



**DRAFT 3: Instructions for completing the  
Application for Funding  
for a  
Capital Improvement Project**

**FY2017**

*Use these instructions with Alaska Department of Education & Early Development ~~These instructions support~~ AKEED Form #05-13-050XXX, 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:**

**Answer all questions:** ~~Unless otherwise indicated, e~~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 considered ineligible and returned unranked.** If a question is not applicable, please note as NA. The department has the authority to reject applications due to incomplete information or documentation provided by the district.

**Project name to be accurate and consistent:** 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). The project name should begin with the name of the school and type of school (ex: K-12). Multi-school projects should list the schools that are part of the scope unless the work is districtwide at most or all school sites in the district. ~~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).~~

**Limited to ten applications:** ~~(Note:~~ The department will only score up to ten individual project applications from each district during a single rating period. A district can submit a letter to request reuse of prior year application scores.)

**The department may adjust parts of the application:** 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<sup>st</sup> deadline.

**CERTIFICATION:**

**32.—Authorizing signature:** ~~The Please be sure the~~ application ~~is~~ must be signed by the appropriate official. Unsigned applications cannot be accepted for ranking.

**Application packages should be submitted to:**

# Alaska Department of Education & Early Development

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  
(907) 465-6906

## ~~TYPE OF PROJECT AND FUNDING REQUEST~~

### 1. CATEGORY OF FUNDING AND PROJECT TYPE:

**1a. Type of funding requested.** Check **one** box to indicate which type of state aid is being requested.

**Grant Funding:** applications are submitted to the department by September 1<sup>st</sup> of each year, or on a date at the beginning of September designated by the department in the event that the 1<sup>st</sup> falls on a weekend or holiday.

**Aid for Debt fundingRetirement:** 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.

**2a1b. Primary purpose.** 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.<sup>1</sup>

~~**1c. Phases of project.**~~ Check the applicable phase(s) covered by this funding request. Refer to Appendix A for descriptions of phases.

## ~~BASIC ELIGIBILITY REQUIREMENTS~~

### 2. ELIGIBILITY REQUIREMENTS TO SUBMIT AN APPLICATION:

**32a. District six-year plan.** Attach a current six-year Capital Improvement Plan (CIP) for the district. Use AKEED Form 05-13-050. The project requested in the application must

<sup>1</sup> 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)

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appear on the district's six-year plan in order to be considered for either grant funding or debt reimbursement.

**42b. Fixed asset inventory system.** 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.

**52c. Property insurance.** 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.

**6a2d. Capital improvement project.** 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.

~~**6b.** An application must include adequate documentation to verify the claims made in the application. The department may reject an application that does not have complete information or adequate documentation. See AS 14.11.013(c)(3)(A) and 4 AAC 31.022(d)(1).~~

**2e. Preventative maintenance program.** A district must have a certified preventative maintenance program to be eligible for funding.

**2f. Insurance.** 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 8a.]

~~**112g. Project eligibility attachments.**~~

This section is in progress.

**PROJECT DESCRIPTION/SCOPE OF WORK**

**43. PROJECT INFORMATION:**

**123a. Priority assigned by the district. (30 points possible)** 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.

**9.3b. School facilities and their condition. (30 points possible)** 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:

<http://www.eed.state.ak.us/Facilities/SchoolFacilityReport/SearchforSchoolFac.cfm>

**83c. Transition planning.** The response to this question should be consistent with the space utilization table in question ~~25~~**5h**. 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 ~~surplused~~**demolished** or ~~demolished~~**surplused**, the project must provide for the abatement of all hazardous materials as part of the project scope. The transition plan should describe how surplus state-owned or state-leased facilities will be secured and maintained during transition. The detailed plan for demolishing or surplus of state-owned or -leased properties should incorporate a draft of the department's Form 05-96-007, Excess Building. For the CIP process, furnish building data and general information; signatures and board resolutions may be excluded.

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**17e3d. Describe the scope of work of the entire project.** The project description/scope of work should include (1) a detailed description of the project, (2) documentation of the conditions justifying the project, (3) a description of the scope of the project and what the project will accomplish, and (4) information or detail related to the project's cost. If the construction of a new school is proposed, describe any code issues at existing facilities in the attendance area that will be relieved by the project. The scope should also contain sufficient quantifiable analysis to show the project is in the best interest of both the district and the state. ~~The project description/scope of work is a good place to include responses to questions 6, 8, 13, 15, and 16, where applicable.~~ It is helpful to identify the question number if you are answering one of the previously mentioned questions in the project description. ~~There are up to 50 points possible for descriptions identifying the severity of life safety issues addressed by the project.~~

In addition to the description of the project, provide an estimated project timeline that includes, at a minimum, the estimated date for receipt of funding, estimated construction start date, and estimated construction completion date.

Question ~~#6~~**2e**: Statute requires the district to provide sufficient evidence that the project is not preventive maintenance, routine maintenance, or custodial care. Refer to Appendix D of these instructions for information regarding the definitions of maintenance terms related to this question.

Question ~~#8~~**3g**: When a new, renovation, new-in-lieu-of-renewal, or Category E project is proposed, the project description shall include a **detailed cost/benefit analysis and a life cycle cost analysis**. These documents shall provide data documenting conditions that justify the project [AS 14.11.011(b)(1)]. If these documents are attached, they can be referenced summarized and rather than reproduced in the project description.

Question 3c: The detailed plan for demolishing or surplusizing state-owned or leased properties should incorporate a draft of the department's Form 05-96-007, Excess Building. For the CIP process, furnish building data and general information; signatures and board resolutions may be excluded.

Question ~~\_\_~~**#13**: If the project impacts multiple facilities, the project description shall identify the facilities impacted and describe how each will be impacted. This applies to district wide projects as well as projects adding space. For projects adding space, use this question ~~#21~~ to summarize gross square footage and student capacity of the impacted facilities.

Question 5c: 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 in question 4a 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

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- 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.*

Question #153g: Site description should include location, size, availability, cost and other pertinent information as appropriate. If a site selection and evaluation report is attached, the information can be referenced with a brief summary rather than being reproduced in this section.

Question #166a-6d: If a facility condition survey, facility appraisal, schematic design, or design development documents are attached, they can be summarized and referenced rather than reproduced in the description of project need, justification, and scope.

Question 7a. Cost Estimate Support: The project description shall include sufficient information to support meaningful evaluation of the project cost and the reasonableness of the cost estimate. Though basic cost information is to be incorporated into Tables 7.1 and 7.2 of question 187a, many cost elements reported in standard estimates will require further explanation or support. This is especially true for lump-sum elements used in the department's cost model in sitework and utilities. The project description and cost estimate should be increasingly detailed as project phase's advance.

The description of project scope should include information that will allow the department to evaluate the criteria specified in AS 14.11.013. Please refer to Appendix    for guidelines covering project cost estimate percentages for factored cost items.

## ATTACHMENTS

**313e.** Project description attachments. 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.

**-e3f.** Complete or partially completed project. 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 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

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with alternative procurement methods, and does not have prior approval from the department, the project will not be scored.

- 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.~~ 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.

**153g. Acquisition of additional land.** *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).

## 4. CODE DEFICIENCIES / PROTECTION OF STURCTURE / LIFE SAFETY

**4a. Life safety /code conditions (Up to 50 points)** In question 3d the project scope was described.

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:

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## Combined life safety and code related scoring

35-50 points: Life safety or code condition(s) that have resulted in the district vacating the building until the life safety or code condition(s) are corrected. The district will not be able to use the building until the life safety or code condition is mitigated. The district discovers aggressive and extensive mold in the facility and air quality tests show that the air has a dangerously high level of mold spores and the building is ordered vacated.

20-35 points: Life safety or code conditions that pose a threat to the facility occupants but have been temporarily mitigated. Example: Facility has a failed fire alarm system and the district has instituted a fire watch until the alarm is replaced.

0-20 points: Life safety or code conditions that require updating but do not pose a threat to the student population. The life safety or code condition will need to be corrected if renovation work is done. Example: A portion of the 20 year old facility will be renovated and the district is required to bring the facility up to the current life safety and code standards.

When evaluating multiple life safety and code conditions, between 5-10 points are generally awarded for each life safety and code conditions such as asbestos/hazmat, roof, heating, ventilation, electrical, plumbing, security, fire/sprinkler, etc. that are addressed in the project. (The list of life safety and code conditions does not represent an exhaustive list but a sample of conditions that are evaluated.) The points that are awarded for projects that have multiple life safety and code conditions are cumulative.

The evaluation of mixed scope projects that have life safety and code work and non-life safety and code work will weigh the amount of life safety and code related work as related to the entire scope of the project. Also, projects such as district wide projects that mix critical and non-critical life safety or code conditions the points for the critical portion of the project will be weighed against the entire scope of the project.

Single scope projects addressing a life safety or code condition receive double life safety or code points to a maximum of 20 points, unless the severity of the life safety or code condition has caused the facility to be vacated or poses a significant threat to the students or facility.

## ~~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).~~

## Building code related

~~40-50 points: Major code violation and penalty: violation requires vacation of facility until resolved.~~

~~30-40 points: 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.~~

~~15-30 points: 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.~~

~~5-15 points: Lesser code violation caused by recent codes superseding those in place at time of installation of non-complying component (examples: stair dimensions, air exchange requirements, conductor sizing, energy standards).~~

## ATTENDANCE AREA AND AVERAGE DAILY MEMBERSHIP (ADM)

### 35. 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. [The department will not consider space variance requests during the application review process for work proposed in the application.](#)

**195a. Project grade levels.** The response to this question should reflect the grade levels that will be served by the facility at the completion of the project.

**205b. District voter-approved projects.** Any additional square footage that is funded for construction or approved by local voters for construction should be [listed with a described descriptive project name, showing student capacity](#), additional GSF, ~~and~~ grade levels to be served, [and anticipated student capacity](#). Include these projects in any capacity/unhoused calculations provided in the year of anticipated occupancy.

**215c. Other school facilities.** 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,

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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 [GSF Capacity MS Excel Worksheet](#) to calculate the total student capacity for each school. [A link to this form can be found under "Space Guidelines" at <http://education.alaska.gov/facilities/FacilitiesCIP.html>](#) 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>

**225d. Date of anticipated occupancy.** 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.

**235e. Attendance Area ADM.** All projects that are adding new space or replacing existing space must complete Table [35.1. ATTENDANCE AREA ADM.](#) ~~There are 80 possible points available for unhoused students depending on severity.~~

**Housing unhoused students. (80 points possible)** Materials prepared in this section of this application are based on the ADM and worksheets in the "2013 Space Calculations" and are the basis for determining eligibility for space and how much space can be added or replaced. The ADM figures for this year, and the worksheets to be completed, are found on the department's website at: <http://education.alaska.gov/facilities/FacilitiesCIP.html>

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

The points for 5e are based on the following formulas:

1. Current Unhoused Students: If current capacity is at or below 100%, 0 points will be awarded. If current capacity is over 100% than one point for every 3% percent over 100% capacity will be awarded. For projects that have a current capacity over 250% the full 50 points will be awarded.
2. Unhoused Students in Seven Years: If capacity seven years out is at or below 100%, 0 points will be awarded. If capacity seven years out is over 100% than one point for every 5% over 100% capacity will be awarded. For projects that have a capacity seven years out over 250% the full 30 points will be awarded.

~~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 in question 4a should indicate:  
the attendance areas that will be impacted (i.e. will contribute students) by this project,~~

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~~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.~~

**245f. ADM projection method.** 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.

**275g. Regional community facilities. (5 points possible)** 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.

### PROJECT SPACE EQUATION

**255h. Project space equation. (30 points possible)** 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.

### 56. PROJECT PLANNING:

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

**6a. Condition survey (0 or 5 points possible)** 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

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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.

**6b. Planning / Concept Design (0 or 10 points possible)** *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.

**6c. Schematic development (0 or 10 points possible)** *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.

**6d. Design development (0 or 10 points possible)** *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.

**6e. Planning team.** 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. For others besides licensed design professionals currently registered in the State of Alaska, provide the qualifications for design team members that the district accepted. For example, if one is a school board member who is also an electrician, please note both. Likewise, note a district employee with X years as a licensed roofing contractor, or a maintenance person with X years as the lead mechanical custodian for the district.

## 7. COST ESTIMATE

**187a. Cost estimate: Construction cost and total project cost. (30 points possible)** 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 current Program Demand Cost Model ~~(13<sup>th</sup> 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.

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**Table 7.1 Total Project Cost Estimate.** 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 7.2 Construction Cost Estimate.** ~~Table 2, which summarizes~~ This summarization of construction costs, is structured to be consistent with the DEED 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~~ Table 7.2 must still be filled out as described above.

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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.

## 8. FACILITY MANAGEMENT

### **308a. District's preventative maintenance and facility management (55 points possible)**

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~~ eight 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.

[Reminder: Only two sets, one of which may be an electronic copy, should be provided by the district, regardless of the number of submitted applications.](#)

### **Maintenance Management**

**Assessment #1 – Maintenance management narrative (Evaluative)** [up to 5 points available]:

Provide a narrative description of the effectiveness of your work order based maintenance management system.

How *effective* is your work order-based maintenance management system? How do you assess effectiveness? Describe the formal system in place that tracks timing and costs as stated in regulation and attach documentation (sample work orders, etc.). Discuss the quality of your program as it is reflected in the submitted formula-driven reports (i.e. diversity in work types, hours available is accurate, there is a high percentage of reported hours).

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**Assessment #2 – Maintenance Labor Reports (Formula-Driven)** [up to 15 points available]:

*Item A:* Produce a districtwide report showing total maintenance labor hours collected on work orders by type of work [e.g., preventive, corrective, operations support, etc.] vs. labor hours available by month for the previous 12 months.

*Item B:* Produce a districtwide report that shows a comparison of completed work orders to all work orders initiated, by month, for the previous 12 months.

*Item C:* Produce a districtwide report showing the number of incomplete work orders sorted by age [30 days, 60 days, 90 days, etc.] and status for the previous 12 months. [deferred, awaiting materials, assigned, etc.]

These reports will demonstrate a district's ability to manage maintenance activities related to the level and scope of labor requirements.

**Assessment #3 – PM/corrective maintenance reports (Formula-Driven)** [up to 10 points available]:

*Item A:* Provide a districtwide report that compares scheduled (preventive) maintenance work order hours to unscheduled maintenance work order hours by month for the previous 12 months.

*Item B:* Provide a districtwide report with monthly trend data for unscheduled work orders showing both hours and numbers of work orders by month for the previous 12 months.

These reports support the district's ability to manage maintenance activities related to scheduled (preventive) maintenance and unscheduled work (repairs). One factor in determining the effectiveness of a preventive maintenance program is a comparison of the time and costs of scheduled maintenance in relation to the time and costs of unscheduled maintenance.

**Assessment #4 – 5-year average expenditure for maintenance (Formula-Driven)** [up to 5 points available]:

Districtwide maintenance expenditures for the last 5 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.) 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.]

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The 5-year average expenditure for maintenance divided by the 5-year average insured replacement value, district wide. [~~This assessment is calculated based on information identified in application question #7 and from district insurance records submitted separately to the department.~~ No information need be submitted with the application for this Assessment.]

## **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.

## **Custodial Program**

**Assessment #6 – Custodial Narrative (Evaluative)** [up to 5 points available]:

Provide a narrative description of the district’s custodial program and evidence to show it was developed using data related to inventories and frequency of care.

Minimal custodial programs do not have to be quantity-based nor time-based relative to the level of care. Quality custodial programs take both these factors into account and customize a custodial plan for a facility on the known quantities and industry standards for a given activity (i.e., vacuuming carpet, dusting horizontal surfaces, etc). Describe how your scope of custodial services is directly related to the type of surfaces and fixtures to be cleaned, the quantity of those items, and the frequency of the care for each. Describe how the district has customized its program to deal with different surfaces and care needs on a site-by-site basis.

## **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

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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).

## **6-9. ADDITIONAL PROJECT ELEMENTS**

**14.9a. Emergency conditions (50 points possible)** In question 3d the project scope was described. Question 9a is to specifically identify and describe the type and extent of emergency conditions. An emergency exists when students are currently unhoused due to the loss of the facility, or loss of the use of the facility by the district due to circumstances associated with the emergency. An emergency also exists when the district's ability to utilize the facility is impacted or there is an immediate or high probability of a threat to property, life, health or safety.

The emergency descriptions with check boxes contained in question 9a are to help the applicant identify the type of emergency the project is resolving. The applicant must provide a description of the particular emergency in the application and include all relevant documentation that supports the immediacy or high probability of the threat or emergency. An application that checks an emergency type box without a description of the emergency will receive no points.

The relevant supporting documentation of the conditions described is critical for the evaluation of the question. 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.

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Not all systems or components that have reached the end of their useful life or are starting to fail are considered to be emergencies. A system or component that has reached the end of its useful life or has started to fail but routine or preventative maintenance prolongs the life of the system or component is not considered to be an emergency. Example: A roof that has started to leak and is still structurally sound and the leaking is stopped with routine maintenance would not constitute an emergency. A roof is leaking and rot has been found in the structure of the roof and routine maintenance no longer prevents water from entering the building, could be considered an emergency.

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

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

The matrix below is used as a guide to evaluate where to place projects relative to each other based on the described and verified condition: The scoring of mixed scope projects, which address both emergency and non-emergency conditions, will be weighted based on the amount of emergency work that is included in the project.

**Note:** If an application declares an emergency and does not supply any supporting documentation to substantiate the claim the question will not receive the suggested points.

## Building

50 Points: Building is destroyed or rendered functionally unsafe for occupancy and requires the building to be demolished and rebuilt. Example: A flood or seismic event that has destroyed or left the building so structurally compromised that the building must be demolished.

25-45 Points: Building is unsafe and the entire student population is temporarily unhoused. The building requires substantial repairs to be made safe for the student population to occupy the building. Example: The roof of a school comes off in a severe wind storm with water damage to interior finishes. Scoring will be based on the scope of repairs and the impact to the student population.

5-25 Points: Building is occupied by the student population. A local or state official has issued an order that the building will need to be repaired by a certain date or the district will have to vacate the building. Example: It is discovered that the building does not meet current seismic standards and

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the building will need to be made current with seismic standards within the next five years. Documentation substantiating the order needs to be supplied.

5-45 Points: A portion of the building requires significant repair or replacement of damaged portion of building. The damaged portion of the building cannot be used for educational purposes. Example: The roof leaks over the gym causing structural damage to the walls, which restricts the use of the gym until the repairs are made.

### Components or Systems

25-45 Points: A major building component or system has completely failed and is no longer repairable. The failed system or component has rendered the facility unusable to the student population until replaced. Example: A schools heating plant has completely failed leaving the building unusable to the student population and susceptible to freezing and further damage.

5-25 Points: A major building component or system has a high probability of completely failing in the near future. The component or system has failed but has been repaired, and has limited functionality. If the component fails the district may be required to restrict use of the building until the component or system is repaired or replaced. Example: A fire alarm system has a history of components failing and given the age of the system, parts are no longer available. The system has a high probability of failing completely and district may have to vacate the building.

~~Refer to AS 14.11.013(b)(1). If this project is an emergency, describe:~~

- ~~• the nature of the emergency,~~
- ~~• the facility condition related to the emergency,~~
- ~~• the threat to students and staff,~~
- ~~• the consequence of continued utilization of the facility,~~
- ~~• the individuals or groups affected by the condition,~~
- ~~• what action the district has taken to mitigate the emergency conditions, and~~
- ~~• the extent to which any portion of the project is eligible for insurance reimbursement or emergency funding from any state or federal agency.~~

~~Evaluation of the emergency will consider all of the information submitted and the responses to each of the emergency elements noted in these instructions. Based on the information submitted, the emergency condition can generate up to 50 possible points.~~

**269b. Inadequacies of space. (40 points possible)** 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,

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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~~ 20 points are available for new local programs.

~~7. — **Operating funds expended for maintenance. (Up to 5 points)** 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.]~~

## EXISTING FACILITIES

## ALTERNATIVE FACILITIES AND OPTIONS

## DISTRICT INFORMATION

~~289c.~~ **Other options. (25 points possible)** 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, This question asks districts to document that process by displaying the analysis as to how they arrived at their solution. One or more of these considerations should be provided:~~

- District-adopted capital planning, energy management, or other planning policies used as guidelines in the planning process.
- Materials/methods options: are there optional materials or construction methods that were considered and if so, why were they rejected in favor of that proposed?
- pProjects 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.
- A project that proposes component replacement should discuss the merits of alternative products or even alternative design solutions to the problem if applicable.
- A cost/benefit analysis or other evaluative processes used by the district in reaching its design solution should be included with the application.

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- 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.

### **299d. Relationship of cost of project to annual cost savings. (30 points possible)**

~~Operational Cost vs. Project Cost:~~ Information (and evaluation points) related to operational costs is not limited to Category E projects. Projects not in this category are still eligible to score points if the information demonstrates that design solutions affecting operating costs were made to optimize the return on their investment.

- ~~The project cost and its impact on operational costs is an important consideration for any project. The project description~~ This response 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.
- Providing benchmark values (fuel costs, specific labor costs affected by the project, historical record of problems to be addressed by this project) will be considered valuable for evaluation of anticipated savings.
- 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.~~
- When a new, renovation, new-in-lieu-of-renewal, or Category E project is proposed, the project description in question 4a shall include a detailed cost/benefit analysis and a life cycle cost analysis.

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.

### **RELATED FUNDING**

**109e. Phased funding. (30 points possible)** Prior state funding refers to **grant funds appropriated by the legislature to the department and administered under AS 14.11**

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**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.

**9f. Participating share waiver.** 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.

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.

<u>Q #</u>	<u>Component in application</u>	<u>Per AS:</u>	<u>4 AAC:</u>
	<u>Certification of application by school official</u>	<u>14.11.011(a)</u>	
	<u>Type of funding distinguished</u>	<u>14.11.005 and 14.11.007</u>	
	<u>Primary purpose of funding stated to determine eligibility</u>	<u>14.11.013(a)(1)(A-G)</u>	
	<u>Six-year plan submitted to the department</u>	<u>14.11.011(b)(1)</u>	<u>31.022(c)(1)</u>
	<u>Fixed asset inventory system in place</u>	<u>14.11.011(b)(1)</u>	
	<u>Distinguish that this is not a maintenance project</u>	<u>14.11.011(b)(3)</u>	
	<u>Property loss insurance in place</u>	<u>14.11.011(b)(2)</u> <u>14.03.150</u>	<u>4 AAC 31.200</u>
	<u>Preventative maintenance program in place</u>	<u>14.11.011(b)(4)</u>	
	<u>DEED has the authority to reject or modify applications</u>	<u>14.11.013(c)(A-C)</u>	
	<u>District requirement to provide sufficient space for students</u>	<u>14.11.013(b)</u>	<u>31.020(c)(2)</u>
	<u>Guidelines used to calculate what is sufficient space</u>	<u>14.11.011</u>	<u>31.020(c)</u>
	<u>Expectations regarding already completed projects seeking reimbursement of funds</u>		<u>31.023(c)(2)</u> <u>31.080</u>
	<u>Land purchase for school considered part of school construction</u>	<u>14.11.135(3)</u>	
	<u>Project planning: information required for grant funding, but not for grant application</u>	<u>14.11.017</u>	
	<u>Rating factor: emergency conditions</u>	<u>14.11.013(b)(1)</u>	
	<u>Rating factor: life safety conditions</u>	<u>14.11.013(b)(1)</u>	
	<u>Rating factor: housing unhoused students (additional space)</u>		<u>31.022(c)(2),(9)</u>
	<u>Rating factor: priority of project given by the district</u>	<u>14.11.013(b)(2)</u>	<u>31.022(c)(1)</u>
	<u>Rating factor: new local educational programs</u>	<u>14.11.013(b)(3)</u>	<u>31.022(c)(4)</u>
	<u>Rating factor: condition of school facilities</u>	<u>14.11.013(b)(4)</u>	<u>31.022(c)(5)</u>
	<u>Rating factor: condition of regional facilities</u>	<u>14.11.013(b)(4)</u>	<u>31.022(c)(5)</u>
	<u>Rating factor: funds expended by district for maintenance</u>	<u>14.11.013(b)(5)</u>	
	<u>Rating factor: other options to address the problem</u>	<u>14.11.013(b)(6)</u>	<u>31.022(c)(6)</u>
	<u>Rating factor: operating cost savings over the long term</u>		<u>31.022(c)(3)</u>
	<u>Rating factor: previous funding for project (intentionally phased)</u>		<u>31.022(c)(7)</u>

Alaska Department of Education & Early Development  
APPENDIX B: ~~CATEGORIES OF CRITERIA REQUIRED TO QUALIFY FOR A GRANTS~~  
~~Adopted~~ \_\_\_\_\_ by the Bond Reimbursement & Grant Review Committee  
~~April 16, 2007~~ Draft presented August 1, 2013

~~From AS 14.11.013(a)(1) - annually review the six-year plans submitted by each district under AS 14.11.011 (b) and recommend to the board a revised and updated six-year capital improvement project grant schedule that serves the best interests of the state and each district; in recommending projects for this schedule, †~~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:<sup>2, 3</sup>

- 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; that required fire alarm and/or suppressant systems are non-existent or inoperative; or that 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) 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, which 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

<sup>2</sup> 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 which 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)].

<sup>3</sup> 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.

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 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) 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, 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) 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) 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. (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 **AD**: CAPITAL IMPROVEMENT PROJECT PHASES  
~~Adopted~~ \_\_\_\_\_ by the Bond Reimbursement & Grant Review Committee  
~~April 16, 2007~~ [Draft presented August 1, 2013](#)

The application form requires designation of the phase(s) for which the district requests funding. Below is a basic scope of effort for each phase. Items marked **Required** 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 1<sup>st</sup>.

PHASE I-PLANNING (10 points possible)

1. Select architectural or engineering consultants (if needed)(4 AAC 31.065) - (as required)
2. Prepare a school facility appraisal (as required) (see application question 16)
3. Prepare a facility condition survey (as required) (see application question 16)
4. Identify need category of project - **(Required)**
5. Verify student populations and trends - **(Required)**
6. Complete education specifications (design the educational program - 4AAC 31.010) - **(Required)**
7. Identify site requirements and potential sites - **(Required)**
8. Complete concept design studies and planning cost estimate - **(Required)**

PHASE IIA - SCHEMATIC DESIGN (10 points possible)

1. Perform site evaluation and site selection analysis (4AAC 31.025) - **(Required)**
2. Prepare plan for transition from old site to new site, if applicable - **(Required)**
3. Accomplish site survey and perform preliminary site investigation (topography, geotechnical)
4. Obtain letter of commitment from the landowner allowing for purchase or lease of site - **(Required)**
5. Complete schematic design documents including dimensioned site plans, floor plans, elevations and engineering narratives for all necessary disciplines - **(Required)**
6. Complete preliminary cost estimate appropriate to the phase - **(Required)**

PHASE IIB-DESIGN DEVELOPMENT (10 points possible)

1. Complete suggested elements of planning/design not finished in the previous phases - **(Required)**
2. Review and confirm planning (4AAC 31.030)
3. Accomplish a condition survey relevant to scope - **(Required if project includes renovation)**
4. Obtain option to purchase or lease site at an agreed upon price and terms - **(Required)**
5. Complete design development documents - **(Required)**
6. Prepare proposed schedule and method of construction
7. Prepare revised cost estimate appropriate to the phase - **(Required)**

PHASE III-CONSTRUCTION

1. Complete suggested elements of planning and design not previously completed - **(Required)**
2. Prepare final cost estimate
3. Complete final contract documents and legal review of construction documents (4AAC 31.040)
4. Advertising, bidding and contract award (4AAC 31.080)
5. Submit signed construction contract
6. Construct project
7. Procure furniture, fixtures and equipment, if applicable
8. Substantial completion
9. Final completion and move-in
10. Post occupancy survey
11. Obtain project audit/close out

Alaska Department of Education & Early Development

APPENDIX ~~CE~~: PROJECT COST ESTIMATE

Adopted-\_\_\_\_\_ by the Bond Reimbursement & Grant Review Committee  
April 20, 2012

Construction Management (CM) by a 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 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, 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, nor 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 EED'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.

Alaska Department of Education & Early Development

APPENDIX ~~CE~~: PROJECT COST ESTIMATE

Adopted-\_\_\_\_\_ by the Bond Reimbursement & Grant Review Committee  
April 20, 2012

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, except in extreme cases, should average out close to the same for all projects, and 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 ~~DE~~: DEFINITIONS OF MAINTENANCE

Adopted-\_\_\_\_\_ by the Bond Reimbursement & Grant Review Committee  
April 18, 2001

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 ~~EG~~: WAIVER OF 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

