School Facilities Manual

School Construction Assistance Program

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Public Instruction

Revised April 2011

School Facilities Manual

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The intent of this publication is to provide a source of information that assists in the planning for school facilities and indicates methods for processing school construction projects. Local laws, regulations, or other considerations must be carefully evaluated by all persons responsible for school facility development activities.

Executive Summary

Role of the Office of the Superintendent of Public Instruction in School Construction

The School Facilities and Organization Program, of the Office of the Superintendent of Public Instruction (OSPI), is responsible for administering the K-12 Capital Budget and the School Construction Assistance Program. It also provides support for school preservation, facility management activities, high performance school buildings, and district organization. The program administers grants to school districts for construction, modernization, and small repair.

OSPI administers procedures governing all applications for the State's School Construction Assistance Program, the allocations of state funds, and disbursements for projects approved for state assistance by OSPI. OSPI reviews school facility construction project applications, authorizes a district to proceed with bid opening and to sign construction contracts only for projects that receive state funding.

While OSPI does not have direct oversight over the actual construction of schools, through the construction assistance program processes, OSPI will only approve projects and provide funding once the district has shown the project to be in compliance with applicable state and local regulations.

OSPI does not have authority over school operation and maintenance. This is the direct responsibility of the school district. Educational Service Districts or other service providers assist schools with meeting regulatory requirements and implementing best management practices. OSPI provides support and information for these activities.

Chapter 1: Introduction

Section 101	Purpose
Section 102	Terms Used
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	Table 1.1 School Facilities Development Process Phases
Section 104	History and Governance Change
Section 105	Participants in School Construction
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Section 101–Purpose

The purpose of this manual is to explain the spectrum of activities involved in the planning, design, and construction of school facilities and to increase awareness of all activities that comprise the total effort necessary for successful, cost-effective school projects. It is the duty of the OSPI to prepare and revise a manual on the planning, design, maintenance, and operation of school facilities. See RCW 28A.525.060.

The facilities manual is a guide that includes the services offered by OSPI, and it describes the procedures required for obtaining state assistance in planning, design, and construction of school facilities.

If your school district is ready to embark upon a school facility building program:

1. Have you already started, and are you uncertain of what to do and when to do it?
2. Do you know what resources are available to help you plan, design, and construct?
3. Do you know how to find appropriate consultants and what you should expect from them?
4. Do you know who all the people are that normally participate in planning, design and construction?

Section 102–Terms Used

The terms listed below are used throughout the manual:

"District" refers to the local school district.

"OSPI" refers to the Office of Superintendent of Public Instruction.

"RCW" refers to the Revised Code of Washington.

"SBE" refers to the State Board of Education.

"Shall" or **"must"** indicates a mandatory or legal requirement.

"WAC" refers to the Washington Administrative Code.

A Glossary is found in Appendix A.

Section 103–Scope

This **School Facilities Manual** outlines the process of planning, design, construction, maintenance, and operation of school facilities in accordance with the state School Construction Assistance Program. Table 1.1 illustrates the process and the general project phases which will be explained throughout the document. Please take note of WAC reference changes, requirements for high-performance school buildings and alternative bidding.

The chapters are arranged for each phase of the process of school construction. The participants and their responsibilities are identified as well as the major activities and specific requirements. A matrix at the end of each chapter illustrates the relationships of

activities and participants involved in the process. The following is a synopsis of each chapter.

Chapter 2–State Construction Assistance and Project Forms
Chapter 2 explains the process that school districts must follow to apply for and receive state funds for school planning, design, and construction. The exhibits at the end of Chapter 2 contain examples of D-forms used in the process.

State funds are available to reimburse school districts for costs incurred for:

1. Conducting the Study and Survey.
2. Developing educational specifications.
3. Planning, designing, and constructing school facilities.
4. Performing value engineering, constructability review, building commissioning, and construction management.
5. Preparing energy conservation reports.
6. Conducting special inspections and tests during construction.

Table 2.1 School Funding Grants provides information on what assistance is available and how it is determined.

Chapter 3–Advance Planning
The school district board of directors is responsible for anticipating the needs of the district and providing the necessary facilities to meet these needs in a timely manner. An advance planning process must be implemented to meet those needs. In the School Construction Assistance Program, the resulting document is known as the "Study and Survey." Chapter 3 describes the advance planning process, the Study and Survey, planning for high-performance buildings, and other planning elements. Consideration of alternative bidding methods may also be a consideration at this stage of planning.

Chapter 4–Financing
Local school districts may obtain funds for financing capital improvements from several sources. Chapter 4 describes bonding, various funding sources, and the methods and procedures for financing school facilities.

Chapter 5–Site Selection
Site selection and development are significant aspects of planning a school facility. Chapter 5 describes the selection procedure, criteria for evaluating sites, the various governmental agencies involved in site review and approval, and considerations in acquiring the site. Site selection is an element of the high-performance school standards.

Chapter 6–Educational Specifications
Chapter 6 describes the characteristics and components of educational specifications. The purpose of educational specifications is to define and communicate to the architect/engineer the district's goals and requirements for what a given facility should be. Educational specifications should reflect the goals and objectives set forth in the district's Study and Survey document.

Chapter 7–Predesign and Consultant Selection
The school board and/or the district administrators are responsible for selecting the building design team and making decisions about public works bidding procedures. Chapter 7 discusses the team composition, process of selecting the architect/engineer and other participating professionals, such as construction managers, contractual relationships, and state assistance with architectural and engineering fees.

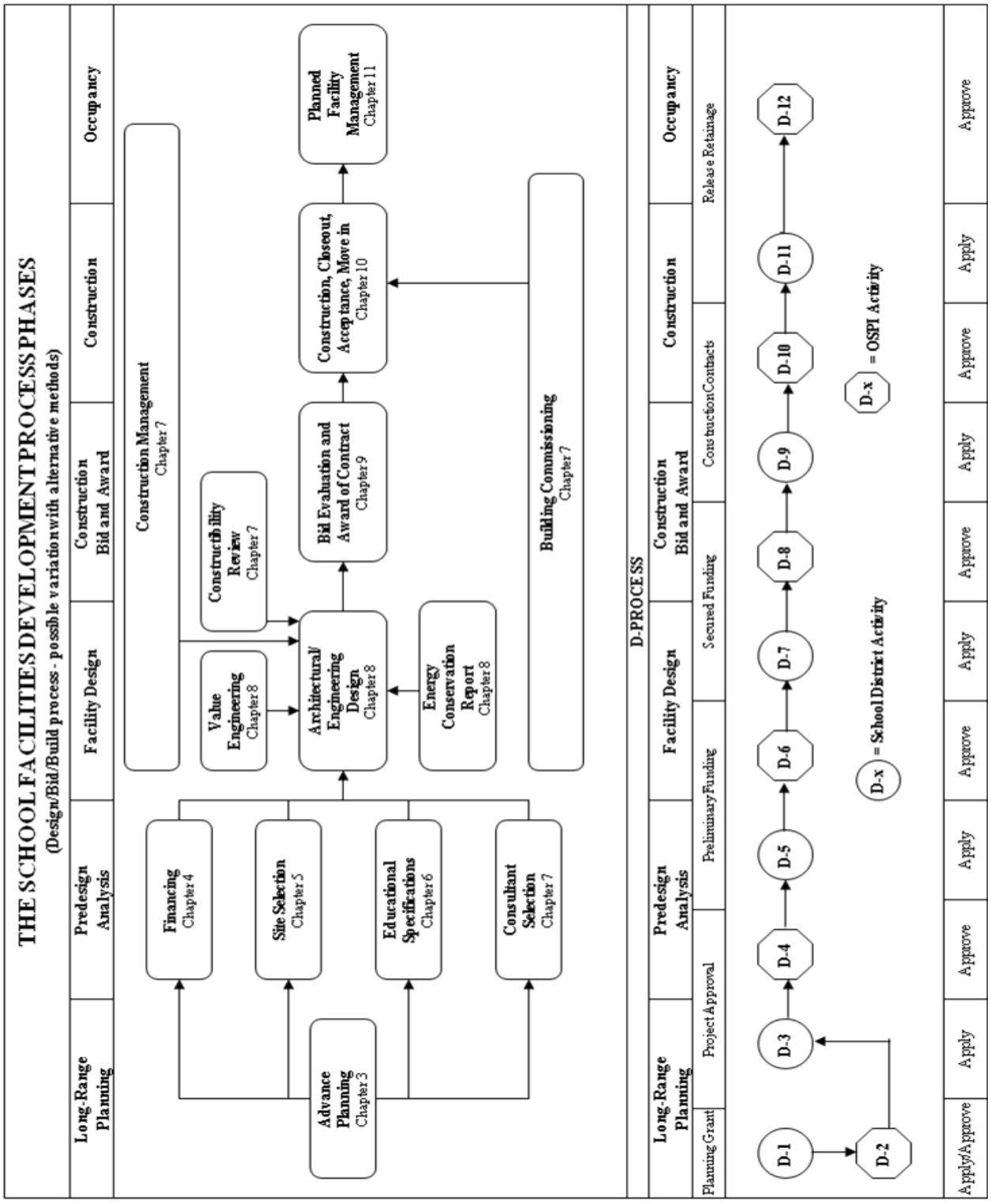
Chapter 8–Design
The design process incorporates all prior planning, specifications, studies, codes, regulations, and financial parameters into documents which form the basis for constructing the school. Chapter 8 describes the design process and the phases of developing schematic, design development, and construction documents preparatory to calling for bids on the project, including designing buildings to meet high-performance standards.

Chapter 9–Bidding, Evaluation, and Award of Construction Contract
Chapter 9 describes the procedures and requirements for bidding school projects, evaluating bidders and their proposals, and awarding construction contracts. Information is included about alternative bidding options.

Chapter 10–Construction, Closeout, Acceptance, and Occupancy
The construction process involves many participants in the management and administration of the construction contract. Chapter 10 describes the activities and responsibilities of all participants during the construction of the project and its occupancy.

Chapter 11–Planned Facility Management
After construction of a school facility, the school district is responsible for the operation and maintenance of this facility. Chapter 11 provides guidelines and methods that can provide effective planned facility management and includes guidance for complying with the Asset Prevention Program. Additionally, districts must now track and report costs and benefits of meeting high-performance standards.

Table 1.1 School Facilities Development Process Phases



Section 104–History and Governance Changes

History

In 1978 the School Facilities Cost Advisory Board was appointed to guide and assist the cost stabilization program staff in developing methods and ways of meeting the goals of the state assistance program. This manual was originally created as part of the activities of the advisory board through the work of its manual subcommittee.

A Technical Advisory Committee now advises and assists OSPI staff on a variety of issues related to school construction. The advisory board consists of representatives of boards, organizations, professions, construction trades, planners, maintenance officials, and others involved in construction of school plant facilities.

A Citizen's Advisory Panel was formed in July 2006. The purpose of this committee is to maintain citizen oversight on issues pertaining to school facilities and funding for school construction and to make recommendations to the OSPI regarding school facilities, funding for school construction, joint planning and financing of educational facilities, facility plans and programs for non-high school districts, and determinations of remote and necessary schools.

Governance Change

In 2006, the Washington State Legislature transferred capital programs from the State Board of Education (SBE) to the Office of Superintendent of Public Instruction (OSPI). The transfer provides OSPI with direct authority and funding for the administration, management and approval of state assisted capital projects for primary and secondary education. All records, contracts, rules, and pending business of the SBE (related to school facilities) transferred to the OSPI effective June 7, 2006.

Section 105–Participants

Washington State Superintendent of Public Instruction

The Superintendent of Public Instruction is a constitutionally authorized, nonpartisan, elected executive officer of the State of Washington. The State Superintendent is elected for a term of four years.

The School Facilities and Organization Section of OSPI

The School Facilities and Organization section of OSPI administers the rules and regulations regarding school construction.

Technical assistance for facilities planning, and obtaining state assistance for construction, is available through the Regional Coordinators of the School Facilities and Organization staff. Regional Coordinators are the primary point of contact for school districts in the process of developing capital programs and gaining financial assistance from the state to expand or modernize school facilities. They provide the technical assistance listed below.

1. Regional Coordinators consult with and advise school administrators, boards of directors, design professionals, and others on matters related to:
    - Rules relating to school construction and modernization projects.

- Building condition analysis.
- Development of state Studies and Surveys.
- Architect/engineer and construction manager selection.
- High-performance building requirements and standards.
- Alternative bidding options.
- Value engineering and constructability reviews during design.
- Building commissioning.
- Construction administration.
- Maintenance issues and the Asset Preservation Program (APP).
- Data verification to allow equitable administration of the priority system.

2. Reviewing applications for long-range planning grants for studies of school district building needs and preparing recommendations, as appropriate.
3. Reviewing applications for other documents pertinent to state financial assistance in school facility construction.
4. Determining amounts of financial participation and state fund allocations for school facility construction.

Educational Service Districts
The State of Washington is divided into nine educational service districts (ESDs) that can provide cooperative and informational services to local school districts. Districts can also hire private project management firms.

School Districts
A school district is a territory under the jurisdiction of a single governing board designated and referred to as the board of directors. See RCW 28A.315.025.

1. The school district board of directors is the primary agency with the responsibility and authority to determine the type of school facilities it desires for the district. It is also the contracting agent in procuring the services of consultants, design professionals, and contractors to assist in construction.
2. School district administration, faculty, staff, and students play a major role in planning school facilities consistent with their specific skills and knowledge.

Citizens
Citizens play a key role in the schools in their community, and should be encouraged to participate in school planning activities as early as possible.

Other Governmental Agencies
Other state and local agencies such as health departments, fire marshals, building authorities, and zoning boards, have specific roles in planning or reviewing school facility plans where they have authority.

Consultants

The process of developing a school facility is demanding and time-consuming and requires specialized expertise not commonly found within a school district's staff. School districts typically look to independent consultants for the resources to fulfill their building project needs.

The planning, design, and construction of a school facility typically involves many of the following consultants:

1. **Educational planning consultants** to provide expertise in defining facility program needs, functions, and space requirements.
2. **Financial planning consultants**, **bond counsel, and investment banking firms** to advise and structure bond issues, investments, and cash flow requirements.
3. **Architectural and engineering design consultants and specialized sub-consultants,** as needed, to provide design solutions to the school districts expressed needs within an agreed budget and schedule.
4. **Project manager or construction program manager** to provide leadership in meeting schedules, cost, and program objectives; and to assist in project budgeting, scheduling, construction cost estimating, formulating design and construction strategies, and construction oversight.
5. Other **specialized technical consultants,** as may be required, for surveying, soils analysis, environmental analysis, value engineering, constructability reviews, building commissioning, as well as asbestos and hazardous material identification.
6. **Construction contractor(s)** to construct facilities in the manner designed within the established time schedule and cost.

The team of varied disciplines should have clearly defined responsibilities and authorities. It is necessary to coordinate continuously to achieve an integrated design, avoid duplication of effort, and to monitor work necessary for the total project. This coordination should be undertaken by a capable construction manager, whether in-house or on a consulting basis.

Section 106–High-Performance Public Buildings Chapter 39.35D RCW

K-12 public school construction projects in Washington State, receiving state funding, are required to meet a minimum level of high-performance, or green building standards. "High- Performance", as it relates to the school buildings, refers to features of the building projects that help provide a healthy, comfortable, enhanced learning environment, while reducing natural resources and reducing operating costs. While up-front design and construction costs may initially be higher, the goal is to improve indoor air quality, energy and water use. These features will reduce district operating costs in the long run and provide long-lasting, healthier, more economical school buildings.

Major construction projects must either use the Washington Sustainable Schools Protocol (WSSP) or the U.S. Green Building Council's LEED design standards for planning and constructing facilities.

The WSSP is a point-based system. Out of a menu of options, a school district can choose which high-performance features meet their unique district and regional needs.

Chapter 39.35D RCW High-Performance Public Buildings outlines the requirements for state agencies and school districts. OSPI is charged with assisting school districts in meeting these requirements. The point-based system makes it easy for districts to choose the features that make good sense.

The School Facilities and Organization's High-Performance web page provides additional information and resource links to assist school districts. Information about how to build high-performance features into your school construction project and state assistance process will be inserted throughout this document. Additionally, OSPI staff is available to provide technical assistance during the school construction process.

What school projects does this law apply to?
The law applies to all major construction projects of public school districts receiving any funding in a state capital budget. This includes new construction and major renovations.

What are other requirements for public school districts under this law?
For five years, following local school district board acceptance of a project, the district must monitor, document and report annually to OSPI on the appropriate operating benefits and savings results from major facility projects.

What are the steps to take?
The district should start planning for high-performance features as early in the design process as possible. The project team should meet early and often. High-performance features show up in all phases of the construction process, from site selection to post occupancy. They cross all professions from planners, designers, engineers, and builders. They affect students, staff, and the community. Plan to have public involvement in the selection of high-performance features that make sense for your community.

Section 107–Alternative Public Works Chapter 39.10 RCW

School District use of Alternative Public Works - (GC/CM or Design/Build)
The traditional process of awarding public works contracts in lump sum to the lowest responsible bidder is a fair and objective method of selecting a contractor. This method is generally known as **Design/Bid/Build**. Under certain circumstances, alternative public works contracting procedures may best serve the public interest if such procedures are implemented in an open and fair process based on objective and equitable criteria.

Definitions

Traditional public works contracting in the State of Washington is Design/Bid/Build.

Alternative public works contracting procedures [**Chapter 39.10 RCW refers to the design-build, general contractor/construction manager (GC/CM), and job order contracting procedures as authorized in RCW 39.10.300, 39.10.420**.

General contractor/construction manager (GC/CM) means a firm with which a public body has selected and negotiated a maximum allowable construction cost to provide services during the design phase and to act as construction manager and general contractor during the construction phase.

Design/Build procedure means a contract between a public body and another party in which the party agrees to both design and build the facility, portion of the facility, or other item specified in the contract.

For a fuller description on these alternative procedures please refer to OSPI's Alternative Public Works web page.

Applications for Utilizing Alternative Public Works
The Capital Projects Advisory Review Board (CPARB) is responsible for oversight of alternative public works. The Project Review Committee of CPARB was created to review and approve public works projects, using the design-build and GC/CM contracting procedures authorized in RCW 39.10.300 and 39.10.420, and will certify public bodies.

School Districts Need Approval Prior to Using an Alternative Public Works Method
A school district must have approval from the CPARB Project Review Committee before proceeding with the use of an alternative public works method. There are three ways a district can gain approval.

The CPARB Project Review Committee shall:

1. Certify, or recertify, public bodies for a period of three years to use the design-build or general contractor/construction manager contracting procedures for projects with a total project cost of ten million dollars or more,
2. Review and approve the use of the design-build or general contractor/construction manager contracting procedures on a project by project basis for public bodies that are not certified under this act, and
3. Review and approve the use of the general contractor/construction manager contracting procedure by certified public bodies for projects with a total project cost under ten million dollars.

School districts may apply to use an alternative public works method through the CPARB web site. The "Application for Project Approval" is found under "Project Review Committee–Project Approval Forms".

State Assistance Funding Procedures for School District Projects Utilizing Alternative Public Works
All projects seeking state assistance follow the D-Form procedures. D-Form procedures have been modified for projects utilizing GC/CM. At Form D-5, school districts must demonstrate Project Review Committee approval for utilizing GC/CM.

School districts are encouraged to work closely with their OSPI Regional Coordinator.

Chapter 2: State Construction Assistance Process and Project Forms

Section 201	Basic Policy of OSPI
Section 202	School Construction Assistance Program
Section 203	Eligibility for State Funding
Section 204	Basic State Support Level
Section 205	Determining the Amount of State Assistance
	Table 2.1 School Funding Grants
Section 206	Additional State Assistance
Section 207	Costs to be Financed Entirely with Local Funds
Section 208	Study and Survey Application (D-1)
Section 209	Planning Grant Award (D-2)
Section 210	Application for Project Approval (D-3)
Section 211	Project Approval (Form D-4)
Section 212	Application for Preliminary Funding Status (D-5)
Section 213	Deferred Payment
Section 214	Grant of Preliminary Funding Status (D-6)
Section 215	Priority System
	Table 2.2 Priority Scoring Factors
Section 216	Application for Secured Funding Status (D-7)
Section 217	Authorization to Proceed with Bid Openings (D-8)
Section 218	Application to Enter Into Contracts (D-9)
Section 219	Authorization to Sign Construction Contracts (D-10)
Section 220	The Construction Period
Section 221	Application–Release of Retainage (D-11)

Section 222 **Release of Retainage (D-12)**

Section 223 **Annual Reporting for High-Performance Buildings**

Exhibit 2A **Project Checklist**

Exhibit 2B **Sample D-Forms**

Exhibit 2C **Washington Sustainable Schools Checklist**

Section 201–Basic Policy of OSPI

OSPI recognizes:

1. The statutory responsibilities and authority of the district board of directors to determine the type of school facilities it desires to construct for the children of its district.
2. The statutory responsibilities and authority of the OSPI to administer control, set terms and conditions, and disburse allotments to districts to assist them in providing school facilities.

In prescribing these rules and regulations, it shall be the policy of OSPI to:

1. Equalize, insofar as possible, the efforts of districts to provide capital monies.
2. Equalize, insofar as possible, the educational opportunities for the students of the state.
3. Establish a level of state support for the construction and modernization of school facilities consistent with monies available.
4. Recognize that districts may find it necessary to apply local monies in excess of state funding assistance in order to provide facilities commensurate with their respective educational specifications.

The D Forms

The primary documents that form the basis of any agreement between OSPI and the districts are the **"D-form" documents**. These documents, when properly completed and signed by all parties, form the official notices of agreement and intent on behalf of the district and OSPI. The "D-form" documents are more fully explained in the following sections of this chapter.

ALWAYS CHECK THE WEB FOR THE MOST CURRENT D-FORMS!

Section 202–School Construction Assistance Program

The School Construction Assistance Program provides local school districts with state financial assistance for qualifying major construction projects. The types of school facility projects that may receive state assistance in funding are:

1. **New construction**, including additions to existing facilities.
2. **Modernization** or **New-in-lieu of modernization** (replacement of existing facilities).

State assistance is based, in part on a district specific funding assistance percentage, with the goal to equalize (statewide) the local burden of financing school facilities.

Further details of basic state support are found in Chapter 392-343 WAC. **The following categories of work are eligible for state assistance:**

1. Districtwide Study and Survey activities.
2. Developing educational specifications.

3. Architectural and engineering design services fees.
4. Construction of school facilities.
5. Value engineering.
6. Energy conservation reports.
7. Certain special inspections and testing.
8. Furniture and equipment.
9. Constructability reviews.
10. Building commissioning.
11. Construction management.
12. Art (funds provided for art in public places).

See WAC 392-343-120 for a list of costs that are not eligible for state funding assistance.

Section 203–Eligibility for State Funding

Local Funding Sources
Local funding sources will be required to receive state funding assistance. Sources of local funding may include voter approved capital levies and bonds, impact fees, mitigation payments, interest income from the capital project fund, transfers from the district's general fund (with OSPI approval).

State assistance funding follows this formula:

Eligible Area X Construction Cost Allocation X State Funding Assistance Percentage =
Maximum Allowable State Funding Assistance

Three factors determine how much state assistance a district may receive:

1. **Eligible Area**
   Square footage of instructional space for which the state will provide funding assistance. It compares the district's current inventory of instructional space to its projected enrollment, multiplied by the Student Space Allocation (SSA).

2. **Construction Cost Allocation** (CCA)
   The State's recognized costs per square foot of new construction. This amount is established by the legislature in the biennium budget.

3. **State Funding Assistance Percentage**
   The percentage of allowed project cost that will be paid for by the state. It is determined in accordance with the state funding assistance formula in RCW 28A.525.166.

Eligibility for State Funding
A project is eligible for state funding if it meets one or more of the following criteria:

1. **New Construction:** Need for instructional space based on unhoused students.
2. **Modernization or New-in-lieu** (replacement of existing facilities):
    - Need for modernization of an existing facility that satisfies the housing needs of the district and is **more than 20 years old** and has not been modernized under the provisions of Chapter 392-347 WAC in the last 20 years, prior to January 1, 1993.
    - Need for modernization of a facility that was **built after January 1, 1993 and is at least 30 years old.**
    - New-in-lieu replacement of existing facilities is generally subject to the same criteria as modernization.

New Construction for Unhoused Students
State assistance is based upon a projected student enrollment with a space allocation per student compared to existing facility space. Area calculations for facility space shall be calculated and reported in accordance with the instruction included in Exhibits 3 B & D of Chapter 3. For state assistance purposes, per student space allocations are computed in accordance with the following:

1. **School facilities:**
    - Grades K–6 90 ft^2
    - Grades 7–8 117 ft^2
    - Grades 9–12 130 ft^2
    - Students with disabilities 144 ft^2

    Students with disabilities are counted at actual October headcount of each student assigned to a specially designed self-contained classroom for at least 100 minutes per school day.

2. **Vocational skills centers:** 140 ft^2 per 50 percent of enrolled students.

3. **Small high schools** (Grades 9–12) with less than 400 students:
    - 0–100 students 37,000 ft^2
    - 101–200 students 42,000 ft^2
    - 201–300 students 48,000 ft^2
    - 301–400 students 52,000 ft^2

These space allocations are used for purposes of determining eligibility for state assistance and do not necessarily reflect an accurate total of area needs as determined by the educational specifications (see Chapter 6).

Modernization (or New-in-lieu) of Existing Facilities
State funding assistance is not available for projects that do not exceed 40 percent of the Construction Cost Allocation (CCA). Please see the example formulas below:

Examples	
	Total Area x Construction Cost Allocation (CCA) x 40% = Minimum Allowable Construction Cost
	50,000 SF x $180.17 x 40% = $3,603,400

State assistance for modernization projects **shall not exceed one hundred percent of the state recognized cost of new construction** (CCA) of a comparable school facility based on the prevailing level of state support as defined in Chapter 392-343 WAC. Costs exceeding one hundred percent shall be paid by the local district.

Section 204–Basic State Support Level

The basic state support level for funding school facilities is determined by the following factors:

1. **State Funding Assistance Percentage**
   The percentage of project costs that will be paid for by the state. It is determined in accordance with the state funding assistance formula set forth in RCW 28A.525.166.

   The ratio varies in relation to the local district's ability to raise funds measured in terms of assessed value per student. State funding assistance percentages average 50% statewide but vary from a mandated minimum of 20% to 100%. The variation in state funding assistance percentages equalizes the differences in local school district's abilities to fund construction.

   A district's state funding assistance percentage is calculated each calendar year. The applicable state funding assistance percentage is the highest rate determined at these three times during the development process:

   - At time of securing local funding (normally passage of school bond issue).
   - At time of OSPI project approval (Form D-4).
   - At date of secured funding status or authorization to open bids (Form D-8).

State funding assistance percentages can be found on the School Facilities and Organization Web site.

2. **Enrollment Projections**
   The OSPI "K Linear Cohort Projection" model is used along with the square foot allocations described in section 203 to make the determination of eligibility.

   Capacity needs are estimated on the basis of:

   - A three or five-year cohort survival enrollment projection for growth districts, whichever is greater.
   - A three or five-year cohort survival enrollment projection for declining districts, whichever is lesser.
   - Actual enrollment of preschool students with disabilities (at 50%).

3. **Construction Cost Allocation (CCA)**
   The construction cost allocation is the maximum cost per square foot of construction used to calculate the amount of state financial assistance to school districts for construction. An annual CCA is determined through the biennium budget as approved by the legislature.

Section 205–Determining the Amount of State Assistance

State assistance to a district for funding school facilities is illustrated in **Table 2.1**. The amount of financial assistance available in each category is determined by the maximum amount indicated in the table.

Table 2.1 School Construction Assistance Funding Categories

		Multiply the following amounts by the State Funding Assistance Percentage		
Assistance For:	**Applies To:**	**New/Additions**	**Modernization**	**New-in-lieu**
Eligible Construction Cost WAC 392-343-020(2)(a)	Any State Funded Project	Construction Cost Allocation **X** Approved Area	Actual Bid Cost Per SF - Not to Exceed 100% of the Construction Cost Allocation **X** Approved Area	
Educational Specifications WAC 392-343-065	Any State Funded Project greater than 15,000	**Greater of:** (a) 1/4 of 1% (.0025) of Construction Cost Allocation **X** Approved Area **or** (b) $10,000		
Basic Architectural/ Engineering Fees WAC 392-343-070	Any State Funded Project; or Any School Structure Except Barn or Agricultural Building RCW 18.08.410	Fee Percentage from WAC 392-343-070 **X** Construction Cost Allocation **X** Approved Area	1.5 **X** Fee Percentage from WAC 392-343-070 **X** Approved Area **X** lower of: (a) Construction Cost Allocation, or (b) Actual Bid Cost per square foot	Fee Percentage from WAC 392-343-070 **X** Construction Cost Allocation **X** Approved Area
Energy Conservation Report Preparation and Review Fees WAC 392-343-075	Any State Funded Project Over 25,000 Square Feet	Preparation Fee - Up to $10,000 Review Fee - Up to $2,000		
Value Engineering Study Constructability Reviews	Any State Funded Project Over 15,000 SF Optional 15,000–49,999 SF Required over 50,000 SF	**Greater of:** (a) 2/5 of 1% (0.0040) of Construction Cost Allocation **X** Approved Area, **or** (b) $20,000		
Building Commissioning WAC 392-343-080	Any state funded project Greater than 5,001 SF	5,001 SF– 9,999 SF - $7,500 10,000 SF–14,999 SF = $10,000 15,000 SF and above; greater of: a) 2/5 of 1% (0.0040) of construction cost allocation X approved Area or, b) @20,000		
Construction Cost-Saving Incentive WAC 392-343-085	Any State Funded New School or Major Addition Where Actual Bid Cost Per SF is **less** than the Construction Cost Allocation, (An addition must be at Least 50% of the Existing Building Area)	Local Share = 60% of Amount Actual Bid Cost Per SF **below** the Construction Cost Allocation	Does Not Apply	

Furniture and Equipment WAC 392-343-095	Any State Funded Project	Elementary =2% Middle School = 3% High School = 4% Disabled = 5% Trans. Coop = 7% **X** Construction Cost Allocation **X** Approved Area
Special Inspections and Testing WAC 392-343-100	Section 1701 of the IBC	Actual Costs
Construction Management WAC 392-343-102	Any State Funded Project over 50,000 SF, optional less than 50,000 SF	2 ½ % of Construction Cost Allocation **X** SF at time of bid

Costs for any of the above categories that exceed the maximum allowable costs shall be financed by the district. Additional guidance can be found in chapters 392-343 and 392-347 WAC.

The following terms and abbreviations are used in this table

Construction Cost Allocation	See WAC 392-343-060 and WAC 392-343-063	SF	Square Feet
		IBC	International Building Code
Approved Area	See WAC 392-341-040	WAC	Washington Administrative Code
RCW	Revised Code of Washington	WSST	Washington State Sales Tax
		X	Multiply By
State Funding Percentage	See WAC 392-343-025 and WAC 392-343-030		

Section 206–Additional State Assistance

Additional state assistance is available to districts for the following purposes:

1. **School Facility Abatement and Order to Vacate**
   If a school facility is abated and ordered to vacate and required to be replaced as defined in WAC 392-343-115, the district is eligible for additional assistance if the district has authorized the issuance of bonds and/or levying of excess taxes to its legal limit.

2. **Interdistrict Cooperative Centers**
   For interdistrict cooperative projects conforming to provisions of Chapter 392-345 WAC, districts are eligible to receive moneys up to ninety percent of the total project cost determined eligible for state funding assistance. To be eligible, the facility shall meet the following criteria:

   - Provides educational opportunities, including vocational skill programs, not otherwise provided.
   - Avoids unnecessary duplication of specialized or unusually expensive educational programs or facilities.

3. **School Housing Emergency**
   A district with a housing emergency, requiring an allocation of state moneys in excess of the amount allocable under the statutory formula, is eligible for additional assistance if the district has authorized the issuance of bonds to its legal limit.

   The total amount of state monies allocated shall be the district's regular state funding assistance percentage plus 20 percent, but it shall not exceed 90 percent of the total approved project cost determined to be eligible for state funding assistance.

The additional state monies issued shall be subject to recapture by the state, from any future state facility construction funds, if the financial position of the recipient district has improved.

4. **Improved School District Organization**
   OSPI shall provide state funding assistance, based on the total approved costs of the project at 75 percent, if two or more districts reorganize into a single district and the construction of new school facilities results in the elimination of:
   - A high school with a full-time equivalent enrollment in Grades 9–12 of less than 400 students.
   - An elementary school with a full-time equivalent enrollment of less than 100 students.

5. **Racial Imbalance**
   If a district that has a racially imbalanced school facility, as defined in WAC 392-342-025, demonstrates that new construction or modernization eliminates the racial imbalance in accordance with WAC 392-343-115(5), the district may receive an additional ten percent above the district's regular state funding assistance percentage. This amount may not exceed 90 percent of the total approved cost of construction.

   If the school facility does not remain racially balanced for five years, the additional state monies shall be subject to recapture by the state from any future state facility construction funds.

Section 207–Costs to be Financed Entirely with Local Funds

Local funds must be used for the following items as they are not eligible for state funding assistance per WAC 392-343-120:

1. Area in excess of the space allocations in WAC 392-343-035.
2. Acquisition cost of the site.
3. Maintenance and operation.
4. Alterations, repairs, and demolitions (except alterations necessary to connect new construction to an existing building).
5. Central administration buildings.
6. Stadia/grandstands.
7. Costs incidental to advertising for bids, site surveys, soil testing for site purchase, and costs other than those connected directly with construction of facilities.
8. Bus garages, except interdistrict cooperatives.
9. Sales and/or use taxes levied by local governments other than those sales and/or use taxes generally levied throughout the State.
10. All costs in excess of state support level factors established by OSPI.
11. All costs associated with the purchase, installation, and relocation of portable classrooms.

Costs for work performed by district staff for tasks (other than construction management as defined by WAC 392-343-102 shall not be eligible for state funding assistance.

The following Sections refer to the process for school construction. Each section will discuss specific steps and necessary D Forms. See Exhibit 2B for samples of D forms.

Section 208–Study and Survey Application (Form D-1)

The district's first step is to submit Form **D-1** to OSPI which is an application requesting state assistance for a Study and Survey planning grant. See WAC 393-341-020. Districts should begin thinking about high-performance building requirements at this time.

Section 209–Planning Grant Award (Form D-2)

When the application for state assistance for conducting the Study and Survey has been approved, OSPI will issue Form D-2. This form stipulates the amount of the grant money available to the district.

The grant amount is determined by a base sum (determined by the total enrollment of the district) plus a variable allocation based on the district's estimated gross square footage of existing school facilities. This grant may not cover the total cost of conducting the Study and Survey, depending upon the complexity of the district's problems and goals. See Form D-1 in Exhibit 2B for calculation of the grant.

Planning for High Performance Public Buildings (Chapter 39.35D RCW) should be considered in the Study and Survey. After receiving Form D-2, the district completes the Study and Survey in accordance with Chapter 3. Usually, the new Study and Survey is submitted for OSPI review and comment with the district's submittal of Form D-3 (project application).

Section 210–Application for Project Approval (Form D-3)

Form **D-3** is the district's official request to OSPI for project approval. A separate Form D-3 is required for each proposed project.

The district should not submit this form for approval unless they are ready to begin construction on this project within a period of time **not exceeding two years and 90 calendar days** from issuance of Form D-4 (project approval).

Form D-3 must be submitted to OSPI no less than 60 days prior to issuance of D-4 by the OSPI (Dates of issuance vary; contact your Regional Coordinator for dates.) See application approval schedule.

Requests for new-in-lieu replacement of existing facilities must be accompanied by a school board resolution stating that the replaced facility will not be used for instructional purposes after the new facility has been accepted.

Form D-3 provides summary level information about the project. The following are reminders of new Form D-3 requirements:

1. Provide an accurate estimated total construction contract cost and submit construction contract payment schedule.
2. Indicate which High-performance building standard the project will use.

Section 211–Project Approval (Form D-4)

Upon receiving the district's Form D-3, OSPI will either:

1. Deny approval of the project.
2. Grant approval and authorize the amount of square footage eligible for state funding match assistance.

If local funding has been secured, and **Form D-4** has been granted by **January 31,** the project may be eligible for funds released the following July.

If project approval is granted, OSPI will issue Form D-4 stating such approval and also any conditions that may or may not be applicable, including whether OSPI has approved or denied eligibility for additional state assistance (WAC 392-343-115).

Districts should be aware that projects at this stage do not have secured funding until Form D-8 has been issued by OSPI.

Section 212–Application for Preliminary Funding Status (Form D-5)

Upon receipt of Form D-4, the district may proceed as required to:

1. Develop the educational specifications for the project (in accordance with Chapter 6).
2. Select the site for the project (in accordance with Chapter 5).
3. Obtain the capital funds required for the project, and update the project's cash flow information. Include a construction contract payment schedule (Chapter 4).
4. Select the architectural/engineering design team for the project (be sure to discuss requirements of Chapter 39.35D RCW High-Performance Public Buildings).
5. Select the value engineering consultant for the project.
6. Contract for construction management or hire for construction management services.
7. Contract for constructability review.
8. Contract for building commissioning.
9. Begin preliminary Washington Sustainable Schools Protocol (WSSP) or LEED scorecard.

If the district is unable to submit a completed Form D-5 with the educational specifications and certification of availability of capital funds for the project within one year of the date of issuance of Form D-4, it will be required to return to the Form D-3 phase of the process of obtaining state funding assistance.

Section 213–Deferred Payment

A district may proceed with a project at its own financial risk. This process is commonly known as "front funding." At such time as state monies become available, reimbursement **may** be made for the project, provided that the project complies with provisions of Chapter 392-344 WAC.

If the district elects to front fund a project, it must comply with all the rules and regulations designated by OSPI as if the district were receiving state monies in the normal manner.

All front-funded projects require that the district submit a formal request on Form D-5, indicating availability of local funds to cover the entire cost of the project.

Section 214–Grant of Preliminary Funding Status (Form D-6)

When the district submits the D-5 and supporting documents, OSPI will review these documents and issue authorization of preliminary funding status with Form D-6 or Form D-6(1) for front-funded projects.

The authorization offered in Forms D-6 or D-6(1) is subject to the conditions of WAC 392-342-040 and WAC 392-344-107.

The district is reminded that until issuance of Form D-8 or Form D-8(1), for front-funded projects, the district does not have authorization to open bids. Districts that open bids without prior approval may jeopardize state funding assistance.

Section 215–Priority System

State funding for school construction is dependent upon availability of revenue from various sources. If state aid is insufficient to meet all districts' requests, a priority system is imposed. The priority system for funding of school construction projects is stated in WAC 392-343-500 through 392-343-535.

The priority system uses a single scale of values and ranks both growth-related projects (new buildings and additions needed to expand capacity) and condition-related projects (modernization and new construction in lieu of modernization) within the same system. The maximum points that can be received by a growth-related project are 90 and 75 for a condition-related project.

Growth-Related School Projects
Eligible projects to address unhoused students can receive up to 90 points, 65 of which are related to factors unique to growth related school projects. These are:

1. **Unhoused Students**
   The projected percentage of unhoused students is based on enrollment projections for Grades K–8 and 9–12. OSPI projects three–five years into the future using current square foot allocations.

   If a district's percentage of unhoused is less than five percent, a minimum of 15 points is awarded. If the projected percentage of unhoused is between 5–40%, then the 40 remaining points (55 minus 15) are awarded proportionately.

2. **Mid-Range Projection**
   OSPI projects enrollment three years into the future and provides up to five points for a project. The project's point score is first multiplied by the percentage relationship between the 55 points in the unhoused factor and the 5 points in this factor (5/55 = .091). This produces the maximum points a project can be awarded in this category. **The actual points are determined by the relationship between the district's unhoused percentage three years into the future and its unhoused percentage five years into the future.**

3. **Years Unhoused**
   The number of years unhoused factor provides one point per year (up to a maximum of five points) that a district has had an unhoused condition in the past five years.

Modernization or Replacement of Existing School Facilities
Projects eligible due to age, condition, or condemnation can receive up to 75 points, 50 of which are related to factors unique to that type of project.

1. **Health and Safety Factors**
   Up to 20 points can be awarded based on a site evaluation of safety and building code factors. Up to 16 points are awarded based on the applicable score on the building condition evaluation form (BCEF). Up to 4 points are given for failing to meet seismic code and for the presence of asbestos.

2. **Building Condition**
   Building condition is rated on the summary sheet of the BCEF and incorporated into the Study and Survey. Up to 30 points are provided. If the building condition score is 31 or less (indicating "poor" condition), then the maximum 30 points are awarded. If the condition score is 91 or more (indicating no significant problems), then no points are awarded. If the condition score is between these extremes, the points are awarded proportionately. The BCEFs must be audited and certified by a regional coordinator before a project can be prioritized. School districts submit the signed BCEF summary sheet with the Study and Survey. However, for audit purposes, districts need to keep the entire checklist on file.

3. **Cost/Benefit Factor**
   A cost/benefit factor is used to modify the condition score if the proposed project does not correct the problem in the most cost-effective way. If the condition score is less than 40 on the BCEF, up to ten points are deducted from the score if a modernization is proposed on the basis that new construction replacing the old facility would be the most appropriate approach. Similarly, up to ten points are deducted if the condition score is greater than 60 and new construction is proposed rather than modernization.

Common Factors
All projects receive up to 25 points from the following four factors:

1. **Type of Space**
   Depending on the type of space, four–ten points are awarded. Space used for instruction and libraries (classrooms, laboratories, PE teaching space, and learning resource centers) is rated at ten points. Space used in support of instruction (assembly, student services, office space, and classroom/lab service and support) is allowed seven points. Space used for cafeteria/food service spectator seating, covered play areas, and general support is counted at four points. The total value is calculated based on the proportion of the different space types in the project.

2. **Local Priority**
   Local priority provides five points for the district's first priority project, four for its second and so on.

3. **Joint Funding**
   Joint funding for projects in cooperation with other local government entities or private donor is awarded five points. Impact fees and federal construction support funds are not included. To receive the points, the joint funding must equal at least 25 percent of project costs of $1 million or less and increases on a sliding scale to $500,000 for projects costing $10 million and over.

4. **Modified Calendar**
   If the district has adopted a modified school calendar, up to five points are available. A modified calendar or schedule enables students to use school buildings over what the current state capacity standards (WAC 392-343-035) recognize for state assistance purposes.

Table 2.2 Priority Scoring Factors

New Construction

25 Points Maximum	Common Factors
5 Points Maximum	No. of Years Unhoused
5 Points Maximum	Mid-Range Projection
55 Points Maximum	<u>Projected % Unhoused</u> If % unhoused is ≥ 40% = 55 pts. If % unhoused is < 5 %, min. = 15 pts. If % unhoused is between 5–40%, the remaining 40 pts. are proportionally awarded.

Total = 90 Points Maximum

Modernization

25 Points Maximum	1. Type of Space Instructional = 10 pts. max. Support = 7 pts. max. General = 4 pts. max. 2 . Local Priority = 5 pts. max. 3 . Joint Funding = 5 pts. max. 4. Modified School Calendar = 5 pts. max.
30 Points Maximum	<u>Building Condition Score</u> If building score is 31 or less, 30 points are awarded. If building score is 91 or more, 0 points are awarded. If building score is between 31–91, points are awarded proportionally.
20 Points Maximum	Health and safety up to 16 pts. Plus 2 pts. for failure to meet seismic code. Plus 2 pts. for asbestos presence.

Total = 75 Points Maximum

Section 216–Application for Secured Funding Status (Form D-7)

Once the district receives a Form D-6 or D-6(1) (for front funded project), granting of preliminary funding status from OSPI, the design and construction documents for the project may be completed. Form D-7 is submitted by the district to OSPI at the point that the district is ready to receive construction bids. Form D-7 is accompanied by the following documents and approvals as required.

1. Architect/engineer cost estimate for each type of construction on a Form D-7 page # 2. (Refer to Exhibit 2B Sample D-Forms.)
2. Copy of agreement(s) for:
    - Architect/engineer.
    - Value engineering consultant.
    - Construction management.
    - Constructability review.
    - Building commissioning.
    - Educational specification consultant.
    - Energy conservation consultant.
3. Letters of approval from:
    - Fire marshal or fire chief having jurisdiction.
    - Electrical inspector, Department of Labor and Industries or appropriate jurisdiction.
    - Health agency having jurisdiction.
    - Building official having jurisdiction.
    - Washington State Energy Office/Department of General Administration.
    - Washington State Department of Ecology or applicable local jurisdiction.
4. Building area analysis and assignable square footage on forms provided by OSPI (Refer to Exhibit 2B Sample D-Forms).
5. Complete listing of all required special inspections and testing.
6. Copy of district board acceptance of value engineering report and its implementation.
7. Certification by the school district that a constructability review report was completed in accordance with WAC 392-344-085.
8. Architect/engineer building code compliance certification.
9. Electronic copy of contract documents, including addenda. Note: McGraw-Hill/Dodge forwards a copy to OSPI as part of their circulation process.
10. Construction contract payment schedule.

Only special inspections and testing required by the International Building Code (IBC) are considered eligible for state funding assistance.

If the district is unable to submit a completed Form D-7 with all of the required documents and approvals within one year of the date of approval of Form D-5 and submittals, the district will be required to return to the Form D-3 phase of the process.

Bid forms shall provide for a separate bid amount for each of the applicable OSPI funding categories, such as new construction and modernization, as well as non-matchable costs such as off-site improvements. Alternate bids must also be structured to separate bid costs into these categories.

A project will qualify for state funding release each July 1 when:

1. A complete Form D-7, with required attachments, is submitted to and approved by OSPI on or before June 30.
2. The project has secured local funding prior to December 31 of the prior year.
3. The project has OSPI approval (Form D-4) on or before the previous January 31.

Section 217–Authorization to Proceed with Bid Opening (Form D-8)

Upon receiving Form D-7 and submittals, OSPI will review all of the documents. When approved, OSPI will confirm the eligibility of the district and prepare a breakdown of all costs for the project and estimate the amount of each item to be paid by the state and by the district.

OSPI will then include the statement of eligibility and the breakdown of all costs on Forms D-8 or D-8(1) (for front funded projects). Forms D-8 or D-8(1) constitutes authorization to proceed with the bid opening for the project.

Districts are reminded that they are not authorized to open bids on the proposed project until they have received Forms D-8 or D-8(1) from OSPI. Failure to do so may jeopardize state funding assistance.

The district must obtain acceptable bids for construction of the project and submit Form D-9 within 90 days from the date of issuance of Forms D-8 or D-8(1). If this is not accomplished within the stipulated time, the district is required to return to the Form D-3 phase of the process.

Districts are not authorized to sign contracts until a Form D-10 or Form D-10(1) (for front-funded projects) is issued to the district by OSPI.

After evaluation of all bids received, the district's board of directors shall approve a recommendation for award of the base bid contract and alternate bids to the lowest responsible bidder.

Section 218–Application to Enter Into Contracts (Form D-9)

When the bids have been evaluated and the contract amount has been determined, the district must complete Form D-9 and submit it to OSPI with certified copies of the following documents.

1. Each advertisement for bid (two required) together with the publisher's certificate of publication.
2. Signed tabulated statement of all bids received with the bid amounts (including alternates) and the names and addresses of all bidders.
3. School board recommendation for award of contract, including all alternates accepted.
4. Successful bidder's form of proposal.
5. A statement certifying all local and/or other disbursable funds available for the project.
6. Construction contract payment schedule.
7. Resolution certifying intent to construct the project.
8. School district board acceptance of constructability review report and implementation.
9. For modernization projects only, submit a copy of the resolution, by the school board, certifying that the project will be used for instructional purposes for five years and extend the life of the modernized school for at least 20–30 years.
10. Architectural/engineering and Construction Management fee calculations.
11. Final billings for educational specifications, energy conservation report, constructability review, General Administration energy review fee, and value engineering.
12. High-Performance Public Buildings Requirements include:
    - Certification that the district complied with Chapter 39.35D RCW.
    - Design phase - Washington Sustainable Schools Protocol (WSSP) or LEED checklist.
    - Sustainable Building Strategy Summary (2-4 page narrative of sustainable features selected in the protocol).
    - Energy Model Summary.
    - Cost Estimates of the Incremental Increases.

Section 219–Authorization to Sign Contracts for Construction (Form D-10)

Upon receipt of Form D-9 and required submittals, OSPI will review the documents and issue Form D-10 or Form D-10(1) (for front-funded projects).

The D-10 forms allocate state funds for the project and authorize the district and contractor to sign the construction contract.

Districts that receive Form D-10(1), for front-funded projects, will receive a Form D-10 when state assistance is secured for the project.

Section 220–The Construction Period

Immediately following the award of the contract, the district must forward one copy (each) of the following to OSPI:

1. Fully executed contract.
2. Contractor's cost breakdown or schedule of values.
3. Evidence that provision has been made for commercial all-risk property insurance.

Throughout the entire construction period, the district shall make payments on all claims made for services in accordance with the contract provisions and in compliance with the requirements of Chapter WAC 392-344. No payments shall be made on construction claims for work accomplished without certification from the architect/engineer that such work has been completed. Payments for construction work are subject to retainage or a retainage bond in accordance with the provisions of Chapter 60.28 RCW and WAC 392-344-147.

Once the contracted work is underway, the district shall begin preparing and filing regular monthly claims to OSPI (refer to the exhibits in Chapter 10) to report dollars expended by the district. When these claims establish that the district has expended dollars, exceeding the district's portion of the project, reimbursements will commence from OSPI to the district based upon subsequent claims.

During the construction period, copies of all change orders shall be forwarded to OSPI when fully executed. The final contract cost will be determined in accordance with WAC 392-344-150.

Section 221–Application for Release of Retainage (Form D-11)

Upon final completion of the project by the contractor(s), the architect/engineer shall inspect the project to determine compliance with the construction documents. When compliance has been determined, the architect/engineer shall issue a certificate of completion to the district along with a statement of square footage of the completed project. The district shall then accept or reject the project. Release of retainage, whether cash or bond in lieu of cash, shall be made only after OSPI receives the following documents and provides the District with Form D-12 authorization.

1. **Due within 30 days, following official acceptance of the project as complete, transmit Form D-11 with:**
    - A properly executed state invoice voucher.
    - An architect/engineer certificate of completion and statement of square feet of project.
    - A district's board of directors' resolution of final acceptance.
    - A district's board of directors' resolution of acceptance of the building commissioning report.
    - If applicable, a certification that the district submitted information required by Chapter 39.35D RCW High Performance Schools (HPS), and certification that annual monitoring and reporting to OSPI will take place for 5 years after occupancy.

- A certification that the district has submitted apprenticeship utilization information to the Department of General Administration (RCW 39.04.320).

2. **Due within 60 days, following official acceptance of the project as complete are:**
    - A certification by the district's authorized agent that the district has on file all affidavits of wages paid (RCW 39.12.040).
    - A signed statement by the authorized agent of the district that no liens are on file or that a certified list of each lien is on file with the district.
    - An occupancy permit issued by a building official having jurisdiction.

If liens are filed with the district, the amount of each lien plus $3,000 or 25 percent of the amount of each lien (whichever is greater) plus ten percent of the lien claim for court costs shall be withheld from the retainage until each lien is removed.

If the district is administering retainage, whether cash or bond in lieu of cash, the district must also submit releases (due as soon as available following acceptance of the project as complete) from the following Washington State agencies:

1. Department of Revenue.
2. Employment Security Department.
3. Department of Labor and Industries.

Section 222–Release of Retainage (Form D-12)

Upon receipt of all documents described in Section 221, OSPI will issue Form D-12 which grants the release of retainage, except those sums which are to be withheld pending release of any liens which have been filed with the district.

As each lien is withdrawn, further D-12 forms will be issued confirming authority to release appropriate sums from the withheld retainage.

Section 223–Annual Reporting for High-Performance Public Buildings

For five years after occupancy of a new or modernized building, built to high performance standards, districts must report annually to OSPI. See the OSPI website for the annual reporting form. Building use characteristics include energy and water utility usage.

Exhibit 2A–Project Checklist

PROJECT CHECKLIST

SCHOOL DISTRICT: _____ **NO:** _____ **PROJECT:** _____

	REQUIRED YES	REQUIRED NO	DATE RECEIVED	RCVD BY	COMMENTS
FORM D-3	X				
New-in-Lieu (N/L) Resolution (if applicable)					
High Performance Building Standard to be Used	X				
Construction Contract **Quarterly** Pmt Schedule	X				
FORM D-5	X				
S.D. Authorized District Personnel (Resolution)	X				
S.D. Cert./Racial Balance (Resolution)	X				
Cert. of Bond/Levy Passage	X				
Statement of Compliance w/ SEPA WAC 197-11	X				
S.D. Board of Directors Approval of Ed Specs					
Front Funding Letter					
Construction Management Plan					
Preliminary WSSP workplan or LEED scorecard					
Construction Contract **Quarterly** Pmt Schedule	X				
SITE:					
Site Size					
SPI Review/Approval	X				
FORM D-7	X				
Final CM Plan / Lead Individual Qualifications					
Est. Construction Contract **Monthly** Pmt Schedule	X				
CONTRACTS:					
Architect's Contract	X				
Construction Management Contract					
Ed. Specs. Contract					
Value Engineering Contract					
Constructability Review Contract					
Building Commissioning Contract					
Energy Contract					
LETTERS OF APPROVAL FROM:					
Fire Marshal's Approval	X				
Electrical Approval	X				
Health Department Approval	X				
On-Site Sewage Approval (DOE/DOH/County)					
Bldg. Official of Juris. Approval	X				
G.A. Energy Report Approval					
Inspections & Testing List	X				
Arch. Cert. of Compliance w/State Bldg. Code	X				
ARCHITECTURAL ITEMS:					
Architect's Area Analysis	X				
ASF Form	X				
Microfilm	X				
Wage Rates (Chapter 39.12 RCW)	X				
Nondiscrimination (Chapter 49.60 RCW)	X				
Hours of Labor (Chapter 49.28 RCW)	X				
Contractor's Bond (Chapter 39.08 RCW)	X				
Contractor's Reg. (Chapter 18.27 RCW)	X				
Prov. for Physically Hdcp. (Chapter 70.92 RCW)	X				
Apprenticeship Utilization (39.04.320 RCW)	X				
VALUE ENGINEERING and CONSTRUCTABILITY REVIEW:					
S.D. Implementation Report for VE					
S.D. Board of Directors Approval of VE & Impl. Plan					
S.D. Certification that a CR Report was Completed					
BOARD RESOLUTIONS FOR MODERNIZATION PROJECT:					
5-Year Use of Building	X				
30-Year Building Life	X				

FUNDING ASSISTANCE %	Mo./Yr.	%
BOND PASS		
D-4		
D-8		

No. of acres _____ # of kids

ESTIMATED BID DATE: _____

EARLY BID CONTRACTS:	
Site Work	
Asbestos	
Other: _____	

FORM D-9	X			
Advertisements for Bid (Two are required)	X			
Bid Tabulation	X			
S.D. Rec. for Bid Award Including Alternates	X			
Successful Bidder's Form of Proposal	X			
Names/Addresses of Bidders	X			
Statement of Disbursable Funds Available	X			
Construction Contract **Monthly** Pmt Schedule	X			
S.D. Board of Directors Approval of CR & Impl. Plan				
Resolution of Intent to Construct Project	X			
Cert. of Costs-Ed Specs (Final Billing)				
Cert. of Costs-Value Eng. (Final Billing)				
Cert. of Costs-Constructability Review (Final Billing)				
Cert. of Costs-Energy Report (Final Billing)				
Cert. of Costs-GA Energy Review Fee $2,000				
A/E Fee Calculation	X			
Construction Mgmt. Fee Calculation				
Cert. of Costs-Inspection/Test (Estimate)	X			
Certification that S.D. Submitted Information Required by RCW 39.35D (HPPB):				
Design phase WSSP or LEED scorecard				
Sustainable Building Strategy				
Energy Model Summary				
Cost Estimates of Incremental Increase				

updated 5/11/10

Exhibit 2B–The D-Forms

NOTE: Sample D-Forms in this manual may not be the most current.
Always check the website for the most current D-Forms!

FORM D-1	Study and Survey Grant Application
FORM D-2	Study and Survey Planning Grant Award
FORM D-3	Project Application
FORM D-4	Project Approval
FORM D-5	Application for Preliminary Funding Status
FORM D-6	Preliminary Funding Status
FORM D-6(1)	Authority to Proceed with Design Front-Funded Status
FORM D-7	Application to Proceed with Bid Opening • Estimate of Construction Cost • Area Analysis Summary Form • Area Analysis Worksheet • Summary of Assignable Square Feet (ASF) Instructions Space Inventory Categories • Summary of Assignable Square Feet (ASF) by Building
FORM D-8	Authorization to Proceed with Bid Opening with Secured Funding Status
FORM D-8 GC/CM	Authorization to Negotiate Maximum Allowable Construction Cost (MACC) (GC/CM) with Secured Funding Status
FORM D-8(1)	Authorization to Proceed with Bid Opening Front-Funded Status
FORM D-8(1) GC/CM	Authorization to Negotiate MACC (GC/CM) Front-Funded Status
FORM D-9	Application for Authorization to Sign Contracts
FORM D-9 GC/CM	Application for Authorization to Sign MACC Agreement
FORM D-10	Authorization to Sign Contracts with Secured Funding Status
FORM D-10 GC/CM	Authorization to Sign General Contractor/Construction MAAC with Secured Funding Status
FORM D-10 (1)	Authorization to Sign Contracts with Front-Funded Status
FORM D-10 (1) GC/CM	Authorization to Sign General Contractor/Construction Manager MACC Contract Documents Front Funded Status
FORM D-11	Application to Release Retainage

OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6285 TTY (360) 664-3631

FORM D-1
STUDY AND SURVEY GRANT APPLICATION

The D-1 is an application for a grant to assist with the cost of preparing a *Study and Survey* of existing and proposed facilities in accordance with WAC 392-341-030 (Refer to Chapter 3 of the *School Facilities Manual)*.

To determine if your district is eligible to receive a study and survey grant, please contact your regional coordinator.

SCHOOL DISTRICT INFORMATION

School District: _____ No. _____ County: _____
Address: _____ Contact Person: _____
City: _____ Telephone: _____
Zip Code: _____ Fax: _____
E-Mail: _____

School districts are eligible for a study and survey grant once every six years.

The calculation of the grant is based on the following table.

CALCULATION OF GRANT
Oct. 1 Headcount Enrollment
Existing sq. ft. according to OSPI Inventory (Report 3)

Headcount Enrollment Categories

Enrollment of 1 to 500	$4,000 + $.03 / Sq. Ft.
Enrollment of 501 to 3,000	$4,500 + $.02 / Sq. Ft.
Enrollment of 3,001 to 10,000	$6,000 + $.0175 / Sq. Ft.
Enrollment of Above 10,000	$9,000 + $.015 / Sq. Ft.

Date: _____ Signature: _____
School District Superintendent

Return completed form to: School Facilities and Organization
Office of Superintendent of Public Instruction
Old Capitol Building
PO BOX 47200
OLYMPIA WA 98504-7200
Fax Number: (360) 586-3946

FORM D-1 (Rev. 7/06)

Back to D Form List

OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6285 TTY (360) 664-3631

FORM D-2
STUDY AND SURVEY PLANNING GRANT AWARD

The D-2 is notification of the grant amount awarded to the district for the purpose of completing the study and survey. See the School Facilities Manual for information on the Study and Survey and on High Performance Building Requirements.

SCHOOL DISTRICT INFORMATION

School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	
Zip Code:		Fax:	
		E-Mail:	

GRANT INFORMATION

In accordance with WAC 392-341-030, a grant in the amount of **$0** has been awarded to your school district by the Superintendent of Public Instruction.

Two copies of the completed study and survey shall be submitted to the Office of Superintendent of Public Instruction, Facilities and Organization Section.

Payment of state funds will be made on a one-time reimbursement basis following receipt of:

1) Two copies of the completed study.
2) Study and Survey Claim Form SPI 1482.
3) Copy of district payment voucher and final vendor billing.

Claims for payment should be filed within one year after the date of this grant.

If you have any questions, please contact your regional coordinator.

CALCULATION OF GRANT	
Oct. 1 Headcount Enrollment:	0
Existing sq. ft. (according to OSPI Report 3):	0
Headcount Enrollment Categories	
Enrollment of 1 to 500	$4,000 + $.03 / Sq. Ft.
Enrollment of 501 to 3,000	$4,500 + $.02 / Sq. Ft.
Enrollment of 3,001 to 10,000	$6,000 + $.0175 / Sq. Ft.
Enrollment of Above 10,000	$9,000 + $.015 / Sq. Ft.

HIGH-PERFORMANCE BUILDINGS

Please take into consideration the new requirements in **RCW 39.35D High Performance Public Buildings** in the Study and Survey.

SUPERINTENDENT OF PUBLIC INSTRUCTION

Date of Grant: _____ _____

FORM D-2 (Rev. 4/10)

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Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6295 TTY (360) 664-3631 FAX (360) 586-3046

FORM D-3
PROJECT APPLICATION

The D-3 is an application for project approval for state assistance for new construction and/or modernization of a school facility. Please contact your regional coordinator for any additional required information that may need to be submitted with this application.

SCHOOL DISTRICT INFORMATION

School District: _____ No. _____ County: _____
Address: _____ Contact Person: _____
City: _____ Telephone: ( ) _____
Zip Code: _____ Fax: ( ) _____
E-Mail: _____

PROJECT INFORMATION

Project Name: _____

Proposed Project Type:

		office use only
New Facility/Unhoused Students	_____ sf	sf
New Construction/Addition to Existing	_____ sf	sf
Modernization	_____ sf	sf
New Construction-in-Lieu of Mod (N/L)	_____ sf	sf

Total area of existing facility: _____ sf

Estimated total of **all** project costs: $ _____

Estimated total **construction contract** cost: $ _____

(submit with this form an estimated construction contract quarterly payment schedule, found at www.k12.wa.us/SchFacilities/FormsApplications/D-Forms.aspx)

Estimated bid date: Mo. _____ Yr. _____

Local matching funds secured: Yes _____ No _____

If yes, when were they secured? Mo. _____ Yr. _____

What was the amount? $ _____

If no, when is election scheduled? Mo. _____ Yr. _____

Do you intend to front-fund this project? Yes _____ No _____

Funding Source(s):
_____ Bond
_____ Capital Levy
_____ Impact Fees

ADDITIONAL PROJECT INFORMATION

It is understood this project will use traditional public works (Design/Bid/Build). Please indicate here if the project will use Alternative Public Works ____.

High Performance: Indicate which High Performance Building standard this project will use:

____ Washington Sustainable Schools Protocol
____ LEED (silver) ____ LEED for Schools (silver)
____ Impracticable OR ____ Not Applicable (Attach description for either for OSPI determination)

Date: _____ Signature: _____
School District Superintendent

FORM D-3 (Rev. 1/09)

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OLYMPIA WA 98504-7200
(360) 725-6265 TTY (360) 664-3631 FAX (360) 586-3046

FORM D-4
PROJECT APPROVAL

The D-4 is notification that the Superintendent of Public Instruction has approved eligibility for state assistance for this school project. The district is authorized to prepare educational specifications, select and/or evaluate a site, and to select and contract for architectural/engineering and construction management services.

Page 2 is a preliminary analysis of state and local shares of eligible project amounts. Actual project costs may exceed these amounts.

If you have any questions regarding this project, please contact your regional coordinator.

School District:	0	County:	
Address:		Contact Person:	
City:		Telephone:	
Zip Code:		Fax:	
		E-Mail:	

APPROVED PROJECT INFORMATION

Project Name: 0

Project Type:

New Facility/Unhoused Students	0	sf
New Construction/Addition to Existing	0	sf
Modernization	0	sf
New Construction-in-Lieu of Mod (N/L)	0	sf

Estimated Bid Date: Jul-10 **2009 state funding assistance % applies** 0.00%

APPRENTICESHIP UTILIZATION
This project is subject to RCW 39.04.320 - Apprenticeship utilization training program.

ARCHEOLOGICAL AND CULTURAL RESOURCES
This project is subject to Executive Order 05-05. For information contact Department of Archaeology & Historic Preservation (DAHP) at www.dahp.wa.gov.

HIGH PERFORMANCE
This project may be subject to RCW 39.35D High Performance Public Buildings.

THIS PROJECT DOES NOT HAVE A COMMITMENT OF STATE FUNDS

There is no commitment whatsoever by the Office of Superintendent of Public Instruction or the State of Washington to any amount of state assistance for this project. (WAC 392-341-043)

TIME LIMIT

A complete D-5 Application for Preliminary Funding Status must be received and approved by the Office of Superintendent of Public Instruction by the compliance due date. (WAC 392-342-050)

COMPLIANCE DUE DATE: _____
(one year from approval date)

ELIGIBLE RELEASE DATE FOR THIS PROJECT MAY BE JULY 1, 2011

SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date: _____ _____

FORM D-4 (Rev. 3/10) Page 1

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School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6295 TTY (360) 664-3631 FAX (360) 586-3946

FORM D-4
PROJECT APPROVAL

PROJECT INFORMATION

Project Name: _____
School District: _____

APPROVED PROJECT INFORMATION

Project Type: _____

			(Estimated) Bid Date:	Jul-10
New Construction:	0	sf	FY 2011 Construction Cost Allocation:	$180.17
Modernization:	0	sf	Grade Span:	K-5
New-in-Lieu of Mod:	0	sf	Equipment % Allowance:	2.00%
			Matchable Tax Rate:	7.00%

State Funding Assist. %: 0.00% 2009 state funding assistance % applies

FINANCIAL ANALYSIS ----- Based on eligible square footage -----

	NEW UNHOUSED	MODERNIZATION	NEW-IN-LIEU
ELIGIBLE AREA:	0	0	0
CONSTRUCTION COST:	$0.00	$0.00	$0.00
MATCHABLE TAX:	$0.00	$0.00	$0.00
TOTAL COST:	$0.00	$0.00	$0.00
COST/SF:	$0.00	$0.00	$0.00

	PROJECT TOTAL	= STATE SHARE	+ LOCAL SHARE
1. New Construction Unhoused:	$0.00	$0.00	$0.00
2. New Construction-in-Lieu of Mod:	$0.00	$0.00	$0.00
3. Modernization @ 40% (Minimum):	$0.00	$0.00	$0.00
4. Modernization @ 100% (Maximum):	$0.00	$0.00	$0.00
5. A/E Fee New or New-in-Lieu:	$0.00	$0.00	$0.00
6. A/E Fee Mod @ 40% (Minimum):	$0.00	$0.00	$0.00
7. A/E Fee Mod @ 100% (Maximum):	$0.00	$0.00	$0.00
8. Construction Management Services:	$0.00	$0.00	$0.00
9. Educational Specifications:	$0.00	$0.00	$0.00
10. Value Engineering Report:	$0.00	$0.00	$0.00
11. Constructability Review:	$0.00	$0.00	$0.00
12. Building Commissioning Report:	$0.00	$0.00	$0.00
13. Energy Report:	$0.00	$0.00	$0.00
14. GA Energy Report Review Fee:	$0.00	$0.00	$0.00
15. Inspection and Testing Services:	$0.00	$0.00	$0.00
16. Equipment Allowance New:	$0.00	$0.00	$0.00
17. Equipment Allowance Mod @ 100%:	$0.00	$0.00	$0.00
Total Maximum New Project:	$0.00	$0.00	$0.00
Total Mod Project @ 40% (Minimum):	$0.00	$0.00	$0.00
Total Mod Project @ 100% (Maximum):	$0.00	$0.00	$0.00
Total New-in-Lieu Project:	$0.00	$0.00	$0.00

FORM D-4 (Rev. 8/07) Page 2

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FORM D-5
APPLICATION FOR PRELIMINARY FUNDING STATUS

The D-5 is an application requesting the Office of Superintendent of Public Instruction to grant preliminary funding status for any project with secured local capital funds and project approval (D-4) (Refer to Chapter 5 of the *School Facilities Manual*). If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name: _____

School District: _____ County: _____

Address: _____ Contact Person: _____

City: _____ Telephone: _____

Zip Code: _____ Fax: _____

E-Mail: _____

EDUCATIONAL SPECIFICATIONS AND SITE INFORMATION

Transmitted with this form are the following:

1. Resolution with signature(s) of authorized district personnel.
2. Resolution certifying that the site will not create or aggravate racial imbalance.
3. Letter certifying that the school district has obtained capital funds for this project including the date of passage and type of capital funds available.
4. Statement of compliance with chapter 197-11 WAC SEPA rules and a copy of the lead agency decision at completion of the SEPA review process.
5. Copy of school district's board of directors' minutes approving educational specifications.
6. If authority to proceed using local funds is desired, a letter stating the district's intent to **"front fund"** the project must be submitted.
7. Construction Management Plan outlining the use of school district personnel, private contractor, or a combination of both (if applicable).
8. Estimated construction contract quarterly payment schedule. *(found at www.k12.wa.us/SchFacilities/default.aspx)*
   ESTIMATED BID DATE: _____ *(Should align with estimated quarterly payment schedule)*
9. **High Performance:** Preliminary Washington Sustainable Schools Protocol or LEED scorecard.
10. **Alternative Public Works:** *If applicable:*
    a. School district board approval to use GC/CM.
    b. Letter of approval from CPARB.
    c. Copy of proposed bid package plan indicating scope, schedule, and estimated cost of anticipated early bid packages and estimated date of final MACC negotiation.
    d. Each published advertisement and affidavit for GC/CM services.
    e. Resolution certifying that the district intends to comply with RCW 39.10.

By signing this Form D-5 the district certifies that:

In accordance with WAC 392-342-020 the district has considered the following:

1. The property upon which the school facility is or will be located is free of all encumbrances that would detrimentally interfere with the construction, operation, and useful life of the facility.
2. The site is of sufficient size to meet the needs of the facility. **Site Acres** _____ **Planned No. of Students** _____
3. A site review or predesign conference has been conducted with all appropriate local code agencies in order to determine design constraints.
4. A geotechnical engineer has conducted a limited subsurface investigation to gather basic information regarding potential foundation and subgrade performance.

Date: _____ Signature: _____
Authorized District Personnel

A/E Firm: _____	Construction Manager: _____
Address: _____	Organization (if applicable): _____
_____	Address: _____
Phone: _____ Fax: _____	Phone: _____ Fax: _____
E-Mail: _____	E-Mail: _____

FORM D-5 (Rev. 1/09)

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OLYMPIA WA 98504-7200
(360) 725-6265 TTY (360) 664-3631

FORM D-6
PRELIMINARY FUNDING STATUS

The D-6 is notification that the Office of Superintendent of Public Instruction has granted preliminary funding status for this school project. The district is authorized to proceed with project design and construction management services as appropriate. If applicable, the district is also authorized to complete the energy conservation report, a value engineering study, constructability review, and contract for building commissioning.

This project **does not have** a commitment of state funding assistance and is proceeding at its own financial risk.

If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name: _____

School District: _____ No. _____ County: _____

Address: _____ Contact Person: _____

City: _____ Telephone: _____

Zip Code: _____ Fax: _____

E-Mail: _____

THIS PROJECT DOES NOT HAVE SECURED FUNDING

The district is proceeding at its own financial risk (WAC 392-343-057). The state funding assistance for this project is limited to the eligible square footage, the maximum construction cost allocation, and the priority standing of the project as determined pursuant to the state building assistance rules in effect upon receipt of this form (WAC 392-342-057).

TIME LIMIT

A complete D-7 Application to Proceed with Bid Opening must be received and approved by the Office of Superintendent of Public Instruction by the compliance due date and prior to the opening of bids for this project (WAC 392-344-107).

COMPLIANCE DUE DATE: See Form D-8

ELIGIBLE RELEASE DATE FOR THIS PROJECT IS JULY 1, 2011

SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date: _____ _____

FORM D-6 (Rev. 4/10)

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OLYMPIA WA 98504-7200
(360) 725-6265 TTY (360) 664-3631

FORM D-6(1)
AUTHORITY TO PROCEED WITH DESIGN
FRONT-FUNDED STATUS

The D-6(1) is notification that the Office of Superintendent of Public Instruction has received and approved the school district application for preliminary funding status (D-5). The district is authorized to proceed with project design and construction management services as appropriate based on the district's request to front-fund this project. If applicable, the district is also authorized to complete the energy report, a value engineering study, a constructability review, and contract for building commissioning. This project **does not have** a commitment of state funds and is proceeding at its own financial risk.

If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name: _____

School District: _____ No. _____ County: _____

Address: _____ Contact Person: _____

City: _____ Telephone: _____

Zip Code: _____ Fax: _____

E-Mail: _____

THIS PROJECT DOES NOT HAVE SECURED FUNDING

The district is proceeding at its own financial risk (WAC 392-343-057). The state funding assistance for this project is limited to the eligible square footage, the maximum construction cost allocation, and the priority standing of the project as determined pursuant to the state building assistance rules in effect upon receipt of this form (WAC 392-342-057).

TIME LIMIT

A complete D-7 Application to Proceed with Bid Opening must be received and approved by the Office of Superintendent of Public Instruction by the compliance due date and prior to the opening of bids for this project (WAC 392-344-107).

COMPLIANCE DUE DATE: _____
(one year from approval date)

ELIGIBLE RELEASE DATE FOR THIS PROJECT MAY BE JULY 1, 2011

SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date: _____ _____

FORM D-6(1) (Rev. 4/10)

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FORM D-7
APPLICATION TO PROCEED WITH BID OPENING [DESIGN/BID/BUILD]
APPLICATION TO NEGOTIATE MACC [GC/CM]

The D-7 is a two-page application requesting the Office of Superintendent of Public Instruction to grant secured funding status (WAC 392-344-107) or authority to proceed with bid opening or negotiation of Maximum Allowable Construction Cost (MACC) for front-funded projects (WAC 392-343-057).
If you have any questions regarding this form, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:			
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	( )
Zip Code:		Fax:	( )
		E-Mail:	

DESIGN COST ESTIMATE

Total New Construction: (Including new-in-lieu)		sf	From D-7 page 2 line 3 of A.
Total Modernization:		sf	From D-7 page 2 line 3 of B.
Total Nonmatchable Construction:		sf	From D-7 page 2 line 3 of C.
Tax Rate in Excess of Matchable 7.0%:		%	
New Construction Cost (Estimated):	$		Total A from D-7 page 2.
Modernization Cost (Estimated):	$		Total B from D-7 page 2.
Nonmatched Construction Cost (Estimated):	$		Total C from D-7 page 2.
Other Nonmatchable Components (Estimated):	$		Total D from D-7 page 2.
Educational Specifications Cost:	$		Total cost for preparing ed specs.
Value Engineering Report Cost:	$		Total cost of value engineering study.
Constructability Review Report Cost:	$		Total cost of constructability review.
Building Commissioning Cost:	$		Total cost from contract.
Energy Report Cost:	$		Total cost of energy conservation report.
GA Energy Report Review Fee:	$		Total cost of review.
A/E Fee New Construction: (Including new-in-lieu)	$		Total A/E fee from contract.
A/E Fee Modernization:	$		Total A/E fee from contract.
A/E Fee Nonmatchable Construction:	$		Total A/E fee from contract.
Construction Management Services:	$		Total cost.
Inspection and Testing Services: New	$		From D-7 page 2 line 1 of E.
Mod	$		From D-7 page 2 line 2 of E.
Nonmatchable	$		From D-7 page 2 line 3 of E.

Transmitted with this form are the following:

1. Architectural/engineering estimate of construction cost from D-7 page 2.
2. Estimated construction contract monthly payment schedule. *(found at www.k12.wa.us/SchFacilities/default.aspx)*
3. Construction Management Services: CM contract (if applicable), CM plan, financial breakout of plan, and qualifications of CM lead individual.
4. Contracts:
   - A. Architectural and Engineering
   - B. Educational Specifications
   - C. Value Engineering
   - D. Constructability Review
   - E. Building Commissioning
   - F. Energy Report
   - G. GC/CM Preconstruction Services
5. Letters of approval of the construction documents from:
   - A. Fire Marshal (local or state)
   - B. Electrical (local or state)
   - C. Health Agency
   - D. Building Official
   - E. General Administration Energy Report
   - F. On-Site Sewage (if applicable)
6. Area analysis summary form, worksheets, and assignable square footage forms.
7. Complete listing of special inspections and testing (Section 1701 of the IBC).
8. School district board acceptance of value engineering report and implementation and a copy of implementation plan.
9. Certification by the school district that a constructability review report was completed.
10. Contract documents forwarded by F.W. Dodge.
11. Certification by the architect of compliance with state building code.

Date: _____ Signature: _____
Authorized District Personnel

FORM D-7 (Rev.1/09) Page 1 of 2

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FORM D-7
ESTIMATE OF CONSTRUCTION COST

Page 2 of the D-7 is a cost estimate of construction to be completed and signed by the architect/engineer (WAC 392-344-085). The square footage on this form should match the area analysis form. If you have any questions regarding this form, please contact your regional coordinator.

PROJECT INFORMATION

Project Name: _____

School District: _____

Square Footage From Area Analysis Summary Form

A. NEW CONSTRUCTION: (Including new-in-lieu replacement)

1	_____ sf	Base Bid	$		
2	_____ sf	Alternates	$		
3	_____ sf	Total Base Bid + Alternates	$		
		7.0% Matchable Tax	$	(On Total Base Bid + Alternates)	
		Subtotal A	$		
		Excess tax above 7.0%	$	(On Total Base Bid + Alternates)	
				Total A	$

B. MODERNIZATION:

1	_____ sf	Base Bid	$		
2	_____ sf	Alternates	$		
3	_____ sf	Total Base Bid + Alternates	$		
		7.0% Matchable Tax	$	(On Total Base Bid + Alternates)	
		Subtotal B	$		
		Excess tax above 7.0%	$	(On Total Base Bid + Alternates)	
				Total B	$

C. NONMATCHABLE CONSTRUCTION:

1	_____ sf	Base Bid	$		
2	_____ sf	Alternates	$		
3	_____ sf	Total Base Bid + Alternates	$		
		7.0% Matchable Tax	$	(On Total Base Bid + Alternates)	
		Subtotal C	$		
		Excess tax above 7.0%	$	(On Total Base Bid + Alternates)	
				Total C	$

D. OTHER NONMATCHABLE COMPONENTS:

	Off-Site Work	$	Off property roads, sewer, electrical hookups etc.
	Building Demolition	$	Existing building only (not interior work)
	Hazardous Waste Abate.	$	
	Total of Nonmatch Components	$	
	7.0% Matchable Tax	$	(On Total Nonmatch Components)
	Excess tax above 7.0%	$	(On Total Nonmatch Components)
		Total D	$

PROJECT TOTAL $ _____
(Add All Totals A, B, C, D)

E. INSPECTION AND TESTING COST ESTIMATE:

1	New Construction	$	Estimate cost for independent inspections/tests as
2	Modernization	$	required by Section 1701 of the IBC.
3	Nonmatchable	$	(Place these estimates on D-7 page 1)

Date: _____ Signature: _____
Architect

FORM D-7 (Rev. 11/08) Page 2 of 2

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FORM D-7
AREA ANALYSIS SUMMARY FORM

The D-7 Area Analysis Summary Form is used to summarize the gross square footage from the D-7 area analysis worksheets (WAC 392-343-019). Separate worksheets must be included for each type of construction and for additive or deductive alternates (including alternate bid number[s]). Alternates must also be separated by type of construction.

The D-7 Area Analysis Summary Form must also include 8 1/2" x 11" plan sheet(s) with area numbers and type of construction (new construction, modernization, nonmatchable) indicated.

If you have any questions regarding this form, please contact your regional coordinator.

PROJECT INFORMATION

Project Name: _____

School District: _____

A. NEW CONSTRUCTION: including new-in-lieu replacement

1. Base Bid Area: _____ sf (from Worksheet ___ of ___)
   Enter on line 1 of A on Form D-7 page 2
2. Alternate New Bids: _____ sf (from Worksheet ___ of ___)
   Enter on line 2 of A on Form D-7 page 2
3. Total New Construction: _____ sf
   Enter on line 3 of A on Form D-7 page 2

B. MODERNIZATION: of existing building areas

1. Base Bid Area: _____ sf (from Worksheet ___ of ___)
   Enter on line 1 of B on Form D-7 page 2
2. Modernization Alternates: _____ sf (from Worksheet ___ of ___)
   Enter on line 2 of B on Form D-7 page 2
3. Total Modernization: _____ sf
   Enter on line 3 of B on Form D-7 page 2

C. NONMATCHABLE CONSTRUCTION:

Alterations in ineligible buildings and/or areas, or noninstructional areas (WAC 392-343-019)

1. Base Bid Area: _____ sf (from Worksheet ___ of ___)
   Enter on line 1 of C on Form D-7 page 2
2. Alteration Alternates: _____ sf (from Worksheet ___ of ___)
   Enter on line 2 of C on Form D-7 page 2
3. Total Alteration Area _____ sf
   Enter on line 3 of C on Form D-7 page 2

1. Number of regular classroom teaching stations: _____

2. Number of specially designated teaching stations for students with disabilities: _____

Prepared by: _____

Date Prepared: _____ Architecture/Engineering Firm: _____

D-7 Area Analysis Summary Form (Rev. 7/06)

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FORM D-7
AREA ANALYSIS WORKSHEET

The purpose of the D-7 Area Analysis Worksheet is to identify areas of construction by project and bid type (WAC 392-343-019). List only one project type and bid type per worksheet.

PROJECT INFORMATION

Project Name:_____ School District:_____

PROJECT TYPE: (check one type only for each worksheet)

A. New Construction: ☐ **(Including new-in-lieu replacement)** **B. Modernization:** ☐ **C. Nonmatchable Construction:** ☐

BID TYPE: (check one type only for each worksheet)

1. Base Bid: ☐ **2. Alternate Bid:** ☐

Area No.	Area Name (Classrooms, Gym, Bldg. Numbers, etc.)	Dimensions (feet/decimal feet) (Length)	(Width)	Area Factor Full	One-half	Area Square Feet
EXAMPLE						
1	Classroom Wing	35.5'	120.33'	1		4,272

Date:_____ Circle: Project Type: A B C Bid Type: 1 2 Total _____

A/E Firm:_____ Prepared By:_____ Worksheet ____of____

D-7 Area Analysis Worksheet (Rev. 7/06)

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FORM D-7
ASF ATTACHMENT
SUMMARY OF ASSIGNABLE SQUARE FEET (ASF) INSTRUCTIONS
SPACE INVENTORY CATEGORIES

This is a two page attachment for the D-7 Summary of Assignable Square Feet (ASF) form. Square footage for each project type is to be identified according to the following three categories; Direct Instructional Space, Instructional Support Space, and Program Support Space. Shared or other space such as multi-purpose facilities used for two or more functions are allocated by prorating the hours of use per week among the three categories. In addition, there is another type of space, which is called non-assignable spaces. These are not to be counted or included on the Summary of Assignable Square Footage form.

1. DIRECT INSTRUCTIONAL SPACE

A. Classrooms
Rooms used by classes, which do not require special purpose equipment for student use or rooms used as an extension of activities of the classroom. Includes lecture rooms, group music rooms, lecture-demonstration rooms and seminar rooms.

B. Laboratories
Rooms used for classes, which require special purpose equipment for student participation, experimentation, observation or practice in a field of study. Includes science labs, language labs, music practice rooms, computer and keyboard labs, and vocational labs.

C. Library Space
Facilities used to provide storage for books and audio-visual materials and areas for individual study. Includes reading rooms, study rooms, circulation desk, card catalog, microfilm processing, and audio-visual record playback areas.

D. Learning Resources
Rooms used for the production and distribution of audio-visual, radio and TV materials and for the operation of equipment for TV studios, radio studios, graphic library, tape library, control room, video tape recorder room, and recording room.

E. Physical Education Teaching Space
Facilities used for physical education and athletics. Includes gymnasium, basketball courts, handball courts, swimming pool, wrestling rooms, etc. and related service areas such as locker rooms and associated lavatories. Excludes spectator seating, ticket booths, etc.

2. INSTRUCTIONAL SUPPORT SPACE

A. Assembly
Facilities including theaters, concert halls and related service areas such as checkrooms, coatrooms, projection rooms, storage areas, control rooms, etc.

B. Service and Support
Service areas directly related to instruction such as projection rooms, preparation rooms, resource rooms, coatrooms, and rooms used to store classroom, laboratory, P.E. and library supplies and equipment.

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2. INSTRUCTIONAL SUPPORT SPACE (continued)

C. Student Services
Facilities used by students for health services, clubs, counseling, etc. Includes counseling rooms, lounge areas, detention rooms, student health and related service areas such as closets, equipment rooms, dispensaries, etc.

D. Office Space
Rooms used by faculty, staff or students working at desks and rooms used for non-class group meetings. Includes offices, conference rooms and related service areas such as vaults, mimeograph rooms, interview rooms, office supply rooms, closets, etc.

3. PROGRAM SUPPORT SPACE

A. Cafeteria/Food Service
Facilities used for dining and related storage and preparation.

B. General Support Space
Areas used for institution-wide services. Includes data processing areas, maintenance areas, vehicle storage areas, central receiving areas, and related service areas such as supply storage areas, closets, equipment rooms, etc.

C. Covered Play Areas (Count at 1/2 SF)
Facilities providing covered play space required to be counted as 1/2 area by School Facilities Procedures Manual, Chapter 3.

Other (To Be Allocated to Above Categories)

Multi-Purpose
Facilities used for two or more of the following functions: physical education (1E), assemby (2A) and/or cafeteria (3A). **NOTE:** Allocate on the basis of proportion of hours of use per week.

Non-Assignable Spaces (do not enter on ASF Form)

The following space types should not be included in the totals.

- Hallways, stairwells and other circulation space
- Mechanical rooms
- Janitorial closets
- Restrooms unless accessed only by a classroom or included in a locker room
- Structural space, e.g., the thickness of interior and exterior walls

Assignable SF Instructions (Rev. 3/00)

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6285 TTY (360) 664-3631

FORM D-7
SUMMARY OF ASSIGNABLE SQUARE FEET (ASF) BY BUILDING

The ASF form identifies the type of space resulting from the project (often referred to as net square footage). The information is used for ranking projects should inadequate funding require the implementation of a priority system. The project architect completes and signs a form for each type of construction (i.e., new or modernization). If more than one page is submitted, a separate summary page must be completed. A separate column is used for each building or area.

Instructions for assigning individual spaces are attached.

PROJECT INFORMATION

Project Name:_____ School District:_____

Architectural Firm:_____ A/E Tel: (____)_____

Project Architect:_____ A/E Fax: (____)_____

A/E E-Mail: _____

PROJECT TYPE (one page per type):

A. New: ☐ B. Modernization: ☐ C. Nonmatchable Construction: ☐

(Including new-in-lieu replacement)

	Building and/or Area Name (s)					
						TOTAL
1. DIRECT INSTRUCTIONAL SPACE						
A. Classrooms						
B. Laboratories						
C. Library						
D. Learning Resources						
E. Physical Education						
Share of Multipurpose						
					Total	
2. INSTRUCTIONAL SUPPORT SPACE						
A. Assembly						
B. Service and Support						
C. Student Services						
D. Office Space						
Share of Multipurpose						
					Total	
3. PROGRAM SUPPORT SPACE						
A. Cafeteria/Food Service						
B. General Support Space						
C. Covered Play Area						
Share of Multipurpose						
					Total	

Date:_____ Prepared By:_____ Page___of___

D-7 Summary of Assignable SF (Rev. 9/01)

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6265 TTY (360) 664-3631

FORM D-8
AUTHORIZATION TO PROCEED WITH BID OPENING WITH SECURED FUNDING STATUS

The D-8 is notification that the Office of Superintendent of Public Instruction has granted secured funding status for this project. The district is authorized to proceed with the bid opening for this project. This secured funding status will expire 90 days from the issuance date of this D-8 unless a complete D-9 Application for Authorization to Sign Contracts is received by the Office of Superintendent of Public Instruction.

If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:			
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	
Zip Code:		Fax:	
		E-Mail:	

APPROVED PROJECT INFORMATION

Project No:

New Construction:	0	sf	Construction Cost Allocation:		$180.17
Modernization:	0	sf	Grade Span:		K-6
New-in-Lieu of Mod:	0	sf	2010 State Funding Assistance % Applied:		0.00%
			Equipment % allowance:		2.00%

FINANCIAL ANALYSIS ------ Based on data from the D-7 ----------

	NEW CONSTRUCTION	MODERNIZATION	NEW-IN-LIEU
TOTAL AREA:	0	0	0
EXCESS AREA:	0	0	0
CONSTRUCTION COST:	$0.00	$0.00	$0.00
MATCHABLE TAX:	$0.00	$0.00	$0.00
TOTAL COST:	$0.00	$0.00	$0.00
COST/SF:	$0.00	$0.00	$0.00

Matchable Tax Rate:	7.00%	Local Tax Rate:	0.00%
A/E Fee New Construction:	0	Ed. Spec. Cost:	0
A/E Fee Modernization:	0	Value Eng. Cost:	0
A/E Fee New-in-Lieu:	0	Constr. Review Cost:	0
Construction Management Cost:	0	Bldg. Commiss. Cost:	0
		Energy Report Cost:	0
		GA Energy Review:	0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
1. New Construction:	$0.00		$0.00		$0.00
2. New Construction Excess:	$0.00		**********		$0.00
3. Cost Savings Incentive:	**********		$0.00		$0.00
4. Modernization Cost:	$0.00		$0.00		$0.00
5. Modernization Excess:	$0.00		**********		$0.00
6. New-in-Lieu Construction Cost:	$0.00		$0.00		$0.00
7. New-in-Lieu Excess:	$0.00		**********		$0.00
8. Tax Excess:	$0.00		**********		$0.00
SUBTOTAL	$0.00		$0.00		$0.00

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School District: 0
Project Name: 0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
SUBTOTAL (from Page 1)	$0.00		$0.00		$0.00
9. A/E Fee New Construction:	$0.00		$0.00		$0.00
10. A/E Fee New Construction Excess:	$0.00		**********		$0.00
11. A/E Fee Modernization:	$0.00		$0.00		$0.00
12. A/E Fee Modernization Excess:	$0.00		**********		$0.00
13. A/E Fee New-in-Lieu:	$0.00		$0.00		$0.00
14. A/E Fee New-in-Lieu Excess:	$0.00		**********		$0.00
15. Construction Management:	$0.00		$0.00		$0.00
16. Construction Management Excess:	$0.00		**********		$0.00
17. Educational Specifications:	$0.00		$0.00		$0.00
18. Educational Specifications Excess:	$0.00		**********		$0.00
19. Value Engineering:	$0.00		$0.00		$0.00
20. Value Engineering Excess:	$0.00		**********		$0.00
21. Constructability Review:	$0.00		$0.00		$0.00
22. Constructability Review Excess:	$0.00		**********		$0.00
23. Building Commissioning:	$0.00		$0.00		$0.00
24. Building Commissioning Excess:	$0.00		**********		$0.00
25. Energy Report:	$0.00		$0.00		$0.00
26. Energy Report Excess:	$0.00		**********		$0.00
27. GA Energy Report Review Fee:	$0.00		$0.00		$0.00
SUBTOTAL	$0.00		$0.00		$0.00
28. Inspection and Testing ESTIMATE New:	$0.00		$0.00		$0.00
29. Inspection and Testing ESTIMATE Mod:	$0.00		$0.00		$0.00
30. Insp/Testing ESTIMATE Nonmatchable:	$0.00		**********		$0.00
31. Equipment Allowance-New or New-in-Lieu:	$0.00		$0.00		$0.00
32. Equipment Allowance-Modernization:	$0.00		$0.00		$0.00
33. Nonmatchable Construction:	$0.00		**********		$0.00
34. Other Nonmatchable Components:	$0.00		**********		$0.00
TOTAL PROJECT COST	$0.00		$0.00		$0.00

THIS PROJECT HAS SECURED FUNDING AND A COMMITMENT OF STATE FUNDS

The dollar amounts shown above are based on cost estimates provided by the district on D-7. The final specific dollar amounts for this project will be determined after a complete D-9 Application for Authorization to Sign Contracts is received and approved by the Office of Superintendent of Public Instruction (WAC 392-344-110 and 392-344-115).

TIME LIMIT

A complete D-9 Application for Authorization to Sign Contracts must be received and approved by the Office of Superintendent of Public Instruction by the compliance due date and prior to the signing of contracts (WAC 392-344-108 and 392-344-110).

FINAL COMPLIANCE DUE DATE IS: ☐
(90 days from approval date)

ELIGIBLE RELEASE DATE FOR THIS PROJECT IS JULY 1, 2011

SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date: _____ _____

FORM D-8 (Rev. 4/10) Page 2

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6285 TTY (360) 664-3631

FORM D-8
AUTHORIZATION TO NEGOTIATE MACC [GC/CM] WITH SECURED FUNDING STATUS

The D-8 is notification that the Office of Superintendent of Public Instruction has granted secured funding status for this project. The district is authorized to proceed with negotiation of the Maximum Allowable Construction Cost (MACC). This secured funding status will expire 90 days from the issuance of this D-8 unless a complete D-9 GC/CM Application to sign MACC Agreement is received by the Office of Superintendent of Public Instruction.

If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:			
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	
Zip Code:		Fax:	
		E-Mail:	

APPROVED PROJECT INFORMATION

Project No:

New Construction:	0	sf	Construction Cost Allocation:		$180.17
Modernization:	0	sf	Grade Span:		9-12
New-in-Lieu of Mod:	0	sf	2010 State Funding Assistance % Applied:		0.00%
			Equipment % allowance:		4.00%

FINANCIAL ANALYSIS ----- Based on data from the D-7 ----------

	NEW CONSTRUCTION	MODERNIZATION	NEW-IN-LIEU
TOTAL AREA:	0	0	0
EXCESS AREA:	0	0	0
CONSTRUCTION COST:	$0.00	$0.00	$0.00
MATCHABLE TAX:	$0.00	$0.00	$0.00
TOTAL COST:	$0.00	$0.00	$0.00
COST/SF:	$0.00	$0.00	$0.00

Matchable Tax Rate:	7.00%	Local Tax Rate:	0.00%
A/E Fee New Construction:	0	Ed. Spec. Cost:	0
A/E Fee Modernization:	0	Value Eng. Cost:	0
A/E Fee New-in-Lieu:	0	Constr. Review Cost:	0
Construction Management Cost:	0	Bldg. Commiss. Cost:	0
		Energy Report Cost:	0
		GA Energy Review:	0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
1. New Construction:	$0.00		$0.00		$0.00
2. New Construction Excess:	$0.00		**********		$0.00
3. Cost Savings Incentive:	**********		$0.00		$0.00
4. Modernization Cost:	$0.00		$0.00		$0.00
5. Modernization Excess:	$0.00		**********		$0.00
6. New-in-Lieu Construction Cost:	$0.00		$0.00		$0.00
7. New-in-Lieu Excess:	$0.00		**********		$0.00
8. Tax Excess:	$0.00		**********		$0.00
SUBTOTAL	$0.00		$0.00		$0.00

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School District: 0
Project Name: 0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
SUBTOTAL (from Page 1)	$0.00		$0.00		$0.00
9. A/E Fee New Construction:	$0.00		$0.00		$0.00
10. A/E Fee New Construction Excess:	$0.00		**********		$0.00
11. A/E Fee Modernization:	$0.00		$0.00		$0.00
12. A/E Fee Modernization Excess:	$0.00		**********		$0.00
13. A/E Fee New-in-Lieu:	$0.00		$0.00		$0.00
14. A/E Fee New-in-Lieu Excess:	$0.00		**********		$0.00
15. Construction Management:	$0.00		$0.00		$0.00
16. Construction Management Excess:	$0.00		**********		$0.00
17. Educational Specifications:	$0.00		$0.00		$0.00
18. Educational Specifications Excess:	$0.00		**********		$0.00
19. Value Engineering:	$0.00		$0.00		$0.00
20. Value Engineering Excess:	$0.00		**********		$0.00
21. Constructability Review:	$0.00		$0.00		$0.00
22. Constructability Review Excess:	$0.00		**********		$0.00
23. Building Commissioning:	$0.00		$0.00		$0.00
24. Building Commissioning Excess:	$0.00		**********		$0.00
25. Energy Report:	$0.00		$0.00		$0.00
26. Energy Report Excess:	$0.00		**********		$0.00
27. GA Energy Report Review Fee:	$0.00		$0.00		$0.00
SUBTOTAL	$0.00		$0.00		$0.00
28. Inspection and Testing ESTIMATE New:	$0.00		$0.00		$0.00
29. Inspection and Testing ESTIMATE Mod:	$0.00		$0.00		$0.00
30. Insp/Testing ESTIMATE Nonmatchable:	$0.00		**********		$0.00
31. Equipment Allowance-New or New-in-Lieu:	$0.00		$0.00		$0.00
32. Equipment Allowance-Modernization:	$0.00		$0.00		$0.00
33. Nonmatchable Construction:	$0.00		**********		$0.00
34. Other Nonmatchable Components:	$0.00		**********		$0.00
TOTAL PROJECT COST	$0.00		$0.00		$0.00

THIS PROJECT HAS SECURED FUNDING AND A COMMITMENT OF STATE FUNDS

The dollar amounts shown above are based on cost estimates provided by the district on D-7. The final specific dollar amounts for this project will be determined after a complete D-9 GC/CM Application for Authorization to Sign MACC Agreement is received and approved by the Office of Superintendent of Public Instruction.

TIME LIMIT

A complete D-9 GC/CM Application for Authorization to Sign MACC Agreement must be received and approved by the Office of Superintendent of Public Instruction by the compliance due date and prior to the signing of the agreement.

FINAL COMPLIANCE DUE DATE IS: _____
(90 days from approval date)

ELIGIBLE RELEASE DATE FOR THIS PROJECT MAY BE JULY 1, 2011

SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date: _____ _____

FORM D-8(1) (Rev. 4/10) Page 2

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6285 TTY (360) 664-3631

FORM D-8(1)
AUTHORIZATION TO PROCEED WITH BID OPENING
FRONT-FUNDED STATUS

The D-8(1) is notification that the Office of Superintendent of Public Instruction has received and approved the school district Application to Proceed with Bid Opening (D-7). The district is authorized to proceed with the bid opening based on the district's request to front fund this project. This project **does not have** a commitment of state funding assistance and is proceeding at its own financial risk.

If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:			
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	
Zip Code:		Fax:	
		E-Mail:	

APPROVED PROJECT INFORMATION

Project No:

New Construction:	0	sf	(Estimated) Construction Cost Allocation:	$180.17
Modernization:	0	sf	Grade Span:	K-6
New-in-Lieu of Mod:	0	sf	2010 State Funding Assistance % Applied:	0.00%
			Equipment % allowance:	2.00%

FINANCIAL ANALYSIS ----- Based on data from the D-7 ----------

	NEW CONSTRUCTION	MODERNIZATION	NEW-IN-LIEU
TOTAL AREA:	0	0	0
EXCESS AREA:	0	0	0
CONSTRUCTION COST:	$0.00	$0.00	$0.00
MATCHABLE TAX:	$0.00	$0.00	$0.00
TOTAL COST:	$0.00	$0.00	$0.00
COST/SF:	$0.00	$0.00	$0.00

Matchable Tax Rate:	7.00%	Local Tax Rate:	0.00%
A/E Fee New Construction:	0	Ed. Spec. Cost:	0
A/E Fee Modernization:	0	Value Eng. Cost:	0
A/E Fee New-in-Lieu:	0	Constr. Review Cost:	0
Construction Management Cost:	0	Bldg. Commiss. Cost:	0
		Energy Report Cost:	0
		GA Energy Review:	0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
1. New Construction:	$0.00		$0.00		$0.00
2. New Construction Excess:	$0.00		**********		$0.00
3. Cost Savings Incentive:	**********		$0.00		$0.00
4. Modernization Cost:	$0.00		$0.00		$0.00
5. Modernization Excess:	$0.00		**********		$0.00
6. New-in-Lieu Construction Cost:	$0.00		$0.00		$0.00
7. New-in-Lieu Excess:	$0.00		**********		$0.00
8. Tax Excess:	$0.00		**********		$0.00
SUBTOTAL	$0.00		$0.00		$0.00

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School District: 0
Project Name: 0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
SUBTOTAL (from Page 1)	$0.00		$0.00		$0.00
9. A/E Fee New Construction:	$0.00		$0.00		$0.00
10. A/E Fee New Construction Excess:	$0.00		**********		$0.00
11. A/E Fee Modernization:	$0.00		$0.00		$0.00
12. A/E Fee Modernization Excess:	$0.00		**********		$0.00
13. A/E Fee New-in-Lieu:	$0.00		$0.00		$0.00
14. A/E Fee New-in-Lieu Excess:	$0.00		**********		$0.00
15. Construction Management:	$0.00		$0.00		$0.00
16. Construction Management Excess:	$0.00		**********		$0.00
17. Educational Specifications:	$0.00		$0.00		$0.00
18. Educational Specifications Excess:	$0.00		**********		$0.00
19. Value Engineering:	$0.00		$0.00		$0.00
20. Value Engineering Excess:	$0.00		**********		$0.00
21. Constructability Review:	$0.00		$0.00		$0.00
22. Constructability Review Excess:	$0.00		**********		$0.00
23. Building Commissioning:	$0.00		$0.00		$0.00
24. Building Commissioning Excess:	$0.00		**********		$0.00
25. Energy Report:	$0.00		$0.00		$0.00
26. Energy Report Excess:	$0.00		**********		$0.00
27. GA Energy Report Review Fee:	$0.00		$0.00		$0.00
SUBTOTAL	$0.00		$0.00		$0.00
28. Inspection and Testing ESTIMATE New:	$0.00		$0.00		$0.00
29. Inspection and Testing ESTIMATE Mod:	$0.00		$0.00		$0.00
30. Insp/Testing ESTIMATE Nonmatchable:	$0.00		**********		$0.00
31. Equipment Allowance-New or New-in-Lieu:	$0.00		$0.00		$0.00
32. Equipment Allowance-Modernization:	$0.00		$0.00		$0.00
33. Nonmatchable Construction:	$0.00		**********		$0.00
34. Other Nonmatchable Components:	$0.00		**********		$0.00
TOTAL PROJECT COST	$0.00		$0.00		$0.00

THIS PROJECT DOES NOT HAVE SECURED FUNDING

The district is proceeding at its own financial risk (WAC 392-343-057). The dollar amounts shown above are based only on cost estimates provided by the district on D-7. The final specific dollar amounts for this project will be determined after a complete D-9 Application for Authorization to Sign Contracts is received and approved by the Office of Superintendent of Public Instruction (WAC 392-344-110 and 392-344-115).

TIME LIMIT

A complete D-9 Application for Authorization to Sign Contracts must be received and approved by the Office of Superintendent of Public Instruction by the compliance due date and prior to the signing of contracts (WAC 392-344-108 and 392-344-110).

FINAL COMPLIANCE DUE DATE IS: _____
(90 days from approval date)

ELIGIBLE RELEASE DATE FOR THIS PROJECT MAY BE JULY 1, 2011

SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date: _____ _____

FORM D-8(1) (Rev. 4/10) Page 2

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6285 TTY (360) 664-3631

FORM D-8(1)
AUTHORIZATION TO NEGOTIATE MACC [GC/CM]
FRONT-FUNDED STATUS

The D-8(1) is notification that the Office of Superintendent of Public Instruction has received and approved the school district Application to Negotiate MACC (D-7). The district is authorized to proceed with negotiation of the Maximum Allowable Construction Cost based on the district's request to front fund this project. This project **does not have** a commitment of state funding assistance and is proceeding at its own financial risk.

If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:			
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	
Zip Code:		Fax:	
		E-Mail:	

APPROVED PROJECT INFORMATION

Project No:

New Construction:	0	sf	(Estimated) Construction Cost Allocation:		$180.17
Modernization:	0	sf	Grade Span:		9-12
New-in-Lieu of Mod:	0	sf	2010 State Funding Assistance % Applied:		0.00%
			Equipment % allowance:		4.00%

FINANCIAL ANALYSIS ----- Based on data from the D-7 ----------

	NEW CONSTRUCTION	MODERNIZATION	NEW-IN-LIEU
TOTAL AREA:	0	0	0
EXCESS AREA:	0	0	0
CONSTRUCTION COST:	$0.00	$0.00	$0.00
MATCHABLE TAX:	$0.00	$0.00	$0.00
TOTAL COST:	$0.00	$0.00	$0.00
COST/SF:	$0.00	$0.00	$0.00

Matchable Tax Rate:	7.00%	Local Tax Rate:	1.40%
A/E Fee New Construction:	0	Ed. Spec. Cost:	0
A/E Fee Modernization:	0	Value Eng. Cost:	0
A/E Fee New-in-Lieu:	0	Constr. Review Cost:	0
Construction Management Cost:	0	Bldg. Commiss. Cost:	0
		Energy Report Cost:	0
		GA Energy Review:	0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
1. New Construction:	$0.00		$0.00		$0.00
2. New Construction Excess:	$0.00		**********		$0.00
3. Cost Savings Incentive:	**********		$0.00		$0.00
4. Modernization Cost:	$0.00		$0.00		$0.00
5. Modernization Excess:	$0.00		**********		$0.00
6. New-in-Lieu Construction Cost:	$0.00		$0.00		$0.00
7. New-in-Lieu Excess:	$0.00		**********		$0.00
8. Tax Excess:	$0.00		**********		$0.00
SUBTOTAL	$0.00		$0.00		$0.00

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School District: 0
Project Name: 0

	PROJECT TOTAL	= STATE SHARE	+ LOCAL SHARE
SUBTOTAL (from Page 1)	$0.00	$0.00	$0.00
9. A/E Fee New Construction:	$0.00	$0.00	$0.00
10. A/E Fee New Construction Excess:	$0.00	**********	$0.00
11. A/E Fee Modernization:	$0.00	$0.00	$0.00
12. A/E Fee Modernization Excess:	$0.00	**********	$0.00
13. A/E Fee New-in-Lieu:	$0.00	$0.00	$0.00
14. A/E Fee New-in-Lieu Excess:	$0.00	**********	$0.00
15. Construction Management:	$0.00	$0.00	$0.00
16. Construction Management Excess:	$0.00	**********	$0.00
17. Educational Specifications:	$0.00	$0.00	$0.00
18. Educational Specifications Excess:	$0.00	**********	$0.00
19. Value Engineering:	$0.00	$0.00	$0.00
20. Value Engineering Excess:	$0.00	**********	$0.00
21. Constructability Review:	$0.00	$0.00	$0.00
22. Constructability Review Excess:	$0.00	**********	$0.00
23. Building Commissioning:	$0.00	$0.00	$0.00
24. Building Commissioning Excess:	$0.00	**********	$0.00
25. Energy Report:	$0.00	$0.00	$0.00
26. Energy Report Excess:	$0.00	**********	$0.00
27. GA Energy Report Review Fee:	$0.00	$0.00	$0.00
SUBTOTAL	$0.00	$0.00	$0.00
28. Inspection and Testing ESTIMATE New:	$0.00	$0.00	$0.00
29. Inspection and Testing ESTIMATE Mod:	$0.00	$0.00	$0.00
30. Insp/Testing ESTIMATE Nonmatchable:	$0.00	**********	$0.00
31. Equipment Allowance-New or New-in-Lieu:	$0.00	$0.00	$0.00
32. Equipment Allowance-Modernization:	$0.00	$0.00	$0.00
33. Nonmatchable Construction:	$0.00	**********	$0.00
34. Other Nonmatchable Components:	$0.00	**********	$0.00
TOTAL PROJECT COST	$0.00	$0.00	$0.00

THIS PROJECT DOES NOT HAVE SECURED FUNDING

The district is proceeding at its own financial risk (WAC 392-343-057). The dollar amounts shown above are based only on cost estimates provided by the district on D-7. The final specific dollar amounts for this project will be determined after a complete D-9 Application for Authorization to Sign Contracts is received and approved by the Office of Superintendent of Public Instruction (WAC 392-344-110 and 392-344-115).

TIME LIMIT

A complete D-9 Application for Authorization to Sign Contracts must be received and approved by the Office of Superintendent of Public Instruction by the compliance due date and prior to the signing of contracts (WAC 392-344-108 and 392-344-110).

FINAL COMPLIANCE DUE DATE IS: _____
(90 days from approval date)

ELIGIBLE RELEASE DATE FOR THIS PROJECT MAY BE JULY 1, 2011

SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date: _____ _____

FORM D-8(1) (Rev. 4/10) Page 2

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6265 TTY (360) 664-3631

FORM D-9
APPLICATION FOR AUTHORIZATION TO SIGN CONTRACTS

The D-9 is a two-page application requesting the Office of Superintendent of Public Instruction to grant authorization to sign contracts for construction (WAC 392-344-110). If you have any questions regarding this form, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:			
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	( )
Zip Code:		Fax:	( )
		E-Mail:	

PROJECT COST

Total New Construction: (Including new-in-lieu)		sf	Base bid + accepted alternates.
Total Modernization:		sf	Base bid + accepted alternates.
Total Nonmatchable Construction:		sf	Base bid + accepted alternates.
Tax Rate in Excess of Matchable 7.0%:		%	
New Construction Cost (from bid documents):	$		Total A from D-9 page 2.
Modernization Cost (from bid documents):	$		Total B from D-9 page 2.
Nonmatched Construction Cost (from bid):	$		Total C from D-9 page 2.
Other Nonmatchable Components (from bid):	$		Total D from D-9 page 2.
Educational Specifications Cost:	$		Actual cost (include copy of final billing).
Value Engineering Report Cost:	$		Actual cost (include copy of final billing).
Constructability Review Report Cost:	$		Actual cost (include copy of final billing).
Building Commissioning Cost:	$		Total cost from contract.
Energy Report Cost:	$		Actual cost (include copy of final billing).
GA Energy Report Review Fee:	$		Actual cost (include copy of final billing).
A/E Fee New Construction: (Including new-in-lieu)	$		Total A/E fee (include fee calculation).
A/E Fee Modernization:	$		Total A/E fee (include fee calculation).
A/E Fee Nonmatchable Construction:	$		Total A/E fee (include fee calculation).
Construction Management Services:	$		Total C/M fee (include fee calculation).
Inspection and Testing Services: New	$		From D-7 page 2, line 1 of E.
Mod	$		From D-7 page 2, line 2 of E.
Nonmatchable	$		From D-7 page 2, line 3 of E.

Transmitted with this form are the following:

1. Each advertisement for bid (two are required) (WAC 392-344-105).
2. Tabulated statement of all bids received.
3. School district recommendation for award of contract, including accepted alternates.
4. Copy of the form of proposal of the recommended bidder, including list of subcontractors per RCW 39.30.060.
5. Name and addresses of all bidders.
6. Statement of the specific amount of local and/or other disbursable funds available for funding this project.
7. Construction contract monthly payment schedule. *(found at www.k12.wa.us/SchFacilities/default.aspx)*
8. School district board acceptance of the constructability review report and implementation.
9. Resolution with signature(s) of authorized district personnel (unless previously submitted).
10. Resolution of intent to construct project (WAC 392-344-130).
11. MODERNIZATION PROJECTS ONLY: 5-year use/30-year life resolution is required (WAC 392-347-015 and 392-347-030).
12. Final billings for educational specifications, value engineering, constructability review, energy report, GA energy review fee, an A/E fee calculation, and a C/M fee calculation.
13. Certification that the district submitted information required by RCW39.35D (High-Performance Public Buildings).

Date: _____ Signature: _____
Authorized District Personnel

FORM D-9 (Rev. 1/09) Page 1 of 2

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6265 TTY (360) 664-3631

FORM D-9
ACTUAL CONSTRUCTION COSTS

Page 2 of the D-9 is a summary of construction bid costs to be completed and signed by the **contractor**. If you have any questions regarding this form, please contact your regional coordinator.

PROJECT INFORMATION

Project Name: _____

School District: _____

Construction Costs Based on Actual Bid Award

A. NEW CONSTRUCTION: (Including new-in-lieu replacement)

1	Base Bid	$	
2	Alternates	$	
3	Total Base Bid + Alternates	$	
	7.0% Matchable Tax	$	(On Total Base Bid + Alternates)
	Subtotal A	$	
	Excess tax above 7.0%	$	(On Total Base Bid + Alternates)
		Total A	$

B. MODERNIZATION:

1	Base Bid	$	
2	Alternates	$	
3	Total Base Bid + Alternates	$	
	7.0% Matchable Tax	$	(On Total Base Bid + Alternates)
	Subtotal B	$	
	Excess tax above 7.0%	$	(On Total Base Bid + Alternates)
		Total B	$

C. NONMATCHABLE CONSTRUCTION:

1	Base Bid	$	
2	Alternates	$	
3	Total Base Bid + Alternates	$	
	7.0% Matchable Tax	$	(On Total Base Bid + Alternates)
	Subtotal C	$	
	Excess tax above 7.0%	$	(On Total Base Bid + Alternates)
		Total C	$

D. OTHER NONMATCHABLE COMPONENTS:

Off-Site Work	$	Off property roads, sewer, electrical hookups, etc.
Building Demolition	$	Existing building only (not interior work)
Hazardous Waste Abatement	$	
Total of Nonmatch Components	$	
7.0% Matchable Tax	$	(On Total Nonmatch Components)
Excess tax above 7.0%	$	(On Total Nonmatch Components)
	Total D	$

PROJECT TOTAL $ _____
(Add All Totals A, B, C, D)

Date: _____ Contractor's Signature: _____

Company Name: _____

FORM D-9 (Rev.12/07) Page 2 of 2

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6285 TTY (360) 664-3631

FORM D-9 GC/CM
APPLICATION FOR AUTHORIZATION TO SIGN MACC AGREEMENT

The D-9 is a two-page application requesting the Office of Superintendent of Public Instruction to grant authorization to sign the Maximum Allowable Construction Cost (MACC) agreement. If you have any questions regarding this form, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:			
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	( )
Zip Code:		Fax:	( )
		E-Mail:	

PROJECT COST

Total New Construction: (Including new-in-lieu)		sf	
Total Modernization:		sf	
Total Nonmatchable Construction:		sf	
Tax Rate in Excess of Matchable 7.0%:		%	
New Construction Cost (from bid documents):	$		Total A from D-9 page 2.
Modernization Cost (from bid documents):	$		Total B from D-9 page 2.
Nonmatched Construction Cost (from bid):	$		Total C from D-9 page 2.
Other Nonmatchable Components (from bid):	$		Total D from D-9 page 2.
Educational Specifications Cost:	$		Actual cost (include copy of final billing).
Value Engineering Report Cost:	$		Actual cost (include copy of final billing).
Constructability Review Report Cost:	$		Actual cost (include copy of final billing).
Building Commissioning Cost:	$		Total cost from contract.
Energy Report Cost:	$		Actual cost (include copy of final billing).
GA Energy Report Review Fee:	$		Actual cost (include copy of final billing).
A/E Fee New Construction: (Including new-in-lieu)	$		Total A/E fee (include fee calculation).
A/E Fee Modernization:	$		Total A/E fee (include fee calculation).
A/E Fee Nonmatchable Construction:	$		Total A/E fee (include fee calculation).
Construction Management Services:	$		Total C/M fee (include fee calculation).
Inspection and Testing Services: New	$		From D-7 page 2, line 1 of E.
Mod	$		From D-7 page 2, line 2 of E.
Nonmatchable	$		From D-7 page 2, line 3 of E.

Transmitted with this form are the following:

1. Copy of the MACC agreement without signatures.
2. School district board of directors' approval of the negotiated Maximum Allowable Construction Cost.
3. Name and address of GC/CM.
4. Statement of the specific amount of local and/or other disbursable funds available for funding this project.
5. Construction contract monthly payment schedule. *(found at www.k12.wa.us/SchFacilities/default.aspx)*
6. School district board acceptance of the constructability review report and implementation.
7. Resolution with signature(s) of authorized district personnel (unless previously submitted).
8. Resolution of intent to construct project (WAC 392-344-130).
9. MODERNIZATION PROJECTS ONLY: 5-year use/30-year life resolution is required (WAC 392-347-015 and 392-347-030).
10. Final billings for educational specifications, value engineering, constructability review, energy report, GA energy review fee, an A/E fee calculation, and a C/M fee calculation.
11. Certification that the district submitted information required by RCW39.35D (High-Performance Public Buildings).

Date: _____ Signature: _____
Authorized District Personnel

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6265 TTY (360) 664-3631

FORM D-9 GC/CM NEGOTIATED MACC

Page 2 of the D-9 is a summary of the Maximum Allowable Construction Cost (MACC) to be completed and signed by the **GC/CM contractor**. If you have any questions regarding this form, please contact your regional coordinator.

PROJECT INFORMATION

Project Name: _____

School District: _____

Construction Costs Based on Negotiated MACC

A. NEW CONSTRUCTION: (Including new-in-lieu replacement)

1	Base Bid	$	
2	Alternates	$	
3	Total Base Bid + Alternates	$	
	7.0% Matchable Tax	$	(On Total Base Bid + Alternates)
	Subtotal A	$	
	Excess tax above 7.0%	$	(On Total Base Bid + Alternates)
		Total A	$

B. MODERNIZATION:

1	Base Bid	$	
2	Alternates	$	
3	Total Base Bid + Alternates	$	
	7.0% Matchable Tax	$	(On Total Base Bid + Alternates)
	Subtotal B	$	
	Excess tax above 7.0%	$	(On Total Base Bid + Alternates)
		Total B	$

C. NONMATCHABLE CONSTRUCTION:

1	Base Bid	$	
2	Alternates	$	
3	Total Base Bid + Alternates	$	
	7.0% Matchable Tax	$	(On Total Base Bid + Alternates)
	Subtotal C	$	
	Excess tax above 7.0%	$	(On Total Base Bid + Alternates)
		Total C	$

D. OTHER NONMATCHABLE COMPONENTS:

Off-Site Work	$	Off property roads, sewer, electrical hookups, etc.
Building Demolition	$	Existing building only (not interior work)
Hazardous Waste Abatement	$	
Total of Nonmatch Components	$	
7.0% Matchable Tax	$	(On Total Nonmatch Components)
Excess tax above 7.0%	$	(On Total Nonmatch Components)
	Total D	$

PROJECT TOTAL $ _____
(Add All Totals A, B, C, D)

Date: _____ Contractor's Signature: _____

Company Name: _____

FORM D-9 GCCM (11/08) Page 2 of 2

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6285 TTY (360) 664-3631

FORM D-10
AUTHORIZATION TO SIGN CONTRACTS WITH SECURED FUNDING STATUS

The D-10 is notification that the Office of Superintendent of Public Instruction has received and approved the school district Application for Authorization to Sign Contracts (D-9). The district is authorized to sign contracts for construction. This project has a commitment that state funding assistance is available. **NOTE:** Only costs for special inspections and testing as specified in the state building code are eligible for state funding assistance. Costs included on Form D-10 are based on estimates only--state funding assistance will be reimbursed on actual costs for those tests certified to be conducted during construction.
If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:		Building No.	
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	
Zip Code:		Fax:	
		E-Mail:	

APPROVED PROJECT INFORMATION

Project No:

New Construction:	0	sf	Construction Cost Allocation:		$180.17
Modernization:	0	sf	Grade Span:		K-6
New-in-Lieu of Mod:	0	sf	2010 State Funding Assistance % Applied:		0.00%
			Equipment % allowance:		2.00%

FINANCIAL ANALYSIS ------ Based on data from the D-9 ----------

	NEW CONSTRUCTION	MODERNIZATION	NEW-IN-LIEU
TOTAL AREA:	0	0	0
EXCESS AREA:	0	0	0
CONSTRUCTION COST:	$0.00	$0.00	$0.00
MATCHABLE TAX:	$0.00	$0.00	$0.00
TOTAL COST:	$0.00	$0.00	$0.00
COST/SF:	$0.00	$0.00	$0.00

Matchable Tax Rate:	7.00%	Local Tax Rate:	0.00%
A/E Fee New Construction:	0	Ed. Spec. Cost:	0
A/E Fee Modernization:	0	Value Eng. Cost:	0
A/E Fee New-in-Lieu:	0	Constr. Review Cost:	0
Construction Management Cost:	0	Bldg. Commiss. Cost:	0
		Energy Report Cost:	0
		GA Energy Review:	0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
1. New Construction:	$0.00		$0.00		$0.00
2. New Construction Excess:	$0.00		**********		$0.00
3. Cost Savings Incentive:	**********		$0.00		$0.00
4. Modernization Cost:	$0.00		$0.00		$0.00
5. Modernization Excess:	$0.00		**********		$0.00
6. New-in-Lieu Construction Cost:	$0.00		$0.00		$0.00
7. New-in-Lieu Excess:	$0.00		**********		$0.00
8. Tax Excess:	$0.00		**********		$0.00
SUBTOTAL	$0.00		$0.00		$0.00

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School District: 0
Project Name: 0

	PROJECT TOTAL	= STATE SHARE	+ LOCAL SHARE
SUBTOTAL (from Page 1)	$0.00	$0.00	$0.00
9. A/E Fee New Construction:	$0.00	$0.00	$0.00
10. A/E Fee New Construction Excess:	$0.00	**********	$0.00
11. A/E Fee Modernization:	$0.00	$0.00	$0.00
12. A/E Fee Modernization Excess:	$0.00	**********	$0.00
13. A/E Fee New-in-Lieu:	$0.00	$0.00	$0.00
14. A/E Fee New-in-Lieu Excess:	$0.00	**********	$0.00
15. Construction Management:	$0.00	$0.00	$0.00
16. Construction Management Excess:	$0.00	**********	$0.00
17. Educational Specifications:	$0.00	$0.00	$0.00
18. Educational Specifications Excess:	$0.00	**********	$0.00
19. Value Engineering:	$0.00	$0.00	$0.00
20. Value Engineering Excess:	$0.00	**********	$0.00
21. Constructability Review:	$0.00	$0.00	$0.00
22. Constructability Review Excess:	$0.00	**********	$0.00
23. Building Commissioning:	$0.00	$0.00	$0.00
24. Building Commissioning Excess:	$0.00	**********	$0.00
25. Energy Report:	$0.00	$0.00	$0.00
26. Energy Report Excess:	$0.00	**********	$0.00
27. GA Energy Report Review Fee:	$0.00	$0.00	$0.00
SUBTOTAL	$0.00	$0.00	$0.00
28. Inspection and Testing ESTIMATE New:	$0.00	$0.00	$0.00
29. Inspection and Testing ESTIMATE Mod:	$0.00	$0.00	$0.00
30. Insp/Testing ESTIMATE Nonmatchable:	$0.00	**********	$0.00
31. Equipment Allowance-New or New-in-Lieu:	$0.00	$0.00	$0.00
32. Equipment Allowance-Modernization:	$0.00	$0.00	$0.00
33. Nonmatchable Construction:	$0.00	**********	$0.00
34. Other Nonmatchable Components:	$0.00	**********	$0.00
TOTAL PROJECT COST	$0.00	$0.00	$0.00

CONTRACT INFORMATION

ARCHITECTURAL AND ENGINEERING SERVICES:
Firm Name:
Address:
Telephone:
Fax:

CONSTRUCTION MANAGEMENT SERVICES:
Firm Name:
Address:
Telephone:
Fax:

GENERAL CONTRACTOR:
Firm Name: Total Contract Amount: **$0**
Address:
Telephone:
Fax:

ART ALLOCATION: $0.00 SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date:

FORM D-10 (Rev. 4/10) Page 2

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6285 TTY (360) 664-3631

FORM D-10 GC/CM
AUTHORIZATION TO SIGN GENERAL CONTRACTOR/CONSTRUCTION MANAGER MAXIMUM ALLOWABLE CONSTRUCTION COST CONTRACT DOCUMENTS WITH SECURED FUNDING STATUS

The D-10 is notification that the Office of Superintendent of Public Instruction has received and approved the school district Application for Authorization to Sign MACC Agreement (D-9 GC/CM). The district is authorized to sign the GC/CM contract. This project has a commitment that state funding assistance is available. **NOTE:** Only costs for special inspections and testing as specified in the state building code are eligible for state funding assistance. Costs included on Form D-10 are based on estimates only--state funding assistance will be reimbursed on actual costs for those tests certified to be conducted during construction.

If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:		Building No.	
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	
Zip Code:		Fax:	
		E-Mail:	

APPROVED PROJECT INFORMATION

Project No:

New Construction:	0	sf	Construction Cost Allocation:		$180.17
Modernization:	0	sf	Grade Span:		9-12
New-in-Lieu of Mod:	0	sf	2010 State Funding Assistance % Applied:		0.00%
			Equipment % allowance:		4.00%

FINANCIAL ANALYSIS ------ Based on data from the D-9 ----------

	NEW CONSTRUCTION	MODERNIZATION	NEW-IN-LIEU
TOTAL AREA:	0	0	0
EXCESS AREA:	0	0	0
CONSTRUCTION COST:	$0.00	$0.00	$0.00
MATCHABLE TAX:	$0.00	$0.00	$0.00
TOTAL COST:	$0.00	$0.00	$0.00
COST/SF:	$0.00	$0.00	$0.00

Matchable Tax Rate:	7.00%	Local Tax Rate:	0.00%
A/E Fee New Construction:	0	Ed. Spec. Cost:	0
A/E Fee Modernization:	0	Value Eng. Cost:	0
A/E Fee New-in-Lieu:	0	Constr. Review Cost:	0
Construction Management Cost:	0	Bldg. Commiss. Cost:	0
		Energy Report Cost:	0
		GA Energy Review:	0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
1. New Construction:	$0.00		$0.00		$0.00
2. New Construction Excess:	$0.00		**********		$0.00
3. Cost Savings Incentive:	**********		$0.00		$0.00
4. Modernization Cost:	$0.00		$0.00		$0.00
5. Modernization Excess:	$0.00		**********		$0.00
6. New-in-Lieu Construction Cost:	$0.00		$0.00		$0.00
7. New-in-Lieu Excess:	$0.00		**********		$0.00
8. Tax Excess:	$0.00		**********		$0.00
SUBTOTAL	$0.00		$0.00		$0.00

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School District: 0
Project Name: 0

	PROJECT TOTAL	= STATE SHARE	+ LOCAL SHARE
SUBTOTAL (from Page 1)	$0.00	$0.00	$0.00
9. A/E Fee New Construction:	$0.00	$0.00	$0.00
10. A/E Fee New Construction Excess:	$0.00	**********	$0.00
11. A/E Fee Modernization:	$0.00	$0.00	$0.00
12. A/E Fee Modernization Excess:	$0.00	**********	$0.00
13. A/E Fee New-in-Lieu:	$0.00	$0.00	$0.00
14. A/E Fee New-in-Lieu Excess:	$0.00	**********	$0.00
15. Construction Management:	$0.00	$0.00	$0.00
16. Construction Management Excess:	$0.00	**********	$0.00
17. Educational Specifications:	$0.00	$0.00	$0.00
18. Educational Specifications Excess:	$0.00	**********	$0.00
19. Value Engineering:	$0.00	$0.00	$0.00
20. Value Engineering Excess:	$0.00	**********	$0.00
21. Constructability Review:	$0.00	$0.00	$0.00
22. Constructability Review Excess:	$0.00	**********	$0.00
23. Building Commissioning:	$0.00	$0.00	$0.00
24. Building Commissioning Excess:	$0.00	**********	$0.00
25. Energy Report:	$0.00	$0.00	$0.00
26. Energy Report Excess:	$0.00	**********	$0.00
27. GA Energy Report Review Fee:	$0.00	$0.00	$0.00
SUBTOTAL	$0.00	$0.00	$0.00
28. Inspection and Testing ESTIMATE New:	$0.00	$0.00	$0.00
29. Inspection and Testing ESTIMATE Mod:	$0.00	$0.00	$0.00
30. Insp/Testing ESTIMATE Nonmatchable:	$0.00	**********	$0.00
31. Equipment Allowance-New or New-in-Lieu:	$0.00	$0.00	$0.00
32. Equipment Allowance-Modernization:	$0.00	$0.00	$0.00
33. Nonmatchable Construction:	$0.00	**********	$0.00
34. Other Nonmatchable Components:	$0.00	**********	$0.00
TOTAL PROJECT COST	$0.00	$0.00	$0.00

CONTRACT INFORMATION

ARCHITECTURAL AND ENGINEERING SERVICES:
Firm Name:
Address:
Telephone:
Fax:

CONSTRUCTION MANAGEMENT SERVICES:
Firm Name:
Address:
Telephone:
Fax:

GENERAL CONTRACTOR:
Firm Name:
Address:
Telephone:
Fax:

Total Contract Amount: **$0**
(Maximum Allowable Construction Cost)

ART ALLOCATION: $0.00

SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date:

FORM D-10 GC/CM (Rev. 4/10) Page 2

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6285 TTY (360) 664-3631

FORM D-10(1)
AUTHORIZATION TO SIGN CONTRACTS
FRONT FUNDED STATUS

The D-10(1) is notification that the Office of Superintendent of Public Instruction has received and approved the school district Application for Authorization to Sign Contracts (D-9). The district is authorized to sign contracts for construction based on the district's request to front-fund this project. This project **does not have** a commitment of state funding assistance and is proceeding at its own financial risk (WAC 392-343-057). **NOTE:** Only costs for special inspections and testing as specified in the state building code are eligible for state funding assistance. Costs included on Form D-10(1) are based on estimates only--state funding assistance will be reimbursed on actual costs for those tests certified to be conducted during construction.

If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:		Building No.	
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	
Zip Code:		Fax:	
		E-Mail:	

APPROVED PROJECT INFORMATION

Project No:

New Construction:	0	sf	Construction Cost Allocation:		$180.17
Modernization:	0	sf	Grade Span:		K-5
New-in-Lieu of Mod:	0	sf	2010 State Funding Assistance % Applied:		0.00%
			Equipment % allowance:		2.00%

FINANCIAL ANALYSIS ------ Based on data from the D-9 ----------

	NEW CONSTRUCTION	MODERNIZATION	NEW-IN-LIEU
TOTAL AREA:	0	0	0
EXCESS AREA:	0	0	0
CONSTRUCTION COST:	$0.00	$0.00	$0.00
MATCHABLE TAX:	$0.00	$0.00	$0.00
TOTAL COST:	$0.00	$0.00	$0.00
COST/SF:	$0.00	$0.00	$0.00

Matchable Tax Rate:	7.00%	Local Tax Rate:	0.00%
A/E Fee New Construction:	0	Ed. Spec. Cost:	0
A/E Fee Modernization:	0	Value Eng. Cost:	0
A/E Fee New-in-Lieu:	0	Constr. Review Cost:	0
Construction Management Cost:	0	Bldg. Commiss. Cost:	0
		Energy Report Cost:	0
		GA Energy Review:	0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
1. New Construction:	$0.00		$0.00		$0.00
2. New Construction Excess:	$0.00		**********		$0.00
3. Cost Savings Incentive:	**********		$0.00		$0.00
4. Modernization Cost:	$0.00		$0.00		$0.00
5. Modernization Excess:	$0.00		**********		$0.00
6. New-in-Lieu Construction Cost:	$0.00		$0.00		$0.00
7. New-in-Lieu Excess:	$0.00		**********		$0.00
8. Tax Excess:	$0.00		**********		$0.00
SUBTOTAL	$0.00		$0.00		$0.00

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School District: 0
Project Name: 0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
SUBTOTAL (from Page 1)	$0.00		$0.00		$0.00
9. A/E Fee New Construction:	$0.00		$0.00		$0.00
10. A/E Fee New Construction Excess:	$0.00		**********		$0.00
11. A/E Fee Modernization:	$0.00		$0.00		$0.00
12. A/E Fee Modernization Excess:	$0.00		**********		$0.00
13. A/E Fee New-in-Lieu:	$0.00		$0.00		$0.00
14. A/E Fee New-in-Lieu Excess:	$0.00		**********		$0.00
15. Construction Management:	$0.00		$0.00		$0.00
16. Construction Management Excess:	$0.00		**********		$0.00
17. Educational Specifications:	$0.00		$0.00		$0.00
18. Educational Specifications Excess:	$0.00		**********		$0.00
19. Value Engineering:	$0.00		$0.00		$0.00
20. Value Engineering Excess:	$0.00		**********		$0.00
21. Constructability Review:	$0.00		$0.00		$0.00
22. Constructability Review Excess:	$0.00		**********		$0.00
23. Building Commissioning:	$0.00		$0.00		$0.00
24. Building Commissioning Excess:	$0.00		**********		$0.00
25. Energy Report:	$0.00		$0.00		$0.00
26. Energy Report Excess:	$0.00		**********		$0.00
27. GA Energy Report Review Fee:	$0.00		$0.00		$0.00
SUBTOTAL	$0.00		$0.00		$0.00
28. Inspection and Testing ESTIMATE New:	$0.00		$0.00		$0.00
29. Inspection and Testing ESTIMATE Mod:	$0.00		$0.00		$0.00
30. Insp/Testing ESTIMATE Nonmatchable:	$0.00		**********		$0.00
31. Equipment Allowance-New or New-in-Lieu:	$0.00		$0.00		$0.00
32. Equipment Allowance-Modernization:	$0.00		$0.00		$0.00
33. Nonmatchable Construction:	$0.00		**********		$0.00
34. Other Nonmatchable Components:	$0.00		**********		$0.00
TOTAL PROJECT COST	$0.00		$0.00		$0.00

CONTRACT INFORMATION

ARCHITECTURAL AND ENGINEERING SERVICES:
Firm Name: _____
Address: _____
Telephone: _____
Fax: _____

CONSTRUCTION MANAGEMENT SERVICES:
Firm Name: _____
Address: _____
Telephone: _____
Fax: _____

GENERAL CONTRACTOR:
Firm Name: _____ Total Contract Amount: **$0**
Address: _____
Telephone: _____
Fax: _____

ART ALLOCATION: $0.00 SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date: _____ _____

FORM D-10(1) (Rev. 4/10) Page 2

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6265 TTY (360) 664-3631

FORM D-10(1) GC/CM
AUTHORIZATION TO SIGN GENERAL CONTRACTOR/CONSTRUCTION MANAGER MAXIMUM ALLOWABLE CONSTRUCTION COST CONTRACT DOCUMENTS FRONT FUNDED STATUS

The D-10(1) is notification that the Office of Superintendent of Public Instruction has received and approved the school district Application for Authorization to Sign MACC Agreement (D-9 GC/CM). This D-10(1) is approval to sign the GC/CM contract. This project **does not have a commitment of state funding assistance** and is proceeding at its own financial risk (WAC 392-343-057). **NOTE:** Only costs for special inspections and testing as specified in the state building code are eligible for state funding assistance. Costs included on Form D-10(1) are based on estimates only--state funding assistance will be reimbursed on actual costs for those tests certified to be conducted during construction.

If you have any questions regarding this project, please contact your regional coordinator.

PROJECT INFORMATION

Project Name:		Building No.	
School District:	No.	County:	
Address:		Contact Person:	
City:		Telephone:	
Zip Code:		Fax:	
		E-Mail:	

APPROVED PROJECT INFORMATION

Project No:

New Construction:	0	sf	Construction Cost Allocation:		$180.17
Modernization:	0	sf	Grade Span:		9-12
New-in-Lieu of Mod:	0	sf	2010 State Funding Assistance % Applied:		0.00%
			Equipment % allowance:		4.00%

FINANCIAL ANALYSIS ------ Based on data from the D-9 ----------

	NEW CONSTRUCTION	MODERNIZATION	NEW-IN-LIEU
TOTAL AREA:	0	0	0
EXCESS AREA:	0	0	0
CONSTRUCTION COST:	$0.00	$0.00	$0.00
MATCHABLE TAX:	$0.00	$0.00	$0.00
TOTAL COST:	$0.00	$0.00	$0.00
COST/SF:	$0.00	$0.00	$0.00

Matchable Tax Rate:	7.00%	Local Tax Rate:	0.00%
A/E Fee New Construction:	0	Ed. Spec. Cost:	0
A/E Fee Modernization:	0	Value Eng. Cost:	0
A/E Fee New-in-Lieu:	0	Constr. Review Cost:	0
Construction Management Cost:	0	Bldg. Commiss. Cost:	0
		Energy Report Cost:	0
		GA Energy Review:	0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
1. New Construction:	$0.00		$0.00		$0.00
2. New Construction Excess:	$0.00		**********		$0.00
3. Cost Savings Incentive:	**********		$0.00		$0.00
4. Modernization Cost:	$0.00		$0.00		$0.00
5. Modernization Excess:	$0.00		**********		$0.00
6. New-in-Lieu Construction Cost:	$0.00		$0.00		$0.00
7. New-in-Lieu Excess:	$0.00		**********		$0.00
8. Tax Excess:	$0.00		**********		$0.00
SUBTOTAL	$0.00		$0.00		$0.00

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School District: 0
Project Name: 0

	PROJECT TOTAL	=	STATE SHARE	+	LOCAL SHARE
SUBTOTAL (from Page 1)	$0.00		$0.00		$0.00
9. A/E Fee New Construction:	$0.00		$0.00		$0.00
10. A/E Fee New Construction Excess:	$0.00		**********		$0.00
11. A/E Fee Modernization:	$0.00		$0.00		$0.00
12. A/E Fee Modernization Excess:	$0.00		**********		$0.00
13. A/E Fee New-in-Lieu:	$0.00		$0.00		$0.00
14. A/E Fee New-in-Lieu Excess:	$0.00		**********		$0.00
15. Construction Management:	$0.00		$0.00		$0.00
16. Construction Management Excess:	$0.00		**********		$0.00
17. Educational Specifications:	$0.00		$0.00		$0.00
18. Educational Specifications Excess:	$0.00		**********		$0.00
19. Value Engineering:	$0.00		$0.00		$0.00
20. Value Engineering Excess:	$0.00		**********		$0.00
21. Constructability Review:	$0.00		$0.00		$0.00
22. Constructability Review Excess:	$0.00		**********		$0.00
23. Building Commissioning:	$0.00		$0.00		$0.00
24. Building Commissioning Excess:	$0.00		**********		$0.00
25. Energy Report:	$0.00		$0.00		$0.00
26. Energy Report Excess:	$0.00		**********		$0.00
27. GA Energy Report Review Fee:	$0.00		$0.00		$0.00
SUBTOTAL	$0.00		$0.00		$0.00
28. Inspection and Testing ESTIMATE New:	$0.00		$0.00		$0.00
29. Inspection and Testing ESTIMATE Mod:	$0.00		$0.00		$0.00
30. Insp/Testing ESTIMATE Nonmatchable:	$0.00		**********		$0.00
31. Equipment Allowance-New or New-in-Lieu:	$0.00		$0.00		$0.00
32. Equipment Allowance-Modernization:	$0.00		$0.00		$0.00
33. Nonmatchable Construction:	$0.00		**********		$0.00
34. Other Nonmatchable Components:	$0.00		**********		$0.00
TOTAL PROJECT COST	$0.00		$0.00		$0.00

CONTRACT INFORMATION

ARCHITECTURAL AND ENGINEERING SERVICES:
Firm Name:
Address:
Telephone:
Fax:

CONSTRUCTION MANAGEMENT SERVICES:
Firm Name:
Address:
Telephone:
Fax:

GENERAL CONTRACTOR:
Firm Name:
Address:
Telephone:
Fax:

Total Contract Amount: **$0**
(Maximum Allowable Construction Cost)

ART ALLOCATION: $0.00

SUPERINTENDENT OF PUBLIC INSTRUCTION

Approval Date:

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OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
School Facilities and Organization
Old Capitol Building, PO BOX 47200
OlYMPIA WA 98504-7200
(360) 725-6187 TYY (360) 725-6240

FORM D-11
APPLICATION TO RELEASE RETAINAGE

The D-11 is an application requesting the Office of Superintendent of Public Instruction to grant permission to release retainage/retainage bond to the general contractor. (Refer to Chapter 10 of the *School Facilities Manual.*)

PROJECT INFORMATION

Project Name: _____ Project Number: _____
School District: _____ No. County: _____
Address: _____ Contact Person: _____
City: _____ Telephone: _____
Zip Code: _____ Fax: ( )
E-Mail: _____
Contractor: _____

Transmitted with this form are documents required to be on file with OSPI before retainage may be released (WAC 392-344-165):

Due within 30 days following official acceptance of the project as complete by the school board:

1. Properly executed state invoice voucher (WAC 392-344-145).
2. Architect/engineer certificate(s) of completion (WAC 392-344-155).
3. Architect's statement of square footage as per WAC 392-344-155.
4. School district board of directors' resolution of final acceptance signed by the authorized agent of the district (WAC 392-344-160).
5. School district board of director's resolution accepting the building commissioning report (WAC 392-344-165).
6. If applicable, certification that the district submitted information required by RCW 39.35D and certification that annual monitoring and reporting to OSPI will take place for 5 years after occupancy.
7. Certification that the district has submitted apprenticeship utilization information to the Department of General Administration (RCW 39.04.320).

Due within 60 days following official acceptance of the project as complete by the school board:

1. Certification by the authorized agent of the school district that the district has on file all affidavits of wages paid in compliance with RCW 39.12.040.
2. Dated not less than 45 days following acceptance of the project by the school district, a signed statement by the authorized agent of the school district that no lien(s) is on file with the school district or a certified list of each lien is on file with the school district. A copy of each lien shall be forwarded to the Office of Superintendent of Public Instruction.
3. Copy of either a permanent or temporary occupancy permit by building official of the jurisdiction.

Due as soon as available following acceptance of the project as complete by the school board:

One copy each of the required releases for:
- Dept. of Revenue (chapter 60.28 RCW)
- Employment Security Dept. (RCW 50.24.050 & 130)
- Dept. of Labor and Industries

Date:_____

Authorized Signature: _____

Complete and return with transmittals to:

Lois Epperson
School Facilities Accounting
Office of Superintendent of Public Instruction
PO Box 47200
Olympia WA 98504-7200
Fax (360) 725-6240

FORM D-11 (Rev. 04/10)

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Exhibit 2C–Washington Sustainable Schools Checklist

2010 Edition WSSP Scorecard ***Effective for projects receiving OSPI approval starting Nov. 15, 2010***

District:_____ Contact Name & Phone:_____
Date:_____
Project Name and Type:_____
Indicate if this is the Preliminary, Design-Phase, or Construction (Final) WSSP:_____

Category	Group	Credit Name		Points	Achieved
Site 17 points	1) Selection & Use	S1.0	Code Compliance	R	
		S1.1	Sensitive Areas	1	
		S1.2	Greenfields	1	
		S1.3	Central Location	1	
		S1.4	Joint Use of On-Site Facilities	1-2	
		S1.5	Joint Use of Off Site Facilities	1	
		S1.6	Minimal Footprint	1-2	
	2) Transportation	S2.1	Public Transportation	1	
		S2.2	Bicycle Lanes & Security	1	
		S2.3	Minimize Parking	1	
	3) Stormwater Management	S3.0	Sedimentation and Erosion Control	R	
		S3.1	On-site Infiltration and Flow Control	1	
		S3.2	Stormwater Treatment	1	
		S3.3	Enhanced Stormwater Treatment	R - 1	
	4) Outdoor Surfaces	S4.1	Reduce Heat Island - Site	1	
		S4.2	Reduce Heat Island - Roof Design	1	
	5) Outdoor Lighting	S5.1	Light Pollution Reduction	1	
			Total possible	**17**	
Water 9 points	1) Outdoor Systems	W1.0	Outdoor Water Use Budget	R	
		W1.1	Irrigation Water Reduction (50%, 100%)	1-2	
		W1.2	Control Irrigation Water Use	1	
		W1.3	Irrigation System Testing and Training	1	
	2) Indoor Systems	W2.1	Potable Water Use Reduction for Sewage (25%, 45%)	1-2	
		W2.2	Potable Water Use Reduction (20%, 30%, 40%)	1-3	
			Total possible	**9**	

Materials 18 points	1) Waste Reduction & Efficient Materials Use	M1.0	Storage and Collection of Recyclables	R	
		M1.1	Construction Site Waste Management (50%, 75%)	1-2	
		M1.2	Building Reuse - Structure/Shell (50%, 75%, 95%)	1-3	
		M1.3	Building Reuse - Non-Structural Elements (50%)	1	
		M1.4	Materials Reuse (5%, 10%)	1-2	
		M1.5	Resource Reuse - Furniture (30%)	1	
	2) Sustainable Materials	M2.1	Recycled Content (10%/4 mtls, 20%/8 mtls)	1-2	
		M2.2	Rapidly Renewable Materials	1	
		M2.3	Certified Wood (50%, Chain of Custody)	1-2	
		M2.4	Environmentally Preferable Products	1-2	
		M2.5	Regional/Local Materials	1-2	
			Total possible	**18**	
Energy 34 points ('09) 27 points ('06)	1) Efficiency	E1.0	Minimum Energy Performance	R	
		E1.1a E1.1b	Superior Energy Performance (2009 NREC)* Superior Energy Performance (2006 NREC)	4-20 ('09) 4-12 ('06)	
	2) Controls	E2.1	HVAC Controls and Operable Windows	1	
		E2.2	Daylight-Responsive Controls	R ('09) 1 ('06)	
	3) Alternative Energy	E3.1	On-Site Renewable Energy (5-10% bldg supply)	1-4	
		E3.2	Green Power Contract	1	
		E3.3	Distributed Generation (5-10% bldg supply)	1-3	
	4) Commissioning	E4.0	Fundamental Commissioning	R	
		E4.1 E4.1.1 E4.1.2 E4.1.3	Enhanced Commissioning (1-3 possible) Commissioning Review Verification and Assurances Systems Manual	 1 1 1	
	5) Management	E5.1	Energy Management Systems	1-2	
				34 ('09) **27** ('06)	
Indoor Environmental Quality 29 points	1) Daylighting	IEQ1.1	Daylighting (25%, 50%,75%, 100% critical visual spaces)	1-4	
		IEQ1.2	Permanent Shading	1	
		IEQ1.3	Views - Direct Line of Vision	1	
	2) Electric Lighting Quality	IEQ2.1	Electric Lighting Quality	1	
	3) Indoor Air Quality	IEQ3.0 IEQ3.0.1 IEQ3.0.2	Minimum Requirements (Ventilation, Filtration, & Moisture Control Evaluate Envelope Mitigation Measures	 R 1 1	
		IEQ3.1	Low-Emitting Interior Finishes	1-4	
		IEQ3.2	Low-Emitting Furniture	1	
		IEQ3.3	Source Control	1	
		IEQ3.4	Ducted HVAC Returns (Required when 246-366A in effect)	1 or R	
		IEQ3.5	Particle Arrestance Filtration	1	
		IEQ3.6	IAQ Management (construction, pre-occupancy)	1-2	

		IEQ3.7	Natural Cooling	3	
	4) Acoustics	IEQ4.0	Minimum Acoustic Performance	R	
		IEQ4.1	Improved Acoustical Performance	1-4	
		IEQ4.2	Audio Enhancement	1	
	5) Thermal Comfort	IEQ5.0	Thermal Code Compliance	R	
	6) User Controls	IEQ6.1	User Control - Windows	1	
		IEQ6.2	User Control - Temperature & Lights	1	
			Total possible	**29**	
Planning, Education, and Operations 12 points	1) Planning	PEO1.1	Integrated Design Workshop	1	
		PEO 1.2	Durability, Efficiency & Maintainability of Features	1	
		PEO1.3	Innovation	1-2	
	2) Education	PEO2.1	Green Building Learning Opportunities	1	
	3) Operational Activities	PEO 3.0	Operational Performance Monitoring	R	
		PEO3.1	Post Occupancy Evaluation	1-2	
		PEO3.2	ELCCA/LCCA	R-1	
4 out of 8		PEO3.3 No more than 4 towards minimum	**Project and/or District Operational Activities** - Maintenance Plan Enhancement - Resource Conservation Plan - IAQ Management – Tools for Schools - Integrated Pest Management Program - Transportation Options - Fuel Efficient Buses - Food Related Waste Prevention & Mgmt - Green Purchasing and Cleaning Plan	1-4	
			Total possible	**12**	
GRAND TOTAL Possible Points				**119** ('09) **112** ('06)	
		Minimum required for Washington Sustainable School **Two-tier system:** **For Class I Districts:** Minimum 45 points **For Class II Districts:** Minimum 40 points Max "Project or District Operational Activity" points that can be claimed toward the minimum requirement is 4; however, a district could implement all of the points * At time of publication of this standard, the 2009 NREC (WA State Non-Residential Energy Code) was not adopted statewide. If adopted locally use E1.1a and E2.2a.		40 or 45	

Chapter 3: Advance Planning

Section 301	The Advance Planning Process
Section 302	Financial Assistance for Planning
Section 303	Participatory Planning
Section 304	Study and Survey
	Table 3.1 Study and Survey Report
Section 305	Community Analysis
Section 306	Educational Plan
Section 307	School Enrollment Analysis
Section 308	Evaluation of Existing Facilities
Section 309	Long-Range Plan
Section 310	Assessing Financial Resources
Section 311	Recommendations
Section 312	OSPI Review and Approval
Exhibit 3A	Form SPI 1482 Invoice Voucher Prepared for Study and Survey Grant
Exhibit 3B	Area Calculations
Exhibit 3C	Sample Area Diagram
Exhibit 3D	the Architectural Area & Volume of Buildings
Exhibit 3E	Sample Site Plan
Exhibit 3F	Building Condition Evaluation Form Summary Sheet
Exhibit 3G	Form SPI 1066 Enrollment/Classroom Count
Exhibit 3H	OSPI Goals for Washington Schools

Section 301–The Advance Planning Process

The district's board of directors is responsible for anticipating the needs of the district and providing the necessary facilities to meet these needs in a timely manner. An advance planning process should be implemented to meet those needs.

The board may choose to delegate this task to a facilities committee which may include board and staff members. Members of the community should be included and public input should be sought at key points in the planning process.

Key elements of the advance planning process include:

1. The district's education plan.
2. Enrollment projections.
3. An evaluation of existing facilities.
4. A measure of the district's financial capabilities.
5. A long-range plan to achieve these goals.

The long-range planning document is known as the Study and Survey. A detailed description of this document is included in this chapter.

All districts that wish to receive state financial assistance for construction or modernization of school facilities are required to prepare a Study and Survey and to review and update it on a regular basis after adoption (WAC 392-341-020).

Section 302–Financial Assistance for Planning

Financial assistance for conducting a Study and Survey is available to any qualifying district. Application must be made through the OSPI School Facilities and Organization section. The procedure for obtaining financial assistance for planning is as follows:

1. The district shall submit Form D-1 to OSPI to request a Study and Survey grant ***no*** later than 60 days prior to OPSI's schedule. Please contact your Regional Coordinator for the dates. See application approval schedule.
2. OSPI reviews the request.
3. If approved, OSPI will issue Form D-2 which notifies the district of the amount of the grant and allows one year to complete the Study and Survey.
4. The district conducts the Study and Survey.
5. The completed Study and Survey is submitted to OSPI for review and comment. If further work is required, the district shall complete the work and transmit the results to OSPI for approval. Grant monies cannot be used for expenses incurred by district staff in preparing the Study and Survey.
6. Upon receipt of approval of the Study and Survey, the district shall submit Form SPI 1482 (Exhibit 3A). OSPI will then reimburse the district for the appropriate cost of the Study and Survey in an amount not to exceed the amount of the approved grant.

Section 303–Participatory Planning

The development of the Study and Survey is best accomplished by a team consisting of:

1. Local citizens.
2. School district board of directors.
3. School administrators, staff, and students.
4. Educational consultants.
5. Architects and engineers.

Participatory planning brings together people who typically have not worked together before. It involves consumers and people from many agencies, organizations, and groups that have both a stake in the problem and in the solution. Participation builds a sense of ownership on the part of all those involved.

Since implementation of any major building program is usually contingent upon public understanding and support, it is essential that the community be fully informed of the identified needs, plans to meet these needs, and how and why the plans were adopted.

Section 304–Study and Survey

The Study and Survey must be comprehensive in nature, dealing with all factors related to all school facilities within the district.

The process for conducting the Study and Survey should include:

1. Meeting with the OSPI Regional Coordinator. The Regional Coordinator will provide an overview of the planning process, potential financial eligibility, and an overview of the state funding process.
2. Development of a plan of action for conducting the long-range planning study.
3. Analysis of the current educational program.
4. Analysis of future educational needs and the community characteristics affecting the use of facilities.
5. Determination of present and future student populations and characteristics.
6. Assessment of the educational adequacy of the existing facilities.
7. An accurate calculation (gross square feet) of the existing facilities, including ages of buildings, additions and improvements (Exhibits 3B, 3C, and 3D).
8. A description of the types and kinds of systems and subsystems used in the facilities and an assessment of their physical condition, including status of compliance with current codes and regulations. In addition to the assessment, the building condition evaluation form (BCEF) also must be completed.
9. The development of a long-range educational and facilities plan.
10. Consideration of the high performance building requirements.

11. Consideration of an appropriate public works method. School districts may consider GC/CM (General Contractor/Construction Manager) and Design/Build alternatives to the traditional Design/Bid/Build public works method.
12. An assessment of financial resources.
13. Specific recommendations adopted by the local school board.

The district submits the Study and Survey together with a project application (Form D-3), if appropriate, for review by OSPI. Please contact your Regional Coordinator for submittal dates. It may be beneficial to prepare submission at a group meeting between district staff and the OSPI Regional Coordinator.

Corrections of any deficiencies noted by OSPI must be made no later than 30 days prior to the Form D-4 approval date.

Organization and Content
The Study and Survey should be organized into preliminaries and a series of chapters.

Refer to **Table 3.1** for a description of the content for the preliminaries and for each chapter. The Study and Survey shall be submitted in a three-ring binder with a labeled and tabbed divider at the beginning of each chapter.

OSPI Review
Typical questions asked by OSPI when reviewing a Study and Survey include:

1. Have an area analysis, a description of building systems and subsystems, a condition description and assessment, and a summary sheet of the BCEF been prepared for every facility within the district?
2. What is the educational plan that will accomplish the goals of the district?
3. How do the current facilities contribute to or detract from the district's ability to carry out the educational plan?
4. What new construction, additions, alterations, or comprehensive modernizations are being proposed; and how will these enhance the educational program?
5. What steps is the district taking to address high performance goals for each new project?
6. What are the priorities and timelines for proposed projects, and how do these relate to the educational program?
7. What are the ages of the buildings, additions, and major state-assisted modernizations?
8. What public works method is proposed for each project?

Integrated Design Workshop
It is important to involve all stakeholders early in the planning for high-performance school buildings. An integrated design workshop is for project design teams, owners, building users and/or the community to generate and establish the sustainability goals for a green building.

Table 3.1 Study and Survey Report

Preliminaries	Contents
Required documents and summary of findings and recommendations.	• Transmittal Letter • School Board Resolution Adopting the Study and Survey • Table of Contents • Executive Summary • Form D-3 (as applicable) • School Board Resolution permanently removing space from instructional inventory (needed only with Form D-3 for a New-in-lieu of modernization project).
Chapters	**Contents**
(1) An inventory and area analysis of existing school facilities within the district, a description of the types and kinds of systems and subsystems used in those facilities and their physical condition.	Include the following in the inventory and area analysis: • An overall site plan. Label the major buildings and features, means of access, and orientation, ages of buildings, additions, and major state-assisted modernizations. (See Exhibit 3E.) • An area analysis prepared in accordance with WAC 392-343-019, and AIA Document D-101. (See Exhibit 3D.) Show the areas calculated on small-scale floor plans. (See Exhibit 3D.) List the square footage of each area. Include the dates of original construction and any such modernization(s) on the plans. • Describe the types and kinds of systems and subsystems used in the building, their physical condition, and any recommended actions. • Include a BCEF summary sheet for each facility, building, or distinct portion thereof. (See Exhibit 3F)
(2) A long-range (minimum of six years) educational and facilities plan setting forth the projected facility needs and priorities of the district based on the educational plan.	Describe the district's long-range educational plan as adopted by the school board. Show how program goals and objectives are supported by a six- to ten-year capital facilities plan.
(3) Demographic data including population projections and projected economic growth and development.	Include the OSPI Cohort Survival Enrollment Projection, Report 1049, and any other pertinent data specific to growth within the district. Include Form 1066 Students with Disabilities Enrollment (see Exhibit 3G).
(4) The ability of the district to provide capital funds by local effort.	List the assessed valuation of the district, any outstanding bonded indebtedness, and the current bonding capacity. Compare the results to the estimated project cost.

Table 3.1 Study and Survey Report (continued)

Chapters	Contents
(5) The existence of a school housing emergency.	• This section only applies in emergency situations where the only facility in a district is rendered unusable. • Provide evidence of any natural disaster that resulted in the loss of facilities to support the school program. Show that the district is at its statutory limit for bonding capacity.
(6) The need to improve racial balance and/or to avoid creation or aggravation of racial imbalance.	List the district-wide minority population and then relate individual building minority population data as a percentage of the district-wide population.
(7) The type and extent of new and/or additions to existing school facilities required and the urgency of need for such facilities.	List all new facilities or additions needed to support the long-term educational plan and any construction phases necessary to achieve the plan.
(8) A cost/benefit analysis on the need to modernize and/or replace existing school facilities in order to meet current educational needs and the current state building code.	Describe the modernization needs for each and every school facility. List deficiencies and recommended actions. Provide a cost breakdown on a system and subsystem basis. If state funds are requested, provide the required cost-benefit analysis.
(9) The need and the estimated capital cost to restore to design specifications the major building systems and subsystems that have deteriorated due to deferred maintenance.	List the backlog of maintenance, repair, and replacement needs for each and every school facility. These should be capital projects that are not included in the annual maintenance budget. Costs for deferred capital improvements are not eligible for state modernization assistance.
(10) A determination of the district's time line for completion of the school facilities project.	Include at a minimum the major milestones of the project(s) such as: • Bond issue. • Design. • Construction. • Project completion. • Board acceptance. • Note any long term construction phases.
(11) An inventory of accessible unused or underutilized school facilities in neighboring school districts and the physical condition of such school facilities.	Provide letters from adjacent school districts regarding their ability to provide facilities to house nonresident students and the physical condition of any such facilities. Include a school board resolution as to space availability in neighboring school districts.
(12) The need for adjustments of school attendance areas within the district.	Show how changes in attendance areas or district boundaries within or among neighboring districts could result in adequate available space to house school children–thus negating the need for state-supported new construction or modernization.
(13) Such other matters as the superintendent of public instruction deem pertinent to decision making in the allocation of funds for school facilities.	Include any discretionary information that may include but not be limited to information regarding high performance facilities, construction or project management, and public works building methods.

Section 305–Community Analysis

An integral part of educational planning is an analysis of the community's present status and a projection of its future character. Additionally, an effort should be made to

determine what the citizens expect from their schools and what the community's educational needs are. The following aspects of the community's development should be considered:

1. Demographic characteristics and population density patterns.
2. Population changes due to migration patterns and fluctuations in the birth rate.
3. Socioeconomic patterns that result in population shifts within the community.
4. Possible shifts in housing patterns and household size for potential impact on school enrollment.
5. Current major highway and street networks and their probable development.
6. Current assessed value of properties.
7. Potential changes in land usage (residential, commercial, and industrial).
8. Changes in school district boundaries.
9. Availability and location of community services.
10. Vocational opportunities in the community.
11. Community expectations for its school.
12. Citizen attitudes and aspirations in general and goals for high performance schools.
13. Local comprehensive plan (especially if jurisdiction is included under the Growth Management Act).

Much of the needed data for this analysis can be obtained from school records and from other public agencies and institutions. Information concerning community perception can be collected by conducting public meetings, workshops, and/or opinion surveys by telephone or written questionnaires.

Section 306–Educational Plan

The educational plan describes in general the community's educational philosophy and goals connecting the district's facilities plan with the long-range educational plan.

OSPI encourages districts to develop statements of goals for education. These statements shall be consistent with the "Goals for Washington Schools" (Exhibit 3H).

Section 307–School Enrollment Analysis

An analysis of the following data is an essential component of the Study and Survey:

1. Population trends.
2. Number of live births.
3. Public school enrollment figures (including children with disabilities).
4. Nonpublic school enrollment figures.
5. Holding power of public school enrollment (dropout ratios).
6. Migration patterns.

Long-range projections of enrollments are an essential element to be considered. Some of the factors that affect long-range projections are:

1. Changing economic conditions.
2. Nonresident and nonpublic school students.
3. Boundary changes.
4. Pupil dropout/retention/acceleration.
5. Land use changes.
6. Type of housing.

A cohort enrollment projection is available for each district from OSPI. This projection is based on previous reported October enrollments and is used for determining the amount of state financial assistance.

Section 308–Evaluation of Existing Facilities

The Study and Survey includes a **physical condition assessment** and an **educational adequacy assessment** for all existing facilities in the district. The two assessments are separate and distinct. Each measures different aspects of school buildings.

Physical Condition Assessment
The assessment of the physical condition of existing facilities includes the major systems, subsystems, and components such as architectural, structural, mechanical, and electrical elements. A thorough assessment is important since it provides:

1. Information required for Chapters 1, 8, and 9 of the Study and Survey (see Table 3.1).
2. Information for the district in making decisions regarding the extent, need, and urgency for making capital expenditures.
3. An inventory of building deficiencies to be repaired or replaced under the district's capital improvement program.
4. Baseline information that is critical to the planned facility management program.

The assessment team should include district facility staff that have firsthand knowledge of building and equipment problems. A multidisciplinary team of professional architects and engineers should complete the analysis to assist the district in determining what projects to include in their capital improvement plan.

The process of assessing the physical condition of existing school buildings starts with the construction date(s), inventory, and description of the building systems, subsystems, and components. Deficiencies are identified by comparing the systems and components to normal operating or design standards and/or code requirements. The costs to correct those deficiencies are then estimated and a priority assigned.

The findings of the physical examination of the existing buildings contribute to the completion of Chapter 1 of the Study and Survey. They also yield the information for

completing Chapters 8 and 9 on district modernization needs and any deferred maintenance backlog.

Facility adaptation, facility renewal, and deferred maintenance are the major deficiency categories.

Facility adaptation includes project costs for improvements that are driven by program changes, code upgrades, and other compliance issues. Facility renewal includes project costs for the replacement of components that are beyond their useful lives. Facility adaptation and renewal projects may be eligible for state funding assistance and come under Chapter 8 of the Study and Survey.

Deferred maintenance items are identified in Chapter 9 of the Study and Survey. Other terms for deferred maintenance are repairs or replacements, major or minor, that restore building components and systems to function as designed, but the district knowingly and consciously chooses not to repair or replace. These are capital projects because they require unique planning, scheduling, funding and management but cannot be classified under the facility adaptation or facility renewal categories. Therefore, projects of this type are not eligible for state funding assistance. Minor repairs should be completed as part of the district's annual maintenance program.

Educational Adequacy Assessment
School buildings are designed around factors such as school board policies, course offerings, instructional activities, and the number of students and grade levels to be served. The educational assessment differs from the physical assessment in that it identifies the capability of the school building to support the educational program.

The first step of the process involves gathering information on the above factors to gain an image of the educational expectations and establish a baseline for analysis. Next, the buildings and other spaces need to be inspected according to the criteria established in the baseline. A multidisciplinary approach is recommended. Teachers, administrators, community members, and designers view a facility differently; each may identify deficiencies that the others may overlook.

Elements of evaluation include health and safety issues, spatial relations, circulation patterns, environmental issues, technology capability, issues of accessibility, and more. Factors to be included in the review process fall into two groups and may include:

Facility Factors:

1. Is the facility capacity adequate to support the expected school population?
2. Are previous facility policies, standards, and expectations still acceptable?
3. Does the facility support current busing, parking, or barrier-free design requirements?
4. Does the facility address the issues of security, student safety, and supervision?
5. Is the facility location convenient for the users?
6. Is the facility attractive and comfortable?
7. Building and Space Factors:

8. Are classroom types and sizes adequate?
9. Are support spaces adequate in size and number?
10. Do classrooms contain the required or desired utilities and equipment?
11. Is the classroom environment (lighting levels, acoustics, heating, ventilating, and air conditioning) suitable?

Educational and design professionals should review the deficiencies identified in the inspections and determine what changes and building upgrades are necessary to align the building's capability with the current or future educational program. This professional evaluation is necessary in order to transform the findings into capital projects and bond issues.

The resulting capital projects should be listed as modernization or replacement needs in Chapter 8 of the Study and Survey. Projects of this type may be eligible for state assistance.

Section 309–Long-Range Plan

The long-range plan reaches conclusions about “where we are, where we want to go, and how we are going to get there.”

The long-range plan develops a structure for:

1. Implementing the district’s educational goals and program.
2. Managing and developing its facilities for growth and change.
3. Establishing standards and levels of service.
4. Establishing future actions and their priorities.
5. Considering elements of the city or county comprehensive plan as may be required by the Growth Management Act.
6. Considering elements of high performance schools as required.

The long-range plan is an ongoing tool and needs periodic review in order to confirm basic tenets and assumptions and to validate proposed plans and actions.

Section 310–Assessing Financial Resources

If the long-range plan reveals a need for modernization or new construction, cost estimates must be prepared. For most districts, the amount of money that can be devoted to construction or modernization of existing school facilities is determined by legal considerations, the willingness of its citizens to provide funds, the availability of state monies, and the eligibility of the district to receive state assistance. All potential funding sources (and combinations thereof) should be considered. Since construction funds come largely from property taxes, historical trends of assessed valuation should be developed and updated annually. Outstanding school district debts should be analyzed to determine the possibility of dovetailing payments with future debt service requirements to obtain equal annual payments and possibly stable tax rates.

It would be advantageous for the district to enlist the services of a financial consultant to assist them at this stage of planning. Refer to Chapter 4 of this manual for additional information on this subject.

Section 311–Recommendations

The long-range planning recommendations of the Study and Survey should document the need for additional sites, abandonment or sale of existing surplus facilities or sites, new construction, modernization, or change in use. Recommendations will address both short and long-range needs and objectives. Recommendations should also reconcile school facility needs with the district's financial resources.

A capital improvement program should be developed. This should include the preparation of a list of capital improvements and a plan for phasing improvements over six to ten years. A specific financial plan should be prepared for immediate projects.

Section 312–OSPI Review and Approval

The Study and Survey shall be reviewed and approved by OSPI. To qualify for consideration and eligibility, the district shall then submit a Form D-3 to OSPI for approval for each school facility project.

Table 3.1 Study and Survey Report

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Required documents and summary of findings and recommendations.	• Transmittal Letter • School Board Resolution Adopting the Study and Survey • Table of Contents • Executive Summary • Form D-3 (as applicable) • School Board Resolution permanently removing space from instructional inventory (needed only with Form D-3 for a New-in-lieu of modernization project).
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(5) The existence of a school housing emergency.	• This section only applies in emergency situations where the only facility in a district is rendered unusable. • Provide evidence of any natural disaster that resulted in the loss of facilities to support the school program. Show that the district is at its statutory limit for bonding capacity.

Table 3.1 Study and Survey Report (continued)

Chapters	Contents
(6) The need to improve racial balance and/or to avoid creation or aggravation of racial imbalance.	List the district-wide minority population and then relate individual building minority population data as a percentage of the district-wide population.
(7) The type and extent of new and/or additions to existing school facilities required and the urgency of need for such facilities.	List all new facilities or additions needed to support the long-term educational plan and any construction phases necessary to achieve the plan.
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(14) Such other matters as the superintendent of public instruction deem pertinent to decision making in the allocation of funds for school facilities.	Include of discretionary information that may include but not be limited to information regarding high performance facilities, construction or project management, and public works building methods.

Exhibit 3A–Form SPI 1482 Invoice Voucher Prepared for Study and Survey Grant

STUDY & SURVEY CLAIM FORM
Superintendent of Public Instruction
Old Capitol Building; PO Box 47200
School Facilities Accounting
Olympia WA 98504-7200

Claimant Name: Claimant Address:	CLAIMANT CERTIFICATE: I HEREBY CERTIFY UNDER PENALTY OF PERJURY THAT THE ITEMS AND TOTALS LISTED HEREIN ARE PROPER CHARGES TO THE STATE OF WASHINGTON AND THAT ALL GOODS & SERVICES FURNISHED HAVE BEEN PROVED WITHOUT DISCRIMINATION ON THE GROUNDS OF RACE, CREED, COLOR, NATIONAL ORIGIN, SEX, OR AGE. BY:X Signature of Claimant's Authorized Agent

BILLING DATE

Reimbursement to_____ School District Number _____
for state study and survey grant per attached statement of expenses incurred.

Total state grant: $
Expense(s) incurred: $

OSPI USE ONLY

						PAYEE #
Approved by OSPI Director School Facilities & Organization					Date:	PROJ #
						CERT #
Reviewed by Financial Consultant						DATE
ACCOUNT CODE:						
FUND	APPROP	PROG	SPROG	OBJECT	SUB OBJECT	AMOUNT

ACCOUNTING APPROVAL:	VOUCHER #
AUDITED:	

Send form to: School Facilities & Organization
OSPI
PO Box 47200
Olympia WA 98504-7200

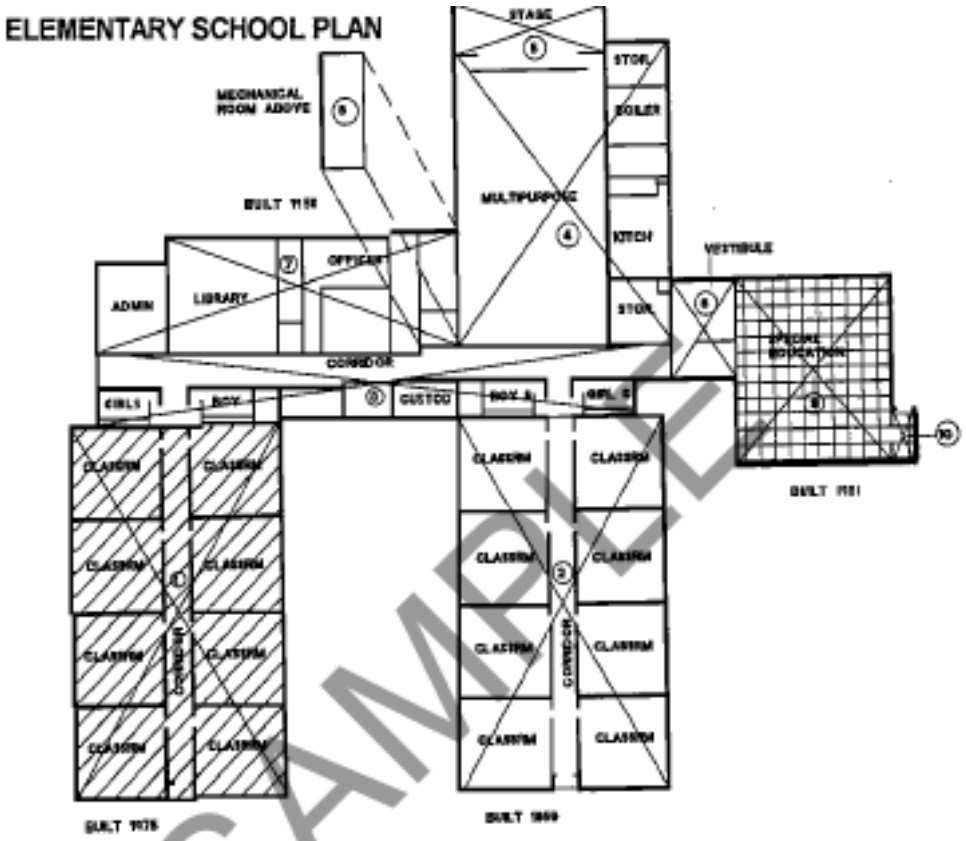
Exhibit 3B–Area Calculations

Definition—Instructional Space WAC 392-343-019
The term "instructional space" means the gross amount of square footage calculated in accordance with the ***American Institute of Architects, Document D101, The Architectural Area and Volume of Buildings, latest edition****,* for a school facility utilized by a school district for the purpose of instructing students–*Provided*, that the following areas shall not be included in any calculation of instructional space:

1. Exterior covered walkways, cantilevered or supported.
2. Exterior porches including loading platforms.
3. Space used by central administrative personnel.
4. Stadia and grandstands.
5. Bus garages.
6. Free-standing warehouse space specifically designed for that purpose.
7. Portable facilities.
8. Other square footage not otherwise available or related to direct instruction or instructional support of the education program in the district.
9. The portion(s) of any space(s) constructed from grants made as a gift to a school district by a private entity or a public entity which:
    - Is dedicated by the written terms of the grant to joint use by the school district for educational purposes and by the general public for community activities for the useful life of the space(s), and
    - The school district board of directors has accepted the gift in accordance with the joint use terms of the grant–*Provided*, that this exception does not apply to space(s) jointly financed by two or more school districts.

Note: Calculate covered play areas as one-half of the gross covered area. Other areas shall be calculated as shown on the area diagram on page 15, Exhibit 3D.

Exhibit 3C–Sample Area Diagram



ELEMENTARY SCHOOL AREA SUMMARY			
Year	Area No.	Area Name	Sq. Ft.
1959	2	Classroom	8,436
1959	3	Corridor/Toilets	3,940
1959	4	Multipurpose	6,300
1959	5	Stage	650
1959	6	Lobby	589
1959	7	Library/Office	3,813
1959	8	Mechanical	NC *
		1959 Subtotal:	23,728
1975	1	Classroom	8,436
		1975 Subtotal:	8,436
1991	9	Special Ed.	2,744
1991	10	Vestibule	134
		1991 Subtotal:	2,878
		Grand Total:	35,042

* NOT COUNTED

Exhibit 3D–The Architectural Area and Volume of Buildings

AIA Document D101
Methods of Calculating Areas and Volumes of Buildings

There is no single standard for calculating areas and volumes of buildings. This document describes several options for calculation that may be at variance with applicable building code(s). Concurrence as to method(s) used and conformance to applicable code(s) is necessary.

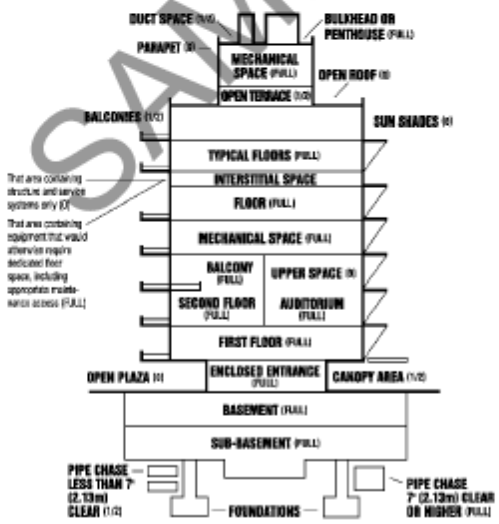
ARCHITECTURAL AREA OF BUILDINGS

The ARCHITECTURAL AREA of a building is the sum of the areas of the floors of the building, measured from the exterior faces of exterior walls or from the centerline of walls separating buildings. The architectural area includes basements, mezzanines, intermediate floors and penthouses, provided that these areas have a minimum of seven feet (2.13 meters) headroom height. Discretion is advised in calculating areas of interstitial space, such as mechanical spaces where live load requirements meet or exceed those permitted for habitation under local building codes.

- Paved or finished covered areas, such as open porches and similar spaces, shall have the architectural area multiplied by an area factor of 0.50.
- The architectural area does not include such features as utility chases (less than seven feet [2.13 meters] to any physical obstruction), exterior terraces, steps or eaves.

ARCHITECTURAL VOLUME OF BUILDINGS

The ARCHITECTURAL VOLUME (cubic volume) of a building is the sum of the products of the areas defined above, multiplied by the floor-to-floor height or floor-to-mean-finished-roof height.



ARCHITECTURAL AREA DIAGRAM

D101—1995

Exhibit 3E–Sample Site Plan

ELEMENTARY SCHOOL SITE PLAN

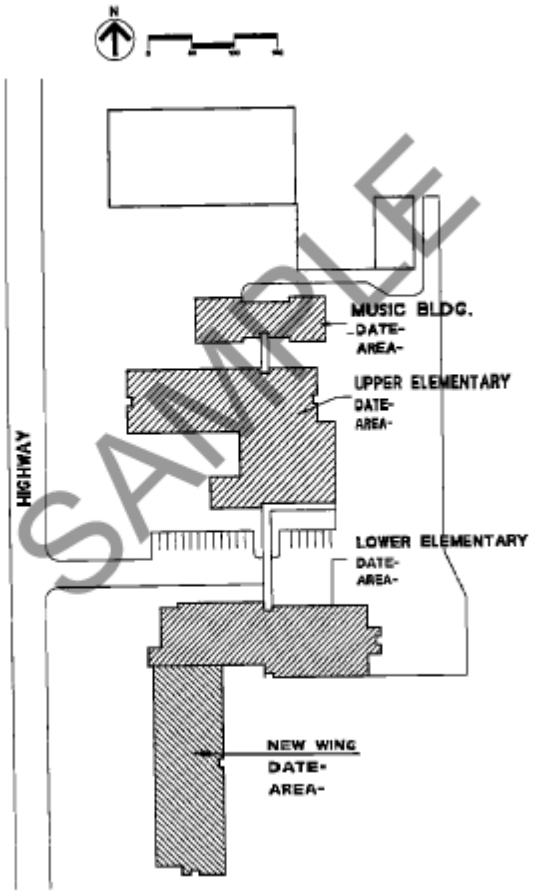


Exhibit 3F–Building Condition Evaluation Form Summary Sheet

BUILDING CONDITION EVALUATION FORM

County/School District _____ School Name _____ Building Name/# _____

COMPONENTS	SYSTEMS	RATINGS GOOD (1)	FAIR (2)	POOR (3)	UNSAT. (4)	COMBINED	COMMENTS
1.0 Exterior Building Condition	1.1 Foundation/Structure	+12	+8	+6	+4		
	1.2 Walls	+8	+5	+3	+1		
	1.3 Roof	+7	+5	+2	0		
Component Score	1.4 Windows/Doors	+2	+1	0	0		
	1.5 Trim	+2	+1	0	0		
2.0 Interior Building Condition	2.1 Floors	+8	+5	+2	0		
	2.2 Walls	+8	+5	+1	0		
Component Score	2.3 Ceilings	+5	+3	+1	0		
	2.4 Fixed Equipment	+2	+1	0	0		
3.0 Mechanical Systems Condition	3.1 Electrical	+6	+4	+2	0		
	3.2 Plumbing	+4	+2	+1	0		
	3.3 Heating	+6	+4	+2	+1		
Component Score	3.4 Cooling	+6	+4	+2	+1		
	3.5 Lighting	+4	+3	+2	0		
4.0 Safety/Building Code	4.1 Means of Exit	+6	+4	+2	0		
	4.2 Fire Control Capability	+4	+3	+2	+1		
	4.3 Fire Alarm System	+4	+3	+2	+1		
Component Score	4.4 Emergency Lighting	+2	+1	0	0		
	4.5 Fire Resistance	+4	+3	+2	+1		
	TOTALS						
5.0 Provisions for Handicapped		X	X	X	X		

Suitability Code and Definition (Circle Appropriate Code)

4 Building makes positive contribution to educational environment
3 Building suitable
2 Current use of space is compatible with intended use but needs remodeling
1 Current use of space is not compatible with intended use or design

Significant Location Factors / Overall Conclusions

Evaluator Signature _____	Date	Unadjusted Score	Adjusted Score
School Official Signature _____			

(BCEF 6/26/01)

Exhibit 3G–Form SPI 1066 Enrollment/Classroom Count

OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION School Facilities and Organization Old Capitol Building PO BOX 47200 OLYMPIA WA 98504-7200 (360) 725-6285 TTY (360) 664-3631	ESD	CO	DIST
ENROLLMENT/CLASSROOM COUNT 2010–11			

School District _____

1. **ENROLLMENT REPORT AS OF LATEST OCTOBER 1 COUNT**
Enter the number of students with disabilities (as reported on actual October headcount enrollment) who are assigned to a specially designated self-contained classroom for at least 100 minutes per school day. Enter pre-kindergarten students with disabilities at 50 percent of the actual headcount enrollment.

Grade	October Enrollment per above definition
Pre-Kindergarten	
Kindergarten	
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
Total	

2. **NUMBER OF CLASSROOMS BY FACILITY**
List by building the number of specially designed self-contained classrooms for students with disabilities and the number of classrooms assigned to the regular instructional program.

Building Name	Self-Contained Classrooms for Students with Disabilities	Regular Classrooms/Teaching Stations

_____
SIGNATURE OF SUPERINTENDENT/DESIGNEE DATE

Return to: School Facilities and Organization
Office of Superintendent of Public Instruction
Old Capitol Building
PO BOX 47200
OLYMPIA WA 98504-7200

Fax Number: (360) 586-3946

FORM SPI 1066 (Rev. 11/10) Page 1 of 2

ESD	CO	DIST

2. NUMBER OF CLASSROOMS BY FACILITY (continued)

List by building the number of specially designed self-contained classrooms for students with disabilities and the number of classrooms assigned to the regular instructional program.

Building Name	Self-Contained Classrooms for Students with Disabilities	Regular Classrooms/Teaching Stations

FORM SPI 1066 (Rev. 11/10) Page 2 of 2

Exhibit 3H–OSPI Goals for Washington Schools

OSPI's Mission
In collaboration with educators, students, families, local communities, business, labor, and government, the Office of Superintendent of Public Instruction leads, supports, and oversees K–12 education, ensuring the success of all learners.

RCW 28A.150.210 Basic Education Act–Goal
The goal of the Basic Education Act for the schools of the state of Washington set forth in this chapter shall be to provide students with the opportunity to become responsible citizens, to contribute to their own economic well-being and to that of their families and communities, and to enjoy productive and satisfying lives. To these ends, the goals of each school district, with the involvement of parents and community members, shall be to provide opportunities for all students to develop the knowledge and skills essential to:

1. Read with comprehension, write with skill, and communicate effectively and responsibly in a variety of ways and settings.
2. Know and apply the core concepts and principles of mathematics; social, physical, and life sciences; civics and history; geography; arts; and health and fitness.
3. Think analytically, logically, and creatively, and to integrate experience and knowledge to form reasoned judgments and solve problems.
4. Understand the importance of work and how performance, effort, and decisions directly affect future career and educational opportunities.

RCW 28A.150.211 Values and traits recognized
The legislature also recognizes that certain basic values and character traits are essential to individual liberty, fulfillment, and happiness; however, these values and traits are not intended to be assessed or be standards for graduation. The legislature intends that local communities have the responsibility for determining how these values and character traits are learned as determined by consensus at the local level. These values and traits include the importance of:

1. Honesty, integrity, and trust.
2. Respect for self and others.
3. Responsibility for personal actions and commitments.
4. Self-discipline and moderation.
5. Diligence and a positive work ethic.
6. Respect for law and authority.
7. Healthy and positive behavior.
8. Family as the basis of society.

Chapter 4: Financing

Section 401	Financing Capital Improvements
Section 402	Use of UTGO Bonds to Finance
Section 403	Key Participants in Financing with UTGO Bonds
Section 404	The Issuance of UTGO Bonds
Section 405	Approval Requirements for UTGO Bonds
Section 406	Post Bond Election
Section 407	Sale of UTGO Bonds
Section 408	Investment of Funds
Section 409	Expenditure of Funds

Section 401–Financing Capital Improvements

Districts may obtain funds for financing capital improvements from some, or all, of the following sources:

1. Sale of voted unlimited tax general obligation bonds ("UTGO bonds") under RCW 28A.530.010 authorized for school building construction purposes.
2. Sale of non-voted limited general obligation bonds under RCW 28A.530.080 authorized for modernization of existing school buildings, including energy efficiency improvements and structural additions.
3. Sale of certain short-term obligations under Chapter 39.50 RCW, such as bond anticipation notes, grant anticipation notes, and revenue anticipation notes authorized for school building construction purposes.
4. Voter-authorized excess tax levies for capital purposes (capital levy).
5. Proceeds from investments of capital project fund moneys.
6. Funds received from the state for assistance in the construction of school facilities (state funding assistance monies).
7. Funds received from other sources (federal funds, insurance proceeds, property sales, gifts, etc.) and available for the construction of school facilities.
8. Mitigation fees from environmental impacts by the State Environmental Protection Act (SEPA).
9. Impact fees or charges for expanding school facilities to meet growth under the Growth Management Act (GMA).

For state assisted "front-funded" projects, the district must certify total project costs are available and disbursable.

School districts must demonstrate they have expended funds equal to their local share of the project before OSPI makes available state funding assistance.

The district's local share of funds may be any combination of moneys obtained from the sources listed above.

Section 402–Use of UTGO Bonds to Finance Capital Improvements

There are a variety of financing sources available to school districts to finance capital improvements. The most widely used source is proceeds from the sale of UTGO bonds. This chapter will focus primarily on the sale, issuance, and delivery of UTGO bonds. If a district is contemplating using one of the financing sources identified above in Section 401, we strongly recommend the district contact bond counsel. The consequences of unauthorized financing can be serious. Unauthorized financing may be void and unenforceable. Interest on such financing may not be tax-exempt.

The Washington State School Director's Association (WSSDA) has published the Washington School Bond Manual as a guide to assist school district officials in understanding long and short-term borrowing options for financing capital improvements. This manual is intended to be

a resource to understand the basics of school financing not a replacement to the expert advice provided by bond professionals. This manual is recommended by OSPI as a good reference during the process of school finance decisions. Copies can be requested directly from WSSDA.

Section 403–Key Participants in Financing Capital Improvements with UTGO Bonds

There are a number of key participants in financing capital improvements with UTGO bonds. These participants include, among others:

1. **School District Officials**
   The chief coordinator of financing will generally be the superintendent, business manager, or other designated person who has expertise in the finance area. The school board also plays an important role in the approval of financing. School district architects and engineers provide critical information regarding improvements sought to be financed by the district.

2. **Financial Advisor**
   Financial consulting firms or institutions cooperate with the bond counsel and advise the district regarding market conditions, maturity schedule and call provisions for UTGO bonds, and appropriate dates for sale of UTGO bonds. They assist in obtaining ratings for the district. They also prepare and distribute the official statement for the sale and verify the bids for purchase.

3. **Underwriter**
   An underwriter is an independent investment banking firm or financial institution that purchases bonds from issuers and then resells those bonds to investors. The underwriter will generally assume responsibility for the preparation of an official statement in the event there is no financial advisor. [See section 407 for a discussion regarding public (or competitive) vs. negotiated sales.]

4. **Bond Counsel**
   Bond counsel is an independent law firm which drafts and reviews necessary proceedings (including closing documents) leading up to the sale, issuance, and delivery of bonds or other debt obligations. It advises the district on legal issues. Bond counsel also provides an approving legal opinion assuring purchasers of bonds that notes and other obligations are valid and legally binding under state law, including the interest paid on such obligations is exempt from federal income taxes.

> A clear distinction should be made between bond counsel that provides legal services, an underwriter that purchases and resells the bonds to investors, and financial advisors that provide financial analysis and advice on structuring options and marketing assistance. A district should consider selecting its financial advisor and bond counsel as soon as its school board has resolved to proceed with development of a new facility. Some districts also select an underwriter at that time if they are planning on selling the UTGO bonds by a negotiated sale.

5. **Bond Insurance Companies and State Guarantee of UTGOs**
   The bond insurer guarantees, to the holder of the bonds, the payment of principal and interest against nearly all eventualities. The effect of bond insurance is to increase the rating of the school district's bonds from the "underlying" rating to an AAA, generally from both Moody's and Standard & Poor's. Bond insurance companies charge a premium based on a percentage of all debt service insured.

   In November 1999, SJR 8206 was approved at a statewide election. SJR 8206 permits the state to pledge its full faith, credit, and taxing power to guarantee UTGO bonds of school districts. Thus, the state, rather than bond insurance companies, guarantees the payment of school district UTGO bonds. See Chapter 210-02 WAC School Bond Guarantee Program administered by the Office of the State Treasurer.

6. **Rating Agencies**
   The last major category of participants is the rating agencies, principally Moody's Investor's Services and Standard & Poor's Corporation. The rating agency assigns a letter rating based on that agency's evaluation of the credit worthiness of the school district. Good credit means a higher letter rating, which ultimately translates into a lower interest cost on the bonds.

7. **Other**
   Other participants in a financing include the county treasurer, ESD, and the paying agent/bond registrar (usually the fiscal agents of the state of Washington).

Section 404–The Issuance of UTGO bonds

UTGO bonds constitute a general obligation of a school district and, as such, the full faith, credit, and resources of the district are pledged for their repayment. UTGO bonds are referred to as "unlimited tax general obligation bonds" because both the principal and interest on such bonds are payable out of annual property tax levies, in excess of regular property tax levies, upon all the taxable property within the district without limitation as to rate or amount.

School districts have the express authority to issue UTGO bonds provided that certain requirements are satisfied. First, UTGO bonds must be approved by 60 percent of the qualified electors within the school district and the total number of electors casting ballots at the election must constitute not less than 40 percent of those voting in the last state general election. A ballot proposition authorizing UTGO bonds may not be submitted more frequently than twice in any calendar year.

Second, the principal amount of UTGO bonds issued must be within the constitutional and statutory debt limitations. A school district may not issue UTGO bonds in a principal amount that exceeds 5 percent of the assessed value of the taxable property within the district. This limitation should be reviewed by bond counsel each time a district contemplates the issuance of additional debt.

Third, UTGO bonds may be issued for capital purposes only. Such capital purposes include:

1. Acquiring land for buildings, playgrounds, physical education and athletic facilities, and other necessary structures.
2. Erecting buildings, including furniture, equipment and apparatus.

3. Energy-efficient improvements.
4. Structural changes and additions.
5. Paying an installment contract for school facilities or a financing lease for school facilities with an option to purchase, the term of which is ten years or longer.
6. Any or all of the above and other capital purposes. See RCW 28A.530.010(2)(7).

The Washington Constitution expressly prohibits the use of UTGO bond proceeds for the acquisition of "replacement of equipment." (Article VII, Section 2[6] of the State Constitution).

The *Accounting Manual for Public School Districts in the State of Washington* (the *Accounting Manual)* states that, "replacement is the replacement of a unit of equipment or fixture with another unit or fixture that serves the same purpose in the same way and has the same expected lifetime as the replaced unit when installed."

The term "equipment" means "the special things needed for some purpose; supplies, furnishings, apparatus." **UTGO bond proceeds may not be utilized to replace any equipment by new equipment serving the same purpose, in the same way, with the same expected useful life as the replaced equipment when installed.**

Equipment is not "replacement" equipment if it is similar to, but serves a new or greater function than the existing equipment and if it is the new or greater functions that causes the decision to acquire such equipment. For example, if a school district intends to acquire new technology and such acquisition is merely to upgrade existing technology, the new acquisition of technology might be characterized as "replacement equipment." On the other hand, if the acquisition of technology is to bring new features into the school district's technology system, such as networking, then the district's acquisition should not be characterized as "replacement equipment."

It is well-established that UTGO bond proceeds may be used to acquire "new types of equipment (computers) to be used in an existing school." Further, if software (or reasonably necessary training) is part of the initial equipping of a new or remodeled building, such as a new computer system or a new computer lab, UTGO bond proceeds may be used to purchase such software (or training). If the software is being purchased to replace existing software for the same purpose in the same way, UTGO bond proceeds may not be used. Also, computer hardware purchased to expand the memory of an existing computer system may be considered "replacement equipment."

Another mechanism to ensure a school district's planned use of UTGO bond proceeds is consistent with the capital purposes described in RCW 28A.530.010 is to distinguish capital expenditures from expenditures for maintenance and operation. Therefore, by their plain meaning, "maintenance and operation" means the usual and ongoing costs to operate a school district. Conversely, capital expenditures are more accurately characterized as those expenditures that are "unusual and extraordinary." The distinction between maintenance and operation expenses and capital expenditures is critical. UTGO bonds mistakenly issued to pay for both maintenance and operation and capital expenses may be held invalid because such bonds may not be viewed as being issued for "capital purposes only." The *Accounting Manual* is a persuasive guide for interpreting and clarifying the capital purposes described in RCW 28A.530.010. See *Accounting Manual,* Ch. IX, § CPF, at 4–5.

UTGO bond proceeds may also be used for the payment of incidental costs and costs related to the sale and issuance of the UTGO bonds including:

1. Fiscal and legal expenses.
2. The costs of obtaining bond ratings.
3. Printing, engraving, and advertising costs.
4. Capitalized interest for up to six months.
5. Necessary and related engineering, architectural, planning and inspection costs.
6. Other similar activities.

Section 405–Approval Requirements for UTGO bonds

The approval process requires that the school board approve, by resolution and at an open public meeting, a ballot proposition to be submitted to the qualified electors within the school district. The ballot proposition asks whether the district shall issue UTGO bonds, payable out of annual property tax levies in excess of regular property tax levies. The resolution approving the ballot proposition must be delivered to the county auditor, who is the ex-officio supervisor of elections, not less than 45 days prior to the proposed election date.

UTGO bonds must be authorized by the qualified electors within the school district at a special election called by the county auditor of the county within which the district is located. School district bond elections are strictly governed by the Constitution and laws of the State of Washington.

The county auditor may call a bond election provided that: (1) a request, in the form of an election resolution is filed with the county auditor at least 45 days prior to the proposed election date, and (2) the county auditor deems an emergency to exist. School district bond elections in Washington are permitted on only six specified dates each year as identified in Chapter 29A RCW. The proposition submitted to the voters for bonds is also limited to 75 words. Drafting attractive, appealing, and lawful propositions is important and challenging. Bond counsel should prepare the election resolution and ballot proposition. It is not advisable for the district to attempt to prepare its own election resolution. If it is drawn incorrectly, the election may not be valid.

The following information is required for the preparation of the election resolution:

1. **Purpose for the Issue**
   A statement must be prepared by the district and its bond counsel which defines the proposed school building project(s) and the purpose for which the proceeds of the UTGO bond issue will be expended. The election resolution must specify the purposes of the debt financing measure, including the specific buildings to be constructed or remodeled. If the debt financing measure anticipates the receipt of state financing assistance, the election resolution also shall describe the specific anticipated purpose of the state assistance. If the school board subsequently determines that state or local circumstances should cause any alteration to the specific expenditures from the debt financing or of the state assistance, the board shall first conduct a public hearing to consider those circumstances and to receive public testimony. If the board then determines that any such alterations are in the best interests of the district, it may adopt a new resolution or amend the original resolution at a public meeting held subsequent to the meeting at which public testimony was received.

2. **The Term of the Issue**
   In consultation with its bond counsel, financial advisor and/or underwriter, the district must establish the maximum term of years or period of time that the district has to pay the principal of the bond issue.

3. **The Amount of the Issue**
   The most important element in proper project financing is determination of an appropriate cost for the project. This cost must be an aggregate sum of **all** the costs which will be encountered during the entire course of the work. Generally, the costs of issuance will be approximately one to two percent of the principal amount of the UTGO bond issue.

4. **The Ballot Title**
   Another critical element of the resolution is the ballot title or proposition. All bond ballot propositions must (1) state a capital purpose, (2) fix a maximum dollar amount, (3) establish the maximum term of years, (4) authorize the levy of annual excess property taxes to pay and retire the bonds. Reference also is customarily made to the bond election resolution. All school district ballot propositions must be 75 words and need to have approval by the county prosecuting attorney.

5. **Political Considerations**
   When voters approve a UTGO bond issue for a specific project, they expect that the costs stated in such bond issue will be the complete and entire cost to them for the capital improvement anticipated. If upon completion of the project, money remains available for other capital improvements or for payment of some of the UTGO bonds, the district has earned the respect and good will of its community. The establishment of the election date might be of critical importance to the success or failure of the district's UTGO bond issue. Each district should analyze the results of past elections as they affected the district and also consider election requirements for total voter turnouts for validation. Some districts are most successful at passing UTGO bond issues when high voter turnouts occur and other districts historically fail under similar conditions.

6. **Public Disclosure Laws**
   As part of the UTGO bond election process, the school district must carefully observe the public disclosure laws. Under RCW 42.17.130, neither elected official nor any employee of any public agency may use or authorize the use of any facilities of a public office or agency, directly or indirectly, for the promotion of or opposition to any ballot proposition.

   There are three exemptions that allow school boards to (1) adopt a resolution in support of or opposition to a ballot proposition, (2) make public statements as elected officials in support of or in opposition to ballot propositions at press conferences, and (3) engage in or authorize activities that are a normal part of the regular conduct of the school district's affairs.

   The administrative regulations of the Public Disclosure Commission, Chapter 390-05 WAC, provide exemptions and a definition of "normal and regular conduct." It may be advisable that any school district-written materials be submitted to Public Disclosure Commission staff for review and comment. For additional information,

please see *Guidelines for School Districts in Election Campaigns* (2006), Public Disclosure Commission.

7. **Use of Local Voters Pamphlet**
   Additionally, the school district may be required to participate in the preparation of a local voter's pamphlet that requires an explanatory statement and statements for and against the ballot proposition. See Chapter 29A RCW. Please check with the county auditor for local procedure and practice.

8. **Some Things to Remember:**
   - Assemble the financing and election advisory team early.
   - Allow ample time for preparation, review, and approval of documents.
   - Comply strictly with the open public meetings and public disclosure laws.
   - Strive for consistency and accuracy in public statements.
   - Never try to write your own bond ballot proposition.

Section 406–Post Bond Election

Upon completion of a successful UTGO bond election, the district generally will implement the following activities:

1. The financial advisor or underwriter provides the bond counsel with the maturity schedule and call provisions etc. to be used in the UTGO bond issue.
2. The bond counsel prepares the bond resolution and notice of sale and requests transcript documents regarding the election, district financial position, etc.
3. The school board determines whether the UTGO bonds are to be sold through a public sale or a negotiated underwriting (as discussed below).
4. The school board seeks the advice of the financial advisor or underwriter on obtaining a bond rating from Moody's Investors Service, Inc. and/or Standard & Poor's Corporation.
5. The financial advisor, or underwriter, prepares the official statement which will be mailed to potential bond buyers. This document provides economic, financial, and general information about the district which will determine the interest rate that a potential bidder will apply to this issue. The bond counsel and district staff reviews this document to ensure that full and accurate disclosure is made of legal and financial matters concerning the UTGO bond issue.
6. Bond counsel supervises and conducts the closing of the bond purchase transaction and the delivery of the UTGO bonds to the purchaser, including preparation of all necessary closing documents, printing (including proof-reading) of the UTGO bonds, closing receipts and certificates, arbitrage certificate, signature identification and non-litigation certificates, and verifies the legality and sufficiency of the method of payment for the UTGO bonds.
7. In an advance refunding, a certified public accountant (CPA) verifies the arbitrage (see glossary) calculations, verifies the sufficiency of the escrow to pay off the refunded bonds, and ascertains the future and present value of the savings achieved.

8. At the time of closing, bond counsel delivers his or her final approving legal opinion to the school board and the bond purchaser, stating that the UTGO bonds are valid and the interest on them is tax-exempt.

Section 407–Sale of UTGO bonds

1. **Overview**
There is no single right way to sell school district UTGO bonds. Districts considering the sale of UTGO bonds will want to understand the alternatives. Selection of the appropriate methods requires consideration of the district's goals and the current conditions of the bond market. If a negotiated sale is chosen, the financial advisor can advise the district regarding the interest rate appropriate for the bonds under current market conditions. School districts have several options to assist in financing capital improvements after a successful UTGO bond election. These options include:

    - Sale of the UTGO bonds by either a negotiated underwriting or a public sale.
    - Use of bond anticipation notes for interim financing, if it is desirable to postpone sale of the long-term UTGO bonds.
    - Use of a line of credit for interim financing.

2. **Negotiated Underwriting vs. Public (or Competitive) Sale**
There are two basic ways for a district to sell UTGO bonds–a negotiated underwriting and a public (or competitive) sale:

    - In a negotiated underwriting, the district selects an underwriter to help plan the issue, determine the maturity amounts and dates, call prices and dates, insurance, and other features, as well as draft the official statement. The underwriter selects the most advantageous time for the district to sell the UTGO bonds and negotiates the price at which it will buy the bonds from the district. The underwriter will then resell the bonds to investors. Historically, more than two-thirds of the total value of UTGO bonds, issued by Washington school districts, has been sold through negotiated underwritings.

      A negotiated sale allows for presale marketing activity by the underwriter which can affect the eventual structure and price of a UTGO bond issue.

      In a negotiated sale a financial advisor can offer the district an analysis of the financial impact of various structure options and an independent assessment of current market conditions.

    - In a public (or competitive) sale, the district selects a financial advisor to help plan the issue, determine the maturity amounts and dates, call prices and dates, insurance, and other features, as well as draft the official statement. With the help of the financial advisor the district selects a sale date and time and advertises for bids. On the sale date, bids are received from underwriters, evaluated by the financial advisor, and the best legal bid is accepted (or rejected) by the district.

      A competitive sale may result in lower total interest costs for normal-sized UTGO bond issues with a good credit rating if there is a stable bond market. Underwriters make assumptions about the prices and yields at which the bonds can be sold to

investors. Fluctuating interest rates create the risk that rapid changes will reduce the value of the bonds before they can be sold.

When comparing the merits of a negotiated underwriting to a competitive sale, the district's primary concerns will include the effect of the method of sale on the total cost of the issue, the impact on the tax rate, and the proceeds available for construction. The district should make clear that the process chosen protects the interest of the district and its taxpayers.

Specific conditions regarding the project and the school district can affect which method is preferable to school districts. According to the Washington State Auditor's Office Performance Audit Report #1001304 (Opportunities for the State to Help School Districts Minimize the Costs and Interest Paid on Bond Debt), the following are factors which should be weighed when choosing the type of bond sale method.

Competitive	**Negotiated**
Average or Good Credit	Poor Credit
Normal Size Issue	Unusually Large or Small Issue Size
Older Entity	New Entity
Usual Financing Terms	Unusual Financing Terms
Normal to Low Market Volatility	High Market Volatility

3. **Discount vs. Par**

The gross revenue to any investment banking firm is the spread or difference between the price it pays to the district for the bonds and the price at which it sells the bonds to investors. This spread can be created by either buying the bonds from the district at a discount and selling them to investors at par or buying the bonds from the district at par and selling them to investors at a premium.

A discount bid means the underwriter pays the district less than par for the bond issue. The size of the issue must then be increased to provide the district's required funds after accommodating the discount.

A par bid means the underwriter pays the district par or face value for the bonds. To cover underwriting expenses and profit on the financing, the underwriter will seek to sell the bonds at a higher price to achieve the spread. The investors pay a premium for the bonds and, in exchange, receive a higher interest rate on these premium bonds.

All other things being equal, the lower interest rates of the discount bid will offset the higher principal amount of the discount bid. Often, however, the lower interest rate and lower underwriting spread of a discount bid will more than offset the higher principal amount leaving the district with lower debt service.

Although discount bids will usually reduce costs to the district, par bids do have advantages that should be considered. Par bonds result in smaller issue size. This can be important in cases where a new issue will bring district's total outstanding debt close to statutory or constitutional debt limits.

4. **Structuring Debt Service**
School districts have several options for structuring debt service on UTGO bonds. They are:

- **Level Debt Service**
This method requires that the annual debt service payments be approximately the same over the life of the UTGO bonds, even though relative proportions of principal and interest will vary.

- **Alternative Debt Service**
This method permits a district to schedule principal maturities in whatever manner best suits its goals.

a. **Front-End Loading**
A district may choose to front-end load principal payments. Front-end loading has the effect of increasing annual debt service payments in the early years while lowering the net effective interest rate and reducing the total interest paid over the life of the issue.

b. **Back-End Loading**
A district may choose to back-end load principal payments, scheduling greater amounts of principal to mature in later years. Back-end loading usually has the result of reducing annual debt service payments in early years, increasing the net effective interest rates and increasing the total interest paid over the life of the issue.

There are other factors to consider in designing the schedule of principal maturities. One is the maturity schedule's effect on property tax levy rates. If taxes are already being levied for previous bond issues, a district may wish to schedule maturities on the new issue so as to reduce the immediate increase in levy rates. Larger amounts of principal would be scheduled to mature after levies for previous issues are reduced or eliminated. Districts frequently utilize debt service structures that provide for multiple bond sales over time to match construction timelines.

Section 408–Investment of Funds

Funds raised for school building construction should be invested promptly and prudently. The methods chosen for investment will vary in consideration of project cash flow requirements. The district is reminded that all of the local share must be disbursed toward the project before any state funding assistance can be utilized. Further, the district through consultation with its bond counsel must be cognizant of federal tax implications of the investment of funds.

Section 409–Expenditure of Funds

A project schedule must be prepared cooperatively by the district and its financial advisor, underwriter, and architect/engineer. This schedule should provide the cash flow plan needed to support the project both from the local bond issue and from state funding assistance.

It should anticipate the dates and amounts obtained by the local bond issue, throughout the period of time required for completion of the project and redemption of the bonds, to satisfy expenditure rules of federal tax law.

It should also provide the information needed to complete the Estimated Construction Contract Quarterly and Monthly Payment Schedules required by OSPI in the submittal of Form D-3, Form D-5, Form D-7 and Form D-9. This data is used by OSPI to communicate with the Office of Financial Management, the Legislature, and the Office of the State Treasurer to plan for state level cash flow needs. The information is requested at points in the D-Process which require early predictions (Form D-3 and Form D-5) meant to inform the state budgeting process. The Form D-7 and Form D-9 submittals serve to build an initial cash flow plan. That plan is used by OSPI to make the project release and to monitor the actual monthly reporting and reimbursement claim filing process described in Chapter 2, Section 220.

Chapter 5: Site Selection

Section 501	Site Selection
Section 502	Site Review by OSPI
Section 503	Site Approval by Local Code Agencies
Section 504	High Performance Schools
Section 505	State Environmental Protection Act (SEPA)
Section 506	Growth Management Act (GMA)
Section 507	Hazardous Waste Laws
Section 508	Site Acquisition
Section 509	Timing of Site Acquisition
Section 510	Funding of Site Acquisition
Section 511	Survey of Essential Site Data
Exhibit 5A	Site Review Checklist

Section 501–Site Selection

Site Selection Team

The site selection team is assembled and directed by the appropriate school official to review site selection criteria. Potential sites are identified and examined. After evaluation of all sites, the selection team recommends one or more sites for purchase to the school district's board.

Each parcel of land identified as a potential school site should be thoroughly examined to determine its suitability in terms of educational plan, accessibility, cost, size, environmental impact, and numerous other criteria. Environmentally sensitive or important spaces should be avoided. Each site and surrounding property should be evaluated upon both its present and possible future uses. In evaluating the property, the following questions should be addressed:

Site Characteristics

1. Is the site the right size and shape? Does it allow for a minimal building footprint?
2. Will the site support the educational program?
3. Is the site expandable in the future or will it support expansion of facilities in its present configuration?
4. Is the topography conducive to desired site development?
5. Does the land drain properly? Will it comply with storm water management requirements?
6. Have tests been made to determine underground conditions particularly as to suitability for building foundations?
7. Does the site have desired trees and other natural vegetation?
8. Is the site considered important farmland, undeveloped land, or does it provide habitat for endangered species?

Legal Requirements Sections 504, 505, 506, and 507

1. Will a variance or rezone be required?
2. Is the site in a flood plain or other such hazardous area?
3. Are there any easements of any nature affecting the use of the site?
4. Is the site available and free of all encumbrances?

Location Considerations

1. Is the site located conveniently for the majority of pupils?
2. Is the site near other community services such as library, parks, and museums?
3. What is the relation of the site to existing educational facilities?
4. How is surrounding land zoned? Will its development enhance the school site?
5. Can the land be shared with other community facilities and organizations such as parks?
6. Will the site provide desirable open space where it is needed by the community?
7. Is the general environment aesthetically pleasing?

Infrastructure Considerations

1. Are adequate services for water (for fire flow and domestic use) and sewer available at the site?
2. What energy sources are available, and is there the potential for alternative energy use and/or shared use?

Site Access

1. Is the site easily accessible for vehicles?
2. Are the road and traffic patterns surrounding the site suitable?
3. Is it served by public transportation?
4. Will it be able to accommodate bicycle traffic?

Health and Safety

1. Is the site safe?
2. Is the air quality healthful?
3. Is the site free of industrial and traffic noise?
4. Is the site served by public agencies: police, fire department, public transit, etc.?

It may not be possible to locate a site that will totally accommodate all needs. The selection committee and community should discuss priorities and agree on what qualities are indispensable.

Section 502–Site Review by OSPI

Site recommendations for projects receiving state funding assistance are described in WAC 392-342-020.

OSPI conducts an on-site review and evaluation of the proposed site. An OSPI regional coordinator will meet with a member of the district's administrative staff to visit the site and to respond to the questions on the OSPI Site Review Study (Exhibit 5A).

Section 503–Site Review by Local Code Agencies

Before a new school facility is constructed, an addition is made to an existing facility, or an existing school facility is remodeled, the district shall consider completing a site review or pre-design conference with all appropriate local code agencies in order to determine design constraints. At a minimum, such a review should include building, fire, and health officials.

Concerns of the health department with respect to site approval include:

1. Adequacy of water supply.
2. Adequacy of sewage disposal.
3. Site size.
4. Acceptable noise levels.

5. Presence of environmental contaminants such as radon, toxic substances, and air pollution.

Present health regulations stipulate maximum acceptable noise levels from any sources at proposed new school construction sites. Sites exceeding these sound levels are not considered acceptable unless an appropriate plan for sound control reduction is included in the new construction proposal and is approved by the health officer.

Section 504–High Performance Schools

High Performance Schools

The High Performance Public Buildings Act, Chapter 39.35D RCW, requires school districts to build using one of the following sustainable design protocols: The Washington Sustainable Schools Protocol (WSSP), LEED Silver, or LEED for Schools.

It is important to choose sites that protect students and staff from outdoor pollution and minimally impact the environment. Development should be channeled to centrally located areas with existing infrastructure. This helps protect undeveloped land, minimize transportation requirements, and preserve habitat and natural resources.

Section 505–State Environmental Protection Act (SEPA) Chapter 246-366 WAC

The Washington State Environmental Protection Act (SEPA), RCW 43.21C.120, and the SEPA rules, WAC 197-11-904, require all state and local governmental agencies to consider environmental values both for their own actions and when licensing private proposals. The act also requires that an environmental impact statement (EIS) be prepared for all major actions significantly affecting the quality of the environment.

A portion of WAC 197-11-960 comprises an environmental checklist which must be answered as completely as possible. The checklist assists agencies to determine whether or not a proposed school facility will require the preparation of an environmental impact statement. This form does not supersede or void application forms required under any other federal or state statute or local ordinance.

The district may ascertain if it is the appropriate lead agency having jurisdiction over the proposed facility (action) and may decide if a project is exempt from SEPA requirements. If a district determines it does not have exempt status, it may have its architect/engineer or consultant complete the environmental checklist. The lead agency must consider the checklist information and ascertain whether or not the action will have a significant effect upon the quality of the environment.

If a threshold determination by the lead agency declares the proposal to be non-significant and there are no appeals, the district may proceed with the project. A copy of the determination of nonsignificance and a copy of the completed environmental checklist must be transmitted to the Environmental Review section, Department of Ecology, for permanent recording of the determination.

If a determination of significance is issued by the lead agency, a draft EIS and a scoping form must be prepared, reviewed by all appropriate authorities and published.

The district's compliance with the requirements of Chapter 197-11 WAC must be certified to OSPI.

Occasionally, public hearings must be conducted on the EIS, and a final EIS with public comments would be required. Guidelines for preparation and review of the EIS are available from the Environmental Review section, Department of Ecology.

Section 506–Growth Management Act (GMA)

The Growth Management Act (GMA) has significant importance to districts in the counties which are planning under the act. Districts will obtain maximum benefit from the GMA by actively participating in the planning process with the city or county planning authority.

Growth management planning may benefit districts by providing information and location of planned growth in the community, guidance in locating school sites, and perhaps financial assistance for new school construction in the form of impact fees. Disadvantages of growth management planning are that districts may find themselves restricted in locating new schools and in obtaining necessary zoning approvals.

The GMA requires cities and counties to designate urban growth areas (UGAs) as limits of services such as water, sewer, and streets. Locating school facilities within the UGAs may be limited either directly through land use regulations or indirectly through restrictions on utilities. School facilities outside UGAs, that require water and/or sewer service, may need extraordinary measures such as service lines dedicated solely to (and paid for by) the district. School facilities not listed in the capital facilities element of the local comprehensive plan may not be approved.

At least two of these elements, land use and the capital facilities plan, are critical to school districts. The GMA requires comprehensive plans to include:

1. A land use element designating the proposed general distribution and general location and extent of the uses of land for public facilities, which includes schools.
2. A capital facilities plan element consisting of:
    - An inventory of existing capital facilities owned by public entities, showing the locations of facilities and their present level of service.
    - A forecast of the future needs for such capital facilities based on their proposed level of service.
    - The proposed locations and capacities of expanded or new capital facilities.
    - At least a six-year plan that will finance such capital facilities within projected funding capacities and will clearly identify sources of public money for such purposes.
    - A requirement to reassess the land use element if probable funding falls short of meeting existing needs to ensure that the land use element, capital facilities plan element, and financing plan within the capital facilities plan element are coordinated and consistent.

Local jurisdictions are authorized to impose impact fees for school facilities. The ability of a local jurisdiction to assess impact fees for school districts are dependent upon the adoption of a capital facilities plan element and an enabling ordinance.

Section 507–Hazardous Waste Laws

Federal and state laws require identification, investigation, and clean up of sites contaminated with hazardous substances. The federal law is the Comprehensive Environmental Response Compensation and Liability Act (CERCLA), commonly referred to as Superfund, and the state law is Model Toxics Control Act (MTCA). These laws impose potential liability on owners and purchasers of properties that are contaminated and require clean up.

To minimize risk in terms of project delay and cost, purchasers are advised to conduct an appropriate investigation into the history of activities and business practices with respect to the property before purchasing or leasing it. Otherwise, the purchaser may be accepting responsibility and liability for cleanup for hazardous waste contamination.

Industrial air emissions and pesticides used in farming have polluted large areas of soil in Washington with arsenic and lead. This type of pollution puts many communities at risk. Arsenic and lead are toxic metals that can be harmful to human health. Children are especially vulnerable. Please see Department of Ecology's "Dirt Alert" website and their "Guidance for Child Use Areas" web page.

Section 508–Site Acquisition

The chosen site may be acquired by one or more of the following legal methods:

1. Purchase from the owner.
2. Acceptance as a gift from the owner.
3. Condemnation of private property with purchase at fair market value (RCW 28A.335.220).
4. Receipt of surplus government property.
5. Lease of state-owned property.

State laws affecting the securing of proposals for sale, appraisals, counter-offers, and options should be investigated thoroughly.

With the exception of land secured on acceptable leases, title to the real property of the site should be vested in the school district, with any or all encumbrances clearly stated in the title documents. Any title that contains encumbrances should be accompanied by certification from the district's legal counsel stating that such encumbrances will not interfere detrimentally with the construction, operation, and useful life of the school facility.

Section 509–Timing of Site Acquisition

Site acquisition may occur at the following times:

Several years prior to development
Early site acquisition during a period of an expanding and inflationary economy is a prudent activity for all districts to consider. Effective selection of a site prior to the identification of a specific building program requires availability of funds for acquisition, availability of suitable land, and considerable confidence in the advance planning process discussed in Chapter 3. Early identification of school sites can reduce the design and construction time involved in the implementation of a school building project, thus tending to reduce costs.

At the time of development
In districts where enrollment conditions and projections do not justify early acquisition, selection and purchase of sites can be accomplished on the basis of known needs. A more astute site selection can normally be made under these conditions because educational specifications will have been developed and the architect/engineer for the project may have been selected and be available for participation in the evaluation of prospective sites.

Section 510–Funding of Site Acquisition Funding

State financial assistance is not available to aid in funding site acquisition or other associated costs, including geotechnical reports and boundary or site surveys.

Sources of funding for site acquisition available to districts include:

1. Passage of a capital levy.
2. Passage of a bond issue for site acquisition.
3. Transfer of funds from the general fund to the building fund.
4. Outside sources (developer dedication, growth impact fees, or mitigation payments).
5. Sale of district-owned surplus property.
6. Non-voted debt.

Section 511–Survey of Essential Site Data

Prior to design studies for site utilization and building placement, a survey of the physical site characteristics and a title search are necessary. This site survey must be performed by a land surveyor registered in the State of Washington. The site survey, a responsibility of the district, should contain the following information for the architect/engineer:

1. Title of survey, property location, certification, and date.
2. Scale and compass orientation.
3. Tract boundary lines, courses, and distances, including all easements.
4. Names of abutting property owners.
5. Benchmark with assumed elevation.
6. Names and locations of all existing road right-of-ways on or near the tract.

7. Location of roads, drives, curbs, gutters, steps, walks, paved areas and the like, indicating types of materials or surfacing.
8. Road elevation for all improved roads on or adjacent to property improved gutter elevations on property line side. The survey should include opposite side of adjacent street information.
9. Location, type, size, and flow of all existing storm and sanitary sewers on or contiguous to the tract, including top and invert elevations of all manholes and inlet and invert elevations of other drainage structures.
10. Location, type, and size of all water and gas mains, meter boxes, hydrants, and other appurtenances.
11. Location of all utility poles; natural gas and utility pipelines; cable TV, telephone, and power lines (with indication of nearest leads either on-site or off-site), and pertinent information and ownership of all utilities.
12. Location of all existing structures on the site, including buildings, foundations, bridges, wells, walls, fences, and rock outcroppings.
13. Location of all swamps, springs, streams, drainage ditches, wetlands, lakes, and other bodies of water including line of maximum flood plain if applicable.
14. Outline of wooded areas; location of trees, identification of trees by type, identification of trees with trunks over 8 inches in diameter at waist height; and location and identification of any other significant flora and fauna.
15. Elevations throughout the site sufficient to develop a complete and thorough contour map for site improvements.
16. Construction of permanent property corners such as concrete monuments.

Exhibit 5A–Site Review checklist

State of Washington

OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION

SITE REVIEW STUDY

SCHOOL DISTRICT: _____ COUNTY: _____
PROPOSED SCHOOL: _____ GRADE LEVEL: _____
LOCATION OF SITE: _____ DATE OF SITE VISIT: _____
SITE SIZE:____acres EST. NO. STUDENTS:_____ REQD. SITE SIZE:____acres

	QUESTIONS	YES	NO	PEND
1	Is the site size and shape adequate for grades to be served?	___	___	___
2	Will the site support the educational program?	___	___	___
3	Is the site located conveniently for the majority of pupils?	___	___	___
4	Is the site near other community services such as library, parks and museums?	___	___	___
5	Is the site located near existing educational facilities?	___	___	___
6	Will the surrounding zoning and development enhance the school site?	___	___	___
7	Can the site be shared with other community facilities (parks)?	___	___	___
8	Is the site expandable in the future or will it support expanded facilities?	___	___	___
9	Is the topography conducive to desired site development?	___	___	___
10	Is the general environment aesthetically pleasing?	___	___	___
11	Does the land drain properly and are other soil conditions good?	___	___	___
12	Does the site have desired trees and other natural vegetation?	___	___	___
13	Have tests been made to determine underground conditions (geotech)?	___	___	___
14	Is the site easily accessible for service vehicles?	___	___	___
15	Are the road and traffic patterns surrounding the site suitable?	___	___	___
16	Is the site safe?	___	___	___
17	Is the air quality healthful?	___	___	___
18	Is the site free of industrial and traffic noise?	___	___	___
19	Is the site served by public agencies (police, fire dept. etc.)?	___	___	___
20	Are adequate water and sewer services available at the site?	___	___	___
21	Are there any easements of any nature affecting the use of the site?	___	___	___
22	Will site development costs be excessive?	___	___	___
23	Are any of the following energy sources available at the site?			

Gas____ Electricity____ Solar____ Geothermal____ Other_____

GENERAL EVALUATION OF SITE (Including explanation of any negative responses above)

_____
_____
_____
_____
_____
_____

Site Reviewed by: _____

District Contact Present at Site Visit: _____

Chapter 6: Educational Specifications

Section 601 Purpose

Section 602 Characteristics of Educational Specifications

Section 603 Educational Specification Team

Section 604 Use of Consultants

Section 605 State-Assisted Projects

Section 606 Components of Educational Specifications

Table 6.1 Outline for Educational Specifications

Section 601–Purpose of Educational Specifications

The purpose of the educational specifications (WAC 392-342-015) is to define and communicate to the architect/engineer the district's goals and requirements for what a given facility **should** be to accommodate their program. The educational specifications should reflect the needs, goals, and objectives as defined in the Study and Survey.

Section 602–Characteristics of Educational Specifications

Educational specifications should describe the following:

1. Instructional subjects and methods.
2. Instructional and non-instructional activities that will be in the proposed facility.
3. Spatial relationship between the facility and the site.
4. Interrelationship of instructional activities with each other and with non-instructional facilities.
5. Major items of furniture and equipment to be used.
6. Special environmental provisions which would improve the learning environment and promote staff efficiency.
7. Future needs and flexibility requirements.

Districts may consider the development of standardized educational specifications for the various types of school plant facilities within the district. Standardized specifications from school to school can eliminate some duplication of effort. However, a standardized specification cannot eliminate the need for an individually considered specification for projects; each project will have its own unique characteristics.

Section 603–Educational Specification Team

The preparation of educational specifications is the responsibility of the district personnel. They may choose to have the assistance of an outside consultant. The team leader is responsible for coordinating the work, the time schedule, and guiding of the final report.

The working team should represent diversified interests, skills, and knowledge. The team may include teaching staff, maintenance and operations staff, students, parents, and other community members.

If requested, OSPI Regional Coordinators will provide guidance to the district regarding the process of developing educational specifications.

Section 604–Use of Consultants

Consultants may offer considerable experience in preparing educational specifications and organizing the process.

If the architect/engineer has been employed prior to the preparation of the educational specifications, their services in providing technical assistance can be of considerable value.

The participation of the consultant should be limited strictly to advisory services; the consultant should not be permitted to formulate district policy on educational matters.

Section 605–State-Assisted Projects

If the district is to receive state financial assistance, educational specifications are required for each school facility construction and modernization project exceeding 15,000 square feet. Interdistrict transportation cooperatives are exempt from this requirement.

Conditions of receiving state financial assistance for funding the preparation of educational specifications are:

1. The construction of interdistrict transportation cooperatives, or additions of less than fifteen thousand square feet to existing facilities–unless combined with modernization, is not eligible.

2. The amount of state funding assistance for which a district is eligible for the preparation of educational specifications shall be the state funding assistance percentage multiplied by the greater of the following:

    - One quarter of one percent of the construction cost allocation multiplied by the square foot area for the fiscal year funded; or

    - Ten thousand dollars.

WAC 392-343-065 describes the eligible state assistance.

The amount of financial assistance received by a district for educational specifications may not cover the full cost. Districts are encouraged to negotiate fees for consultant services with careful consideration of the actual scope of work required. Work performed by the district's employees to prepare the educational specifications is not reimbursable.

Section 606–Components of Educational Specifications

The educational specifications should state what is good educationally, not what may be common practice. They should not be limited by economic constraints or other restrictions. They should be concerned with attaining improved educational experiences and conditions.

Table 6.1 Suggested Outline for Educational Specifications

Chapters	Contents
Project Rationale	• Description of planned project—new construction, addition, modernization, new-in-lieu, gross area. • Necessity of the project—growth, update to comply with codes. • The intended use and purpose—primary, elementary, vocational, etc.
Community Data	• Description of community history and citizenry as relates to educational needs. • Geographic area to be served by the project. • Location of the project site.
Educational Plans	• Curriculum plan—a statement of the project's philosophy, goals, and objectives. • Instructional method—the methods used to attain the goals and objectives, clarifying such matters as individual and team teaching. • Staffing plan—identification of administrative, classified, and certified staff.
General Building Considerations	• Circulation—anticipated traffic patterns, volume, frequency. • Vehicle access and parking. • Building security. • Technology and communication systems. • Community use—spaces and hours utilized. • Maintenance. • Other considerations—resource and energy conservation.
Activity Areas	For each area of the educational programs, provide the following: • Goals and objectives for the area. • Planned usage. • Number of students and staff. • Type of instruction—lecture, team teaching. • Duration of utilization—day and hours. • Relationships to other activities. • Spatial requirements. • Support requirements—conference, preparation and planning areas, storage. • Environmental variables—heating, ventilating, lighting. • Utilities and communications—power, voice, data, video. • Display requirements. • Furniture and equipment. • Special or other considerations.

Chapter 7: Pre-design and Consultant Selection

Section 701	The Team Concept and Team Members
Section 702	District Policy for the Selection of Architectural/Engineering Consultants
Section 703	Architect/Engineer Selection Process
Section 704	Contractual Relationships and Documents
Section 705	Contracting with the Architect/Engineer
Section 706	Liability Insurance for Professionals
Section 707	State Participation in Architectural/Engineering Fees
Table 7.1	Architectural/Engineering Fee Schedule
Exhibit 7A	Examples of Public Announcements for Consultants
Exhibit 7B	Examples of Calculating State Funding Assistance for Architect/Engineer Fees

Section 701–The Team Concept and Members

Teamwork is “a cooperative effort by the members of a group to achieve a common goal.” As building projects become more complex and regulations governing those projects increase, more members of a group are required to navigate a project from inception to occupancy.

The local school board and/or district administrators are responsible for selecting the project team. The team selected may be working together for several years. It is vitally important that all team members be available for the duration of the project and that they be committed to the team approach.

Team Members

Each team member is a resource and brings expertise to the project in his or her specialty. The following team members are typically involved in a school facility project.

Administrative and Instructional Staff

A school’s administrative and instructional staff provides an excellent planning resource. Administrators and instructors can assist in the development of the educational specifications and their translation into a new facility plan.

Support Staff

Those persons responsible for administrative services and operation and maintenance of the facility can provide insight into factors such as student flow, security, kitchen equipment selection, safety, etc. Their knowledge of local conditions and resources will assist greatly in making decisions concerning maintenance and operating costs associated with design proposals.

Students

Students can be invited to participate in the planning process.

Citizens

Citizen participation has become recognized as a valuable contribution to school facility planning, especially in the formulation of educational goals and objectives. Utilizing citizen’s advisory groups in planning is a way of ensuring that a school facility realizes its potential as a community resource.

Legal Counsel

Legal counsel is often necessary. Legal work includes reviewing contracts for design services and advising on possible issues resulting from the building project.

Educational Planner

If educational specifications are desired or required, it is advisable to have a planner guide the team to consensus. This person should be experienced in group dynamics and leadership as well as be familiar with educational programs.

Architect/Engineer

The architect/engineer is the professional who will be contractually responsible to the school board throughout the project. The architect/engineer translates the educational specifications into design concepts which are then developed into building plans and specifications. The architect/engineer may function in an advisory capacity during the study of the school housing situation, site selection, and educational planning processes.

Engineering Consultants
It is mutually advantageous that engineering consultants participate in the early planning process so that they can contribute their expertise and become familiar with the problems, issues, and goals relative to the project. Typical consultants are specialists in the design and/or engineering of:

1. Heating, ventilation, and air conditioning.
2. Landscaping.
3. Lighting/electrical.
4. Plumbing.
5. Sewer/septic systems.
6. Storm water systems.
7. Structures.

Technical Consultants
Individuals who comprehend the complexities of our advanced technology are often indispensable. Their assistance can be sought on a variety of specialized areas such as:

1. Acoustics.
2. Computer networking.
3. Energy conservation.
4. Food service.
5. Land surveying.
6. Soils engineering.
7. Telephone/communications.
8. Traffic engineering.
9. Wetlands biology.
10. Wildlife biology.
11. Value engineering.
12. Constructability reviews.
13. Commissioning.
14. High-performance building design.

Construction Management
Construction management (CM) is a delivery system that applies modern management techniques to planning, design, construction, and project commissioning in order to control time and costs and ensure quality for school district projects.

CM may include a comprehensive array of professional activities spanning all phases of a project, starting at the study phase and continuing through budget development, funding, education specification preparation, design, construction, and commissioning/warranty period. CM may be performed by a qualified member of the school district staff or may be selected on the basis of professional qualifications and experience.

The school district is responsible for developing and implementing a project management plan that will achieve the goals of the school district, the OSPI state assistance program, and the community within the budgetary and schedule parameters established by the plan.

The CM process is most effective when continuity is provided from the beginning of the project, allowing the school district and the project team to identify and resolve issues prior to construction. It is recommended that a qualified project manager be assigned and become involved during the advance planning (Study and Survey) phase. The CM process includes monitoring design and construction to ensure that the school district's quality goals are realized in the completed project. (See Appendix D for Construction Management Guidelines.)

Project Representative
It is advisable that the school district designate a capable in-house project representative to the team who will fully participate in all activities concerning the project. This person must be able to communicate effectively with other design team members and should have experience in design and construction activities.

Constructability Review
A constructability review is a discipline, performed by an independent consultant, and is optional for state assisted projects less than 50,000 square feet. The goal of the review is to achieve the lowest possible bid and minimize the chances of change orders and claims after construction begins.

Performing a constructability review of design involves reviewing contract documents and identifying potential claim or problem areas and deficiencies that may occur during the construction phase of a project. The purpose is to identify errors, ambiguities, omissions, discrepancies, and conflicts in the construction documents.

Commissioning
Commissioning is a systematic process that may begin in the design phase and continue at least one year after project closeout. Commissioning should include training operating staff and should ensure that all building systems perform interactively according to the documented design intent and the owner's operational needs. Commissioning is important for maximizing potential facility operation through the useful life of the facility. Commissioning is required for all state assisted projects over 5,000 square feet. Additional points are available under the Washington Sustainable Schools Protocol for enhanced commissioning.

Section 702–District Policy for the Selection of Architectural/Engineering Consultants

Each district shall establish a written policy and procedure for selecting professional consultants in compliance with state law, **Chapter 39.80 RCW Contracts for architectural and engineering services.**

This law requires that districts publicly announce requirements for architectural and engineering services and negotiate contracts for these services, on the basis of demonstrated competence and qualifications required, at fair and reasonable prices.

The standard processes for selecting the architect/engineer are comparative selection and design competition.

Comparative Selection
This is the typical method prescribed by state law for state and local agencies and school districts. The primary process involves screening an architect/engineer from a group of candidates who have submitted information and materials concerning their qualifications to the district.

Design Competition
Architects/engineers are invited to respond to a design program formulated by the district with illustrated solutions and proposals. This process is time-consuming, expensive, and is rarely used. A fee may be paid to participants.

Section 703–Architect Engineer Selection Process

State law establishes specific requirements for the selection and contracting of architectural and engineering services for public buildings.

Advance Publication
The district shall publish, in advance, its requirement for professional services. The announcement shall state concisely the general scope and nature of the project or work for which the services are required and the address of the district's representative who can provide further details.

The district may comply with this section by either:

1. Publishing an announcement on each occasion when professional services provided by a consultant are required, or
2. Announcing generally to the public its projected requirements for any category or type of professional service.

Statement of Qualification
The public announcement should invite submittals of statements of qualification from those who provide professional services and wish to be considered by the district. These submittals should provide current information and be updated as needed or, at least, annually. It is the responsibility of the interested firms to maintain current qualifications on file.

Evaluating Qualifications
The district should establish or maintain a file of statements of qualifications to use in the evaluation process, and review the qualifications in order to narrow the field of professionals. The interview list should include only qualified firms with which the district would be prepared to contract. One to three firms may be appropriate on a small project, and perhaps five or more on a large project.

Criteria for Evaluation
The selection of a qualified architect/engineer is of vital concern. The district should know precisely which member of the architect/engineer firm will supervise the project so that there will be a continuity of personnel, relationships, and communication throughout the project. Qualified architectural and/or engineering firms exhibit the following:

1. Ability to cooperate and communicate with others involved in the project.
2. Ability to provide insurance.

3. Adequate management and personnel for the project.
4. Client references.
5. Creative and artistic ability.
6. Experience in school facilities.
7. Financial stability.
8. Past performance in meeting time and budget constraints.
9. Past performance during the close-out and warranty phases.
10. Technical competence.
11. Valid license to practice their profession in the state of Washington.
12. Type and level of insurance (refer to Section 706).

Interviews
The purpose of the interview is to provide an opportunity for the selection committee to personally meet with the applicants; address specific questions to them; and obtain more detailed information on staffing, process or procedure, and other items of interest.

Selection
The district is required by law to select the firm deemed to be the most highly qualified based upon criteria established by the district for the proposed project.

It is important that the selection panel record its ranking procedure and document evaluation sheets, charts, or graphs to support its comparisons and ratings. Additionally, in order to support the negotiations that follow, the selection panel must rank the most qualified applicants. After selecting the highest ranked firm, the district begins negotiations on the scope of services and the compensation.

Chapter 39.80 RCW requires a qualification based selection. Price is to be determined after consultant selection as part of contract negotiations.

Section 704–Contractual Relationships and Documents

On a typical school construction project, contracts set forth the relationship between the district and the architect/engineer and between the district and the contractor.

A contract sets forth expectations and actions of the parties to the agreement. Risks associated with the project are allocated to the appropriate parties. Risks are most successfully allocated to the party who has the most control over the project or who can best protect against the risk on that portion of the project.

Sets of standardized contract documents exist that provide a common basis for establishing legal and business relationships within the design and construction process. They carefully integrate elements of contractual relationships with current law, case law, and industry standards and provide more predictable and reliable performance of the parties. Standardized owner-architect/engineer agreements (such as AIA documents) or other standardized documents (including the call for bid and instructions to bidders) may be modified

or tailored to a specific project. These documents should reflect the district's business practices and its capabilities and policies.

The district should carefully weigh the advantages of using standardized documents against the cost of preparing changes and any potential negative effects on the project. The district should have its legal counsel help prepare and/or review all contract documents prior to signing.

Section 705–Contracting with the Architect/Engineer

The architectural/engineering contract is negotiated after a firm has been selected as the most highly qualified. The district should request a proposal from the firm identifying the firm's scope of services and compensation for these services as the basis for negotiation.

For architectural/engineering contracts, scope of services and compensation are usually arranged as follows:

1. **Basic services** are those services necessary to construct a typical school project and usually include architectural, structural, mechanical, and electrical engineering. Compensation for basic services is usually a stipulated lump sum or a percentage of construction costs.

2. **Additional services** are those design services not crucial to the construction that may be necessary or desired by the district. Examples of additional services are landscape design, interior design, colored renderings, and presentation models. Compensation for additional services can be a stipulated lump sum, a percentage of the construction costs, or on an hourly fee basis. Where the scope of each additional service can be identified in advance, the fee for each service can be a stipulated sum.

3. **Change or modifications** to the architectural/engineering contract, as a result of construction contract change orders or contingent additional services, are those services that are required to meet unexpected situations. These services may be compensated by either hourly rates or by stipulated amounts, if the scope of services can be determined.

State funding assistance for architectural and engineering fees are defined in WAC 392-343-070. See Table 7.1 and Exhibit 7B.

Hourly rates should only be used where the scope of services cannot be predetermined. A district might consider a maximum amount, not to be exceeded without written approval, when authorizing hourly services.

Another consideration is the consistency of roles and responsibilities of the parties to the different contracts. For example, omitting a service from the design contract which the architect/engineer is obligated to perform under either the construction contract and/or by the general conditions.

The successful conclusion of negotiating with the most qualified firm produces a contract which gives the district the professional design services it needs to complete the project at fair compensation. If the district is unable to satisfactorily negotiate a contract with the most qualified firm, negotiations are formally terminated. Chapter 39.80 RCW then allows the district

to begin negotiation with the next most qualified firm until a satisfactory agreement has been reached or the process again terminated.

A properly executed copy of the contract between the district and the architect/engineer shall be submitted to OSPI as part of the Form D-7 submittal.

Section 706–Liability Insurance for Professionals

Liability insurance is available to design professionals to protect them from losses resulting from their own errors or omissions. Such insurance indirectly protects the district since the district might not be able to recover its own losses incurred through the errors or omissions of an uninsured (or underinsured) architect/engineer.

Some design firms elect to self-insure to avoid the relatively high cost of such insurance. Many other firms regularly carry such insurance for all of their projects and include its costs in their quoted fees.

Districts are well advised to investigate the insurance status of all members of its architect/engineer team and:

1. Evaluate the protection offered to the district.
2. Determine the cost of this protection.
3. Consider the risk exposure to the district from the type and scope of the project.

Consultation with the district's insurance agent and legal counsel will assist the district in determining the necessity of such insurance for each project. If this insurance is required, the district should be certain that all members of the design team have it. It is the district's responsibility to determine if the architect/engineer's insurance coverage is adequate.

Section 707–State Participation in Architectural Engineering Fees

Provisions for the allocation of state funds for the construction of facilities are defined in Chapter 392-343 WAC. This chapter also defines the state, financing assistance for architectural/engineering fees.

State funding assistance of architectural/engineering fees, for new construction services, are based on a designated percentage of the building project square foot size (as shown in Table 7.1) and the constructions cost allocation.

When dealing with an approved modernization project, the allowed fee is limited to 1.5 times the percentage shown in Table 7.1 relative to project size. See Exhibit 7B for examples of calculations used to determine the state funding assistance amount for fees for new construction and modernization.

State funding assistance of architectural/engineering fees is based on the construction cost allocation.

Table 7.1 Architectural/Engineering Fee Schedule
WAC 392-343-070

Architectural/Engineering Team Fee Funding Assistance Limitations	
Square Feet of Construction	Percent of Construction
0–3,699	10.00
3,700–7,349	9.00
7,350–10,999	8.75
11,000–14,649	8.50
14,650–18,299	8.25
18,300–25,699	8.00
25,700–36,699	7.75
36,700–54,999	7.50
55,000–73,399	7.25
73,400–100,999	7.00
101,000–128,449	6.75
128,450–155,999	6.50
156,000–183,499	6.25
183,500 and above	6.00

The fee schedule is established for the purposes of the allocation of state funding assistance. However, it is the responsibility of the district to negotiate a contract at a price that the district determines is fair and reasonable.

The construction cost allocation functions as a funding driver for state financial assistance and usually changes annually as adopted by the legislature. Further discussion with the district's architect/engineer during the negotiation process may be necessary regarding fees required for proper site development, responding to current growth/environmental regulations, project technological programming requirements, or other special items particular or peculiar to the district's project.

Exhibit 7A–Examples of Public Announcement for Consultants

Apple
School District
Project Management Services
Submittal Date Nov. 28

Project Management Services
Submittal Due: Wednesday
November 28, 2007

The Apple School District invites project management firms to submit Statements of Qualifications (SOQ) with regard to an anticipated March 2008 bond election including a new 68,000 square foot elementary school and other projects as determined by the district.

The following information shall be included in the SOQ:

1. Letter of Interest. Within this letter please provide general information about your firm including number of staff, areas of expertise, firm location, length of time in business, etc.
2. Recent relevant project experience in project management of K–12 school facilities. Emphasis should be placed on elementary school projects. Include recent relevant experience with phased school construction for the purpose of maintaining full occupancy of an existing school occupying the same site during construction of a new building.
3. Provide an outline of management services anticipated for the design and construction of a new elementary school. Include a brief description of your firms experience in providing these services for K-12 projects.
4. Provide professional resumes of assigned staff. Include a minimum of seven reference contacts for each individual.

Other Considerations:

1. Do not submit letters of reference.
2. The selection process may or may not include interviews of one or more of the responding firms in order to make a determination of the preferred firm.
3. The District will also select an architectural firm under a separate selection process. One firm will not be allowed to perform both services.
4. No other project information will be available at this time.

Interested firms shall provide (3) copies of the SOQ no later than 4:00p.m. Wednesday, November 28, 2007 to:

Gordon Gravenstein,
Superintendent, Apple School District, 450 Core Street, ,
Appleton, WA 98368

Dates of publication in the Seattle Daily Journal of Commerce, November 7 and 14, 2007.

Apple School District
 # 147
Value Engineering Services
Submittal Date Nov. 28

Request for Qualifications

The Apple School District is requesting Statements of Qualifications form interested consultants to conduct Value Engineering studies for a construction project at Apple Pie High School The complete FRQ can be obtained by contacting Gordon Gravenstein Submittals will be accepted until 4:00p.m. Wednesday November 28th 2007. Send Proposals to Gordon Gravenstein, 450 Core Street, Appleton WA 99344.

Dates of Publication in the Seattle Daily Journal of Commerce, November 13 and 19, 2007.

Exhibit 7B–Examples of Calculating State Funding Assistance Amount for Architect/Engineer Fees

Example 1–Calculation of Fees for New Construction and New-in-lieu of Modernization

Givens:
Approved area of construction = 75,000 s.f.
s.f.

Construction cost allocation for fiscal year funded = 168/s.f.

State share = $882,000 x state funding assistance percentage

Approved Area of Construction (s.f.)	Construction Cost Allocation ($/s.f.)	A/E Fee Percent (%)	Total Fee ($)
75,000	x 168	x 7.00 =	882,000

Example 2–Calculation of Fees for Modernization

Givens:
Approved area of construction = 75,000 s.f.

Construction cost allocation for fiscal year funded = $168 s.f.
(If actual cost is less, then actual cost will be used.)

State share = $1,323,000 x state funding assistance percentage

Approved Area of Construction (s.f.)	Construction Cost Allocation	A/E Fee Percent (%)	Total Fee ($)
75,000	x 168.00	x 7.00 x 1.5	1,323,000

Chapter 8: Design

Section 801	The Design Process
Section 802	Schematic Design
Section 803	Design Development
Section 804	Construction Documents
Section 805	Regulatory Requirements
Section 806	Life Cycle Cost Analysis
Section 807	Value Engineering Study
Section 808	Project Risk Management
Exhibit 8A	Cost Estimating Formats

Section 801–The Design Process

The design process incorporates all prior planning, educational specifications, site studies, codes and regulations, high-performance building standards, and financial parameters into written and graphic documents that form the basis for constructing the school. This process includes intensive participation by many diverse parties with specialized skills and professions.

Normally, the design process consists of three basic phases:

1. Schematic design.
2. Design development.
3. Construction documents.

Additionally, facility design includes an assessment of the following:

- Accessibility.
- Codes and ordinances.
- Energy Life Cycle Cost Analysis (ELCCA).
- Environmental health requirements.
- High-performance building requirements.
- Value engineering.
- Constructability review.
- Commissioning.

Section 802–Schematic Design

The schematic design phase includes:

1. Written general descriptions of the project indicating how the design responds to the educational specifications and other programmatic requirements.
2. Zoning and building code analyses.
3. Conceptual site and building plans.
4. Incorporation of high-performance features.
5. Preliminary building sections.
6. Preliminary selection of building systems and materials.
7. Approximate dimensions and areas of major building components.
8. Perspective sketches and study models to explain the design concept.
9. A master time schedule for all project activities.
10. A preliminary construction cost estimate.
11. Begin value engineering.

During the schematic design phase, the architect/engineer translates the educational specifications into graphic representation. The architect/engineer is concerned initially with conceptual organization, functional relationships, and circulation patterns in response to the educational program. The site is introduced into the planning process and the physical concepts of land use are analyzed.

Early dialogue with civil, structural, mechanical and electrical engineers (and other appropriate consultants) is necessary to determine the feasibility of the concept as related to the educational specifications. Applicable codes, regulations, and laws are reviewed and their requirements applied to the schematic design.

The architect/engineer synthesizes educational specifications, site design, and engineering factors into one or more schematic designs. The schematic designs, and an outline of construction specifications, are presented to the district for review. Each design should be analyzed and discussed with regard to functional validity, conceptual organization, environmental/aesthetic qualities, and related cost estimates.

The schematic design cost estimate usually includes a preliminary area analysis and construction cost estimate with contingencies for design and/or construction changes and inflation. Construction cost estimates, at this point, usually follow the UniFormat classification system. (See glossary and Exhibit 8A.) The estimate may also include a preliminary analysis of the district's project budget with recommendations for changes if the schematic design cost exceeds the district's capital budget.

After a review of the alternative schematic designs, one (or a combination of several) will be chosen for further development. In the case that none of the designs entirely satisfy the planning requisites, either the architect/engineer will try something new or the project's scope will be reevaluated. For example, if the requirements of the educational specifications result in a facility more expensive than the district's initial capital budget, then some aspect of the design will need to be reviewed and adjusted—quantity, quality, or budget. It is not uncommon to go through this iteration process several times before a workable solution is reached and is satisfactory to everyone involved. Changes and variations are more easily accommodated during the schematic design phase.

When the schematic design is acceptable to members of the planning team, it is presented to the school board for review and approval. The board's approval, and authorization to proceed, is transmitted to the architect/engineer in writing. Written approvals and authorizations are for the protection of all parties involved and reduce the potential for misunderstandings in later phases of the work. This is also a good time to bring on a commissioning agent.

It is very important to solicit participation of members of code enforcing agencies such as planning and zoning officials, building officials, fire marshals, electrical and health officials. This can be accomplished with a predevelopment conference. These officials should be asked to identify any special project requirements in a setting such as a pre-application meeting.

Energy Conservation Reports

Energy Conservation Reports, or ELCCAs (Energy Life Cycle Cost Analysis), should begin as early in the design process as possible to allow the best decisions to be made regarding an energy using system. The building owner should be aware of energy conservation measures and potential new technologies before the start of the project.

Section 803–Design Development

After the schematic design is approved, the architect/engineer proceeds to the design development phase which includes:

1. Site plan, building plans, sections, and elevations developed in sufficient detail to establish the final scope of the project.
2. Typical construction details showing how the building is to be constructed.
3. Outline specifications describing final material selections, architectural, structural, mechanical, and electrical systems.
4. Area analysis of the project.
5. Sketches, study models, product and material literature, and samples as necessary to explain the project.
6. An updated project schedule.
7. A detailed construction cost estimate.

Elevations, sections, perspectives, and models are prepared to illustrate visual aspects. The initial selections of materials and building systems are made, and the engineering systems are developed and coordinated among the architect and engineers.

1. The structural engineer devises an appropriate structural system and establishes the location and general sizes of all structural members based on soil conditions, code requirements, and design criteria.
2. The mechanical engineer designs the heating, ventilating, air-conditioning, and piping systems to code requirements and high performance design criteria.
3. The electrical engineer develops the power, illumination, communication, and alarm systems to be used in the facility.
4. The civil engineer develops site grading, paving plans, roadways, connections to utilities, and/or on-site sewage disposal and drainage.
5. Other technical consultants, hired for their expertise on certain specific aspects of the program, proceed with their design responsibilities under the direction of the architect/engineer.

When the design development documents are finalized, the architect/engineer prepares a more detailed cost estimate. Next, the value engineering and energy conservation reports are completed, and the final design development documents are submitted to the school board and to appropriate agencies for review and approval. The board's approval of the design development documents and authorization to proceed with construction documents are transmitted to the architect/engineer in writing.

A more detailed cost estimate of construction may be prepared during design development. Such an estimate would probably involve a quantity take-off of the amounts of the separate materials multiplied by the unit costs of the labor, equipment, and materials. Usually such estimates follow the Construction Specifications Institute (CSI) Master Format to parallel the architect/engineer's specifications and contractor's bids. **See Exhibit 8A for the CSI formats.**

Section 804–Construction Documents

The architect/engineer precisely describes the design to contractors, subcontractors, material and equipment suppliers and building authorities having jurisdiction over the project in the construction documents. These documents also include district contract requirements.

The construction documents, which form the contract, are composed of two integrated components: the project manual and drawing.

1. **The Project Manual**
    - **Bidding requirements** are contractor qualifications, public bid law procedures, instruction and invitation to bid, bid form, and bid bond.
    - **Contract forms** define the contractual relationship of the project between owner and contractor, listing all pertinent project documents and establishing specific requirements such as schedule, late penalties, interest rates, etc. Contract forms usually include the agreement of contract itself, performance and payment bond forms, and certificates as may be needed.
    - **Contract conditions** provide additional detailed requirements:
        a. General conditions define the specific detail of the contractual relationship, including all administrative roles, requirements, and procedures that have been established traditionally on typical projects. General conditions are often preprinted documents such as American Institute of Architects (AIA) document A201.
        b. Supplementary conditions amend the general conditions to suit the individual project or party requirements as necessary. This part of the project manual, in particular, is structured to cover public contract requirements, insurance coverage, etc.
    - **Specifications** set standards of quality for products, materials and workmanship, as well as listing specific make, model, and manufacturer of materials, products, components, or assemblies. Division 1 of the specifications contains project administration procedures and detailed contract provisions such as schedule, alternate work, site access, work not in contract performed by others, etc.
2. **Construction Drawings** show, in graphic and quantitative form, the extent, configuration, location, relationships, and dimensions of work to be done.
3. **Addenda** are issued for construction modifications or clarifications that occur during the bidding phase but prior to acceptance of the construction contract. These modifications and their potential impact are then incorporated into the bid and construction contract.
4. **Contract Modifications** that occur after the acceptance of the contract are known as change orders. Any modifications and associated changes in the cost or time schedule agreed to by all parties becomes an integral part of the construction contract from that date forward.

Although the preceding format is one industry-accepted format for integrating the construction contract, project specifications, and drawing documents there are other forms of contracts which have gained prominence in recent years. However, not all contract versions are known or accepted universally. Some contracts may require extensive modification to be mutually acceptable.

As with any contract, it is advisable to have legal counsel review all terms and language to clearly reflect contract requirements and expectations.

The construction bidding documents shall be submitted to McGraw-Hill/Dodge then to OSPI for review of state assistance project requirements.

Section 805–Regulatory Requirements

The design process is affected by codes and ordinances in such areas as health, safety, accessibility, high performance building standards, and the environment. The codes can be a product of local, state, or federal action.

The final construction documents shall comply with the latest versions of these codes and ordinances before projects are approved and building permits issued. In addition, the documents shall be submitted to the following agencies:

1. Fire marshal or fire chief having jurisdiction.
2. Department of Labor and Industries (Electrical section) or agency having jurisdiction for electrical approval.
3. Health agency having jurisdiction.
4. Department of Ecology or local agency having jurisdiction for environmental approvals.
5. Building official having jurisdiction.
6. The Department of General Administration for approval of Energy Conservation Report.

Letters of approval from these agencies shall be forwarded to OSPI as part of the Form D-7 submittal.

The following is a list of the applicable state building codes, environmental health regulations, and accessibility standards.

1. State Building Code Chapters 19.27 RCW, energy-related building standards Chapter 19.27A RCW, and Chapter 43.20 RCW State Board of Health, establish the minimum school building and fire safety code criteria known as the "State Building Code". This code includes:
    - Uniform Building Code and Standards.
    - Uniform Mechanical Code and Uniform Plumbing Code.
    - Uniform Fire Code.
    - Accessibility standards The Washington State Energy Code, Chapter 51-11 WAC.
2. Additional state codes include:
    - Environmental Health–Primary and Secondary School Rules and Regulations, Chapter 246-366 WAC
    - National Electrical Code as adopted by the State of Washington Department of Labor and Industries, Chapter 296-46B WAC.

- High-performance Public Buildings, Chapter 39.35D RCW.
- State building code adoption and amendment of the current edition of the international building code Chapter 51-50 WAC,.

The State Building Code is subject to amendment, supplementary inclusions, administration, and enforcement by the county, city, or township. However, amendments to the State Building Code made by local jurisdictions cannot be less restrictive. Local governmental agencies should be contacted to determine which codes have been adopted (codes are reviewed every three years) and to obtain information on local amendments and compliance requirements.

School districts must comply with state accessibility requirements that meet federal guidelines. Districts must ensure that their buildings, programs, services, and classes are accessible by persons with disabilities. Therefore, districts must comply with the following requirements:

1. All new facilities following 1993, remodeled facilities (or portions of buildings that were remodeled under the ADA requirement) must be physically accessible in accordance with Chapter 51-50 WAC.
2. All non-remodeled facilities, prior to 1993, must be adapted to ensure accessibility where physically possible and provide for administrative solutions to accessibility issues where structural revisions are necessary. This includes auxiliary aids and services, as long as these provisions result in neither an undue burden nor a fundamental alteration of the program.

Section 806–Life Cycle Cost Analysis

School districts and design professionals often focus their attention on the initial cost of construction. However, there is a growing recognition of the importance of the long-term operation, maintenance, repair, replacement, and alteration costs incurred over the service life of a building. It is recognized that incorporating high-performance features into buildings most likely will result in additional up-front costs, but that significant savings can occur over the life of the building.

State law requires an energy life cycle cost analysis in the design of all major public facilities. The intent is to aid architects/engineers and districts in making facility design decisions where both the initial and the continuing costs are carefully considered.

For school construction projects, the life cycle cost analysis requirements are satisfied via the energy conservation report WAC 392-343-075 and the value engineering study WAC 392-343-080.

Energy Conservation Report
School districts are responsible for ensuring that energy conservation and renewable energy systems are employed in the design and renovation of major facilities. The requirement applies to the design of any facility having:

1. More than 25,000 square feet of usable space.
2. Renovations that exceed 50 percent of the replacement value of a major facility.
3. Five thousand to twenty-five thousand square feet projects need only the Public Facility Energy Characteristics (PFEC) form to be submitted. For modernization projects over twenty-five thousand square feet, but less than 50 percent replacement value, only a

PFEC form is required (a state assisted modernization project must be at least 40 percent of replacement value.)

The Guidelines for Energy Life Cycle Cost Analysis are found on the Department of General Administration website.

The energy conservation report must be prepared by a licensed architect or professional engineer who has experience with computer energy simulation models and public building design.

The report shall be based on guidelines prepared by General Administration. The guidelines define a procedure and method for performing life cycle cost analysis and provide a standard reporting format. It is not necessary to have all of the details of the project in order to conduct an energy life cycle analysis.

If the district can complete the energy analysis early in planning, it will be more effective as a decision-making tool. The method of analysis specifically considers the life cycle costs for energy systems such as heating, cooling, lighting, building envelope, and domestic hot water. The report evaluates the systems proposed by the architect/engineer and recommends alternatives that make the most economic sense. Final approval of the report is the exclusive responsibility of the district. Upon completion of the building, the engineer completes a verification checklist describing all of the energy systems.

Section 807–Value Engineering Study

Districts are responsible for ensuring that a value engineering study is completed during the design process. The study is required for any project over 50,000 square feet, for state assisted projects, and is optional for any project between 15,000 and 50,000 square feet. The square footage eligible for state funding assistance is not a factor in determining if the study is required.

Value engineering is an organized approach to optimize both cost and performance in a facility or to identify items that add cost without contributing to the function of the facility. In evaluating the quality, use, life, appearance, and required features of a facility, the value engineering team attempts to achieve value without reducing quality below required levels while maximizing function, cost, and value in design.

The district shall contract for the value engineering study independent from the architect/engineer. The study shall consist of a 40 hour workshop involving a five-person multidisciplinary team led by an individual qualified by the Society of American Value Engineers. Value engineering realizes its greatest savings potential during the schematic and design development phases of the project when the major cost and value decisions are being made. Value engineering should occur no later than the design development phase.

School district board acceptance of a value engineering report, and its implementation, shall be filed with the Form D-7 submittal.

Section 808–Project Risk Management

Project risk management is defined as the process whereby risks to the district are identified, assessed, and mitigated. Project risk management should be assigned before the construction documents are completed. Risks may be mitigated by purchasing appropriate insurance, by allocating risk to the appropriate party or parties, or by devising a plan of action to deal with potential risks. Each form of mitigation is described below.

Insuring Against Risk
The school board needs to evaluate its liability arising from construction of the project, determine the potential for significant losses, and insure against them.

Selection of the type of insurance to be specified in the construction documents should be based on requirements of each particular project. Some types of insurance available are:

1. Comprehensive general liability insurance.
2. Automobile liability insurance.
3. Owner's protective liability insurance.
4. Builder's risk or all-risk insurance.
5. Workers' compensation insurance.
6. Property and fire insurance (often maintained by the district at lower cost than if required from the contractor).

The limits of liability to be specified deserve careful consideration. There is little or no relationship between the degree of risk, which should establish the limits of liability, and the size or monetary value of a project. In multiple contract projects, one umbrella or all-risk (builder's risk) policy with high limits of liability, purchased by the owner, may be more economical than several of the same policies at lower limits furnished by each contractor.

When the district specifies that insurance is to be provided by the contractor, a cancellation clause should be required for all policies.

Allocating Risk
This form of mitigation allocates risk by contract to the party or parties with the most control or in the best position to protect against risk.

For example, a standard contract assigns the initiation, maintenance, and supervision of all safety precautions and programs to the project contractor. When combined with adequate requirements for insurance, this forms a basis of risk mitigation for one part of project liability.

Devising a Plan of Action
For some construction projects it may not be possible, or economically feasible, for the district to mitigate all the risks by insurance or allocation. In that case, they should consider devising a plan of action to minimize risk.

One such risk unique to construction projects is the situation of unknown subsurface conditions in a project area. The need to excavate and provide adequate bearing for building foundations and other structures subjects the project to risks that can have enormous cost and time impacts. A plan of action anticipates that a certain amount of unsuitable material may need to be

removed and replaced, and it requests a unit price for earthwork removal as part of the bid. That portion of the risk may be assigned to the contractor by taking advantage of the competitive bidding environment. The district retains the risk of further costs for the removal of additional amounts of material not anticipated in the plan of action. In situations such as this, the district should obtain as much reliable information as possible (such as subsurface geotechnical exploration and analysis) and consider carefully the risks and their possible impacts.

Exhibit 8A–Cost Estimating Formats

UniFormat Classification System			
A	Substructure	E	Equipment and Furnishings
A10	Foundations	E10	Equipment
A20	Basement Construction	E20	Furnishings
B	Shell	F	Other Construction
B10	Superstructure	F10	Special Construction
B20	Exterior Closure	F20	Selective Demolition
B30	Roofing		
		G	Site Work
C	Interiors	G10	Site Preparation
C10	Interior Construction	G20	Site Improvements
C20	Stairways	G30	Site Plumbing Utilities
C30	Interior Finishes	G40	Site Heating, Ventilating, and Air Conditioning Utilities
		G50	Site Electrical Utilities
D	Services	G60	Other Site Work
D10	Conveying Systems (Elevators)		
D20	Plumbing	Z	General
D30	Heating, Ventilating, and Air Conditioning	Z10	General Requirements
D40	Fire Protection	Z20	Bidding, Contract Forms, and Conditions
D50	Electrical	Z90	Cost Estimates

Master Format Classification System			
Division 0	Procurement and Contracting Requirements	Division 9	Finishes
Division 1	General Requirements	Division 10	Specialties
Division 2	Existing Conditions	Division 11	Equipment
Division 3	Concrete	Division 12	Furnishings
Division 4	Masonry	Division 13	Special Construction
Division 5	Metals	Division 14	Conveying Equipment
Division 6	Woods, Plastics & Composites	Division 21–23	Fire, Plumbing and HVAC
Division 7	Thermal and Moisture Protection	Division 25–28	Electrical, Communications
Division 8	Openings		

Chapter 9: Bidding, Evaluation, and Contract Award

Section 901	Bidding Public Works
Section 902	Bidding and Contracting
Section 903	Bonds
Section 904	Construction Contract Regulations
Section 905	Advertising for Bids
Section 906	Revisions to Construction Documents During Bidding
Section 907	Bid Opening Procedures
Section 908	Evaluation of Bids
Section 909	Award of Construction Contracts
Exhibit 9A	Retainage Forms

Section 901–Bidding Public Works

When the cost of any public building or improvement equals or exceeds the sum of $50,000, the district shall prepare plans and specifications for such work and give public notification of the intention to receive bids for the work. See RCW 28A.335.190. Upon completion and approval of the final construction documents with the bidding requirements, a school project is ready to be released to contractors to obtain proposals or bids.

When general contractors receive the final construction documents, they review the scope of the project and request bids from various vendors and subcontractors for specified materials and equipment. Vendors and subcontractors will be alerted to the need for their services and/or products by an advertisement for bids and placement of the construction documents in plan centers.

It is in the best interest of the district to provide widespread public notice of the work to be performed in order to receive as many competitive bids from general contractors, subcontractors, and vendors as possible.

Section 902–Bidding and Contracting

The bidding and contracting procedures listed below are permissible. The district should fully discuss the type of contract with their architect/engineer and legal counsel prior to document preparation.

1. **Single Prime Contract**
   The most common form of construction contracting involves competitive bidding for a single construction contract. In this process, the bidding documents are prepared by the architect/engineer for the district and made available to a number of qualified bidders. Each bidder determines the price for which they are willing to construct the project, including profit, and submits a bid to the district. The selected contractor and the district enter into an agreement formalizing their relationship. Typically the contractor will have a portion of the work done by subcontractors.

2. **Early Bidding and Pre-purchase**
   Another form of construction contracting is to early bid or pre-purchase materials, equipment, or portions of the work prior to completion of full construction documents. Examples of early bidding or pre-purchasing materials or equipment are long-lead items or quantity contracting for several projects. Examples of early bidding on portions of the work include site development work such as clearing, excavation, structural fills, and utilities that will benefit from favorable weather or timing of work relative to completion of documents or permits. Early bidding and pre-purchasing should be used with caution due to the owner's increased responsibility for the timeliness and quality of the items if those items delay or damage a separate contractor.

OSPI approval is required, prior to opening any early bids, unless bids are assigned to a general construction bid at a later date.

Purchases of building components through KCDA, the school district purchasing cooperative, may be considered for state assistance, either by assigning costs to the general contractor or as a separate contract subject to standard OSPI requirements.

Section 903–Bonds

Bonds shall be in an amount equal to a minimum of 100 percent of the contract sum, including any change orders authorized by the district, plus an amount equal to the Washington State sales tax and any local sales or use taxes applicable to the contract. Types of bonds required are:

1. **Bid Bonds**
   On any school project receiving state funding assistance, each bidder is required to submit a bid guarantee in the form of a certified check, cashier's check, or a bid bond in the amount of **5 percent of the amount bid**. The bid guarantee is subject to forfeiture if the bidder fails to enter into a contract with the school district for construction of the project when such contract is properly prepared and offered to the bidder. Bid bonds shall be written by a firm licensed to do business in the state of Washington and shall be accompanied by a power of attorney for the signatory.

2. **Performance and Payment Bonds**
   When any person or corporation contracts to do any work for a district, the district shall require such person or corporation to make, execute, and deliver (to the district) a performance bond to ensure that the contractor performs all the provisions of the contract. Payment bonds ensure that all laborers, mechanics, subcontractors, material suppliers, and persons are paid.

3. **Retainage Bonds or Retainage in Lieu of Bonds**
   A district must provide five percent of all moneys earned by a contractor or accept a bond from a bonding company for any portion of the retainage in a form acceptable to both OSPI and the district.

   Retained moneys may (contractor's written option) be retained in a fund by the district or placed in escrow with an approved bank or trust company for investment in authorized bonds or securities, with interest on such investments, accruing to the contractor. All retained funds shall be held until 45 days following final acceptance of the work of the contract.

Section 904–Construction Contract Regulations

School districts are required by law to comply or ensure compliance with the following regulations in the administration of the construction contract:

Chapter 18.27 RCW	**Registration of Contractors** Cities, towns, or counties are prohibited from issuing construction building permits without receiving proof of contractor's registration.
Chapter 39.04.320 RCW	**Apprenticeship Training Programs** Refers to Apprenticeship training programs, public works contracts, adjustments of specific projects, report and collection of agency data, and the apprenticeship utilization advisory committee.

Chapter 39.04.350 RCW	**Bidder Responsibility Criteria** Refers to the criteria that must be met to be considered a responsible bidder and to be awarded a public works contract.
Chapter 39.08 RCW	**Contractor's Bond** Relates to contractor's performance and payment bond.
Chapter 39.12 RCW	**Prevailing Wages on Public Works** Refers to payment of standard prevailing wages for the specific type of construction, as determined by the Washington State Department of Labor and Industries, in the city or county where the work is being performed.
Chapter 49.28 RCW	**Hours of Labor** Refers to the eight-hour day, payment for overtime, cancellation of contract for violations, and penalties for violations.
Chapter 49.60 RCW	**Discrimination—Human Rights Commission** Is the state law, among other laws and regulation that prohibits discrimination in all phases of employment.
Chapter 60.28 RCW	**Lien for Labor, Materials, Taxes on Public Works** Refers to retainage and lien laws regarding public works.
Chapter 70.92 RCW	**Provisions in Buildings for Aged and Handicapped Persons** Refers to the provisions for the aged and disabled.

Section 905–Advertising for Bids

The district shall advertise for bids on any school building project receiving state funding assistance.

The advertisement shall include:

1. A brief description of the project.
2. The deadline and place for receiving the bids.
3. Where the bidding documents may be examined or obtained.
4. The deposit required for a set of bid documents.
5. Notification that all bidders must submit a list of subcontractors whose work will exceed ten percent of the project.
6. Any conditions that are attached to preparing, submitting, and opening the bids.

The bid advertisement shall be published once each week, for two consecutive weeks in a trade journal of general circulation, such as the *Daily Journal of Commerce,* and in a publication circulated throughout the local area.

The district should obtain copies of the advertisement in the form that it is published, along with certification by the publisher of its publication dates. Submit this information to OSPI with Form D-9.

Occasionally, the firm intending to bid on a school project will request an extension of the due date. Extension requests should be carefully considered and granted if possible. Requests usually result from a contractor's inability to obtain quotations or sufficient time to estimate the work.

Many localities have a builders' and suppliers' plan exchange where the bidding documents may be examined by all contractors, sub-contractors, and suppliers. If such facilities are available in the district's area, the district should consider sending bidding documents to them to ensure maximum exposure for its project. The district should also consider sending bidding documents to any minority contractors' organizations in its locality.

Section 906–Revisions to Construction Documents During Bidding

Addenda are written or graphic documents issued to clarify, revise, add to, or delete information in the original bidding documents or in previous addenda. Addenda should be issued with sufficient time to allow contractors to incorporate the revisions into their bid.

All addenda must be submitted to OSPI electronically.

Section 907–Bid Opening Procedures

Do not open bid proposals before receiving authorization from OSPI.
Opening bid proposals without OSPI authorization [Form D-8 or D-8(1)] may result in the forfeiture of state funds dedicated for the project.

Bid forms shall provide for a separate bid amount for each of the applicable OSPI funding categories, i.e., new construction, modernization, as well as non-matchable costs such as off-site improvements. Alternate bids must also be structured to separate bid costs into these categories.

Before the advertised deadline, all bids must be submitted in writing on the proposal form. The district should develop an accountable and standard method of recording the receipt of bids and subcontractor lists. A date/time stamp should be used to record the time that bids are received.

All bids (including all bid prices, alternative bids, unit prices, time for completion, acknowledgments of receipt of addenda, and any other similar information required on the bid form) must be read aloud in public on the date and time of bid opening at the place named in the notice.

The requirement that a list of subcontractors be submitted within one hour of receiving the bids may be accomplished in a variety of ways. Two common strategies are:

1. The district may receive and open bids immediately and disqualify any bids where the subcontractors' list was not properly submitted.
2. The district may receive and record bids until the bid deadline, but keep the subcontractors' list sealed and stored in a secure place until a later time and/or date.

As bids are opened and read aloud, the district should acknowledge the proper receipt of the subcontractors' list to determine if a bid is responsive. All opened bids should be tabulated and made available for public inspection as soon as possible. Any discrepancies or irregularities noted during the reading should be recorded on the bid tabulation form or in the minutes of the bid opening.

Section 908–Evaluation of Bids

When bids have been opened, a tabulation of bids received, including complete names and addresses of all bidders, all base bids, alternate bids, unit prices, acknowledgment of receipt of addenda, and acknowledgment of receipt of bid guarantees shall be prepared and certified by both the architect/engineer and the district.

Qualification
The bidder must be qualified by experience, financing, and equipment to do the work called for. The bidder must be a registered contractor in the state of Washington, and the registration must be valid at the time of bidding and remain valid throughout the course of the work.

The district may request, from the bidder, satisfactory evidence of financial resources, construction experience, and organization available for performance of the proposed contract.

Disqualification
The school board may determine, at its discretion, that a bidder is not responsible and reject the bid. The district should use caution in disqualifying a bidder (especially on the basis of an unsatisfactory past performance record). Previous failures or other problems are not, in themselves, proof of inability to perform new work. The burden of proof (of inability to perform) would fall upon the district should the bidder take the case to court. Disqualification of bidders on public works projects is not a step to be taken lightly; competent legal counsel is required to justify such action.

Section 909–Award of Construction Contracts

Following consideration of bids, the amount of funds available for construction, and the qualifications of the bidders, the district's board of directors shall adopt a recommendation to award a contract, or contracts, and shall itemize any alternate bids to be accepted.

Upon receiving written authorization from OSPI [Form D-10 or D-10(1)], the district may prepare and award contracts for construction of the project.

Construction contracts shall be prepared in the form stipulated in the project manual and should be reviewed and approved by the district's legal counsel.

Immediately following the awarding of contract(s), the district shall forward one signed or certified copy of each construction contract to OSPI.

Exhibit 9A–Retainage Forms

OFFCE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
Old Capital Building, P.O. Box 47200
OLYMPIA WA 98504-7200

ESCROW AGREEMENT

TO_____
(Bank or Trust Company)

_____
(Branch)

_____
(Street) (City) (ZipCode)

BANK ACCOUNT No._____

School District/OSPI

Contract No._____

Project name_____

The undersigned,_____,
hereinafter referred to as the Contractor, has directed _____School District and the Office of Superintendent of Public Instruction, hereinafter referred to as the Agency, to deliver to you its warrants or checks which shall be payable to you and the Contractor jointly. Such warrants or checks are to be held and disposed of by you in accordance with the following instructions and upon the terms and conditions hereinafter set forth.

INSTRUCTIONS

1. The Agency shall deliver to you from time to time checks or warrants payable jointly to you and the Contractor. You are hereby authorized by the Contractor to endorse in the Contractor's name any such check or warrant so that you may receive the proceeds thereof and invest the same. The power of endorsement hereby granted to you by the Contractor shall be deemed a power coupled with an interest and shall be irrevocable during the term of this Escrow. Although you may be a payee named in such warrants or checks as shall be delivered to you, your duties and responsibilities with respect to the same shall be only those duties and responsibilities which a depository bank would have pursuant to Article 4 of the Uniform Commercial Code of the State of Washington for an item deposited with it for collection as of the date such check or warrant shall be used by you to purchase, as directed by the Contractor, bonds or other securities chosen by the Contractor and approved by you, and the School District. For the purpose of each such purchase, you may follow the last written direction received by you from the Contractor, provided such direction otherwise conforms with the restrictions on investments recited herein. Attached is a list of such bonds, or other securities approved by the Agency. No further approval is necessary if any of these bonds or securities except stocks, may be selected by the Contractor, subject to express written approval of you and the School District. Purchase of such bonds or other securities shall be in a form which shall allow you alone to reconvert such bonds or other securities into money if you are required to do so by the Fiscal Officer for the Superintendent of Public Instruction as provided in paragraph 4 of this Escrow Agreement.

The investments selected by the Contractor, approved by the School District and purchased by you must mature on or prior to the date set for the completion of the contract, including extensions thereof or 45 days following the final acceptance of said improvement or work.

2. When and as interest on the securities held by you pursuant to this agreement accrues and is paid, you shall collect such interest and forward it to the Contractor at the address designated below unless with your written consent you are otherwise directed in writing by the Contractor.

3. You are not authorized to deliver to the Contractor all or any part of the securities held by you pursuant to this agreement (or any monies derived from the sale of such securities, or the negotiation of the Agency's warrants or checks) except in accordance with written instructions from the Fiscal Officer for the Superintendent of Public Instruction. The Fiscal Officer for the Superintendent of Public Instruction shall inform you and keep you informed in writing of the name of the person or persons with authority to give you such written instructions. Compliance with such instructions shall relieve you of any further liability related thereto. The estimated completion date on the contract underlying this Escrow Agreement is _____. Upon request by you, the School District shall advise you in writing of any change in estimated completion date. If the estimated completion date is changed, you are authorized to reinvest the monies held hereunder in accordance with the new estimated completion date.

4. In the event the Fiscal Officer for the Superintendent of Public Instruction orders you to do so in writing, and notwithstanding any other provisions of this agreement, you shall, within thirty-five (35) days of receipt of such order, reconvert into money the securities held by you pursuant to this agreement and return such money together with any other monies, including accrued interest on such securities, held by you hereunder, to the Office of the Superintendent of Public Instruction, P O Box 47200, Olympia, WA 98504-7200.

form SPI D-162(Rev. 4/07)

5. The Contractor agrees to pay you as compensation for your services here under as follows:

Payment of all fees shall be the sole responsibility of the Contractor and shall not be deducted from any property placed with you pursuant to this agreement until and unless the Fiscal Officer for the Superintendent of Public Instruction directs the release to the Contractor of the securities and monies held hereunder whereupon you shall be granted a first lien upon such property released and shall be entitled to reimburse yourself from such property for the entire amount of your fees and any unanticipated amounts which might be owing as provided for herein. In the event that you are made a part to any litigation with respect to the property held by you hereunder, or in the event that the conditions of this escrow are not promptly fulfilled or that you are required to render any services not provided for in these instructions, or that there is any assignment of the interests of this escrow or any modification hereof, you shall be entitled to reasonable compensation for such extraordinary services from the Contractor and reimbursement from the Contractor for all costs and expenses, including attorney fees occasioned by such default, delay, controversy or litigation.

6. Should you at any time and for any reason desire to be relieved of your obligations as escrow holder hereunder, you shall give written notice to the School District, the Office of Superintendent of Public Instruction and Contractor. The School District and Contractor shall, within 20 days of the receipt of such notice, jointly appoint a successor escrow holder and instruct you to deliver all securities and funds hereunder to said successor. If you are not notified of the appointment of the successor escrow holder within 20 days, you may return the subject matter hereof to the Office of Superintendent of Public Instruction, P O Box 47200, Olympia Washington 98504-7200, and upon so doing, it absolves you from all further charges and obligations in connection with this Escrow.

7. This agreement shall not be binding until executed by the Contractor and the Agency and accepted by you.

8. This instrument contains the entire agreement between you, the Contractor and the Agency with respect to this Escrow and you are not a party to nor bound by any instrument or agreement other than this; you shall not be required to take notice or demand, nor required to take any action whatever except as herein expressly provided; you shall not be liable for any loss or damage not caused by your own negligence or willful misconduct.

9. The foregoing provisions shall be binding upon the assigns, successors, personal representatives and heirs of the parties hereto.

The undersigned have read and hereby approve the instructions as given governing the administration of this escrow and do hereby execute this agreement on this _____day of _____, 20_____.

_____ _____
(Contractor Signature) (Agency Signature)

By_____ By_____
(Title) (Title)

_____
(Address)

The above escrow instructions received and accepted this _____day of

_____, 20____.

_____
(Bank or Trust Company)

_____
(Authorized Signature)

form SPI D-162(Rev. 4/07)

BONDS AND SECURITIES ACCEPTABLE BY THE STATE AGENCY

1. Bills, Certificates, note or bonds of the United States
2. Other obligations of the United States or its agencies
3. Obligations of any corporation wholly owned by the Government of the United States
4. Indebtedness of the Federal National Mortgage Association
5. Time deposits in commercial banks

DESIGNATE BELOW THE TYPE OF INVESTMENTS SELECTED

_____

_____

_____

form SPI D-162(Rev. 4/07)

OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
P.O. BOX 47200
OLYMPIA WA 98504-7200
(360) 725-6187 TDD (360)725-6240

RETAINED PERCENTAGE
ON PUBLIC WORKS CONTRACTS

School District _____

Project number _____

Contractor _____

RCW 60.28 as amended by (Chapter 223, laws of 1994) Regular Session allows each prime contractor on a public works contract the following options concerning the amount reserved as retainage from moneys earned by the contractor.

School district officials shall require each prime contractor to complete one of the following form for the above public works project.

Contractor's Option

_____ Retained in a non-interest bearing fund by the public body until forty-five days following the final acceptance of said improvement or work as completed.

_____ Deposited by the public body in an interest bearing account or escrow account in a bank, mutual savings bank, or savings and loan association designated by the contractor (Form D-162), not subject to withdrawal until after the final acceptance of said improvement or work as completed, or until agreed to by both parties; PROVIDED, that interest on such account shall be paid to the contractor.

_____
SIGNATURE TITLE

_____
NAME OF FIRM DATE

_____
ADDRESS

_____

FORM D-163
Revised 04/07

Office of Superintendent of Public Instruction
Old Capitol Building, PO Box 47200
Olympia, WA 98504-7200

RETAINAGE BOND

Bond Number _____

KNOW ALL MEN BY THESE PRESENTS that _____

a corporation existing under and by virtue of the laws of the State of _____

and authorized to do business in the State of Washington as Principal, and _____

_____, a corporation organized and existing under the laws of the State of

_____and authorized to transact business in the State of Washington as Surety,

are jointly and severally held and bound unto_____ School District No._____ hereinafter

called Agency and are similarly held and bound unto the beneficiaries of the trust fund created by RCW 60.28, in

the penal sum of _____ Dollars ($ _____)

which is 5 percent of the Principal's bid on Contract No._____.

WHEREAS , on the _____ day of _____ , 20_____ , the said Principal herein executed a

contract with the _____School District No._____, for:

WHEREAS , said contract and RCW 60.28 required the Agency to withhold from the Principal the sum of 5 percent from monies earned on estimates during the progress of the construction, hereinafter referred to as earned retained funds.

AND NOW WHEREAS , Principal has requested that the Agency not retain funds as allowed under RCW 60.28.

NOW THEREFORE , the condition of this obligation is such that the surety is held and bound unto the beneficiaries of the trust fund created by RCW 60.28 in the penal sum of 5 percent of the final contract cost which shall include any increases due to change orders, increases in quantities of work or the addition of any new item of work. If the Principal shall use the earned retained funds, which will not be retained, for the trust fund purposes of RCW 60.28, then this obligation shall be null and void; otherwise, it shall remain in full force and effect until release is authorized in writing by the Agency.

PROVIDED HOWEVER THAT:

1. The liability of the Surety under this bond shall not exceed 5 percent of the total amount earned by the Principal if no monies are retained by the Agency on estimates during the progress of construction.
2. Any suit under this bond must be instituted within the time period proved by applicable law.

WITNESS our hand this _____day of _____ 20 _____

Name and Address of Contractor

_____

_____

_____

REFERENCES FOR SURETY:

Name and Address Attorney-in-fact

_____

_____

_____

Name and Address Local Office or Agent

_____

_____

_____

APPROVED:

_____
SCHOOL DISTRICT

_____
AUTHORIZED SIGNATURE DATE

Approved as to form_____20_____

_____
ATTORNEY FOR SCHOOL DISTRICT

FORM SPI D-164 (Rev. 6/07) Page 2 of 2

OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
P.O. BOX 47200
OLYMPIA WA 98504-7200
(360)725-6187 TDD (360)725-6240

RETAINAGE BOND CERTIFICATE

SCHOOL DISTRICT NAME_____

SCHOOL DISTRICT ADDRESS_____

SCHOOL DISTRICT ADDRESS_____

Project Number: _____

Project Name: _____

Under RCW 60.28.010(4) the general contractor has submitted a bond in lieu of retainage. The public body is required to accept the bond, providing it is in a form acceptable to the public body. In this regard the Office of Superintendent of Public Instruction adopted WAC 392-344-147.

_____ As per WAC 392-344-147(4,5) the school district has reviewed the bond. I hereby certify the bond is signed by a surety registered with the Washington State Insurance Commissioner, is on the currently authorized insurance list published by the Washington State Insurance Commissioner, and meets any additional requirements as established by district board policy.

_____
Authorized Signature TITLE

FORM D-165
Revised 4/07

Chapter 10: Construction, Closeout, Acceptance, and Occupancy

Section 1001	Construction/Project Management Participants
Section 1002	Documents Submitted Prior to Start of Construction
Section 1003	Cash Flow Schedule
Section 1004	Construction Scheduling
Section 1005	Quality Management
Section 1006	Pre-construction Conference
Section 1007	Job Progress Meetings
Section 1008	Progress Payments and Retainage
Section 1009	Payment Procedures—State Participation
Section 1010	Change Orders—Field Orders
Section 1011	Construction Claims and Dispute Resolution
Section 1012	Warranties
Section 1013	Substantial Completion
Section 1014	Systems Start-Up, Testing and Training
Section 1015	Final Completion and Acceptance
Section 1016	Final Payment
Section 1017	Occupancy
Section 1018	Staff and Community Orientation Program
Section 1019	Post-occupancy Evaluation
Exhibit 10A	Forms

Section 1001–Construction/Project Management Participants

The construction process involves many participants in the management of the construction contract. Project management is the application of management practices necessary to oversee the scope, cost, time, and quality of a project. It is a coordinated team process which includes monitoring a constantly evolving project, documenting project correspondence and field changes, reviewing contractor performance, testing and inspecting, and administering project schedule and costs.

The team members and the roles they traditionally perform are as follows:

Contractor

1. Procures the necessary materials, equipment, and components.
2. Employs and supervises the necessary personnel and/or subcontractors.
3. Manages construction activities to meet the terms of the contract.
4. Coordinates the work of all trades.
5. Coordinates the review and inspection by governmental agencies.
6. Administers project costs, invoices, and subcontractor disbursements.
7. Documents contract modifications and site conditions.
8. Obtains permits and field inspections and pays incidental fees as specified by the contract.
9. Issues warranties and guarantees as required by the contract.

Architect/Engineer

1. Interprets technical standards and requirements of the drawings and specifications.
2. Reviews contract submittals, shop drawings, samples, schedules, and correspondence.
3. Assesses project quality and compliance with construction documents.
4. Reviews contract progress and schedule.
5. Reviews and confirms contractor's invoices and costs.
6. Processes and documents required contract modifications.
7. Assesses project status for substantial completion.
8. Certifies project completion and fulfillment of contract documents.

District's Representative/Construction Manager

1. Provides access to and availability of the project site.
2. Contracts for special inspections and required testing
3. Reviews contractor's use of the site and protection of the district's property.
4. Responds to field questions and authorizes action.
5. Approves payments for construction invoices and incidental permits and fees.
6. Monitors maintenance contracts and inspections during warranty periods.

Traditional design contracts provide neither full-time administration of the construction contract nor exhaustive and continuous on-site inspection. Depending on the project complexity, the nature of the architectural/engineering contract, and the capability of the district to manage the construction contract, a district may want to consider additional construction management services.

Section 1002–Documents Submitted Prior to Start of Construction

The following properly executed documents shall be delivered to the district for acceptance prior to the start of construction:

1. Agreement between contractor and school district.
2. Required performance bonds and required surety.
3. Certificates of insurance.
4. Prevailing wage rate statement.
5. Retainage bond or escrow agreement.

Other documents which are normally required prior to start of construction but absolutely required prior to submittal of the first request for payment include:

1. Lists of subcontractors and suppliers.
2. Schedule of values.
3. Schedule of construction activities.
4. Proof of issuance of building permit.
5. Product ordering time schedule.
6. Proof of insurance as specified in the contract.

Section 1003–Cash Flow Schedule

When the schedule of values and the schedule of construction activities have been received, the district's representatives (which may include the construction manager along with or in consultation with the financial advisor and underwriter), the architect/engineer, and the contractor should meet and establish a cash flow schedule that estimates the moneys required, on a monthly basis, throughout the scheduled progress of the construction work. (See Expenditure of Funds–Chapter 4, Section 409.)

Prior to payment of any state funds toward the project, the district must demonstrate that the total amount of funds, obligated by the district for its share of the cost of the project, has been expended.

Section 1004–Construction Scheduling

Most construction contracts require the contractor to submit a construction schedule. This schedule reflects the sequence of construction activities, the delivery of important equipment and supplies, and the dates of all events and milestones leading to completion.

The schedule format that demonstrates the most useful information is the critical path method (CPM) analysis. This method identifies and illustrates project activities and identifies those which are critical to the timely, sequential completion of the work. Other important concerns are:

1. Project phasing.
2. Site access limitations.
3. District abatement or concurrent construction.
4. Shop drawing review of long-lead items.
5. Dates for major equipment review.
6. Delivery of district-furnished equipment and materials.
7. Building permits and inspections.

Section 1005–Quality Management

Quality management is the process which assures that a project achieves given standards and meets the expectations of those involved. There are three primary components of quality management:

1. Goals which establish expectations and a commitment to pursue these goals.
2. Standards that specify performance criteria, special tests, and reporting procedures.
3. Quality control review that executes technical examination, testing, and/or analysis for compliance.

Two types of testing procedures are typically required on construction projects–those required by local building and life safety codes and those performed on behalf of the district. Inspections and tests are typically conducted on the following:

1. Earthwork compaction for bearing capacity.
2. Imported soil for quality compliance.
3. Concrete material and reinforcing strength and placement.
4. Mortar and grout strength testing.
5. Roofing materials and installation.
6. Structural steel materials, fabrication, and erection.
7. Partition framing, fire-rated wall assemblies, and insulation.
8. Mechanical system air flow balancing.
9. Fire sprinkler system piping.
10. Waste and water systems.

11. Fire alarm system.

Only special inspections and testing, required by Chapter 17 of the most current International Building Code (IBC), are considered eligible for state funding assistance.

When utilizing special testing procedures, the district should be certain that all tests are observed by a representative of the general contractor, appropriate subcontractors, district's representatives, architect/engineers, and building officials.

Section 1006–Preconstruction Conference

Prior to the start of construction, it is advisable to have a preconstruction conference to include the following:

1. District representative/construction manager (if applicable).
2. Architect and engineers.
3. General contractor.
4. Major subcontractors (primarily earthwork, mechanical, and electrical).
5. Building and other officials.

The purpose of the conference is to introduce all members of the construction group and to provide the following:

1. List of contractors, subcontractors, and suppliers, including names of contact persons, addresses, telephone numbers, and fax numbers.
2. Project construction time schedule.
3. Critical work sequencing.
4. Major equipment deliveries and priorities.
5. Designation of responsibilities for coordination.
6. Procedures and processing of:
    - Field decisions.
    - Proposal request.
    - Submittals and shop drawings.
    - Change orders.
    - Applications for payments and timeframe requirements for processing.
7. Adequacy of distribution of construction documents.
8. Procedures for maintaining record documents.
9. Use of premises.
10. Construction facilities, controls, etc.
11. Temporary utilities.
12. Safety and first aid procedures.

13. Security procedures.
14. Housekeeping procedures.

Minutes of the meeting and all clarifications and decisions that provide contract direction should be documented and distributed to all concerned parties.

Section 1007–Job Progress Meetings

Regularly scheduled, on-site construction progress meetings are held to resolve issues as they occur, provide on-site direction, and confirm project status. Attendees normally include:

1. District's representative/construction manager (if required).
2. Architect.
3. Engineering consultants during their phase of the work.
4. General contractor.
5. Major subcontractors (mechanical, electrical).

Typical items for review are:

1. Minutes of previous meeting.
2. Status of construction progress and projected schedule.
3. Problems that impede the construction progress.
4. Measures to resolve construction issues.
5. Status of contractor submittals and requests for information.
6. Requests for district-provided materials and information.
7. Requests for site access and utilization.
8. Contract provisions and conformance to quality standards.
9. Status of contract change orders.

Minutes of the meetings, all clarifications, and all decisions that affect contract direction should be documented and distributed to all concerned parties.

Section 1008–Progress Payments and Retainage

The payment process typically consists of payments to the contractor based on monthly invoices submitted to the architect/engineer for work completed and materials provided. These payment requests also reflect the status of contract cost, disbursements to date, contract retainage withheld, and the balance of work to be completed. The architect/engineer reviews the payment request and determines that:

1. Costs reflect the schedule of values.
2. Invoices accurately reflect completed work and status of construction.
3. Adequate retainage is withheld (if applicable).
4. Calculations are correct.

After approval of the payment request, the architect/engineer forwards the application and a recommendation to the district for payment.

One provision of the construction contract is retainage which is the ability to withhold funds until final completion and acceptance of the project. The district is required to either retain obligated funds in the amount of five percent of the construction contract (excluding state and local sales tax) or to accept a retainage bond of equal value.

At the beginning of a construction contract, the general contractor has the option to choose the form of retainage. Obligated funds may be held by the district, if there is mutual, consent or placed in an escrow account (with an approved bank or trust company) for investment in authorized bonds or securities or a savings account, with interest accruing to the contractor. All retained funds shall be held until the district has completed the process described in Section 1016. The funds are applicable for those projects which are cooperatively financed by the district and the state or totally financed by the school district.

State funding assistance payment certification and reimbursement claim forms are available on OSPI's website at http://www.k12.wa.us/SchFacilities/FormsApplications/claimforms.aspx. Additional information, assistance and staff training sessions may be arranged by contacting the School Facilities disbursement officer.

Section 1009–Payment Procedures––State Participation

For state assisted projects, design and construction funds shall be disbursed in the following manner:

1. Initial payment shall be made from district local funds on all claims submitted by the architect/engineer and contractors until the total amount of the local funds, obligated by the district for its share of the cost of the project, has been expended (see Exhibits 10A and 10B). This excludes equipment purchases and matchable inspection and testing claims (see Exhibits 10A and 10B). These payments are documented on the payment certification and reimbursement claim form supported by copies of invoices (see Exhibit 10C).
2. Subsequent payments may be made from state funds on all further claims submitted by the architect/engineer and contractors. If cash flow permits, the district may continue paying the state portion and periodically request reimbursement of eligible state funding expenditures.
3. State funding eligible inspection and testing claims and furniture and equipment purchases are handled separately from the construction and architect/engineer fees. The district submits state funding eligible inspection and testing claims on SPI Form 1290 (see Exhibit 10D) and furniture and equipment claims on SPI Form B-751 (see Exhibit 10E). When a district has expended its share of the cost, the state share may be reimbursed to the maximum of the state's total share. Final expenditures for state funding eligible inspection and testing or equipment that do not reach the total allowance will be recalculated and result in a reduction in local and state share of participation.
4. Additive change orders associated with architectural/engineering services are not state assisted and therefore are fully charged to the district. The district must pay the change order portion plus applicable sales tax when a change order charge appears on a contractor's estimate (invoice). See Invoice F-717A (Exhibit 10A) under "Amount of

Current Estimate Paid by School District" (if any). The state will pay the retainage portion. Payments made for additive change orders and for any increased architectural/engineering fees are reported as the project progresses.

The additive change order costs will increase the district's share of the project's cost by the amount of the change plus applicable sales tax. The additional architect/engineer charges (if any) for change orders will also increase the district's share of the project. In all cases, the district will pay all change order costs prior to the receipt of any state assistance.

Modifications to the contract are called change orders. The change order process (established by the contract) documents changes in cost, schedule, or responsibility that occur due to:

1. Corrections or clarifications to contract documents.
2. Modified project requirements.
3. Unforeseen site conditions.

Section 1010–Change Order––Field Orders

The following are the procedures in a typical change order process:

1. Required changes to the contract are addressed to the contractor in the form of a field directive.
2. The contractor assesses the field directive for its impact on construction, on the cost of labor and materials, and on potential delays to project completion. Then a contract proposal is submitted to the architect/engineer.
3. The architect/engineer and the district representative review the proposal and its impacts on cost and project schedule. If the contract cost and schedule are unaffected, work proceeds from the field directive. If the proposal modifies either cost or schedule, the architect/engineer prepares a change order to authorize this contract modification. The authorization for the change order requires the signatures of the architect/engineer, the contractor, and the district.

Project modifications by change order that alter project area or contract cost may not be eligible for state assistance. State assistance may be reduced to reflect any project decreases.

Section 1011–Construction Claims and Dispute Resolution

A district may claim damages resulting from a contractor's failure to complete the construction of a facility by the time specified. The cost of delay may be predetermined and defined in the liquidated damages provision of the bid documents. Otherwise, delay claims may be based on the actual costs to the district for not being able to use the facility on time. Damages may be claimed by the district if the contractor fails to achieve the standards of the contract.

The contractor may also present claims to the district for costs that could not be foreseen during the bid period. Causes for such costs might be:

1. Errors and omissions in the contract documents.
2. Delays or changes caused by the local government permitting and inspection process.

3. Changes originated by the district or the architect/engineer.
4. Natural disasters.

Claims by the contractor may include direct labor and material costs, overhead, and profit. The contractor will typically include the average daily overhead and/or administrative costs directly attributable to the job when claiming damages relating to project delays. Those costs may include charges for the project superintendent, job site trailer rental, and telephone and utility bills. The costs of the contractor's main office cannot be claimed unless they are directly attributable to this particular project. Claims for a reasonable amount of weather delay (e.g. National Weather Service average number of snow days) are usually granted for time extension only, not for additional cost.

Arbitration and mediation are two methods of resolving disputes. Partnering is a preemptive way to avoid construction disputes. If claims or disputes cannot be settled in one of these ways, they may have to be decided in court. Litigation is always more costly and time-consuming.

Section 1012–Warranties

It is typical for the contractor to warrant the entire building for a period of one year after the date of substantial completion. The district should be aware of all warranty expiration dates including manufacturers of equipment and materials. Repair or replacement of any deficient material, equipment, or workmanship during the warranty period is the responsibility of the contractor or manufacturer at no cost to the district. Copies of all warranties should be included in all operations and maintenance manuals (provided to the district by the contractor).

Warranties for mechanical and electrical components often contain explicit statements that require certain conditions (such as regular servicing and maintenance by qualified persons) are met for the warranty to remain in effect. School district and on-site personnel need to be aware of these conditions in order to avoid attempting maintenance or repairs that could void the warranty.

Servicing and maintenance of many items or equipment (as required by warranties) may be beyond the capability of the school facility maintenance staff. A district may wish to extend warranty periods for some components or consider separate contracts for skilled servicing and maintenance of the more complex components of the new facility.

Section 1013–Substantial Completion

The date of substantial completion is an important and definable point in project development. It is the day when a district may begin to occupy a designated portion of the project or the entire building. It is also the point when the contractor begins to turn control of the facility over to the district. The date of substantial completion may initiate both the warranty period and the transfer of insurance coverage from the contractor to the district. Determining substantial completion follows a process that involves the contractor, the architect/engineer, and the district.

The process begins when the contractor determines that a project or a designated portion of the project is substantially complete. Then the architect/engineer is notified and given a list of items to confirm as substantially complete. The architect/engineer inspects the work to confirm substantial completion and then prepares a certificate of substantial completion which shall:

1. Establish the date of substantial completion.
2. State the responsibilities of the district and the contractor for maintenance, utilities, and insurance.
3. List the items to be completed or corrected.
4. Fix the time within which the contractor shall complete or correct the items listed.
5. Establish the time when builder's risk insurance is transferred to the district.

Section 1014–Systems Start-Up, Testing and Training and Commissioning

Today's buildings include a number of systems that must be started and tested to ensure that they perform at the specified level.

Building commissioning may be required before final acceptance when the building is transferred to the control of the district. Some of the major issues addressed during building commissioning are occupancy and use, performance of systems, indoor air quality, and operation and maintenance.

The Washington Sustainable School Protocol (WSSP), in Chapter 39.35D RCW, requires basic building commissioning for projects over 5,000 square feet that are required to meet this green building standard.

Commissioning shall be completed for the following energy-related systems:

1. HVAC and Refrigeration Systems & associated controls.
2. Lighting and daylighting controls.
3. Domestic hot water systems.
4. Renewable energy systems.

In WSSP and LEED rating systems, additional points are available for enhanced commissioning.

District administrators, maintenance and custodial personnel should receive instruction on the proper operation and maintenance of these complex systems. Contract documents should require this training including appropriate manuals, materials, tools, and demonstrations.

Section 1015–Final Completion and Acceptance

Final completion occurs when the construction work is concluded and the contractor corrects all deficiencies. Certification that all project requirements have been fulfilled in accordance with the contract is then submitted to the architect/engineer.

The architect/engineer, the contractor, and the district's representative then conduct a final inspection to confirm the final completion status according to the terms of the contract. If everything is in order, the architect/engineer requests the specified project closeout information from the contractor. The following items should be included:

1. Project record documents or as-built drawings and specifications.
2. Operation and maintenance manuals, including product and material data.

3. Guarantees, warranties, and bonds.
4. Keys and keying schedule.
5. Spare parts and maintenance materials (when required).
6. Evidence of compliance with requirements of governing authorities, including:
    - Certificates of inspection from local code officials.
    - Certificate of occupancy from local building department officials.
    - Affidavits of wages paid.
7. Certificate of insurance of products and completed operations.
8. Contractor's affidavit of payment of debts, claims, and taxes from the Department of Revenue, Employment Security Department, and Department of Labor and Industries.
9. Contractor's release of liens.
10. Separate releases of liens for subcontractors, suppliers, and others with lien rights against district property including a list of those parties.
11. Notice of surety's consent to the release of final payment.

In addition, the architect/engineer determines the final balance due by reconciling the contractor's final invoice with the following items:

1. Original contract.
2. Change orders.
3. Disbursements and credit of cash allowances, if included in contract (Note: cash allowances are not eligible for state funding assistance).
4. Settlements resulting from dispute resolution, defaults of contract terms, and lien reconciliation.
5. Adjusted contract sum.
6. Previous payments.
7. Retainage withheld (if applicable).

The architect/engineer shall complete and submit, to OSPI, an area analysis of the completed project.

When final completion is confirmed in writing by the architect/engineer, the district then officially accepts the work by adoption of a school board resolution stating that the work has been completed satisfactorily. If more than one prime contractor participated in the project, a resolution must be adopted for each contractor.

Section 1016–Final Payment

Contractual final payments may not be released prior to 45 days following the acceptance by the district's board of directors. Final payments include either the release of retainage or an authorized release of bonds in lieu of retainage.

The release of retainage, or bonds in lieu of retainage, by the district must be preceded by a Form D-12 authorization granted by OSPI. See Section 221 for necessary steps to complete Form D-11 filing with OSPI. Filing Form D-11 precedes OSPI's issuance of Form D-12.

Immediately upon acceptance of the project by the school board of directors, the district must notify the Department of Revenue, the Employment Security Department and the Department of Labor and Industries by filing Notices of Completion of Public Works Contracts. Each agency then performs audits and provides releases (of the state's lien upon the project) directly to the district. A copy of each release must be provided to OSPI prior to the issuance of a Form D-12 Authorization.

Even when arbitration or mediation is required to resolve disputes, certification of fully paid taxes and premiums that are due to state agencies is required.

Section 1017–Occupancy

The district's staff for the facility should be oriented to its functions and to its operating and maintenance requirements. Administrative, maintenance, and custodial personnel who are responsible for day-to-day operation of the physical plant benefit from three items delivered to the district by the contractor during final completion and closeout:

1. **Operation and Maintenance Manuals**
   These manuals should contain all technical data necessary to clean, operate, maintain, and repair the facility's equipment, components, and materials. The district should receive sufficient copies of the manuals for district and on-site facility personnel. One copy should be kept with the district's permanent records.

2. **Record Drawings**
   These drawings are commonly known as as-builts and are made from the contractor's daily records. They may be more accurate than the architect/engineer's contract documents. The contractor's recorded changes are reviewed or even redrawn by the architect/engineer. The district should receive a reproducible set of as-built drawings. The original set should be kept with the permanent district records. Copies can be distributed to district and on-site facility personnel. These documents are extremely important when repairing or remodeling the building.

3. **Parts, Materials, and Supplies**
   The contract documents often call for extra parts and materials to be provided to the district upon completion of the project. This may include extra floor and ceiling tiles and paint. If possible, these materials should remain at the facility where they are most needed.

Section 1018–Staff and Community Orientation Program

A staff and community orientation program is an important aspect of opening a new school facility. Orientation should be conducted for the administrative staff, faculty, maintenance and operating personnel, students, and members of the community. Orientation facilitates adaptation to the facility. The educational capability of the facility should be demonstrated so that it supports the educational program in the most efficient and effective way. The two main categories of such orientation programs are user orientation and public information.

User orientation programs are usually initiated by school administrators. The potential of many design features may be more fully realized when the users understand the intent, purpose, and ideal use of the facility.

Public information programs are designed to promote familiarity with how the school facility supports the educational program.

Section 1019–Post-occupancy Evaluation

It is a good practice to look at the results of the planning, design, and construction efforts after the school facility has been completed and used for some time. This examination is known as post-occupancy evaluation.

It is fairly common to evaluate a facility during or near the end of the first year and then at intervals through the next three to five years. The information obtained through a post-occupancy evaluation can provide valuable information for future building programs and should include:

1. An evaluation of the planning process that identifies changes to improve the planning of future facility projects.
2. An evaluation of how well the building responds to the original educational specifications and the present education program.
3. An identification of building features that should or should not be repeated in future projects.
4. A plan for corrective building measures.
5. Identification of maintenance and operation problems that should be eliminated from future facility designs.
6. An analysis of any new building features that are part of the high performance building requirements.

The individuals that will use the facility should participate in the post-occupancy evaluation. Other essential participants should include the architect/engineer, district administrative personnel, and community members. The experiences, perceptions, and expectations of each evaluator are vital to achieve a total and balanced evaluation of the facility.

Exhibit 10A–Forms

SPI 1288 **Payment Certification and Reimbursement Claim**

SPI 1498 **Invoice Voucher for Construction Management Application for Payment on Contract**

SPI F718 **Invoice Voucher for Architect Application for Payment on Contract**

SPI F717 A **Invoice Voucher (Contractor) Application for Payment on Contract**

SPI B751 **Certification of School District Payments for Furniture and/or Equipment**

SPI 1290 **Inspection Testing Summary**

SPI 1288–Payment Certification and Reimbursement Claim

Office of Superintendent of Public Instruction
School Facilities Accounting
Old Capitol Building; PO Box 47200
Olympia, WA 98504-7200
(360) 725-6187 TYY (360) 725-6240

PAYMENT CERTIFICATION AND REIMBURSEMENT CLAIM

SCHOOL DISTRICT ADDRESS	PROJECT NO. NAME OF PROJECT CERTIFICATION NO.

WARRANT DATE	PAYEE NAME	WARRANT NUMBER	WARRANT AMOUNT	TOTAL PAYMENTS	AGENCY USE ONLY
	See continuation pages for detail			$xxxx.xx	

I hereby certify that the above amounts have been paid by _____ School District No._____
to the vendors indicated. I further certify under penalty of perjury that the items and totals listed herein are proper charges to the State of Washington and services have been rendered without discrimination as to race, creed, color, national origin, sex or age. I also certify that these expenditures are in compliance with bid laws RCW 28A.335.190 and 43.19.1906

_____ _____
Signature of Authorized Agent Date

AGENCY USE ONLY

Total All Payments	
Less Change Orders, Tax On Change Orders, Tax Increases	
Less Architect Claimed and Denied Fees	
Less Other Claimed and Denied Fees	
Less Local Requirement	
Less Previous Reimbursements	
Reimbursement Due to District	

Fund	Approp	Program	SubProgram	Object	SubObject	AMOUNT	Payee No.
							Project No.
							Cert No.

Approval Date

Voucher No.

Verified by

FORM SPI 1288 (02/10)

Page 1 of ____

Return to Exhibit 10A–Forms

SPI 1498–Invoice Voucher for Construction Management Application for Payment on Contract

Office of Superintendent of Public Instruction
Facilities Accounting
Old Capitol Building; PO BOX 47200
Olympia, WA 98504-7200
(360) 725-6187 TTY (360) 664-3240

INVOICE VOUCHER FOR CONSTRUCTION MANAGEMENT APPLICATION FOR PAYMENT ON CONTRACT

This invoice voucher form shall be used for filing of claims for payment from state funds allocated to school districts for construction of school plant facilities.

CONSTRUCTION MANAGEMENT COMPANY NAME	PROJECT NAME		
ADDRESS	SCHOOL DISTRICT (NAME, NUMBER, COUNTY)		
CITY/STATE/ZIP	ESTIMATE	AGENCY PROJECT NO.	INVOICE DATE
	For Period	to	

CERTIFICATE

Total amount due and payable to construction management company on current estimate $ _____

I hereby certify under penalty of perjury that the total amount claimed above is a proper charge for materials, merchandise, or services furnished to the above-named school district on the above-identified project in accordance with estimate of work completed as shown on the reverse side of this invoice voucher.

_____
PAYEE

By _____
SIGNATURE OF REPRESENTATIVE

_____
TITLE

We hereby certify under penalty of perjury that the total amount claimed above is correct; that the material, merchandise, or services have been received and are properly chargeable to the above-identified project; and that the sum of $ _____ is due and payable from the state funds as set forth below:

Total Amount Due Current Estimate $ _____
Amount of Current Estimate Paid by School District (if any) $ _____
Amount of Current Estimate to be Paid by State $ _____

_____
SCHOOL DISTRICT

By _____
AUTHORIZED AGENT DATE

District PO Number

AGENCY USE ONLY

Payee No.

Project No.

Estimate No.

APPROVED FOR PAYMENT

VOUCHER NO.

ACCOUNT CODE						AMOUNT
Fund	Approp	Program	SubProgram	Object	SubObject	Net Invoice
				TOTAL		

Page 1 of 2

FORM SPI 1498 (02/10)

Return to Exhibit 10A–Forms

SPI F718–Invoice Voucher for Architect Application for Payment on Contract

Office of Superintendent of Public Instruction
School Facilities Accounting
Old Capitol Building; PO BOX 47200
Olympia, WA 98504-7200
(360) 725-6187 TTY (360) 664-6240

INVOICE VOUCHER FOR ARCHITECT
APPLICATION FOR PAYMENT ON CONTRACT

This invoice voucher form shall be used for filing of claims for payment from state funds allocated to school districts for construction of school plant facilities.

ARCHITECT NAME	PROJECT NAME		
ADDRESS	SCHOOL DISTRIC (NAME, NUMBER, COUNTY)		
CITY/STATE/ZIP	ESTIMATE	AGENCY PROJECT NO.	INVOICE DATE
	For Period	To	

CERTIFICATE

Total Amount Due and Payable

Architect on Current Estimate $ _____

I hereby certify under penalty of perjury that the total amount claimed above is a proper change for materials, merchandise or services furnished to the above-named school district on the above-identified project in accordance with Estimate of Work Completed as shown on the reverse side of this Invoice Voucher.

_____
PAYEE

By _____
SIGNATURE OF REPRESENTATIVE

Principal
TITLE

We hereby certify under penalty of perjury that the total amount claimed above is correct; that the material, merchandise or services have been received and are properly chargeable to the above-identified project; and that the sum of $ _____ is due and payable from the state funds as set forth below:

Total Amount Due Current Estimate	$
Amount of Current Estimate Paid by School District (if any)	$
Amount of Current Estimate to be Paid by State	$

_____
SCHOOL DISTRICT

By _____
AUTHORIZED AGENT

AGENCY USE ONLY

Payee No.

Project No.

Estimate No.

APPROVED FOR PAYMENT

VOUCHER NO.

ACCOUNT CODE						AMOUNT
Fund	Approp	Program	SubProgram	Object	SubObject	Net Invoice

TOTAL

FORM SPI 718 (02/10) Page 1 of 2

Return to Exhibit 10A–Forms

SPI F718 A–Invoice Voucher for Contractor Application for Payment on Contract

Office of Superintendent of Public Instruction
School Facilities Accounting
Old Capitol Building; PO Box 47200
Olympia, WA 98504-7200

INVOICE VOUCHER FOR CONTRACTOR
APPLICATION FOR PAYMENT ON CONTRACT
(Estimate of work completed detail on reverse side)

This Invoice Voucher form shall be used for filing of claims for payment from state funds allocated to school districts for construction of school plant facilities.

CONTRACTORS NAME	AGENCY PROJECT NO.	District Name	Project Name
	ESTIMATE NO.		For Period
	Date	CONTRACTORS UBI REGISTRATION NO.	

TOTAL AMOUNT DUE AND PAYABLE CONTRACTOR ON CURRENT ESTIMATE $ 0.00

CONTRACTOR'S CERTIFICATE

I hereby certify under penalty of perjury that the total amount claimed above is a proper charge for materials, merchandise or services furnished to the above-named school district on the above-named project in accordance with estimate of work completed shown on the reverse side of this invoice voucher. I further certify that prevailing wages have been paid in accordance with the prefiled statement or statements of intent to pay prevailing wages on file with the public agency.

FIRM NAME

By

SIGNATURE TITLE

SCHOOL DISTRICT CERTIFICATE

We hereby certify under penalty of perjury that the total amount claimed above is correct that the materials, merchandise or services have been received and are properly chargeable to the above identified project; and that the sum of $_____ is due and payable from state funds as set forth below:

Total Amount Due Current Estimate	$
Amount of Current Estimate Paid by School District	$
AMOUNT OF CURRENT ESTIMATE TO BE PAID BY STATE	$

SCHOOL DISTRICT By

SIGNATURE OF AUTHORIZED AGENT*

TITLE

*As designated by Board of Directors Resolution

District's PO Number

AGENCY USE ONLY

FOR AGENCY USE ONLY

ACCOUNT CODE						AMOUNT
Fund	Approp	Program	SubProgram	Object	SubObject	Net Invoice
Checked and Approved for Payment					Total	

Payee No.
Project No.
Estimate No.
Invoice Date
Voucher No.

Form SPI 717a (02/10)

Return to Exhibit 10A–Forms

ESTIMATE OF WORK COMPLETED

ORIGINAL CONTRACT ITEMS					
NO	DESCRIPTION	ORIGINAL CONTRACT VALUE	VALUE PREVIOUS ESTIMATE	VALUE CURRENT ESTIMATE	VALUE CONTRACT BALANCE
					0.00
					0.00
					0.00
					0.00
					0.00
					0.00
	TOTALS	0.00	0.00	0.00	0.00

CHANGE ORDERS

				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
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				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
				0.00
TOTAL CHANGE ORDERS	0.00	0.00	0.00	0.00

1. Amount of Total Contract		0.00	0.00	0.00	0.00
2. SST 0.000% of ____________ =	0.00	0.00	0.00	0.00	0.00
3. Total Contract Including Sales Tax (Lines 1 plus 2)		0.00	0.00	0.00	0.00
4. Retained Percentage	5.00% of line 1		0.00 +	0.00 =	0.00
5. Previous Payments (Line 3 less Line 4)			0.00		
6. Amount Due Current Estimate (Line 3 less line 4)				0.00	
7. Contract Balance (Line 3 plus Line 4)					0.00

8. Designate one:
- [ ] Retain to remain in a fund with the Public Body
- [ ] Retainage to be place in escrow in accordance with escrow agreement
- [ ] Retainage bond on file

Form SPI 717a (02/10)

Return to Exhibit 10A–Forms

SPI 751–Certification of School District Payments for Furniture and/or Equipment

Office of Superintendent of Public Instruction
School Facilities Accounting
Old Capitol Building; P.O. Box 47200
Olympia, WA 98504-7200

CERTIFICATION OF SCHOOL DISTRICT PAYMENTS FOR FURNITURE AND/OR EQUIPMENT

SCHOOL DISTRICT

ADDRESS

Project Number

Project Name

Certification Number

Final ☐ Yes ☐ No

DATE	WARRANT NUMBER	VENDOR	QUANTITY	FURNITURE AND EQUIPMENT DESCRIPTION	ITEM AMOUNT INVOICED	SALES TAX	FREIGHT CHARGES	DISCOUNTS	TOTAL THIS ITEM	AGENCY USE ONLY
				See continuation pages for detail					$xxxx.xx	

Total Page 1 _____
Totals forward _____
Total Claim

DISTRICT CERTIFICATION

I, the undersigned, do hereby certify that the furniture and/or equipment as listed above was purchased by the _____ School District No.____ for the Project No._____ and paid by school district warrants. I further certify that the said items do not include any expendable items or short-life items such as books, instructional supplies, reference materials, brooms, mops, garbage cans, nor were any part of the items purchased for replacement purposes.

Authorized Representative Date

AGENCY USE ONLY	
Equipment to Date	
Local Requirement	
Less Previous Reimbursements	
Net Due to School District	

Payee No.
Project No.
Cert No.

Fund	Approp	Program	SubProgram	Object	SubObject	AMOUNT

Voucher No.

OSPI Payment Approval _____ _____

Form SPI 751 (02/10)

Page 1 of ____

CERTIFICATION OF SCHOOL DISTRICT PAYMENTS FOR FURNITURE AND/OR EQUIPMENT

SCHOOL DISTRICT	Project Number
0.00	0
Certification Number	Project Name
	0

DATE	WARRANT NUMBER	VENDOR	QUANTITY	FURNITURE AND EQUIPMENT DESCRIPTION	ITEM AMOUNT INVOICED	SALES TAX	FREIGHT CHARGES	DISCOUNTS	TOTAL THIS ITEM	AGENCY USE ONLY

Sample

Total this Page _____

Form SPI B751 (02/10)

SPI 1290–Inspection Testing Summary

OFFICE OF SUPERINTENDENT OF PUBLIC INSTRUCTION
SCHOOL FACILITIES ACCOUNTING
PO BOX 47200
OLYMPIA, WA 98504-7200

INSPECTION TESTING SUMMARY

PAYMENT CERTIFICATION AND REIMBURSEMENT CLAIM

School District	Project No.
	Project Description
Address	Certification No.
	D-10 or D-10(1) Date

Final _____ Yes _____ No

The following tests were certified as part of the D-7 submission. Only costs associated with those tests specified in the International Building Code (IBC) under the section dealing with special inspections and conducted after issuance of Form D-10 or D-10(1) will be considered for state funding assistance. Only tests marked with an asterik "*" will be considered eligible for state funding assistance.

1.	5.	9.
2.	6.	10.
3.	7.	
4.	8.	

Inspection/Testing Detail (attach invoices for each)

Eligible Insp./Tests	Vendor Name and Address	Warrant Date and Number	Warrant Amount	OSPI Only State Funded Amt. (see below)**

** Only the cost of the actual test (per IBC). Overtime, mileage, clerical, etc., are not eligible.

I hereby certify that the above amounts have been paid by _____ School District # ___ to the vendors indicated. I further certify under penalty of perjury that the items and totals listed herein are proper charges to the State of Washington and services have been rendered without discrimination as to race, creed, color, national origin, sex, or age.

Signature of Authorized Agent Date

Page 1 Total _____

Page 2 Total _____

Grand Total _____

Approved (OSPI) _____

AGENCY USE ONLY								Payee No.
Inspection/Testing To Date (not to exceed maximum on D-10 or D-10(1))		Fund	Appr	Prog	Object	Sub O	Amount	Project No.
Less School District Share from D-10 or D-10(1)								Cert No.
Less Previous Reimbursement								Voucher No.
Net Due School District								

Total Payment _____ Verified by _____ Approved by _____

Form SPI 1290 (04/10)

Return to Exhibit 10A–Forms

Chapter 11: Facility Management

Section 1101 Responsibilities for Facility Management

Section 1102 State Regulations and Policies for Modernization and Maintenance

Section 1103 Asset Preservation Program (APP)

Section 1101–Responsibilities for Facility Management

After construction of a school facility, the district is responsible for the operation and maintenance of this facility. This chapter provides information about those responsibilities as well as state regulations and guidelines for facility management.

Responsibilities of the School District
Unless otherwise specifically directed by law, a district is responsible to ensure all school buildings are properly heated, lighted, ventilated, and kept in a clean and sanitary condition. Districts are also responsible for maintaining, repairing, furnishing, and insuring these buildings.

The Annual School Performance Report requires information regarding the use and condition of a school building or buildings RCW 28A.655.110(2)(g). The report shall be made available to the local community and electorate served by the school.

Per RCW 39.35D.040, public school districts shall monitor and document appropriate operating benefits and savings resulting from major facility projects, designed and constructed as required, for a minimum of five years–following local board acceptance of a project receiving state funding.

Further guidance for reporting will be found on the High-Performance web pages.

Need for Planned Facility Management
All materials, structures and equipment, regardless of the type of service they render, are subject to damage and deterioration. The district must be constantly concerned with the safety, reliability, economy, and efficiency of its school facilities. An orderly, consistent effort toward planned facility management is the best method any district can adopt to satisfy those concerns.

Planned facility management as discussed herein includes three distinct and separate activities:

1. **Infrastructure Maintenance**, along with Operational Maintenance, is the work necessary to realize the originally anticipated useful life of a fixed asset. Infrastructure Maintenance includes preventative and predictive inspections. Adjustments, lubrication, and cleaning of equipment (non-janitorial), replacement of parts, painting, resurfacing, and other actions ensure continued service and prevents breakdown of building system components such as HVAC, plumbing, roofs, and foundations, etc. This planned and periodic care, repair, or replacement can be identified according to content and frequency for every component in a school facility. Infrastructure Maintenance may prolong the service life of the property or equipment but does not necessarily add to the asset's value.
2. **Operational Maintenance** encompasses those activities related to a building's normal performance of the functions for which it is used. This includes the programming and scheduling of equipment operation (lighting, HVAC, hot water, kitchen, and other equipment). Janitorial services, window cleaning, rodent and pest control, waste management, and general day to day maintenance are generally included within the scope of operational maintenance. This category would also include regular campus, playfield and grounds maintenance.
3. **Capital improvements** are changes to the current design condition of the building and their grounds through acquisition, alteration, or modifications that add to the physical value of the facility. Monies used for capital improvements should not be obtained from

maintenance and operation budgets. They should be obtained from capital construction sources such as capital levies or bond issues.

Potential Benefits
A few potential benefits of planned facility management include:

1. Decrease in maintenance expenses.
2. Minimal failure of building systems.
3. Decrease in expenditures for labor and materials.
4. Reduction in operating costs.
5. Protection of capital investment.
6. Increase in productivity.
7. More cost-effective ordering and stocking of maintenance materials.
8. Increase in safety and security.

Section 1102–State Regulations and Policies for Modernization and Maintenance

Eligibility of School Facilities for Modernization
School facilities, built prior to January 1, 1993, are ineligible for state financial assistance for modernization where the principal purpose of the modernization is to restore building systems and subsystems that have deteriorated due to deferred maintenance.

New school facilities (including additions), built and accepted by the district's board of directors prior to January 1, 1993, shall be eligible for state financial assistance for modernization after the facility has been occupied for 20 years.

New schools facilities (including additions), built and accepted by the district's board of directors after January 1, 1993, may be eligible for state financial assistance for modernization after the facility has been constructed and occupied within the previous 30 years or if the facility has received state assistance for modernization within the previous 30 years.

Reporting Deferred Maintenance
Districts are required to report, in the Study and Survey, estimated capital costs to restore to design specifications the major systems and subsystems in schools that have deteriorated due to deferred maintenance.

The estimated cost of modernization shall not include the estimated capital costs associated with restoring building systems or subsystems due to deterioration as determined in the Study and Survey to be caused by deferred maintenance.

The Asset Preservation Rule, WAC 392-347-023, replaced the WAC formerly known as the 2% Rule. APP applies to state assisted new buildings, built after December 31, 1993 either with un-housed of new-in-lieu of modernization eligibility.

Each affected district must adopt a board resolution committing to the Asset Preservation Program, implement an asset preservation system (maintenance plan), conduct Building

Condition Assessments of the buildings annually and report on the assessment(s) and building score(s) annually to the school board and to OSPI.

Section 1103–Asset Preservation Program (APP)

The Asset Preservation Program is a methodology for districts to comply with the state's regulations that require school facilities to be maintained. Planned facility management of infrastructure maintenance, operational maintenance, and capital improvements will increase operating efficiencies, control the rate of deterioration, and preserve the functional and financial value of the facilities. The ideal situation is to achieve a steady state of performance where the reinvestment rate is equal to the deterioration rate, and a facility neither gains nor loses its functional or financial value.

Specific methods to implement a successful planned Asset Preservation Program will vary from district to district. The following is a list of elements and suggested guidelines common to most programs. Districts may choose to utilize these in customized maintenance plans or asset preservation systems.

District Policy Statement
A district policy statement should be adopted by the board of directors to establish expectations for maintenance and operations of the district's facilities including an acceptable level of condition. This policy should be stated in general terms, allowing the specifics of implementation to be developed by the district's professional administrative staff. Ultimately, it is the responsibility of the district's superintendent to implement the policy, budget the necessary financial resources, and set the standards of performance.

Objectives and Strategies
Under the direction of the district's superintendent, an APP should be developed outlining specific objectives and strategies for complying with the district's policy statement. Depending upon the size and resources of the district, a variety of participants may be involved in the development and implementation of the plan. These participants may include administrators, custodians, teachers, contract service consultants, local code officials, and even students.

Inventory
State rules require that an inventory and building condition assessment be completed with the Study and Survey, prior to approval of a district's application for state assistance.

A thorough inventory of the district's facilities is essential and should include the following:

1. Real properties and buildings owned or used.
2. Building systems, components, and materials.
3. Services, e.g. utilities, fuel.
4. Equipment, furniture, machines, vehicles.
5. Warranties and service agreements.
6. Technical manuals and construction documents.
7. Responsibilities of parties involved.

Building Condition Assessment
Each building and system included in the inventory should be evaluated for useful life, energy consumption, history, code compliance, and performance standards. This condition assessment process identifies and prioritizes the backlog of building deficiencies that should be addressed by the management plan.

Future Requirements
Within reason, the projections of future requirements for facilities should be incorporated into the APP.

Management Controls
Management controls consist of a process to ensure that implementation procedures conform to policy goals. To effectively execute management controls, the following elements are important:

1. **Asset Preservation System (APS)** is a strategy for implementing district wide maintenance goals policy and the prioritization of activities.
2. **Manpower allocation and scheduling** is the task of defining both skill and staff load requirements.
3. **Record and reporting system** is the process to identify and schedule required tasks, document work completed, record the history of service requirements, and document equipment failure.
4. **Funding and financial management** is a plan for maintenance and operation costs and a budget for planned capital renovation of utility systems (and ultimately structures) within the framework of daily maintenance processes.

Evaluation of Performance
The ultimate measure of maintenance management is the condition of the structure and its systems from year to year. The district should have a procedure to assess the condition of its facilities with respect to the maintenance objectives it has established.

Appendices

Appendix A	Statutory Authority
Appendix B	Contacts/Resources
Appendix C	Glossary
Appendix D	Construction Management Guidelines

Appendix A–Statutory Authority

Title 28A	RCW Generally provides for common schools
Chapter 28A.300 RCW	Superintendent of Public Instruction
Chapter 28A.315 RCW	Organization / reorganization of school districts
Chapter 28A.335 RCW	School district's property
Chapter 28A.515 RCW	Common School Construction Fund
Chapter 28A.525 RCW	State assistance to school districts
Chapter 28A.540 RCW	Capital fund aid by non-high school districts
Chapter 39.10 RCW	Alternative Public Works
Chapter 39.35D RCW	High-performance public buildings

Appendix B–OSPI Contracts/Resources

Dodge Reports
1-800-GET-SCAN or (206) 284-3811
http://fwdodge.com/

Department of Health–Division of Environmental Health
School Safety and Health
Town Center 2
111 Israel Road SE
PO BOX 47820
Olympia, Washington 98504-7820
(360) 236-3072
http://www.doh.wa.gov/ehp/ts/School/default.htm

Department of Ecology
Environmental Review Section
PO Box 47600
Olympia, WA 98504-7600
(360) 407-6922
http://www.ecy.wa.gov/programs/sea/sepa/e-review.html

Solid Waste and Financial Assistance Program
Green Building
http://www.ecy.wa.gov/programs/swfa/greenbuilding/

High-Performance Schools
http://www.k12.wa.us/SchFacilities/HighPerformanceSchoolBuildings.aspx

Collaborative for High Performance Schools (CHPS)
http://www.chps.net/index.htm

US Green Building Council
LEED Design Standards
http://www.usgbc.org/DisplayPage.aspx?CategoryID=19

US EPA–Indoor Air Quality
http://www.epa.gov/iaq/index.html

KCDA Purchasing Cooperative
King County Directors' Association
http://www.kcda.org/

Equity
Office of Superintendent of Public Instruction
PO Box 47200
Olympia, WA 98504-7200
(360) 753-2593
http://www.k12.wa.us/equity/default.aspx

Energy Services
Department of General Administration
PO Box 4102
Olympia, WA 98504-4101
(360) 902-0950
http://www.ga.wa.gov/energy/index.html

Appendix C–Glossary

Construction Cost Allocation
The Construction Cost Allocation (CCA) is the maximum cost per square foot of construction used to calculate the amount of state financial assistance to school districts for construction. The CCA is established by the Legislature in the biennial budget.

Arbitrage
The difference between interest paid on debt and the interest earned on the proceeds derived from that debt.

Arbitration
Arbitration is the voluntary submission of a construction dispute to an impartial third party or person for final judgment. Arbitration can be done through an informal agreement between the two parties, or the parties may adopt the rules set forth by one of a number of groups such as the American Arbitration Association.

Building Commissioning
A disciplined procedure designed to provide a building owner with a completed building that operates as designed and specified. The intent is to furnish a building owner with a high degree of assurance that equipment and systems are installed in the prescribed manner and will operate according to the performance guidelines.

Under the commissioning process, a single source (individual, agent, or organization) has contractual responsibility to test, verify, and report on the operational condition, capability and performance of the building's major operating systems. Major operating systems include heating, ventilating, air conditioning (HVAC); plumbing; fire protection; energy management; and electrical systems. Related ancillary equipment (control systems) is included. The contracted single source (individual, agent, or organization) also provides effective training for building operations and maintenance personnel.

Constructability

1. The optimum use of construction knowledge and experience in planning, engineering, procurement, and field operations to achieve overall objectives (Constructability Task Force, Construction Industry Institute, University of Texas).
2. The ease with which a project can be built, including the clarity, consistency, and completeness of the contract documents for bidding, administration, and interpretation to achieve overall project objectives *(Standards of CM Services and Practice,* Construction Management Association of America).

Typically, constructability addresses the following:

- Feasibility of schedule—the total duration and timing of key events relative to weather, market factors, logic of work sequence, etc.
- Work site accessibility—travel time, ease of approach, availability of laydown areas, conflicts with ongoing owner activities.
- Conflicts among disciplines—structural, mechanical, electrical, etc.

- Suitability of work divisions—for the current subcontractor market.
- Choice of construction methods, materials, and equipment.
- Procurement procedures—form of contract, expediting long-lead items, availability of extra bid-sets for subcontractors, etc.
- Specifications and general conditions.

High-Performance School Buildings
High-performance school buildings are those that are designed and built to either the Washington Sustainable Schools Protocol or LEED Silver design standards. They are healthy, comfortable, efficient, and reduce the environmental impact.

Liquidated Damages
Provisions for liquidated damages are inserted in the contract to discourage late completion and specify a sum to be imposed for each day of delay in achieving occupancy. Liquidated damages should be based on estimates of actual costs that would be incurred by the school district if the project is not completed on time.

Master Format
Construction Specification Institute's uniform system for indexing specifications and filing technical literature. This system is based on a construction trade-oriented format.

Mediation
Mediation is a way to settle construction disputes without necessarily enforcing the terms of the contract. The mediator promotes discussion between the two sides, but it does not have the power to impose a solution. The mediator is mainly a facilitator of discussion and not necessarily someone knowledgeable with construction. Mediation is preferred as a way to resolve conflicts in their early stages before the parties become adversaries.

If mediation is attempted, both parties should agree beforehand that no records of the mediation be kept and that what occurs during the mediation is not intended to affect subsequent arbitration or litigation should such actions become necessary.

Partnering
Partnering is a management system designed to solve problems before they become disputes requiring resolution.

Contracts between parties define rights and obligations and allocate risks associated with a project. Contracts do not define the working relationships or risks of the participants.

While the contract establishes legal relationships, the partnering process attempts to establish working relationships among the parties (stakeholders) through a mutually developed, formal strategy of commitment and communication. It attempts to create an environment where trust and teamwork prevent disputes, foster a cooperative bond to everyone's benefit, and facilitate the completion of a successful project.

Project Management
The process in which a person or consultant is employed by the school district to oversee and administer the coordination of the design and planning stages as well as the construction project.

Student Space Allocation
Student space allocation is a set number of square feet, per student, used to determine the amount of instructional space a district is eligible for to build or remodel with state assistance. Currently, the state funding formulas allocate eligibility in three separate grade spans and for students with disabilities.

2007 Student Space Allocations:

K–6th	90 ft^2
7th–8th	117 ft^2
9th–12th	130 ft^2
Special Ed	144 ft^2

Study and Survey
The Study and Survey is a comprehensive, long-range planning document and process that school districts undertake to assess current conditions and needs of the district.

UniFormat
A model for organizing building costs based on a building systems orientation (e.g. superstructure, interior construction) originally developed by the General Services Administration and the American Institute of Architects. The system sets up a baseline for automated cost control and estimating procedures oriented for design control.

Appendix D–Construction Management Guidelines

Construction management is the process of professional management applied to a construction program from concept to completion for the purpose of controlling time, cost, and quality.

When is construction management needed?
A construction manager (CM) is required for all construction projects exceeding 50,000 square feet and may be justified for smaller complex projects where coordination is difficult, health and safety issues are unusual, or other extenuating conditions exist.

When should the construction manager be selected and how?
When required by WAC 392-343-102 or the school district, the CM shall be selected per WAC 392-344-068 and hired prior to the start of design. The CM selection should use the state approved consultant selection process outlined in Chapter 7.

Construction manager qualifications
The construction manager must have appropriate experience in the management of construction projects, including procurement of construction services, contract administration, scheduling, budgets, quality assurance, information management, health and safety, and exposure to school construction projects or equivalent projects. A construction manager's certification by the Construction Management Association of America is desirable, but not a mandatory qualification.

Six basic functions for each phase of a project:

1. **Project management**
   The broad subject of project organization and management.

2. **Cost management**
   Cost management is managing, controlling, and monitoring of costs during all phases of a project. Effective cost management involves the establishment of a realistic project budget and the application of construction management techniques to ensure the project stays within the budget. The cost management system should be comparable with the school district code of accounts and reflect the school district and CM's need to obtain cost data in a usable format and timely manner.

3. **Time management**
   Managing the schedule and timing for school projects is a major part of construction management. Scheduling of work to interface and avoid conflict with school system and general public activities is critical to project success and maintaining good public relations. The CM's role is to develop, monitor, and implement schedules and prepare periodic reports.

4. **Quality management**
   Quality management is the process of planning, organizing, implementing, monitoring, and documenting a system of policies and procedures that coordinate and direct relevant project resources in a manner that will achieve quality. Quality control is the review, certification, inspection and testing of project components, including persons, systems, materials, documents, techniques, and workmanship to determine whether or not such components conform to project requirements. Quality assurance is the

application of planned and systematic examinations or verifications that demonstrate the quality control procedures are being effectively implemented.

5. **Project/contract administration**
   The CM can provide overall project administration to certain phases of a project. In this role the CM manages or supervises the execution of project procedures and contracts as an independent representative of the school district. Independence of the CM is an important distinction in that the CM applies his/her professional skills for the project solely for the benefit of the school district.

6. **Safety management**
   Safety management focuses on the subject of providing not only a safe working place for the contractors, but also for the school students, faculty, and the general public. The level of services should be clearly spelled out in the CM/school district contract. Court cases have made the CM and owner responsible for safety. The CM and school district must thoroughly review all legal implications, indemnification clauses, and insurance coverage and project risk exposure. It is recommended that a safety coordinator be appointed for the project. This coordinator can be the CM or other knowledgeable individual.

Each of the above functions proceeds through the following project phases.

Pre-design Phase

During this phase, the CM and school district establishes the project team which reviews the planning information developed per Chapter 3. The review is to ensure the plan is complete and that adequate user input has been included in the project planning.

During this pre-design phase, the CM should develop the construction management plan for the project. The CM plan should include elements that are addressed as part of the project planning process described in Chapters 3 through 7 including:

1. Project description.
2. Milestone schedule.
3. Master schedule.
4. Quality management approach.
5. Reference to project documents.
6. Project organization chart and staffing plan.
7. Explanation of roles, responsibilities, and authority of team members.
8. Qualifications of assigned team members.
9. Project budget/work breakdown structure.
10. Environmental/archeological considerations.
11. Applicable project procedures manual(s).
12. Management information system.
13. Communications protocol.

14. Bid packaging and contracting strategy.
15. Site mobilization and utilization.
16. Construction.
17. Commissioning.
18. Warrantees

A project procedures manual should be developed by the project team and authorized by the CM. The manual should establish levels of team member authority, systems, methods, and procedures to be followed for project implementation. The procedures manual should address:

19. The budgets and systems required for monitoring and controlling project costs.
20. The quality assurance program established by the team, and how it is to be implemented.
21. The project schedule and how it is to be developed, implemented, and maintained.
22. Specific project systems, methods, and procedures, i.e., bidding, payments, change orders, submittals, correspondence, reports, performance records, claim resolution, etc.
23. Functional responsibilities and limits of authority.
24. Correspondence distribution matrix.
25. Safety program.
26. Check lists.
27. Listing of meetings (i.e. types, frequency).
28. Sample forms to be used.
29. Coordination matrix.
30. Management information system.

Cost management

During the planning phase a preliminary cost estimate is established. The CM's role is to:

1. Investigate factors likely to affect construction costs.
2. Perform a local construction market survey to determine the current cost, availability of labor, materials, equipment, current and future bidding climates, and other factors.
3. Obtain a cost database for similar projects and escalate to the time and place of the new project.
4. Develop or review a preliminary estimate of construction costs and, if requested, the total project cost. Since only schematic design has been performed, the estimate includes the assumptions made and quality level. The CM determines if the preliminary estimate is reasonable to meet school district expectations.
5. Evaluate alternatives by preparation of cost estimates and, where applicable, life cycle cost studies, energy studies, and preliminary cash flows.

Time management

As a part of the planning described in Chapter 3, a master schedule should be developed. The master schedule should include all of the major activities leading to a fully operational facility. The activities to be considered are:

1. Grants and funding.
2. Studies, surveys, and recommendation.
3. School board review and approval.
4. Pre-design.
5. Facility design.
6. Bid and award.
7. Construction.
8. Occupancy.

A milestone schedule should be prepared from the master schedule. This schedule indicates the latest acceptable date for each activity to be completed and the party responsible for accomplishing that activity.

The master schedule is updated for progress on a regular basis. As the scope of the project is developed, the CM makes recommendations for revisions to the master schedule. Such revisions may be due to scope changes, funding availability, or changing interface/coordination issues.

Quality management
The CM's role during this phase includes establishing a program of quality management that will endure throughout the life of the project. The quality standards must be included in all contracts, starting with the design professional and carrying through to the construction contracts.

Project/contract administration
Administrative tasks that may be performed by the CM include establishing and implementing communication programs between the school district and the project team, review of school district policy implementation, consultant contract preparation, and announcements for retaining additional outside team members.

Safety management
During this phase the project team and CM/safety coordinator need to identify the project safety risks. Add a city/town traffic engineer, insurance risk manager, certified safety professional (CSP) and/or certified industrial hygienist (CIH) to the team—when special project conditions are anticipated. The following items should be considered during the pre-design phase:

1. Responsibilities.
2. Work area security.
3. Types of construction activities.
4. People traffic flow in and around the site.
5. Vehicular traffic flow in and around the site.
6. Available emergency response.

7. Available minor injury treatment facilities.
8. Underground storage tanks on site.
9. Asbestos involved.
10. Underground utilities on site.
11. Special high-risk construction methods (i.e., blasting, pile driving, deep trenching, etc.)
12. Safety programs.

Design Phase

A process of continual review and consultation must occur among the team members. The team moves from general discussions to decisions on details as the design progresses. Part of the process includes value engineering reviews, when appropriate, and constructability reviews by the CM. The role of the CM, during the design phase, should be to assist the team by carrying out the following activities:

1. Design document review. Ensure documents are clear, consistent, and coordinated between parties involved.
2. Document distribution. Coordinate and expedite the distribution of information among all team members and agencies.
3. Contract agreements. Develop and/or review construction contract agreements for inclusion in the bid documents.
4. General and supplementary general conditions. Develop and review general and special conditions to ensure consistency with the project conditions.
5. Public relations. Assist the school district in public relations activities, particularly those with respect to developing interest among bidders.
6. Project funding. Assist the team with the requirements of Chapter 4.
7. Meetings. Conduct periodic meetings to assess design progress, verifying adherence to the CM plan, documenting performance, planning for completion, and taking necessary action to resolve current issues. Typically meetings are held at end of schematic design, design development, and construction documents.
8. Consulting activities. Provides input on work packaging and construction during the design phase.

Cost management
Managing costs during design should be proactive. To reduce the need for redesign costs, the CM should participate as a project team member and provide timely cost advice as the design evolves. The CM's cost management role during the design phase includes:

1. Establish a uniform cost estimating framework.
2. Prepare estimates, as the design evolves, to the same level of detail available on the drawings e.g. schematic design, preliminary design, in-process design (60 to 90 percent) and completion of bid documents.
3. Prepare estimates of escalation based on expected local conditions.
4. When performed, review recommendations from the value engineering study with the project team and adjust estimates for those items adopted by the team.

5. Monitor and estimate the cost related to design and design development to ensure costs are within the budget.

Time management
The design professional should work with the CM to prepare a realistic schedule for the planning and execution of the design phase. This schedule should be compatible with the master schedule and the milestone schedule. When the design schedule is approved, the CM monitors the design professional's compliance with this schedule. Delays on the critical path must be reported to the school district. The CM should work with the design professional to minimize delays. As the design develops, the CM should prepare a pre-bid construction schedule (based on experience with past similar projects) as a reasonable estimate for the proposed work sequence, restraints, dependencies, and expected activity duration. The CM and the school district should establish a reasonable amount of float to accommodate future unknown conditions and changes. The CM and school district jointly determine how float will be managed during the course of the project.

Quality management
The goal is to manage the design process to achieve a set of contract documents, developed in accordance with the project schedule, that support a successful procurement activity and ultimately the completion of the project in accordance with all the project quality requirements. The major elements of the design phase quality management plan are:

1. Design procedures including interdisciplinary coordination and independent reviews.
2. Document control.
3. Review of design submittals.
4. Control of design criteria changes.
5. Quality assurance reviews.
6. Constructability reviews.
7. Value engineering.
8. Construction testing requirements.

Project/contract administration
The goal during this phase is to assist in achieving a complete set of documents defining a cost effective project that can be bid in the current marketplace within the established school district budget, quality, and time restraints.

The CM will administer the design professional contracts by performing the following activities:

1. Design progress. Implement a system for flow of information to all affected members on the team related to progress and design issues.
2. Design review meetings. Ensure that design review meetings include design review comments and meet mutual understanding between the project team and the design professionals. Written record of comments and resolution of comments should be compiled along with meeting minutes.
3. Project cost report. During this phase of the project, track design costs against the budget and issue reports of actual and projected costs.

Safety management

Together with the design team, safety management will review the project drawings and specifications to identify specific potential safety hazards that may exist once the project is begun. The CM/safety coordinator may then provide input for the construction contract documents concerning specific safety devices, equipment, and personal protective equipment that may be needed to mitigate the potential hazards. For example, certain roof designs may require special fall-arresting devices, and tie-off points may need to be included in the structural design.

The contract should make it clear that the contractor performing the construction activity is responsible for his/her own review of the project drawings and specifications to determine potential hazards. In most cases the operation of the construction safety program is assigned to the contractor. The contract documents should be structured to ensure the prime contractor, subcontractors, and lower tier are responsible for safety. The CM/safety coordinator assumes a quality assurance role to ensure all parts of the program are implemented. The contract should require the following information to be submitted for review by the CM:

1. Written safety plan.
2. Emergency response plan.
3. Resume of contractor safety representative.
4. Hazardous communication program.
5. Specialized programs for specific job site hazard analysis.
6. Environmental waste disposal plan.
7. Drug and alcohol program.
8. Safety training programs.
9. Applicable local laws and regulations.

The contract documents should clearly state the contractor is solely responsible for the safety and welfare of his/her employees and for the protection of property and the general public. The contractor shall comply with all federal, state, local and country safety regulations that are applicable to the site. The CM/safety coordinator and school district should have the authority to stop work when safety is compromised. However, this authority should in no way affect the contractor's sole responsibility for performing the work safely, nor shall it impose any obligation on the CM/safety coordinator or school district to ensure the contractor performs the work safely

Bid and Award Phase

Project management
School construction bid and award is a public process regulated by Washington Administrative Code. The process is outlined in Chapter 9 of this manual. The CM's role is as follows during the procurement phase:

1. Prepare notices and advertisements.
2. Ensure bid packages include all required information and are complete.
3. Implement a bidders' interest campaign.
4. Track and deliver bid documents to plan centers and contractors.
5. Provide information to bidders (all bidders uniformly).

6. Issue addenda.
7. Assist in bid opening and evaluation.
8. Monitor compliance with and signing of construction contracts.
9. Arrange for school district-purchased/acquired equipment and materials.
10. Ensure permits are in place.
11. Ensure insurance and bonds are submitted and meet requirements.
12. Conduct the pre-bid meeting, attend the bid opening, and conduct a pre-award conference to ensure the apparent successful bidder fully understands the scope of work.

Cost management
The CM's role continues through the bidding process as follows:

1. Estimate in detail all proposed addenda.
2. Tabulate all bids and prepare a bid analysis, including evaluation of all alternate bid items and unit prices and compare it to the CM's estimate.
3. Provide recommendation based on most responsible bid to the school district for award.

Time management
The CM should clarify, for the bidders, their scheduling responsibilities. The goal is for the contractor to develop its approach to the construction sequence that will meet the major milestones established by the master schedule. The contractor, by its bid, is expected to meet the CM's established schedule or take exception and provide an alternate schedule for consideration with the bid. The CM and school district will review any contractor schedule exceptions and will provide a recommendation as a part of the bid evaluation.

Quality management
The goal of this phase is to conduct the procurement process in a manner that will comply with all internal and external quality requirements, secure contractors capable of satisfying those quality requirements, and result in the successful and timely award of a contract for construction.

The major elements of the procurement phase quality management plan are:

1. Procurement planning.
2. Advertisement and solicitation of bids.
3. Instruction to bidders.
4. Pre-bid conference.
5. Proposal document protocol and bid opening.
6. Pre-award conference.
7. Contract award.

Project/contract administration
The CM's role is to assist the school district to obtain the most responsible contractor for the specific project. The following activities are recommended:

1. Bid package development. Assemble all of the specifications, drawings, and geotechnical and other pertinent test information for the project, and ensure or develop a clear scope of work for bidding (for projects exceeding $50,000). See Chapter 9 for contracting requirements.
2. Bidders interest campaign. The CM should conduct a telephone and/or written campaign to generate maximum interest among bidders. Feedback from the campaign can be used to evaluate the bidding climate and help establish the timing for bidding.
3. Notices and advertisements. The CM should assist the design professional and the school district in drafting notices and advertisements for bid.
4. Delivery of bid documents, including addenda. In coordination with the design professional, the CM should administer the distribution of the bid documents. The CM shall ensure that the bid documents are issued to the appropriate plan centers and maintain records of who requested and received the bid documents.
5. Information to bidders. The CM should establish the procedures and ensure that bidders' questions are answered and information is uniformly made available to all bidders.
6. Pre-bid conferences and meetings. The CM should be responsible for conducting the pre-bid conference and ensure that the appropriate design professional and contracting officers are available to address questions. The pre-bid conference should address scope, schedule, quality, site access, time restraints, administrative requirements, or other special project conditions.
7. Bid evaluation. The CM may assist in evaluating the bids for completeness, responsiveness, and pricing. The CM should ensure that the design professional performs technical reviews when appropriate. The CM needs to resolve bidder exceptions and clarifications in a manner suitable to the school district. The CM should prepare a comparison of bidders and a written recommendation for award.
8. Pre-award conference. The CM should conduct a pre-award conference with the low bidder to ensure the bidder fully understands the scope of work and conditions related to the award of the contract.
9. Construction contracts. When requested, the CM will participate in the final negotiations and contract award.
10. Notice to proceed. When the CM has verified that all contract preconditions such as insurance, bonds, and permits have been met by the contractor, the CM will issue the construction notice to proceed.

Safety management

The CM, and others, perform the comprehensive review of the contract safety documents as needed during this phase. If the CM has staff on site, the CM should have its own safety program or adopt the contractor's program. It is recommended that the contractor's program be considered the minimum requirements for any person entering the construction area. The safety program shall be reviewed at the preconstruction conference. At this time information should be provided concerning emergency response programs and procedures, safety meeting times and schedules, training requirements, site safety surveys, accident investigations, and reporting procedures. The contractor needs to transmit all safety related materials to all subcontractors and any lower tier.

Construction Phase

Project management

The CM's role in the construction phase is to expedite and improve the efficiency of the construction process through professional planning and execution of project activities. The CM shall focus upon fulfilling the school district's scope, cost, quality and time requirements. The CM's overall project management responsibilities include:

1. On-site facilities. Ensure office space, storage, environmental controls, work areas, parking, general access, and utilities are provided for on-site organizations.
2. Coordination. Provide coordination and leadership to individual professionals and contractors. Ensure on-site work activities are coordinated with school district functions.
3. Safety. Ensure the contractor and all site personnel implement a safety program. Ensure this program correctly interfaces with the school district's operations and the general public.
4. Meetings. Conduct regularly scheduled meetings to address coordination, schedule, cost, and quality of work in progress. Conduct special meetings with team members, as required, to discuss and resolve project issues.
5. Time management. Monitor the project master and construction schedules, and keep the school district informed of progress.
6. Budget and cost monitoring. Track and take appropriate action to stay within the budget.
7. Payment requests. Review and approve requests for payment.
8. Change orders. Review, recommend, and, within the established level of authority, approve change orders.
9. Claims management. Implement claims avoidance program and, when required, perform merit evaluation, entitlement evaluation, negotiations, and prompt settlement of claims.
10. Quality management. Perform a quality assurance function during construction.
11. Owner purchased materials and equipment. Identify long-lead items for pre-purchase. The CM coordinates scheduling, on-site delivery, storage, installation and testing.
12. Record drawings. Ensure records are maintained by the contractor. Review for completeness, and transmit final as-builts to the school district.
13. Record keeping. Establish a systematic method for paperwork–usually a management information system.
14. Management reporting. Keep the school district and team members informed of progress and issues.

Cost management

The CM must implement the cost management procedures and monitor costs through the completion of construction. The CM's role includes:

1. Jointly with the contractor, establish a schedule of values for payments.
2. Establish and implement the change order control system.
3. Perform independent estimates for change orders to determine reasonableness.

4. As required, perform trade-off studies on materials, systems, equipment, work practices, and accessories.
5. Establish a detailed audit record trail for subsequent audits, claims, or investigations.

Time management

The CM ensures the approved contractor's construction schedule supports the master schedule and milestone dates. The CM monitors the contractor and master schedule and:

1. At least monthly, review and assess the performance of the contractor and other team members.
2. Establish a systematic procedure for gathering and analyzing each project participant's progress.
3. Establish a regular schedule of project meetings and require that each team member attends the update meetings with all the necessary schedule status information.
4. Prepare a narrative report on the status of the overall project, highlighting progress to date and those areas or activities having problems and requiring management attention. Particular attention is paid to the critical path and near critical path activities.
5. Clearly document and maintain time extension requests and time extensions granted, pending, and denied.
6. Prepare independent time impact analysis to substantiate time changes for critical path activities.
7. On occasion it may be necessary to recommend that lost time or time delays be recovered. Together with the contractors, the CM will develop a recover schedule.
8. In the event of project claims, prepare reports and supporting information to resolve the dispute or defend against the claim. The CM may make specific recommendations and work with the school district and legal staff to settle the claim.

Quality management

The goal of this phase is to complete construction in accordance with the requirements of the contract with documentation to verify that such compliance was achieved. The major elements of the construction phase quality management plan are:

1. Preconstruction conference.
2. Construction planning and scheduling.
3. Inspection and testing.
4. Reports and record keeping.
5. Control of changes in the work.
6. Document control and distribution.
7. Nonconforming and deficient work.
8. Final review, documentation, and punch list work completion.
9. Beneficial occupancy.
10. Substantial completion.
11. Final acceptance.

Project/contract administration
The goal is to manage, maintain and document evidence of proper contract implementation focused on fulfilling the scope, cost quality, and time requirements for the project including the:

1. Preconstruction orientation conference. The CM should call a meeting for the benefit of the successful contractor to review administrative and other required reporting procedures. At this time the CM should also introduce the design team, and other team members, to explain their project roles. This conference is a good place to establish an atmosphere of partnership for the project. As an alternate for large projects, a formal partnering session is recommended.
2. On-site communication procedures. The CM must prepare and issue communication procedures to ensure the team functions effectively during construction. Communication procedures include:
    - A project directory.
    - A communications flow chart.
    - Contractor correspondence files.
    - A chain of responsibility and authority.
    - Submittal flow chart and logs.
    - Field orders.
    - Coordination meetings.
    - Quality assurance/quality control.
    - Substitutes.
    - Directives and reports.
    - Cost and schedule performance data.
3. Project site meetings. To manage the construction work effectively, the CM should organize, conduct, and record regularly scheduled meetings involving the CM, the contractor's supervisory personnel, the design professional, and appropriate school district personnel. The purpose of the meetings are to:
    - Discuss short-term and long-range plans for contractors.
    - Discuss and resolve scheduling/coordination problems.
    - Obtain answers and clarifications to any questions.
    - Review and resolve monthly payment requests.
    - Coordinate long-lead procurement.
    - Resolve any other issues brought to the project team.
4. Contract documentation procedures. The CM should establish systems for receiving, handling, and distributing the:
    - Contract documents
    - Contractor requests for information.

- School district directives.
- Submittals, receipt and approvals.
- Changed conditions.
- Claims.
- Meeting minutes.
- Project reports.
- Daily field reports.
- Payment requests and payment reports.
- Photographs.
- Cash flow projections.
- Cost summary reports.
- Schedule variance reports.
- Special record keeping.
- As-built drawings.

Safety management
During construction the contractor is responsible for implementing the safety program at the site. Modifications should be promptly implemented to accommodate changed conditions at the site and when weaknesses are identified.

The CM monitors the contractor's daily construction activities and notifies the contractor in writing of any observed deficiencies. The CM then follows up with the contractor to determine if corrective measures have been taken. The CM's actions in this regard are not intended to relieve the contractor of his/her responsibility on the job site.

Should the contractor fail to correct an unsafe condition, the CM should immediately notify the school district of the contractor's failure to correct the unsafe condition. The school district then notifies the contractor, through the CM, that the unsafe condition must be corrected, or the work in question will be stopped until the condition is corrected to the satisfaction of the school district. Extension of time or additional compensation is not granted to the contractor as a result of any stop work order so issued.

Safety coordination should be discussed weekly with the contractor as a part of project meetings. This is an opportunity for all parties to ensure that planned construction activities will not jeopardize the safety of students, faculty, or the general public. Minutes of the meetings should be kept. Safety surveys should be performed in order to ensure that agreements/commitments are implemented.

The CM participates as a member of the job site safety committee. Other members on the committee can be comprised of the contractor's management, safety, and labor representatives. The committee should meet at least once per month to review safety issues and contractor progress on the job site.

The CM will conduct safety surveys as a member of the safety committee or other safety job site reviews. The surveys should evaluate compliance with:

1. Orientation training.
2. Hazard communication training.
3. Accident investigations.
4. Job site inspection.
5. Emergency procedures.
6. Disciplinary action.
7. Safety meetings.
8. Overall administration of the safety program.

The CM should forward survey reports to the school district and contractor. The purpose of the survey is to identify program weakness and remind the contractor of the obligation to comply with safety programs including regulations, laws, and ordinances referenced therein.

Commissioning Phase

Project management
The CM's role during this last phase of the project is to manage an effective commissioning program, ensure punch work items are completed, schedule and participate in the occupancy permit process, and close out of all project contracts.

Cost management
The CM summarizes total project cost in a final report, listing all change orders and identifying any unresolved issues that may have a cost impact. The final report determines the project's actual per square foot cost.

Project/contract administration
To ensure satisfactory facility use/occupancy, the CM should perform the following activities related to administration:

1. Maintenance manuals and operating procedures are obtained, indexed, and organized for future maintenance.
2. Spare parts and warranties are reviewed for contract compliance and safely archived.
3. Ensure final permits are obtained and meet agency requirements.
4. A move-in plan established.
5. Start-up of major equipment and confirmation of performance is verified.
6. Punch list items corrected.
7. Final payment conditions are met.
8. Contracts are closed out.
9. Close-out reports are prepared.
10. Contractor/subcontractor evaluations are completed and submitted to OSPI.

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