



**DRAFT 4: Instructions for completing the
Application for Funding
for a
Capital Improvement Project**

FY2017

FY 2016

Use

These instructions ~~with Alaska Department of Education & Early Development~~ support AKEED Form #05-14-03313-XXX, Rev 3/2014

Application for Funding Capital Improvement Project by Grant or State Aid for Debt Retirement.
Numbered paragraphs below correspond to numbered questions on the application.

Unless otherwise indicated,

PREPARING AND SUBMITTING THIS APPLICATION:

Answer all questions: 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. The grant application deadline is September 1st.

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). ~~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).~~ 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.

~~(Note **Limited to ten applications:** The department will only score up to ten individual project applications from each district during a single rating period.)~~ In addition, a district can submit a letter to request reuse of an application's score for one year after the application was filed.

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~~ 1st deadline.

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CERTIFICATION

CERTIFICATION:

Authorizing signature: 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
Division of School Finance, Facilities
801 W. 10th Street, Suite 200
P.O. Box 110500
Juneau, AK 99811-0500

For further information contact:

-School Facilities ~~Front Desk~~Manager
(907) 465-2891

TYPE OF PROJECT AND FUNDING REQUEST

1. CATEGORY OF FUNDING AND PROJECT TYPE:

1.1a. 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 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.

Aid for Debt funding Retirement: 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.1b. Primary purpose. Based on whether the application is for grant funding or aid for debt retirement, check **one** box in the appropriate column ~~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 A of these instructions for descriptions of categories and the limitations associated with grant 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

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)

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

~~BASIC ELIGIBILITY REQUIREMENTS~~

2. ELIGIBILITY REQUIREMENTS TO SUBMIT AN APPLICATION:

3.2a. District six-year plan. Attach a current six-year Capital Improvement Plan (CIP) for the district. Use AKEED Form 05-~~14-033~~ **15-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.

4.2b. 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.

5.2c. 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.

6a.2d. 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~~ **E** for an explanation of maintenance activities.

~~DISTRICT INFORMATION~~

~~7. 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.~~ **2e. Preventive maintenance program.** Under AS 14.11.011(b)(4), a district must have a certified preventive maintenance program to be eligible for funding. For more information contact the department.

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~~6b.2f. 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(e)(3)(A) and 4 AAC 31.022(d)(1).~~

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 3~~ [question 9d.](#)]

3. PROJECT INFORMATION:

12.3a. 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~~[in](#) 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.

EXISTING FACILITIES

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:

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

Department data will be used for calculations, if there is an error in the database, contact the department.

8.3c. Facility status. 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 ~~surplus or demolished~~ or surplus, 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.

PROJECT DESCRIPTION/SCOPE OF WORK

17.3d. Project description/Scope of work. 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~~ providing detail to support another application 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 AS 14.11.011(b)(3)~~ requires the district to provide sufficient evidence that the project is a capital improvement project and not preventive maintenance, routine maintenance, or custodial care. Refer to Appendix ~~D~~E of these instructions for information regarding the definitions of maintenance terms related to this question.

Question ~~#13~~3b: 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.

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[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 ~~#153~~f: 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.

~~13.~~ [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 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.

Question ~~#166a-6d~~: If a facility condition survey, facility appraisal, schematic design, and/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 site work and utilities. The project description and cost estimate should be increasingly detailed as project phase²s advance.

Question ~~#88c~~: 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.

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 C for guidelines covering project cost estimate percentages for factored cost items.

~~1e.3e.~~ [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~~.

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- 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.~~
- 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. 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.

15.3f. 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 [AB](#)).

4. CODE DEFICIENCY / PROTECTION OF STRUCTURE / LIFE SAFETY

4a. Code deficiency / Protection of structure / Life safety (Up to 50 points) Describe in detail the issue, impact, and severity of code deficiency, protection of structure, and life safety conditions being addressed by the project scope in question 3d; attach supporting documentation.

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Code deficiency, protection of structure, and life safety-related categories:

Code Deficiency: Deficiencies related to building code conditions where there is no threat to life safety. This includes compliance with various current building and accessibility codes.

Protection of Structure: Deficiencies that, when left unrepaired, will lead to new or continued damage to the existing structure, building systems, and finishes resulting in a shortened life of the facility.

Life Safety: Deficiencies representing unsafe conditions threatening the health and life safety of students, staff, and the public. For example, required fire alarm and/or suppressant systems are non-existent or inoperative posing a life safety risk.

Building Failure: Complete or imminent building failure caused by code deficiency, projection of structure, or life safety conditions resulting in unhoused students.

The project could contain a single severe condition or multiple moderate conditions. Multiple conditions will be rated collectively but may not necessarily rank as high as a single severe condition. For projects, such as districtwide projects, that combine critical and non-critical work, points for the critical portion of the project will be weighted proportionally. Examples of specific code deficiency, protection of structure, and life safety conditions that may be present include, but are not limited to:

Fire Protection: fire-resistant materials and construction, interior finishes, fire protection systems;

Occupant Needs: means of egress, accessibility (ADA), interior environment (asbestos/hazmat);

Building Envelope: energy conservation (windows/doors), exterior wall coverings (siding), roofs and roof structures;

Structural Systems: structural loads, foundations, seismic;

Building Services: mechanical systems (heating and ventilation systems), plumbing systems, electrical wiring, equipment, and systems;

Building Support: septic system, standby generator, fuel tanks, water/waste water treatment (includes water tanks), other.

Projects with code deficiency, protection of structure, or life safety conditions will be assessed based on the severity of the conditions and upon the documentation provided to support the reported severity. Supporting documentation of the conditions is critical. Documentation that supports the conditions can be documents such as: condition surveys, third party communications, 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 building or component condition. The primary purpose of this documentation is to present objective, primary, specific, and verifiable data.

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Supporting documentation elsewhere in the application can be summarized and referenced rather than reproduced in the narrative. When citing information elsewhere in the application or application attachments provide the specific location of the referenced information.

5. 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.

19.5a. 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.

20.5b. District voter-approved projects. Any additional square footage that is funded for construction or approved by local voters for construction should be ~~described, showing student capacity~~ listed with a descriptive project name, 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.

21.5c. 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, 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>

22.5d. 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-

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occupancy population projections. If a project schedule is available it should be provided to substantiate the projected date.

23.5e. Unhoused students (80 points possible) All projects that are adding new space or replacing existing space must complete Table [35.1. ATTENDANCE AREA ADM and worksheets in the department's MS Excel workbook, "XXX GSF calculations" found under "Space Guidelines" at <http://education.alaska.gov/facilities/FacilitiesCIP.html>. These worksheets are the tools for determining space eligibility.](#) ~~There are 80 possible points available for unhoused students depending on severity.~~

24. 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 this question 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 five years post-occupancy is at or below 100%, 0 points will be awarded. If capacity five years post-occupancy is over 100% than one point for every 5% over 100% capacity will be awarded. For projects that have a capacity five years post-occupancy over 250% the full 30 points will be awarded.

5f. ADM projection method. Identify the method(s) that were utilized to determine the student population projections listed in Table 5.1. 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.

5g. Confirm space eligibility. The amount of additional qualified square footage from the GSF calculations workbook should be entered on "qualifies for additional SF" line. The amount of additional square footage that will be added in this project should be entered on the "applying for additional SF" line. The amount of square footage that is applied for may be the same or less than the amount of the qualified square footage.

27.5h. 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.

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Statutory and Regulatory Reference: [AS 14.11.013\(b\)\(4\)](#), [4 AAC 31.022\(c\)\(5\)](#)

PROJECT SPACE EQUATION

25.5i. Project space utilization. (30 points possible) ~~This~~ [Table 5.2 Project Space Equation](#) 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 [9-3b](#) as well as those shown in [Table 7.2](#) of the cost estimate section. The worksheet at [Appendix F-D](#) lists types of school space that fit in each category. There are up to 30 points possible [on the school construction list](#) for the type of space being constructed.

6. PROJECT PLANNING:

16.—There are ~~five~~[four](#) distinct items in this question. Each one has the potential to generate points.

6a. Condition/Component survey (0 to 10 points possible – refer to Rater Guidelines for scoring criteria) *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~~[may](#) be completed by an architect ~~and/or an~~, engineer, ~~Someone reasonably familiar,~~ [or personnel](#) with ~~the~~[documented expertise in a building and its components may complete portions of the system.](#) For project scopes that are component or system renovations, [a condition survey that document the condition of building elements of the component or system is acceptable.](#) 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~~[In addition, an energy audit, although useful and informative, will not receive condition survey points if the project’s scope warrants additional facility condition survey data.](#)

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

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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 AB of this document. The department's Program Demand Cost Model is acceptable as a planning/concept level cost estimate. Some projects may not require the services of an architect or engineer; typically these projects are limited in scope where drawings and extensive technical specifications are not necessary in order to issue an Invitation to Bid. There are ~~up to~~ 10 points possible for completed planning work.

6c. Schematic design – 35% (0 or 10 points possible) *Schematic design* work includes the items listed under schematic design in Appendix AB of this document. There are ~~up to~~ 10 points possible for completed schematic design work.

6d. Design development – 65% (0 or 5 points possible) *Design development* work includes items listed under design development in Appendix AB of this document. There are ~~up to~~ 105 points possible for completed design development work.

6e. Planning team. The application needs to identify the district's architectural or engineering (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

18.7a. Cost estimate for 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 (~~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.

Table 7.1 Total Project Cost Estimate. In Table 7.1, 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

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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, which summarizes~~ Construction Cost Estimate. ~~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~~ 7.2 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.

PROJECT INFORMATION

8. ADDITIONAL PROJECT ELEMENTS

14.8a. Emergency conditions (50 points possible) ~~Refer to AS 14.11.013(b)(1). If this project is an emergency, describe:~~ Emergencies are conditions that pose a high level of threat for building use by occupants. An emergency exists when students are currently unhoused due to the loss of the facility, or damage to the facility 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.

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 preventive 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 the leaking is stopped with routine maintenance would not constitute an emergency. A roof that is leaking, where 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.

Describe in detail the nature, impact, and immediacy of the emergency and actions the district has taken to mitigate the emergency conditions. At a minimum include the following:

- 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.~~

Supporting documentation of the conditions is critical. Documentation that supports the conditions can be documents such as: condition surveys, photos, third party communications, insurance claims, or other records verifying the conditions. This is not an exclusive list and applicants are encouraged to provide other sources of quantitative

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information to support the emergency condition. The primary purpose of this documentation is to present objective, primary, specific, and verifiable data.

The emergency descriptions with check boxes contained in question 8a 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 building condition box without a description of the emergency will receive no points.

The matrix below incorporates the emergency conditions categories listed in the application with supporting examples.

Building

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

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 came off in a severe wind storm with water damage to interior finishes.

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 specified safety standards and the building will need to be made current with the standards within the next 90 days. Documentation substantiating the order needs to be supplied.

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 leaked over a classroom causing structural damage to the walls, which restricts the use of the room until the repairs are made.

Components or Systems

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: The heating plant has completely failed leaving the building unusable to the student population and susceptible to freezing and further damage.

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

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longer available. The system has a high probability of failing completely and district may have to vacate the building.

Statutory and Regulatory Reference: AS 14.11.013(b)(1)

26.8b. 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~~ how the project will improve existing facilities to support the instructional program. The response should ~~also~~ address how the inadequacies of the facility impact the ~~educational~~ instructional program and whether ~~the educational~~ that instructional program is a mandatory, existing local, or a proposed new local program. Types of inadequacies addressed may include the quality of space, amount of space, or configuration of the space. ~~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.~~

Statutory and Regulatory Reference: AS 14.11.013(b), 4 AAC 31.022(c)(4)

ALTERNATIVE FACILITIES AND OPTIONS

28.8c. 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~~ should 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~~

- A cost/benefit analysis, life cycle cost analysis, or other evaluative processes used by the district in reaching its design solution should be included.
- A project that proposes component replacement should discuss ~~other options such as renovation of the existing building or acquisition~~ the merits of alternative ~~facilities and provide an explanation as to why these~~ products, material options ~~were not selected.~~ construction methods, alternative design, or other solutions to the problem as applicable.
- 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 double shifting, 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.
- 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.
- 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

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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 [documented](#) comprehensive discussion on the options considered by the district that would accomplish the same goals as the proposed project.

[Statutory and Regulatory Reference: AS 14.11.013\(b\)\(6\), 4 AAC 31.022\(c\)\(6\)](#)

29.8d. Operational Cost vs. Project Cost: Annual cost savings. (30 points possible)

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~~ [Explain and document](#) ways in which the completion of the project would reduce current operational costs.

~~Considerations could cover~~ [This analysis should be consistent with a life cycle cost analysis or cost benefit analysis. Consider](#) 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 such as fuel costs, specific labor costs affected by the project, historical record of problems to be addressed by this project.](#)

For new facilities, ~~consideration should be given to~~ [discuss](#) 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~~ [may](#) 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.~~

[Up to 30 points are possible based on the projected cost savings payback with a full and complete description.](#)

[Statutory and Regulatory Reference: AS 14.11.013\(b\), 4 AAC 31.022\(c\)\(3\)](#)

10.8e. 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 as partial funding for this project only.** Any amounts noted here should also be included in Table 7.1 of the Cost Estimate, ~~Question-question #187a.~~ 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.

11.8f. Participating share waiver. Waivers of participating share should be in accordance with AS 14.11.008(d). Justification should be documented. See Appendix ~~EF~~ 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

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of participating share. Contact the department for a district's most recent full-value per ADM calculation.

FACILITY MANAGEMENT

9. DISTRICT PREVENTIVE MAINTENANCE & FACILITY MANAGEMENT

30. District preventive 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~~ its application submittals 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-E 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~~evaluations. 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~~evaluation 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 Guidelines for Raters of the CIP Application for additional information on scoring.

~~There are u~~Up to 55 points possible for a clear and complete reporting of the district's maintenance program.

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—~~9a. 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

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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 [for 9b](#) (i.e. diversity in work types, hours available is accurate, there is a high percentage of reported hours).

Assessment #2—9b. 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—9c. 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—9d. 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

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[addition, expenditures included in this calculation will not be eligible for reimbursement under AS 14.11.](#)

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.~~[question.](#)

Energy Management

~~Assessment #5—~~**9e. 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—~~**9f. 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—~~**9g. 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

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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—9h. 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).

ATTACHMENTS

ATTACHMENTS CHECKLIST

31. Eligibility and project description attachments. 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). The eligibility and project description attachments checklist is provided ~~for your and the department's convenience~~ to identify required materials and additional materials that are referenced in support of the project. The eligibility attachments are required for all projects. Projects with missing eligibility attachments will not be ranked. ~~Please e~~Check to see that your application is complete and indicate additional attachments the department should be referencing while evaluating the project.

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APPENDIX ~~B~~A: CATEGORIES OF GRANTS
Adopted by the Bond Reimbursement & Grant Review Committee
~~April 16, 2007~~ September 10, 2014

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:^{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; 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,

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 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)].

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.

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APPENDIX ~~B~~A: CATEGORIES OF GRANTS
Adopted by the Bond Reimbursement & Grant Review Committee
~~April 16, 2007~~ September 10, 2014

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 addition, no new space for unhouseed 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 unhouseed 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.)

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APPENDIX **AB**: CAPITAL IMPROVEMENT PROJECT PHASES
Adopted by the Bond Reimbursement & Grant Review Committee
~~April 16, 2007~~ September 10, 2014

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 ~~typescope~~ 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/COMPONENT SURVEY (0 to 10 points possible)

PHASE I - PLANNING/CONCEPT DESIGN (0 or 10 points possible)

1. Select architectural or engineering consultants (~~if needed~~)(4 AAC 31.065) - (~~as required~~ Required if necessary to accomplish scope of project)
2. Prepare a school facility appraisal (~~as required~~) (~~see application question 16~~) (optional)
3. Prepare a facility condition/component survey (~~as required~~) (~~see application question 16~~) Required if project is a major renovation)
4. Identify need category of project - (**Required**)
5. Verify student populations and trends - (**Required** for new facilities and additions to existing facilities)
6. Complete education specifications (~~design the educational program — 4AAC~~ 4 AAC 31.010) - (**Required** for new facilities, additions, and major rehabilitations to existing facilities)
7. Identify site requirements and potential sites - (**Required** for new facilities)
8. Complete concept design studies and planning cost estimate - (**Required**)

PHASE IIA - SCHEMATIC DESIGN – 35% (0 or 10 points possible)

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

PHASE IIB- - DESIGN DEVELOPMENT – 65% (0 or ~~5+10~~ points possible)

1. Complete suggested elements of planning/design not finished in the previous phases - (**Required**)
2. Review and confirm planning (4 AAC 31.030)
3. Accomplish a condition/component survey relevant to scope - (**Required** if project includes a major renovation)
4. Obtain option to purchase or lease site at an agreed upon price and terms - (**Required** for new facilities)
5. Complete design development documents, including dimensioned site plans, floor plans, complete exterior elevations, draft technical specifications, and engineering plans - (**Required**)
6. Prepare proposed schedule and method of construction
7. Prepare revised cost estimate appropriate to the phase - (**Required**)

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APPENDIX ~~A~~B: CAPITAL IMPROVEMENT PROJECT PHASES
Adopted by the Bond Reimbursement & Grant Review Committee
~~April 16, 2007~~September 10, 2014

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

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APPENDIX C: PROJECT COST ESTIMATE
Adopted by the Bond Reimbursement & Grant Review Committee
March 6, 2014~~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, complexity of scope, and scale 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

Alaska Department of Education & Early Development
APPENDIX C: PROJECT COST ESTIMATE
Adopted by the Bond Reimbursement & Grant Review Committee
[March 6, 2014](#)~~April 20, 2012~~

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, 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%

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APPENDIX ~~FD~~: 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 ~~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 ~~EF~~: INFORMATION REGARDING WAIVER OF 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.