbox"/> Protection of structure (Category C, this category is not available for debt retirement)
<input type="checkbox"/> Unhoused students (Category B; Category A for debt retirement)	<input type="checkbox"/> Building code deficiencies (Category D; Category B for debt retirement)
<input type="checkbox"/> Improve instructional program (Category F; Category D for debt retirement)	<input type="checkbox"/> Achieve operating cost savings (Category E; Category C for debt retirement)

2. ELIGIBILITY REQUIREMENTS TO SUBMIT AN APPLICATION:

Questions 2a-2f require a “yes” response, with substantiating documentation as necessary, in order to be eligible for review and rating.

2a. Has a six-year Capital Improvement Plan (CIP) been approved by the district school board, and is it attached to this application? yes no

Submitting a six-year plan signed by the authorizing designate is required for the application to be eligible. The placement of this project on that plan is a rating factor.

See “Section 6: Factors for Rating” later in this application.

2b. Does the school district have a functional fixed asset inventory system? yes no

The department’s annual audit of the districts is used to confirm existence of this system. No information about it is required to be provided with this application. The department strongly recommends applicants confirm this system is in place at the time of the application.

2c. Is the project a capital improvement project and not part of a preventive maintenance program or custodial care? yes no

2d. Districtwide replacement cost insurance for the last five years will be gathered by the department from annual insurance certification and schedule of values. It is the responsibility of the district to submit that information and confirm receipt by the department. Has department receipt of current insurance been verified? yes no

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2e. Does the district have a preventative maintenance program that has been approved (certified) by DEED and is the certification current at the time of this application? Is proof of that certification attached to this application? yes no

2f. **Project eligibility attachments:** Listing all attachments to the application on this list assists raters. Eligibility items are all required on applicable projects.

- Six-year Capital Improvement Plan (CIP) (*question 2a*)
- Current certification of maintenance and facilities management program (*question 2e*)
- Capacity calculations of affected schools in the attendance area/areas (*question 3a*)
- Enrollment projections and calculations (*question 3a*)
- Justification for waiver of participating share (*see AS 14.11.008(d) for more information*)
- For fully or partially completed projects: Documentation establishing compliance with 4 AAC 31.080 (*question 4b*)

3. ELIGIBILITY REQUIREMENTS FOR SPACE TO BE ADDED OR REPLACED:

Note: If you have classified this project as Major Maintenance (Category C or D) and you are not including any new space, skip to Section 4: Project Information. All applications requesting new or replacement space must provide the information requested in this section. For the purposes of this section, gross square footage is calculated in accordance with 4 AAC 31.020(e).

It is expected that applicants use average daily membership (ADM) materials and worksheets provided on our website <http://education.alaska.gov/facilities/FacilitiesCIP.html> If another method is used, the department will review it and reserves the right to reject the alternative method.

3a. In the table below, provide the attendance area's current and projected ADM

Table 3. ATTENDANCE AREA ADM			
School Year	K-6 ADM	7-12 ADM	Total ADM
2012-2013			
2013-2014			
2014-2015			
2015-2016			
2016-2017			
2017-2018			
2018-2019			
2019-2020			
2020-2021			
2021-2022			

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3b. Indicate the student grade levels to be housed by in the proposed project facility: _____

3c. Are there school facilities within the attendance area that house any student grade levels included in the proposed project? yes no
(If the answer is yes, please provide information below about size, student capacity, and grades served in the table below.)

School Name	GSF	Grades	Capacity

3d. Is there any work (other than this project) within the attendance area that has been approved by local voters, or has been funded, or is in progress that houses any student grade levels included in the proposed project? yes no

Project Name	GSF	Grades	Capacity

In lieu of data in the format above for questions 3c and 3d, we are providing detailed attachments. yes no

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3e. Completion of this table is mandatory for **all projects that add space or change existing space utilization**. If the project does not alter the configuration of the existing space, it is not necessary to complete this table. Use gross square feet for space entries in this table.

Table 4. PROJECT SPACE EQUATION						
	A	I	II	III	IV	B
Space Utilization	Existing Space	Space to remain "as is"	Space to be Renovated	Space to be Demolished	New Space	Total Space upon Completion
Elem. Instructional/Resource						
Sec. Instructional/Resource						
Support Teaching						
General Support						
Supplementary						
Total School Space						

4. PROJECT INFORMATION:

4a. Project description/Scope of work:

The project description is an important part of this application.

This question asks the applicant to simply describe the work being done. Other questions ask for an evaluation related to scoring points, such as emergency conditions, life safety, operating cost savings, etc. Please focus the explanation of those features in those questions. It is important that the question 4a scope of work description convey to the reviewer a complete picture of the entire project's scope in one cohesive description.

Location of work: Identify the location of the community and any particular weather, geographic, or physical conditions of the region or site that would help reviewers understand the factors that affect the facilities.

Phases of work being done: Identify if one or all of these phases of work are included in the scope: planning, design, and/or construction.

Identify the facilities: In the case of multiple facilities work, identify which facilities will be having which part of the work done. Referencing buildings by the DEED facility number (as well as any district coding, if you wish) is recommended. DEED facility ID numbers can be found on the DEED Facilities website under "School Facility Information".

List of tasks (scope): This description should provide a thorough list of the work to be completed with this project.

Status of work: If prior or subsequent work is included as a part of the description, be sure to clearly identify the components of work to be completed with *this* project.

Projected schedule: Provide an estimated project timeline that includes an estimated date for receipt of funding, construction start date, and construction completion date.

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Please use this area for description and/or listing of the scope of work of this application.

4b. Project description attachments: Listing all attachments to the application on this list assists raters. Eligibility items are all required on applicable projects. Not all other items are required.

- Site description, site requirements, and/or site selection analysis (*question 4c*)
- Transition plan for state-owned or state-leased properties (*question 4e*)
- Facility condition survey (*question 5a*)
- Facility appraisal (*considering de-listing*)
- Educational specification (*question 5b*)
- Programming documentation other than Ed Spec (*question 5b*)
- Conceptual design (*question 5b*)
- Schematic design documentation (*question 5c*)
- Design development documentation (*question 5d*)
- Cost estimate worksheets (*question 5g*)
- Budget variance justification (*question 5g*)
- Appropriate compliance reports (*i.e., Fire Marshal, AHERA, ADA, etc.*) (*question 6b*)
- Cost/benefit analysis (*question 6j*)
- Life cycle cost analysis (*question 6j*)
- Value analysis provided (*question 6j*)

4c. Is the work identified in this project request partially or fully complete? yes no
The department neither rewards nor penalizes projects seeking reimbursement for already completed work within the parameters set out be 4 AAC 31.023(c)(2).

4d. Will this project require acquisition of additional land or utilization of a new school site? If so, please submit information that confirms site control that will allow the project to occupy the site for the use intended. yes no

4e. Transition planning: Does this project change the status of any facility on site to one of the below? The existing building(s) will be (check all that apply):
 renovated added to demolished surplusd other

NOTE: If the project changes the current status of a facility to “demolished” or “surplusd,” a transition plan is required as part of this application. A transition plan should describe how surplusd state-owned or state-leased facilities will be secured and maintained during transition. See instructions.

5. PROJECT PLANNING:

NOTE: The department places a high value on strong analysis and development of project planning that best serves students with facilities solutions that are well-designed and well-constructed to achieve the best long-term benefit to the state with regard to operating costs and maintenance. The department has elected to award points in rating projects for exceptional planning that reflects these goals. See instructions for further information.

5a. Has a facility condition survey been completed? yes no

5b. Has work been completed on planning?
 Educational specification? yes no
 Conceptual design (pre-construction document)? yes no

5c. Has work been completed on schematic design? yes no

5d. Has work been completed on design development? yes no

5e. Design Team: please list parties who have contributed to the evaluation and/or design services thus far for this project. When applicable, a district employee with special expertise should be listed, along with the basis for his or her expertise.

Provider	Expertise
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

5f. What is the anticipated date of occupancy for the proposed facility?
 This information is used to confirm that any escalation factor added to the cost estimate matches the projected project timeline.
(Provide a project schedule if available.) _____

5g. Cost estimate for total project cost: Complete the following tables using the Department of Education & Early Development’s 13th Edition Cost Model or an equivalent cost estimate. Completion of the tables is mandatory.
 (Percentages are based on construction cost. See Appendix C for additional information. If your project exceeds the recommended percentages, you must provide a detailed justification for each item exceeding the percentage.)

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Table 1. TOTAL PROJECT COST ESTIMATE					
Project Budget Category	Maximum % without justification	I Prior AS 14.11 Funding	II Current Project Request	III % of Total Construction Cost	IV Project Total
CM - By Consultant ¹	2 - 4%				
Land ²					
Site Investigation ²					
Seismic Hazard ³					
Design Services	6 - 10%				
Construction ⁴					
Equipment & Technology ^{2,6}	up to 10%				
District Administrative Overhead ⁵	up to 9%				
Art ⁷	0.5% or 1%				
Project Contingency ⁸	5%				
Project Total					

NOTE: this draft includes minor changes to existing footnotes, and the addition of note 8.

1. Percentage is established by AS 14.11.020(c) for consultant contracts (Maximum allowed percentage by total project cost: \$0-\$500,000 – 4%; 500,001- \$5,000,000 – 3%; over \$5,000,000 – 2%). Since CM and project administration may be done by either of a variety of sources, the department recommends a TOTAL of 18% for any combination of CM by consultant, Design services and District Administrative Overhead.
2. Include only if necessary for completion of this project. Amounts included for Land and Site Investigation costs need to be supported in the Project Description (Question 4a), and supporting documentation should be provided in the attachments.
3. Costs associated with assessment, design, design review, and special construction inspection services associated with seismic hazard mitigation of a school facility. This amount needs to be provided by a design consultant, and should not be estimated based on project percentage.
4. Attach detailed construction cost estimate and life cycle cost if project is new-in-lieu-of-renovation.
5. Includes district/municipal/borough administrative costs necessary for the administration of this project; this budget line will also include any in-house construction management cost.
6. Equipment and technology costs should be calculated based on the number of students to be served by the project. See the department’s publication, Guidelines for School Equipment Purchases for calculation methodology (2005). The department will accept a 5% per year inflation rate (from the base year of 2005) added to the amounts provided in the Guideline. Technology is included with Equipment.
7. Reference: AS 35.27.020. Projects that are limited to structural, mechanical, or building shell maintenance only may be exempt from requiring art, at the district’s discretion. Art is required at 1% of the construction budget (0.5% for REAA and small school districts) for all other projects. For comprehensive scope projects with new or renovated educational or administrative space, the total construction cost of the project is the basis for determining the budget for art.
8. Contingency is not a project cost but an allowance to give districts support for unforeseen circumstances. For grants, the department expects this amount to be returned as unexpended funds unless justification acceptable to the department authorizes its use.

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Table 2. CONSTRUCTION COST ESTIMATE						
Construction Category	New Construction			Renovation		
	Cost	GSF	Unit Cost	Cost	GSF	Unit Cost
Base Building Construction ¹						
Special Requirements ²		n/a			n/a	
Sitework and Utilities		n/a			n/a	
General Requirements		n/a			n/a	
Geographic Cost Factor		n/a			n/a	
Size/Dollar Adj. Factor		n/a			n/a	
Contingency		n/a			n/a	
Escalation		n/a			n/a	
Construction Total						

1. If using the Cost Model, Base Construction = Divisions (1.0+2.0) for new construction, and Division 11.00 for Renovation, otherwise, Base Construction = the total construction cost less the costs that correspond with other cost categories in the table.
2. Explain in detail and justify special requirements.

DRAFT

6. FACTORS FOR RATING REQUIRED BY STATUTE OR REGULATION:

NOTE: The quality of documentation directly affects the ability of reviewers to evaluate and score this project.

In answering the questions below, please provide verifying documentation for your answers. Responses that cannot be verified will be considered as unsubstantiated. Reviewers are limited in their authority to make professional judgments based on unsubstantiated claims. Scoring values associated with these levels can be found in the instructions material.

6a. Emergency conditions (Up to 50 points)

If an emergency condition applies to this application, please determine which question below best identifies the degree of emergency and provide an appropriate answer.

- Building destroyed? yes no
- Building demonstrably unsafe and has been vacated? yes no
- Demise of this building highly likely? yes no
- Critical structural weakness? yes no
- Subject to event that would trigger building failure with threat of injury? yes no
- District preparing to vacate the building? yes no
- Public safety officials have issued a date certain order to vacate building? yes no
- Documented building or system failure that makes it impossible for the district to fully utilize the facility and a portion of the building has been vacated? yes no
- Is there documented evidence that a reasonably likely natural phenomena would cause significant (resulting in direct risk to life and safety) damage to the structure? yes no
- Anticipated building component or system failure that will constitute a code violation and can be shown to pose potential risk to occupants? The facility itself is not endangered. yes no
- Probable building component or system failure that will constitute a code violation and can be shown to pose a potential risk to occupants? yes no
- Facility not in danger at this time, but should the (specific) potential failure occur can it be shown to pose potential risk to occupants? yes no
- Code violation, potential risk to occupants, no potential for further damage to building? yes no
- Component or system failure without code violation or creation of imminent risk? yes no

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No code violation, potential risk to occupants, no potential for further damage to building? yes no

Please use this area for additional description of the cause of the emergency condition.

6b. Life safety conditions (Up to 50 points)

If a life safety condition applies to this application, please determine which question(s) below best identifies the degree of emergency and provide an appropriate answer(s).

Aggressive threat: district has vacated building fully until threat is removed as a reasonably appropriate response based on national standards. Rater able to verify with necessary documentation. yes no

Active threat: Airborne or non-lethal poison potential upon contact with materials that are exposed to children. yes no

Passive threat: Inert materials to remain in place. (Example: mastics beneath floors to remain, threshold mastic, sink underside coating in good condition.) Point range reflects consideration of quantity of inert materials found. yes no

Potential threat: non-emergency, currently functioning system. (Examples: undersized electrical system, code deficiencies unrelated to actual threat to life safety.) yes no

Major code violation and penalty: violation requires vacation of facility until resolved. yes no

Major code violation without penalty: facility allowed to function, but violation causes (degrees of) limitation for students' instructional programming. Explain limitation on student use caused by code violation. yes no

Lesser code violation without penalty: facility allowed to function but violation causes (degrees of) limitation for students instructional programming. Explain limitation on student use caused by code violation. yes no

Please use this area for additional description of the cause of the life safety condition.

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6c. Housing unhoused students (Up to 80 points)

This category applies only to projects requesting additional new, or complete new replacement of existing space.

Qualifies for _____ additional SF

Applying for _____ additional SF

Materials prepared in Section 3 of this application based on ADM and worksheets in “2013 Space Calculations” are the basis for determining eligibility for this space and how much space can be allowed to be added or replaced. The ADM figures for this year, and interactive worksheets to be completed, can be found on the department website at:

<http://education.alaska.gov/facilities/FacilitiesCIP.html>

Include copies of the worksheets ADM, Current and Future student populations with this application. The department may adjust the submitted figures as necessary for corrections.

6d. Priority assigned by the District (Up to 30 points)

What is the rank of this project under the district’s six-year Capital Improvement Plan?

Rank: _____

6e. New local elementary and secondary programs (Up to 40 points)

Describe inadequacies of existing space. Specifically address how the inadequacies impact the educational program and facility operations.

6f. School facilities and their condition (Up to 30 points)

What buildings or building portion (i.e. original building or addition) will be included in the scope of work of the project?

(The department will utilize GSF records to establish project points (up to 30) in the “Weighted Average Age of Facilities” scoring element. For facility number, name, year, and size information on record, refer to the DEED Facilities Database at <http://www.eed.state.ak.us/Facilities/SchoolFacilityReport/SearchforSchoolFac.cfm>.)

Facility #	Building or Building Portion	Year	GSF
TOTAL GSF			0

6g. Regional community facilities (Up to 5 points)

List below any alternative regional, community, and school facilities in the area that are capable of housing students. Identify by name, distance from current school. If attached documentation is intended to address this question, please note the attachment in question 4b.

6h. Operating funds expended for maintenance (Up to 5 points)

Districtwide maintenance expenditures for the last five years will be gathered by the department from audited financial statements. Costs for teacher housing, utilities, or expenditures for which reimbursement is being sought will be excluded. See instructions for specific accounting codes to be included.

6i. Other options (Up to 25 points)

Describe at least two and preferably more viable (realistic) options in addition to the proposed project that have been considered in the planning and development of this project. Major maintenance projects should include consideration of project execution options (phasing, in-house vs. contracted construction), and material selection options. New school construction projects need to include a discussion of existing building renovation, acquisition or use of alternative facilities, a life cycle cost analysis and cost benefit analysis, and service area boundary changes where there are adjacent attendance areas. Projects proposing the addition or replacement of space need to consider acquisition or use of alternative facilities, a life cycle cost analysis and cost benefit analysis, and a service area boundary change option where there are adjacent attendance areas.

6j. Relationship of cost of project to annual operating cost savings (Up to 30 points)

Quantify the project's annual operational cost savings, if any, in relation to the project total cost.

6k. Phased funding (Up to 30 points)

Provide AS 14.11 administered grants that have been appropriated by the legislature as partial funding in support of this project. This category is score-able by statute only in instances where project funding was intentionally phased.

Applications seeking funds for cost overages, change in scope, or other actions not noted in the original application or legislative appropriation will not be considered eligible for these points.

EED grant #: _____

7. FACTORS FOR RATING AT THE DEPARTMENT'S DISCRETION:

7a. Quality of district's preventative maintenance program

(Current: up to 50 points as part of PM assessments; in this draft proposed amount TBD)
Provide examples of facilities maintenance strategies and results that demonstrate that the district maintains a PM program that exceeds minimum requirements for certification.

7b. Fundamental project planning (see breakdown next to questions 5a-5d)

(Current: Up to 40 points; in this draft: up to 30 points)
Evaluation of existing conditions, concept development of appropriate and cost effective solution, well considered and reasonable budget.

7c. Quality of budget development (cost estimate) (Current: up to 30 points)

7d. Inadequacies of space (Current: up to 30 points)



Instructions for completing the Application for Funding for a Capital Improvement Project

FY2016

*Use these instructions with Alaska Department of Education & Early Development
AKEED Form #05-13-XXX, Rev 5/2013
Application for Funding Capital Improvement Project by Grant or State Aid for Debt Retirement.
Numbered paragraphs below correspond to numbered questions on the application.*

PREPARING AND SUBMITTING THIS APPLICATION:

Unless otherwise indicated, each question on the application form must be answered in order for the application to be considered complete. **Only complete applications will be accepted. Incomplete applications will be returned unranked.** The project name on the first page of the application should be consistent with project titles approved by the district school board and submitted with the six-year Capital Improvement Plan (CIP). Please submit *one original and three complete copies* of each application and *two copies of each attachment*. *One copy of the attachment may be in portable document format (PDF).*

(Note: The department will only score ten projects from each district during a single rating period.)

Project scope and budget may be altered based on the department's review and evaluation of the application. The department will correct errors noted in the application and make necessary increases or decreases to the project budget. The department may decrease the project scope, but will not increase the project scope beyond that requested in the original application submitted by the September 1 deadline.

Please be sure the application is signed by the appropriate official. Unsigned applications cannot be accepted for ranking.

Application packages should be submitted to:
Alaska Department of Education & Early Development
Division of School Finance, Facilities
801 W. 10th Street, Suite 200
P.O. Box 110500
Juneau, AK 99811-0500

For further information contact:
Stuart Gerger, School Facilities Manager

1. CATEGORY OF FUNDING AND PROJECT TYPE:

1. Check one box to indicate which type of state aid is being requested. Grant funding applications are submitted to the department by September 1st of each year (Or on a date at the beginning of September designated by the department in the event that the 1st falls on a weekend or holiday.)

Debt funding applications can be submitted at any time during the year if there is an authorized debt program in effect. To verify if there is an authorized debt program in effect, contact the department.
- 2a. Check one box to indicate the primary purpose of the project. Each application should be for a single project for a particular facility, and should be independently justified. The district may include work in other categories in a proposed project. These projects will be reviewed and evaluated as mixed-scope projects. Refer to Appendix B of these instructions for descriptions of categories and the limitations associated with category C category D, and category E projects. Application of scoring criteria will be on a weighted basis for mixed scope projects. The department will change a project category as necessary to reflect the primary purpose of the project.¹
- b. Check the applicable phase(s) covered by this funding request. Refer to Appendix A for descriptions of phases.
- c. Indicate whether the work identified by the project request is partially or fully complete. If the construction work is partially or fully complete, please attach documentation that establishes that the construction was procured in accordance with 4 AAC 31.080 CONSTRUCTION AND ACQUISITION OF PUBLIC SCHOOL FACILITIES. Competitive sealed bids must be used unless alternative procurement has been previously approved by the department. Projects under \$100,000 can be constructed with district employees if prior approval is received from the department. Projects shall be advertised three times beginning a minimum of 21 days before bid opening. The bid protest period shall be at least 10 days. Construction awards must NOT include provisions for local hire. For construction contracts under \$100,000, districts may use any competitive procurement method practicable. For projects with contracted construction services, attach construction and bid documents utilized to bid the work, advertising information, bid tabulation, construction contract, and performance and payment bonds for contracts exceeding \$100,000. For projects that utilized in-house labor, attach the EED approval of the use of in-house labor [4 AAC 31.080(a)]. If a project utilized in-house labor, or was constructed with alternative procurement methods, and does not have prior approval from the department, the project will not be scored.

2. ELIGIBILITY REQUIREMENTS TO SUBMIT AN APPLICATION:

¹ The department's authority to assign a project to its correct category is established in AS 14.11.013(c)(1) and in AS 14.11.013(a)(1) under its obligation to verify a project meets the criteria established by the Bond Reimbursement & Grant Review Committee under AS 14.11.014(b).

- 2a.** Attach a current six-year Capital Improvement Plan (CIP) for the district. Use AKEED Form 05-13-XXX. The project requested in the application must appear on the district's six-year plan in order to be considered for either grant funding or debt reimbursement.
- 2b.** The district does not need to submit any fixed asset inventory system information to the department as part of the CIP application. The department will verify existence of a Fixed Asset Inventory System during its on-site Preventive Maintenance program review every 5 years. The department will annually review the district's most recently submitted annual audit for information regarding its fixed asset inventory system. School districts that do not have an approved fixed asset inventory system, or a functioning fixed asset inventory system (i.e., cannot be audited) will be ineligible for grant funding under AS 14.11.011.
- 2c.** AS 14.11.011(b)(3) requires a district to provide evidence that the funding request is for a capital project and not part of a preventive maintenance or regular custodial care program. Refer to Appendix D for an explanation of maintenance activities.
- 2d.** The department may not award a school construction grant to a district that does not have replacement cost property insurance. AS 14.03.150, AS 14.11.011(b)(2) and 4 AAC 31.200 set forth property insurance requirements. The district should annually review the level of insurance coverage as well as the equipment limitations of the policy, and the per-site and per-incident limitations of the policy to assure compliance with state statute and regulation.
- 2e.** An application must include documentation that the district has a certified PM program. (More text needed.)

3. ELIGIBILITY REQUIREMENTS FOR SPACE TO BE ADDED OR REPLACED:

NOTE: Gross square footage entries in this section should reflect the measurements specified by 4 AAC 31.020. Space variance requests not already approved by the department must be submitted in accordance with 4 AAC 31.020 by the application deadline in order to receive consideration with the current request.

- 3a.** All projects that are adding new space or replacing existing space must complete Table 3. ATTENDANCE AREA ADM. There are 80 possible points available for unhoused students depending on severity.
- 3b.** The response to this question should reflect the grade levels that will be served by the facility at the completion of the project.
- 3c.** If this project (1) will result in renovated or additional educational space, and (2) will serve students of the same grade levels currently housed or projected to be housed in other schools, the project description should indicate:
- the attendance areas that will be impacted (i.e. will contribute students) by this project,
 - the current and projected student populations in each facility (school) affected by the project, and
 - the EED gross square footage for each affected facility (school) in the attendance area.
- Note: for schools housing a combination of elementary and secondary grades, the space allocated to elementary (K-6) and secondary (7-12) may be necessary.*

- 3c.** List all schools in the attendance area that serve grade levels equivalent to those of the proposed project. If the project includes any elementary grades, all schools in the attendance area serving elementary students are to be listed. If the project includes any secondary grades, all schools in the attendance area serving secondary students are to be listed. For each school listed include its size, the grades served, and the school's total student capacity. Use the department's Capacity Worksheet to calculate the total student capacity for each school. Please note that the Capacity Worksheet has been revised to reflect the regulatory changes to 4 AAC 31.020. The Capacity Worksheet is a MS Excel file and is available on the department's web site:

<http://www.eed.state.ak.us/facilities/FacilitiesCIP.html>

- 3d.** Any additional square footage that is funded for construction or approved by local voters for construction should be described, showing student capacity, additional GSF, and grade levels to be served. Include these projects in any capacity/unhoused calculations provided in the year of anticipated occupancy.
- 24.** Identify the method(s) that were utilized to determine the student population projections listed in Table 3. The department will compare the projections to historic growth trends for the attendance area. The department will revise population projections that exceed historical growth rates, show disparate growth between elementary and secondary populations, or are unlikely to be sustained as an attendance area's overall population grows. The application should include student population projection calculations and sufficient demographic information (i.e. housing construction, economic development, etc.) to justify the project's population projection.

The department will calculate these items based on the Alaska Department of Education & Early Development Uniform Chart of Accounts and Account Code Descriptions for Public School Districts, 2012 Edition annual audited district wide operations expenditure as the sum of Function 600 Operations & Maintenance of Plant expenditures in Funds 100 General Fund and 500 Capital Project Fund, excluding Object Code 430 Utilities, Object Code 435 Energy, Object Code 445 Insurance, all expenditures for teacher housing, and capital projects funded through AS 14.11. In addition, expenditures included in this calculation will not be eligible for reimbursement under AS 14.11. *[Note: This information is used in calculating scores for Assessment 4; see Question 31.]*

- 3e.** The response to this question should be consistent with the space utilization table in question 25. Projects that will result in demolition or surplus of existing state-owned or state-leased facilities should include a detailed plan for transition from existing facilities to replacement facilities. If a facility is to be surplus or demolished, the project must provide for the abatement of all hazardous materials as part of the project. The transition plan should describe how surplus state-owned or state-leased facilities will be secured and maintained during transition.

This table summarizes space utilization in the proposed project expressed in gross square feet. Space figures represented should tabulate to match the gross building square footages reported in question 9 as well as those shown in Table 2 of the cost estimate

section. The worksheet at Appendix F lists types of school space that fit in each category. There are up to 30 points possible for the type of space being constructed. <http://www.eed.state.ak.us/Facilities/SchoolFacilityReport/SearchforSchoolFac.cfm>

??). Waivers of participating share should be in accordance with AS 14.11.008(d). Justification should be documented. See Appendix E in the attachments to these instructions for detailed information. Only municipal districts with a full value per ADM less than \$200,000 that are not REAAs, are eligible to request a waiver of participating share. Contact the department for a district's most recent full-value per ADM calculation.

4. PROJECT INFORMATION:

4d. *Acquisition of additional land* refers to expansion of an existing school site using property immediately adjacent to, or in close proximity to, the existing school site. Land acquisition may result from long-term lease, purchase, or donation of land. *Utilization of a new school site* refers to use of a site previously acquired by the district, or a new site acquired as a result of this application and not previously utilized as a public school. If the project site is not yet known, the site description should be the district's best estimate of specific site requirements for the project, and it should be included in the project description. The department's 2011 publication, *Site Selection Criteria and Evaluation Handbook*, may be useful in responding to this question. A site selection study is required for those projects involving new sites in order to qualify for schematic design points (reference Appendix A)

5. PROJECT PLANNING:

There are five distinct items in this question. Each one has the potential to generate points.

A facility condition survey is a technical survey of facilities and buildings, using the department's Guide for School Facility Condition Survey or a similar format, for the purpose of determining compliance with established building codes and standards for safety, maintenance, repair, and operation. Portions of the condition survey, such as that information pertaining to building codes and analysis of structural and engineered systems including site assessment will need to be completed by an architect and/or an engineer. Someone reasonably familiar with the building and its components may complete portions of the condition survey that document the condition of building elements. A facility condition survey is optional; however, a facility condition survey document is useful to the department in evaluating the overall merits of the project request. To receive points for this item, a facility condition survey needs to be less than four years old. The department does not consider submittal of a Spill Prevention, Control, and Countermeasures (SPCC) Plan as a condition survey for fuel tank or fuel facility projects. There are up to 5 points possible for a complete condition survey.

A facility appraisal is an educational adequacy appraisal following the format of the Council of Educational Facility Planners, International "Guide for School Facility Appraisal". An appraisal is optional; however, an appraisal document is useful to the department in evaluating the overall merits of the project request. There are up to 5 points possible for a complete facility appraisal.

Planning work includes the items listed under planning in Appendix A of this document. There are up to 10 points possible for completed planning work.

Schematic design work includes the items listed under schematic design in Appendix A of this document. There are up to 10 points possible for completed schematic design work.

Design development work includes items listed under design development in Appendix A of this document. There are up to 10 points possible for completed design development work.

The application needs to identify the district's A/E consultant for the Condition Survey, Planning, Schematic Design and Design Development work. If there is no consultant, the district must provide a detailed explanation of why a consultant is not required for the project.

COST ESTIMATES:

For all applications, including those for planning and design, cost estimates should be based on the district's most recent information and should address the project being requested. Refer to Appendix C for descriptions of elements of the total project cost. The cost estimate should be of sufficient detail that its reasonableness can be evaluated. If a project is projected to cost significantly more than would be predicted by the Department's Program Demand Cost Model (13th Edition), provide attachments justifying the higher cost. If there are special requirements, a detailed explanation and justification should be provided in the project description/scope of work.

In Table 1 all prior AS 14.11 funding for this project should be listed by category and totaled in Column I. If a grant has not been issued, but an appropriation has been made, use the appropriated amount plus participating share in lieu of the issued grant or bond amount. Column II should list the amount of funding being requested in this application, by category and in total. Column III should show a percentage breakdown for the total project allocated costs as a percentage of the total construction cost. Column IV should list the total project cost estimate from inception to completion, all phases. Calculate the percent of construction for all cost categories except Land, Site Investigation, and Seismic Hazard. To calculate the percent of construction divide the category costs by the Construction cost and multiply by 100%. Use Column IV costs to calculate the percent of construction. Other categories should be within the ranges listed. Construction Management (CM) by consultant must be less than 4% if the total project cost is less than or equal to \$500,000; 3% for project costs between \$500,000 - \$5,000,000; and 2% for projects of \$5,000,000 or greater [AS14.11.020(c)]. The percent for art, required for all renovation and construction projects with a cost greater than \$250,000, and which requires an Educational Specification, is given a separate line. Project Contingency is fixed at 5%. The total project cost should not exceed 130% of construction cost, excluding land and site investigation. If your project exceeds the recommended percentages, please add a detailed justification for each category that exceeds the specific sub-category guidelines as well as a detailed description of why the project requires more than 30% in additional percentage costs.

Seismic Hazard costs include the costs required to assess, design, and perform special construction inspections for a school facility. These costs include the costs for an assessment

of seismic hazard at the site by a geologist or geotechnical engineer with experience in seismic hazard evaluation, an initial rapid visual screening of seismic risk, investigation of the facility by a structural engineer, design of mitigation measures by a structural engineer, third party review of seismic mitigation measures, and special inspections required during construction of the seismic mitigation components of the project. The costs associated with this budget item must be prepared by a licensed professional engineer with experience in seismic design. The district should refer to the department's website to review information on Peak Ground Acceleration information for various areas of the state. The website location for the information is as follows:

<http://www.eed.state.ak.us/Facilities/FacilitiesCIP.html>

Table 2, which summarizes construction costs, is structured to be consistent with the EED cost model. Other estimating formats may not provide an exact correlation; however, the following categories **MUST** be reported to allow adequate comparisons between projects: basic building, site work and utilities, general requirements, contingency, and escalation. Do not blank out or write over this table. If the application includes a cost estimate from a designer or professional cost estimating firm, table two must still be filled out as described above.

Include an attachment with any additional information regarding project cost that may aid in evaluating the reasonableness of the cost estimate. Documents may include a life cycle cost analysis, cost benefit analysis, bid documents, actual cost estimates, final billing statement for completed projects, and any additional supporting documentation justifying projects costs.

Up to 30 points are possible for reasonableness and completeness of the cost estimate provided in support of the project.

- 5f.** The date provided here should be the anticipated date the facility will be occupied. This will be the starting point for looking at five-year post-occupancy population projections. If a project schedule is available it should be provided to substantiate the projected date.
- 31.** The attachments checklist is provided for your and the department's convenience to identify additional materials that are referenced in support of the project. Please check to see that your application is complete and indicate additional attachments the department should reference while evaluating the project.

6. FACTORS FOR RATING REQUIRED BY STATUTE OR REGULATION:

6a. Emergency conditions (Up to 50 points) In question 4a the project scope was described. Question 6a is to specifically identify and describe the type and extent of emergency conditions to be considered evaluated by the reviewers.

Supporting documentation of the conditions described is critical for the reviewer's use. The primary purpose of this documentation is to present objective, primary, specific, and verifiable data. Helpful information: photos, component histories (date of installation, etc.), repair records, manufacturers data and field observations by qualified experts on the subject are valuable. This is not an exclusive list and applicants are encouraged to provide other sources of quantitative information to support the claimed condition. Less helpful information: dramatic adjectives, photo details without context, and service claims without backup.

The reviewer does not consider all failing systems as critical emergencies. "Failure" of a system is viewed by reviewers as a component or an entire building becoming completely inoperative and requiring total replacement. If a component such as a roof is leaking but still structurally sound, that is not failure or impending failure. It might possibly be considered "potential emergency for a component system" and score in the 1-10 point range.

District efforts and strategy: the list below contains some items that will help reviewers understand the applicant's claim for emergency consideration:

1. A brief summary description of the emergency condition(s).
2. The specific threat this condition(s) pose to students and staff.
3. Does the emergency condition threaten people or areas beyond the site?
4. A history of the strategy the applicant has developed to deal with the condition, including steps that may have already been enacted.
5. Does all or part of the identified emergency qualify for insurance reimbursement or other public funding for emergencies?

The matrix below is used by reviewers as a guide for where to place projects relative to each other based on the described and verified condition:

A. Complete destruction/not suitable for occupancy

45-50 points: Completely destroyed educational structure to be replaced. (Note: other buildings such as administration, generators or storage score significantly lower than a building with instructional space. Un-utilized elements like decommissioned tanks, unused district buildings or site elements such as fences, walks or roadways score even lower as emergencies.)

6-40 points: Portion of an educational structure completely destroyed, and necessary to be replaced. Verification such as an insurance claim or public official documentation will be used by raters to determine the percentage of building destroyed, that percentage shall be multiplied by 50-60 points.

30-50 points: Building unsafe for occupancy: district has vacated the building. Project remediates and repairs back to occupiable condition. Example: sewer and water system failure that is not repairable. Factors considered: general condition of building aside from reason for vacation, component age and quality of care.

10-25 points: building unsafe for occupancy: district has been ordered by building officials (submit documentation) to vacate the building by a specific date.

B. System or Component failures:

Critical components: heating, power, sanitation, roof

35-50 points: critical component complete failure: full failure that requires complete component replacement rather than substantial repair. Example: sewer system has failed permanently and honey buckets are in permanent use.

20-35 points: failure is imminent, proven with documentation. Component has broken and has been repaired, but limited functionality and/or expected complete failure are imminent.

15-20 points: critical components: potential failure based on recent documented records.

Non-critical components: empty oil tanks, unoccupied bldgs., backup power systems, fire or sprinkler systems,

15-35 points: full, permanent failure

10-20 points: impending failure

1-10 points: potential failure

6b. Life safety conditions (Up to 50 pts) In question 4a the project scope was described. With information from question 15 reviewers will evaluate the threat to life safety inherent in the current facilities.

Supporting documentation of the conditions described is critical for the reviewer's use. The primary purpose of this documentation is present objective, primary, specific, and verifiable data. Helpful information: citations from building officials, specific excerpts from the codes being violated with the violation being documented, hazardous conditions reports with the conclusions that address the specific scope of work, medical or other records verifying the conditions. This is not an exclusive list and applicants are encouraged to provide other sources of quantitative information to support the claimed condition.

The matrix below is used by raters as a guide for where to place projects relative to each other based on the described and verified condition:

A. Life safety scoring based on level of threat

40-50 points: Aggressive: district has vacated building fully until threat is removed as a reasonably appropriate response based on national standards. Rater able to verify with necessary documentation.

- 30-40 points: Active: Airborne or non-lethal poison potential upon contact with materials that are exposed to children.
- 15-30 points: Passive: Inert materials to remain in place (example: mastics beneath floors to remain, threshold mastic, sink underside coating in good condition). Point range reflects consideration of quantity of inert materials found.
- 5-15 points: Potential: non-emergency, currently functioning system (examples: undersized electrical system, code deficiencies unrelated to actual threat to life safety).

6c. Housing unhoused students

6d. Priority assigned by the district. The district ranking of each project application must be a unique number approved by the district school board and must place each discrete project in priority sequence. The project having the highest priority should receive a ranking of one, and each additional project application of lower priority should be assigned a unique number in priority order. The department will accept only one project with a district ranking of priority one. The ranking of each application should be consistent with the board-approved six-year Capital Improvement Plan (CIP). Please refer to AS 14.11.013(b)(2). Both major maintenance projects and school construction projects should be combined into a single six-year plan. There are up to 30 points available for a district's #1 priority. Points drop off at increments of 3 for each corresponding drop in district priority ranking.

The district should provide a listing of projects anticipated for the full six years of the district's six-year plan, not just the first year of the plan.

6e. Inadequacies of the space. Describe the inadequacies of the existing space. Inadequacies can vary from quality of space to amount of space to the configuration of the space. The response should also address how the inadequacies impact the educational program and whether the educational program is a mandatory, existing local or new local program. The maximum number of points available for this question is 40. There are up to 40 points possible for description of mandated educational programs, up to 20 points are available for existing local educational programs, and up to 15 points are available for new local programs.

6g. Statutes require an evaluation of other facilities in the area that may serve as an alternative to accomplishing the project as submitted. Information regarding the availability of such facilities and the effort (i.e. cost, time, etc.) required to make the facility usable for the school needs represented by the project should be provided. The area is not restricted to the attendance area served by the project. There are up to 5 points available for an adequate description showing that the district has considered alternatives to the proposed project for housing unhoused students.

6h. This question requests information on the year the facility was constructed and size of each element of the facility to establish the weighted average age of facilities score. If a project's scope of work is limited to a portion of a building (i.e., the original or a specific addition), the age of *that building portion* will be used in the weighted average age of facilities point calculation. If the project's scope of work expands to multiple portions of a building, the

ages of *all building portions receiving work* will be used in the weighted average age of facilities point calculation. *Year built* refers to the year the original facility and any additions were completed or were first occupied for educational purposes. If a date of construction is not available, use an estimate indicated by an (*). *Gross square footage (GSF)* of each addition should be the amount of space added to the original facility. *Total size* should equal the total square footage of the existing facility. There are up to 30 points possible depending on the age of the building. Facility number, name, year built, and size are available online at:

- 6i. Other options. In an effort to support the project, as submitted, as the best possible solution to school facility needs, districts needs to consider a full range of options during planning and project development. Options should address the specific scope of the project and the delivery of the project (phasing of the work, in-house labor, etc.). For example, projects that propose construction of a new school should discuss other options such as renovation of the existing building or acquisition of alternative facilities and provide an explanation as to why these options were not selected. A project that proposes roof replacement should discuss the merits of different roofing materials, the addition of insulation, or even altering the roof slope and provide an explanation as to why these options were not selected. If the proposed project will add new or additional space, districts must consider service area boundary changes and any space available in adjacent attendance areas that are connected by road. In districts that contain adjacent attendance areas, at least one of the options considered must be an evaluation of potential boundary changes. Scoring in this area will be related to factors such as: the range of options, the rigor of comparison, the viability of options considered, and the quality of data supporting the analysis of the option. Options also need to consider the results of cost benefit analysis, life cycle cost analysis, and value analysis as necessary. There are up to 25 points available for a comprehensive discussion on the options considered by the district that would accomplish the same goals as the proposed project.
- 6j. Operational Cost vs. Project Cost: Information (and evaluation points) related to operational costs is not limited to Category E projects. The project cost and its impact on operational costs is an important consideration for any project. The project description should include a discussion of ways in which the completion of the project would reduce current operational costs. Considerations could cover energy costs, costs related to wear-and-tear, maintenance of existing facilities costs, and costs incurred by current functional inadequacies at the facility and attendance area level. For new facilities, consideration should be given to design choices that will provide periodic and long-term savings in the operation and maintenance of the facility.

Although the addition of square footage is certain to increase overall operational costs, project descriptions for this category of project should include information on methods and strategies used to minimize operational costs over the life of the building. This can include cost benefit analyses that were accomplished on building systems and materials, etc. There are up to 30 points possible for a full and complete description of the costs of the project including life-cycle costs and cost benefit analysis.

- 6k. Prior state funding refers to **grant funds appropriated by the legislature to the department and administered under AS 14.11 as partial funding for this project only.** Any amounts noted here should also be included in Table 1 of the Cost Estimate, Question

#18. No other fund sources apply, including debt retirement. There are up to 30 points available if a project includes previous grant funding under AS 14.11, and the project was intentionally short funded by the legislature.

7. FACTORS FOR RATING AT THE DEPARTMENT'S DISCRETION:

7a. Preventative maintenance program effectiveness

AS 14.11.011(b)(1) and 4 AAC 31.011(b)(2) require each school district to include with this application a description of its preventive maintenance program, as defined by AS 14.11.011(b)(4), AS 14.14.090(10), and 4 AAC 31.013. Refer to Appendix D for details. The scoring criteria for this area now reflect efforts beyond just preventive maintenance. For each element of a qualifying plan outlined in 4 AAC 31.013, documents, including reports, narratives and schedules have been identified for nine separate assessments. These documents will establish the extent to which districts have moved beyond the minimum eligibility criteria and have tools in place for the active management of all aspects of their facility management. The documents necessary for each assessment are listed below. They are grouped according to the five areas of effort established in statute and are annotated as to the type of evaluation (i.e., evaluative or formula-driven). A district should provide any or all of the documents they have available. Refer to the Rater's Guide for additional information on scoring. There are up to 55 points possible for a clear and complete reporting of the district's maintenance program.

Energy Management

Assessment #5 – Energy Management Narrative (Evaluative) [up to 5 points available]: Provide a narrative description of the district's energy management program and energy reduction plan.

Address how the district is engaged in reducing energy consumption in its facilities. Energy *management* should address energy utilization with the goal of reducing consumption. This objective can be achieved through a number of methods: some related to the building's systems, some related to the way the facilities are being used. The results of the energy management program should also be discussed.

Maintenance Training

Assessment #7 – Maintenance Training Narrative (Evaluative) [up to 5 points available]: Provide a narrative description of the district's training program including but not limited to: identification of training needs, training methods, and numbers of staff receiving building-system-specific training in the past 12 months. In addition to the narrative description, provide a copy of the district's training log for the past year. The training log should include name of the person trained, the training received, and the date training was received.

Training may include on-the-job training of junior personnel by qualified technicians on staff. For systems or components that are scheduled for replacement, or have been replaced as part of a capital project, manufacturer or vendor training could be made available to the maintenance staff to attain these goals and objectives. In-service training as well as on-line

training could be provided for the entire staff. Safety and equipment specific videos are also an inexpensive training resource.

Capital Planning (Renewal & Replacement)

Assessment #8 – Capital Planning Narrative (Evaluative) [up to 5 points available]:

Provide a narrative giving evidence the district has a process for developing a long-range plan for capital renewal.

Discuss the district's process for identifying capital renewal needs. Renewal and replacement schedules can form the basis for this work, but building user input should also be considered. It is important to move the capital planning process from general data on renewal schedules to actual assessments of conditions on site. This helps to validate the process and allows the district to create capital projects that reflect actual needs. A final step would be to review the systems needing replacement and to organize the work into logical projects (e.g., if a fire alarm and roof are confirmed to be in need of renewal, they may need to be placed in separate projects versus renewal of a fire alarm and lighting which could be effectively grouped in a single project).

7b. Fundamental project planning

7c. Quality of budget development (Cost Estimate)

Alaska Department of Education & Early Development
APPENDIX A: STATUTORY & REGULATORY REFERENCES
 _____ by the Bond Reimbursement & Grant Review Committee
 Draft presented August 1, 2013

The list below identifies parts of the application and the corresponding statute (AS) and/or regulation (4 AAC) that is the basis for the component's inclusion in the application. Components also may be referred to in other statutes and regulations.

Component in application	Per statute AS:	Per regulation 4 AAC:
Certification of application by school official	14.11.011(a)	
Type of funding distinguished	14.11.005 and 14.11.007	
Primary purpose of funding stated to determine eligibility	14.11.013(a)(1)(A-G)	
Six-year plan submitted to the department	14.11.011(b)(1)	31.022(c)(1)
Fixed asset inventory system in place	14.11.011(b)(1)	
Distinguish that this is not a maintenance project	14.11.011(b)(3)	
Property loss insurance in place	14.11.011(b)(2)	
Preventative maintenance program in place	14.11.011(b)(4)	
DEED has the authority to reject or modify applications	14.11.013(c)(A-C)	
District requirement to provide sufficient space for students	14.11.013(b)	31.020(c)(2)
Guidelines used to calculate what is sufficient space	14.11.011	31.020(c)
Expectations regarding already completed projects seeking reimbursement of funds		31.023(c)(2) 31.080
Land purchase for school considered part of school construction	14.11.135(3)	
Project planning: information required for grant funding, but not for grant application	14.11.017	
Rating factor: emergency conditions	14.11.013(b)(1)	
Rating factor: life safety conditions	14.11.013(b)(1)	
Rating factor: housing unhoused students (additional space)		31.022(c)(2),(9)
Rating factor: priority of project given by the district	14.11.013(b)(2)	31.022(c)(1)
Rating factor: new local educational programs	14.11.013(b)(3)	31.022(c)(4)
Rating factor: condition of school facilities	14.11.013(b)(4)	31.022(c)(5)
Rating factor: condition of regional facilities	14.11.013(b)(4)	31.022(c)(5)
Rating factor: funds expended by district for maintenance	14.11.013(b)(5)	
Rating factor: other options to address the problem	14.11.013(b)(6)	31.022(c)(6)
Rating factor: operating cost savings over the long term		31.022(c)(3)
Rating factor: previous funding for project (intentionally phased)		31.022(c)(7)

Alaska Department of Education & Early Development
APPENDIX B: CRITERIA REQUIRED TO QUALIFY FOR A GRANT
_____ by the Bond Reimbursement & Grant Review Committee
Draft presented August 1, 2013

From AS 14.11.013(a)(1) - The department shall verify that each proposed project meets the criteria established under AS 14.11.014(b) and qualifies as a project required to:^{1,2}

- A. “Avert imminent danger or correct life threatening situations.” This category is generally referred to as, “Health and Life Safety.” A project classified under “A” must be documented as having unsafe conditions that threaten the physical welfare of the occupants. Examples might be that seismic design of structure is inadequate; required fire alarm and/or suppressant systems are non-existent or inoperative; or the structure and materials are deteriorated or damaged seriously to the extent that they pose a health/life-safety risk. The district must document what actions it has taken to temporarily mitigate a life-threatening situation.
- B. “House students who would otherwise be unhoused.” This category is referred to as “Unhoused Students.” A project to be classified under “B” must have inadequate space to carry out the educational program required for the present and projected student population. Documentation should be based on the current Department of Education & Early Development Space Guidelines. (Refer to 4 AAC 31.020.) This category corresponds to Category A under AS 14.11.100(j), which is used for review of debt reimbursement projects.
- C. “Protection of the structure of existing school facilities.” This category is intended to include projects that will protect the structure, enclosure, foundations and systems of a facility from deterioration and ensure continued use as an educational facility. Work on individual facility systems may be combined into one project. However, the work on each system must be able to be independently justified and exceed \$25,000. The category is for major projects that are not a result of inadequate preventive, routine and/or custodial maintenance. An example could be a twenty year old roof that has been routinely patched and flood coated, but is presently cracking and leaking in numerous locations. A seven year old roof that has numerous leaks would normally only require preventive maintenance and would not qualify. In addition, no new space for unhoused students is permitted in this category, limiting its ability to be combined with other project types.
- D. “Correct building code deficiencies that require major repair or rehabilitation in order for the facility to continue to be used for the educational program.” This category, Building Code Deficiencies, was previously referred to as “Code Upgrade.” The key words are “major repair.” A “D” project corrects major building, fire, mechanical, electrical, environmental, disability (ADA) and other conditions required by codes. Work on individual facility systems may be combined into one project. However, the work on each system must be able to be independently justified and exceed \$25,000. An example could be making all corridors one hour rated. Making one or two toilet stalls accessible would not fit this category. In

¹ Projects can combine work in the different categories with the majority of work establishing the project’s type. For the purpose of review and evaluation, projects that include significant work elements from categories other than the project’s primary category will be evaluated as **mixed scope** projects [4 AAC 31.022(c)(8)].

² Projects will be considered for replacement-in-lieu-of-renewal when project costs exceed 75% of the current replacement cost of the existing facility, based on a twenty year life cycle cost analysis that includes disposition costs of the existing facility.

addition, no new space for unhoused students is permitted in this category, limiting its ability to be combined with other project types. This category corresponds to Category B under AS 14.11.100(j), which is used for review of debt reimbursement projects.

- E. “Achieve an operating cost saving.” This category is intended to improve the efficiency of a facility and, therefore, save money. Examples that might qualify are increasing insulation, improving doors and windows, and modifying boilers and heat exchange units for more energy efficiency. The project application must include an economic analysis comparing the project cost to the operating cost savings generated by the project. In addition, no new space for unhoused students is permitted in this category, limiting its ability to be combined with other project types. This category corresponds to Category C under AS 14.11.100(j), which is used for review of debt reimbursement projects.

- F. “Modify or rehabilitate facilities for purpose of improving the instructional unit.” Category “F”, Improve Instructional Program, was previously referred to as “Functional Upgrade.” This category is limited to changes or improvements within an existing facility, such as modifications for science programs, computer installation, conversion of space for special education classes, or increase of resource areas. It also covers improvements to outdoor education and site improvements to support the educational program. This category corresponds to Category D under AS 14.11.100(j), which is used for review of debt reimbursement projects.

- G. “Meet an educational need not specified in (A)-(F) of this paragraph, identified by the department.” Any situation not covered by (A)-(F) and mandated by the Department of Education and Early Development. (Currently, there are no such mandates.)

Alaska Department of Education & Early Development
APPENDIX C: TYPE OF SPACE ADDED OR IMPROVED
Adopted by the Bond Reimbursement & Grant Review Committee
April 18, 1997

Category A - Instructional or Resource

Kindergarten
Elementary
General Use Classrooms
Secondary
Library/Media Center
Special Education
Bi-Cultural/Bilingual
Art
Science
Music/Drama
Journalism
Computer Lab/Technology Resource
Business Education
Home Economics
Gifted/Talented
Wood Shop
General Shop
Small Machine Repair Shop
Darkroom
Gym

Category B - Support Teaching

Counseling/Testing
Teacher Workroom
Teacher Offices
Educational Resource Storage
Time-out Room
Parent Resource Room

Category C - General Support

Student Commons/Lunch Room
Auditorium
Pool
Weight Room
Multipurpose Room
Boys Locker Room
Girls Locker Room
Administration
Nurse
Conference Rooms
Community Schools/PTA Administration
Kitchen/Food Service
Student Store

Category D - Supplementary

Corridors/Vestibules/Entryways
Stairs/Elevators
Mechanical/Electrical
Passageways/Chaseways
Supply Storage & Receiving Areas
Restrooms/Toilets
Custodial
Other Special Remote Location Factors
Other Building Support

Alaska Department of Education & Early Development
APPENDIX D: CAPITAL IMPROVEMENT PROJECT PHASES
_____ by the Bond Reimbursement & Grant Review Committee
Draft presented August 1, 2013

The application form emphasizes the value of planning materials that can be verified to substantiate the decisions made in developing design solutions. Below is a basic scope of effort for each phase. Items marked **R** are mandatory (where project type dictates) in order for projects to receive planning, schematic design, and/or design development points. Required documents must be or must have been submitted and received by the department by September 1st.

CONDITION SURVEY (10 points possible)

1. For substantially or completely whole building renovations or additions: a condition survey of the entire building and site items related to building condition - **R**
2. For component replacements or renovations: a condition survey of the components being affected, which includes other components upon which the project work depends. Examples: 1) a new roof project should confirm that the foundation and structural system of the building are in a condition that warrants expenditure for the roof work, 2) an HVAC controls change would evaluate the condition of the heat source, distribution, ventilation, and other portions of the “heating component” to establish the appropriateness of the decision to change out this portion of the system - **R**

PLANNING (10 points possible)

1. Select architectural or engineering consultants (if needed) (4 AAC 31.065)
2. Identify need category of project - **R**
3. Verify student populations and trends - **R**
4. Complete education specifications (4 AAC 31.010) - **R** for new educational space
5. Identify site requirements and potential sites - **R** for acquisition of new land
6. Perform site evaluation and site selection analysis (4 AAC 31.025) - **R** for acquisition of new land
7. Complete concept design studies and planning cost estimate - **R**
8. Prepare plan for transition from old site to new site, if applicable - **R** for demo or surplus
9. Obtain letter of commitment from the landowner allowing for purchase or lease of site - **R**

SCHEMATIC DESIGN (5 points possible)

1. Site survey and preliminary site investigation (topography, geotechnical) - **R**
2. Obtain option to purchase or lease site at an agreed upon price and terms - **R** for new site
3. Complete schematic design documents including dimensioned site plans, floor plans, elevations, and engineering narratives for all necessary disciplines - **R**
4. Complete preliminary cost estimate appropriate to the phase - **R**

DESIGN DEVELOPMENT (5 points possible)

1. Complete suggested elements of planning/design not finished in the previous phases - **R**
2. Complete design development documents - **R**
3. Prepare proposed schedule and method of construction - **R**
4. Prepare revised cost estimate appropriate to the phase - **R**

Alaska Department of Education & Early Development
APPENDIX D: CAPITAL IMPROVEMENT PROJECT PHASES
_____ by the Bond Reimbursement & Grant Review Committee
Draft presented August 1, 2013

PHASE III - CONSTRUCTION

1. Complete final contract documents (4 AAC 31.040) - **R**
2. Advertising, bidding, and contract award (4 AAC 31.080) - **R**
3. Submit signed construction contract - **R**
4. Construct project
5. Procure furniture, fixtures, and equipment, if applicable
6. Substantial completion request and list of work to final completion
7. Final completion acceptance and move-in by owner/district - **R**
8. Post-occupancy survey
9. Obtain project audit/close out -

Alaska Department of Education & Early Development

APPENDIX E: PROJECT COST ESTIMATE

by the Bond Reimbursement & Grant Review Committee

April 20, 2012

Construction Management (CM) by Consultant (private contractor) costs may include oversight of any phase of the project by a private contractor. Construction management includes management of the project's scope, schedule, quality, and budget during any phase of the planning, design and construction of the facility. The maximum for construction management by consultant is 4% of the total project cost as defined in statute [AS 14.11.020(c)].

Land is a variable unrelated to construction cost and should include actual purchase price plus title insurance, fees and closing costs. Land cost is limited to the lesser of the appraised value of the land or the actual purchase price of the land. Land costs are excluded from project percent calculations.

Site Investigation is also a variable unrelated to construction cost and should include land survey, preliminary soil testing, environmental and cultural survey costs, but not site preparation. Site investigation costs are excluded from project percent calculations.

Design Services should include full standard architectural and engineering (A/E) services as described in AIA Document B141-1997. Architectural and engineering fees can be budgeted based upon a percentage of construction costs. Because construction costs vary by region and size, so may the percentage fee to accomplish the same effort. Additional design services such as educational specifications, condition surveys, and post-occupancy evaluations may increase fees beyond the recommended percentages.

Recommended: 6-10% (Renovation might run 2% higher)

Construction includes all contract work as well as force account for facility construction, site preparation and utilities. This is the base cost upon which others are estimated and equals 100%.

Equipment/Technology includes all moveable furnishing, instructional devices or aids, and electronic and mechanical equipment with associated software and peripherals (consultant services necessary to make equipment operational may also be included). It does not include installed equipment or consumable supplies, with the exception of the initial purchase of library books. Items purchased should meet the district definition of a fixed asset and be accounted for in an inventory control system. The Equipment/Technology budget has two benchmarks for standard funding: percentage of construction costs and per-student costs as discussed in DEED's *Guideline for School Equipment Purchases*. If special technology plans call for higher levels of funding, itemized costs should be presented in the project budget separate from standard equipment.

Recommended: 0-10% of construction cost or between \$1700 - \$3050 per student depending on school size and type.

District Administrative Overhead includes an allocable share of district overhead costs, such as payroll, accounts payable, procurement services, and preparation of the six-year capital improvement plan and specific project applications. In-house construction management should be included as part of this line item. The total of in-house construction management costs and Construction Management by Consultant should not exceed 5% of the construction budget.

Recommended: 2-9%

Percent for Art includes the statutory allowance for art in public places. This may fund selection, design/fabrication, and installation of works of art. One percent of the construction budget is required except for rural projects, which require only one-half of one percent. For this category projects are rural if they are in communities under 3000 or are not on a year-round, publicly-maintained road system and have a construction cost differential greater than 120% of Anchorage, as determined in the Cost Model for Alaskan Schools. The department recommends budgeting for art.

Project Contingency is a safety factor to allow for unforeseen changes. Standard cost estimating by A/E or professional estimators use a built-in contingency in the construction cost of $\pm 10\%$. Because that figure is included in the construction cost, this item is a project contingency for project changes and unanticipated costs in other budget areas.

Recommended: 5% Fixed

Total Project Request is the total project cost, as a percent of the construction cost, and, except in extreme case, should average out close to the same for all projects when the variables of land cost and site investigation are omitted. This item is the best overall gauge of the efficiency of the project.

Recommended: Not to exceed 130%

Alaska Department of Education & Early Development
APPENDIX F: DEFINITIONS OF MAINTENANCE
Adopted by the Bond Reimbursement & Grant Review Committee
April 23, 1999

Component

A part of a system in the school facility.

Component Repair or Replacement

The unscheduled repair or replacement of faulty components, materials, or products caused by factors beyond the control of maintenance personnel.

Custodial Care

The day-to-day and periodic cleaning, painting, and replacement of disposable supplies to maintain the facility in safe, clean, and orderly condition.

Deferred Maintenance

Custodial care, routine maintenance, or preventive maintenance that is postponed for lack of funds, resources, or other reasons.

Major Maintenance

Facility renewal that requires major repair or rehabilitation to protect the structure and correct building code deficiencies, and shall exceed \$25,000 per project, per site. It must be demonstrated, using evidence acceptable to the department, that (1) the district has adhered to its regular preventive, routine, and/or custodial maintenance schedule for the identified project request, and (2) preventive maintenance is no longer cost effective.

Preventive Maintenance

The regularly scheduled activities that carry out the diagnostic and corrective actions necessary to prevent premature failure or maximize or extend the useful life of a facility and/or its components. It involves a planned and implemented program of inspection, servicing, testing, and replacement of systems and components that is cost effective on a life-cycle basis. Programs shall contain the elements defined in AS 14.11.011(b)(4) and 4 AAC 31.013 to be eligible for funding.

Renewal or Replacement

A scheduled and anticipated systematic upgrading or replacement of a facility system or component to establish its ability to function for a new life cycle.

System(s)

An assembly of components created to perform specific functions in a school facility, such as a roof system, mechanical system, or electrical system.

Alaska Department of Education & Early Development
**APPENDIX G: INFORMATION REGARDING PARTICIPATING SHARE & IN-KIND
CONTRIBUTIONS OR REQUEST FOR FULL WAIVER**
Adopted by the Bond Reimbursement & Grant Review Committee
April 23, 1999

Current law - AS 14.11.008(d) - requires that a district provide a participating share for all school construction and major maintenance projects funded under AS 14.11. The department administers all funds for capital projects appropriated to it under the guidelines of AS 14.11 and 4 AAC 31. The following points should be considered by those districts requesting a waiver of the local participating share

1. A district has three years before and after the appropriation to fulfill the participating share requirement.

A review of the annual financial audits and school district budgets indicate that no district is in a financial condition which warrants a full waiver. Local dollars are available to fund all or a portion of the match during the six years. Districts continue to generate and budget for, local interest earnings, facility rental fees and other forms of discretionary revenue adequate to fund some or all of the required local match. If properly documented and not already funded by AS 14.11, prior expenditures for planning, design, and other eligible costs may be sufficient to meet the match requirement.

2. Both the administration and the Legislature have strong feelings that local communities should at least be partially engaged in the funding of projects.

In recognition of the inability of some communities to levy a tax or raise large amounts of cash from other sources, the legislation provides an opportunity for in-kind contributions, in-lieu of cash. All districts need to make a directed effort to provide the local match, utilize fund balances and other discretionary revenue, consider sources of in-kind contributions, document that effort and then request a full or partial waiver-as necessary.

3. All waiver requests require sufficient documentation.

Requests should be accompanied by strong, compelling evidence as to overall financial condition of the school district and in the case of a city/borough school district, the financial condition of the city/borough as well. The attachments should include, at a minimum, cash account reconciliations, balance sheets, cash investment maturity schedules, revenue projection, cash flow analysis and projected use of all fund balances and documentation in support of attempts to meet the local match. Historical expenditures do not provide sufficient evidence of future resource allocations. Consideration should be given to new and replacement equipment purchases, travel and other expenditures that support classroom activity, but may be delayed until the local match is funded. Each district has an opportunity to help itself and provide a safe, efficient school facility through shared responsibility.

4. Districts may request consideration of in-kind contributions of labor, materials or equipment.

Under regulation 4 AAC 31.023 (d) in-kind contributions are allowed. This also affords an opportunity for community participation through contributions to the art requirements for new buildings or other means. This option should be fully explored, as well as the documentation mentioned above, prior to requesting a waiver of all or part of the participating share.

Excerpt from: Guidelines for Reviewers of the CIP Applications

Emergency (Application question 14 (6a); Points possible: 50)

Complete destruction/not suitable for occupancy

45-50 points: Completely destroyed educational structure to be replaced. (Note: other buildings such as administration, generators or storage score significantly lower than a building with instructional space. Un-utilized elements like decommissioned tanks, unused district buildings or site elements such as fences, walks or roadways score even lower as emergencies.)

6-40 points: Portion of an educational structure completely destroyed, and necessary to be replaced. Verification such as an insurance claim or public official documentation will be used by raters to determine the percentage of building destroyed, that percentage shall be multiplied by 50-60 points.

30-50 points: Building unsafe for occupancy: district has vacated the building. Project remediates and repairs back to occupiable condition. Example: sewer and water system failure that is not repairable. Factors considered: general condition of building aside from reason for vacation, component age and quality of care.

10-25 points: building unsafe for occupancy: district has been ordered by building officials (submit documentation) to vacate the building by a specific date.

System or Component failures:

Critical components: heating, power, sanitation, roof

35-50 points: critical component complete failure: full failure that requires complete component replacement rather than substantial repair. Example: sewer system has failed permanently and honey buckets are in permanent use.

20-35 points: failure is imminent, proven with documentation. Component has broken and has been repaired, but limited functionality and/or expected complete failure are imminent.

15-20 points: critical components: potential failure based on recent documented records.

Non-critical components: empty oil tanks, unoccupied bldgs., backup power systems, fire or sprinkler systems,

15-35 points: full, permanent failure

10-20 points: impending failure

1-10 points: potential failure

Currently as written in Rater's Guide for Emergency:

- If the district doesn't declare the project an emergency: NO points!
- Consider the 'level of threat' to both people and property in assessing the emergency.
- Consider how well points noted in instructions are addressed.
- Consider the 'immediacy' of the emergency (how time critical is it?).
- Consider the "nature" of the emergency.
- Consider information provided in all portions of the application in assessing the emergency.
- Scoring should be weighted in the case of mixed-scope projects (i.e., does the project address emergency and non-emergency conditions?)

Life Safety and Code Conditions: Questions 14 & 17 (6b); Points possible: 50)

40-50 points: Aggressive threat: district has vacated building fully until threat is removed as a reasonably appropriate response based on national standards. Rater able to verify with necessary documentation.

30-40 points: Active threat: Airborne or non-lethal poison potential upon contact with materials that are exposed to children.

15-30 points: Passive threat: Inert materials to remain in place. (Example: mastics beneath floors to remain, threshold mastic, sink underside coating in good condition.) Point range reflects consideration of quantity of inert materials found.

1-15 points: Potential threat: non-emergency, currently functioning system. (Examples: undersized electrical system, code deficiencies unrelated to actual threat to life safety.)

Major code violation and penalty: violation requires vacation of facility until resolved.

Major code violation without penalty: facility allowed to function, but violation causes (degrees of) limitation for students' instructional programming. Explain limitation on student use caused by code violation.

Lesser code violation without penalty: facility allowed to function but violation causes (degrees of) limitation for students instructional programming. Explain limitation on student use caused by code violation.

Currently as written in the Rater's Guide for Life Safety:

- Consider the documentation provided: how specific?, source/author?, reasonable categories?
- Consider information provided on type and nature of code violations. How specific?
- Mandatory or optional? Especially consider this in light of code condition comparisons between standards for new buildings and the requirements for older buildings.
- Does the project provide relief from life safety & code conditions for facilities affected by the project?
- Seriousness of emergency conditions?
- Seriousness of code conditions?
- Scoring should be weighted in the case of mixed scope projects.
- Life safety description should provide relationship to definitions provided in Appendix B.

Mixed Scope projects: pro-rating points

- Establish which components of the project are considered “emergency” using info in questions 4f and 6a to establish this. If insufficient data is provided, reviewer can make a determination based on the facts provided. In cases where it is not clearly and accountably established in the application, reviewers will prepare their determination and receive a second opinion from the designated lead reviewer.
- Using this determination (ex: the emergency component is 25% of the overall project scope), to independently evaluate the emergency or life safety component as if it was a single project (example a 25pt score).
- Multiply the single project scoring by the percentage (example: $25 \times .25 = 6.25$ pts for emergency or life safety issue).
- In a multi-scope project, a separate score can be had for emergency AND life safety issues, but not for the same scope of work. For example, a project with a serious structural failure and a non-functioning ADA ramp. The reviewer would rate the structure for emergency and the ramp for life safety, and prorate the scores based on what percentage of the overall work they represent .