PROJECT APPENDIX A - 2

ALABAMA PUBLIC SCHOOL & COLLEGE AUTHORITY (PSCA)

SUMMARY OF ABC REQUIREMENTS AND PROCEDURES FOR BUILDING CONSTRUCTION & IMPROVEMENT PROJECTS

M **THIS APPENDIX APPLIES ONLY TO PROJECTS ORIGINATED AND BID AS PSCA PROJECTS**. REFER TO CHAPTER 9 FOR SUPPLEMENTAL FORMS AND PROCEDURES FOR ADJUSTING SEVERABLE PAYMENTS, CONVERTING EXISTING PROJECTS TO PSCA PROJECTS, AND PURCHASING MATERIALS AND EQUIPMENT WITH PSCA FUNDS.

M PSCA PROJECTS REQUIRE FULL PLAN AND SPECIFICATION REVIEW IN ACCORDANCE WITH CHAPTER 3. PSCA FUNDED K-12 PUBLIC SCHOOL PROJECTS ALSO REQUIRE PLAN REVIEW BY THE STATE SCHOOL ARCHITECT. CONTACT THAT OFFICE FOR INSTRUCTIONS.

M PSCA PROJECTS ARE ADMINISTERED BY THE ABC; THEREFORE, ABC UNIFORM DOCUMENTS AND STANDARD FORMS ARE TO BE UTILIZED AND THE REQUIREMENTS AND PROCEDURES OF CHAPTERS 5, 6, 7, AND 8 APPLY.

M THE **BC PROJECT NUMBER MUST BE USED** WHEN MAKING INQUIRIES OR DOCUMENT SUBMITTALS IN ORDER TO PROPERLY IDENTIFY THE PROJECT. A **PSCA PROJECT NUMBER** WILL BE ASSIGNED TO THE PROJECT WHEN FUNDING IS AUTHORIZED, **THIS NUMBER MUST ALSO BE SHOWN** ON ALL PROJECT RELATED DOCUMENTS AND CORRESPONDENCE.

M WITH THE EXCEPTION OF PLANS AND SPECIFICATIONS, THE FOLLOWING IS REQUIRED OF DOCUMENTS SUBMITTED TO THE ABC:

1. Submit original documents - no carbon copies.
2. Do not highlight text. Highlighting obscures scanned images.
3. Preferably, submit only letter size (82 X 11) documents.
4. Preferably, send only one-sided documents.

CONTENTS

I. ABC Uniform Documents and Standard Forms to be Used by the Design Professional
II. ABC Uniform Documents and Standard Forms to be Included in the Project manual
III. Adjusting Project Funding (Severable Payments)
IV . Typical Document Routing for PSCA Projects

I. ABC UNIFORM DOCUMENTS AND STANDARD FORMS TO BE USED BY THE DESIGN PROFESSIONAL (APPENDIX B)

ABC Form B-1: TRANSMITTAL OF PLANS AND/OR SPECIFICATIONS
See Chapter 3, Page 3 - 2

ABC Form B-2: AGREEMENT BETWEEN OWNER AND ARCHITECT
Prepared by the design professional (using ABC Form B-3, "CHECKLIST"; submission of draft to LEA and ABC before finalizing is recommended. See Chapter 4

SIGNING PARTIES: Prepare Signature Spaces as indicated by arrows (≡)

APPROVALS	CONTRACTING PARTIES
≡ *Optional Title of additional Approving Party as may be required by the L.E.A.*	≡ *Name of Firm* Architect
By	By *(Signature)* Member of Firm
STATE OF ALABAMA BUILDING COMMISSION	≡ *Name of Local Education Authority* Owner
By *(Signature)* Director of Technical Staff	By *(Signature)* Officer - Title ≡*Office's Name and Title*
	≡ *Alabama Public School & College Authority* Owner
	By *(Signature)* Officer - Title≡ *Governor/President of Authority*
	Attest to: *(Signature)* Officer - Title ≡ *Secretary of Authority*

ABC Form B-3: CHECKLIST FOR PREPARATION OF
AGREEMENT BETWEEN OWNER AND ARCHITECT
Submitted with O/A Agreement. See Chapter 4, Page 4 - 8

ABC Form B-4: AMENDMENT TO
AGREEMENT BETWEEN OWNER AND ARCHITECT
Signing parties are the same as for the O/A Agreement

ABC Form B-5: SAMPLE ARCHITECT'S STATEMENT FOR SERVICES
May be typed or input for computer generation, but do not alter the information, sequence, and format of the sample form.
See Chapter 4, Page 4 - 9

AVERIFICATIONS AND APPROVALS@
Prepare Signature Spaces as indicated by arrows (≡)

Approved by	_____ *(Signature)* _____ ≡ *Name and Title of Head of Local Education Authority*	Date
Reviewed by	_____ *(Signature)* _____ Contract Administration, Alabama Building Commission	Date
Approved by	_____ *(Signature)* _____ Director, Technical Staff, Alabama Building Commission	Date
Approved by	_____ *(Signature)* _____	Date _____

ABC Form B-6: CERTIFIED TABULATION OF BIDS (Sample)
"Sample" defines general information required, but should be modified to facilitate project-specific bid requirements. Submitted with Contract and Bonds. See Chapter 6, Page 6 - 4

ABC Form B-7: CHECKLIST FOR PREPARATION/APPROVAL
OF CONTRACT AND BONDS
Submitted with Contract and Bonds. See Chapter 7, Page 7 - 4

ABC Form B-8: PRE-CONSTRUCTION CONFERENCE CHECKLIST
See Chapter 8, Page 8 - 3

ABC Form B-9: PROJECT DATA FORM
PREPARED BY THE DESIGN PROFESSIONAL See Chapter 7, Page 7-5

ABC Form B-10: STATEMENT OF FIELD OBSERVATIONS
See Chapter 8, Page 8 - 3

ABC Form B-11: CHANGE ORDER JUSTIFICATION
See Chapter 7, Page 7 - 11

ABC Form B-12: CHANGE ORDER CHECKLIST
See Chapter 7, Page 7 - 11

ABC Form B-13: FINAL PAYMENT CHECKLIST & TRANSMITTAL
See Chapter 7, Page 7 - 10

II. ABC UNIFORM DOCUMENTS AND STANDARD FORMS TO BE INCLUDED IN THE PROJECT MANUAL (Appendix C supplemented by forms contained in Chapter 9)

ABC Form C-1: SAMPLE ADVERTISEMENT FOR BIDS
PREPARED BY THE DESIGN PROFESSIONAL. Should be retyped and otherwise modified to present additional project-specific information necessary to legally describe the solicitation; however, the language and format of the standard document is to be closely followed. See

Chapter 5, Page 5 - 2, and Chapter 6, Page 6 - 2.

ABC Form C-2: INSTRUCTIONS TO BIDDERS
May be supplemented with project-specific instructions.
See Chapter 5, Page 5 - 3

ABC Form C-3: PROPOSAL FORM
May be modified to facilitate project-specific proposal requirements. All information which would be common to all bidders should be inserted in the appropriate spaces. See Chapter 5, Page 5 - 3

ABC Form C-4: FORM OF BID BOND
See Chapter 5, Page 5 - 3; also see Chapter 6, Page 6 - 5 (Return of Bid Security)

ABC Form 9-A: CONSTRUCTION CONTRACT **(PSCA Version)**
Substitute ABC Form 9-A for ABC Form C-5 in Appendix C.
PREPARED BY THE DESIGN PROFESSIONAL; submission of draft to ABC and the Local Education Authority before finalizing is recommended.
See Chapter 5, Page 5 - 3, Chapter 7, Page 7 - 4, and Chapter 9.

PROVISION FOR SEVERABLE PAYMENTS
Obtain applicable information from ABC and insert in spaces as indicated by arrows (≡)

SEVERABLE PAYMENT: The Alabama Public School & College Authority will first pay the Contractor ____ ≡ *Amount in Words* _____ Dollars ($ ≡ *Amount in Figures*), from its available funds and

The ≡ *Name of the Local Awarding Authority* _____ will thereafter pay the Contractor

the remaining ≡ *Amount in Words* _____ Dollars ($ ≡ *Amount in Figures*), from its available funds.

ABC Form 9-A continued on next page

ABC Form 9-A:CONSTRUCTION CONTRACT (Continued)

SIGNING PARTIES - Prepare Signature Spaces as indicated by arrows (≡)

APPROVALS	**CONTRACTING PARTIES**
STATE OF ALABAMA BUILDING COMMISSION	≡ *Name of Firm* Contractor
By _____ *(Signature)* Director, Technical Staff	By _____ *(Signature)* Member of Firm
≡ *Optional: Name and Title of Additional Approver as may be required by L.E.A.*	≡ *Name of Local Education Authority* (County-City-Institution)
By _____	By _____ *(Signature)* Officer - Title ≡ *Name and Title of Head of L.E.A.*
	ALABAMA PUBLIC SCHOOL AND COLLEGE AUTHORITY
	By _____ *(Signature)* Governor and President of Authority
	Attest To: _____ *(Signature)* Secretary of Authority

ABC Form 9-B: PERFORMANCE BOND **(PSCA Version)**
See Chapter 5, Page 5 - 3, and Chapter 9

ABC Form 9-C: PAYMENT BOND **(PSCA Version)**
See Chapter 5, Page 5 - 3, and Chapter 9

ABC Form C-8: GENERAL CONDITIONS OF THE CONTRACT
May be supplemented with project-specific provisions.
See Chapter 5, Page 5 - 4

ABC Form C-9: GENERAL CONTRACTOR=S ROOFING GUARANTEE
Note: This is a 5-year guarantee signed by the General Contractor.
See Chapter 5, Pages 5 - 4 and 5 - 7

ABC Form C-10: APPLICATION AND CERTIFICATE FOR PAYMENT
May be retyped or input for computer generation as long as the information, sequence, and format of the standard form is not altered. Optional ABC Forms C-10(SHORT) & C-10(LONG) may used as appropriate. See Chapter 5, Page 5 - 4 and Chapter 7, Page 7 - 6 and 7 - 8.

"REVIEW AND APPROVALS": Prepare Signature Spaces as indicated by arrows (≡)

Approved by ≡ *Name & Title of Head of L.E.A.* (Owner)		_____ Signature	Date _____
Reviewed by	CONTRACT ADMINISTRATION, Alabama Building Commission	_____ Signature	Date _____
Approved by	DIRECTOR, Technical Staff, Alabama Building Commission	_____ Signature	Date _____
Approved by ≡ *Optional: Name & Title of L.E.A.'s Project Rep.*		_____ Signature	Date _____

ABC Form C-11: PROGRESS SCHEDULE AND REPORT

Standard form is minimum bar chart information to be reported monthly with Application for Payment for projects with duration exceeding 60 days; large, complex projects may warrant CPM or other scheduling and reporting methods.

See Chapter 5, Page 5 - 4 and Chapter 7, Page 7 - 7

ABC Form C-12: CONTRACT CHANGE ORDER

PREPARED BY THE DESIGN PROFESSIONAL. Signing parties are the same as for the Contract, **PLUS CONSENT OF SURETY IS REQUIRED.**

See Chapter 5, Page 5 - 4, Chapter 7, Page 7 - 10, and Chapter 9.

Responsibility for Change Order Funding
Following the tabulation of the Revised Contract Price on the standard form is the following sentence: "The amount of this Change Order will be the responsibility of _____ ." Insert whichever is appropriate: (1) PSCA, (2) LEA, or (3) PSCA and LEA.

ABC Form C-13: CERTIFICATE OF SUBSTANTIAL COMPLETION

PREPARED BY THE DESIGN PROFESSIONAL. See Chapter 5, Page 5 - 4, Chapter 7, Page 7 - 14, and Chapter 8, Page 8 - 6

Agreed to by: 1. General Contractor 2. Local Education Authority	Recommended by design professional Approved by ABC

ABC Form C-14: FORM OF ADVERTISEMENT OF COMPLETION

PREPARED BY THE CONTRACTOR

See Chapter 5, Page 5 - 5, and Chapter 7, Page 7 - 14

ABC Form C-15: DETAIL OF PROJECT SIGN

Supplements the "Project Sign" provision of the General Conditions of the Contract. The requirement for a Project Sign may be waived for projects of less than $100,000. Only the ABC may waive this requirement under other conditions. See Chapter 5, Page 5 - 5

III. ADJUSTING PROJECT FUNDING (SEVERABLE PAYMENTS)

If adjustment of severable payments of the construction contract becomes necessary during the course of the project, the following will be used:

ABC Form 9-D: MODIFICATION TO THE CONSTRUCTION CONTRACT, ADJUSTMENT OF SEVERABLE PAYMENTS
Generally prepared by the ABC. See Chapter 9.

IV. TYPICAL DOCUMENT PROCESSING FOR PSCA PROJECTS

A. PROJECT FUNDING TO EXECUTION OF OWNER-ARCHITECT AGREEMENT

1. LOCAL EDUCATION AUTHORITY

a. DEFINES SCOPE & ESTIMATED COST OF PROJECT
b. SUBMITS FUNDING REQUEST TO:
PSCA c/o STATE DEPT. OF EDUCATION (FOR K - 12 PROJECTS)
or
FINANCE DEPT. - LEGAL DIV. (FOR ALL OTHER PROJECTS)

2. PUBLIC SCHOOL & COLLEGE AUTHORITY

a. LEA's FUNDING REQUEST CONSIDERED IN PSCA MEETING
b. PSCA APPROVAL OF PROJECT & ALLOCATION OF FUNDS RECORDED AND REPORTED TO ABC AND LEA BY FINANCE LEGAL OR STATE SCHOOL ARCHITECT

3. ALABAMA BUILDING COMMISSION

a. PROJECT FILE ESTABLISHED
b. ADVERTISES FOR SERVICES OF DESIGN PROFESSIONAL (LEA's OPTION)
c. ADVERTISEMENT DIRECTS RESPONSES TO BE ADDRESSED TO LEA

4. LOCAL EDUCATION AUTHORITY

a. SELECTS DESIGN PROFESSIONAL & NEGOTIATES TERMS OF AGREEMENT
b. AWARDS AGREEMENT FOR DESIGN PROFESSIONAL SERVICES

5. DESIGN PROFESSIONAL

a. USING "CHECKLIST" PREPARES & EXECUTES O/A AGREEMENT
b. DELIVERS SIX (6) COPIES OF O/A AGREEMENT TO LEA FOR LEA's ACCEPTANCE AND FORWARDING TO ABC

6. LOCAL EDUCATION AUTHORITY

a. REVIEWS O/A AGREEMENT AND "CHECKLIST"
b. EXECUTES AND FORWARDS SIX (6) COPIES OF O/A AGREEMENT WITH "CHECKLIST" TO ABC

7. ALABAMA BUILDING COMMISSION

a. REVIEWS O/A AGREEMENT FOR COMPLETENESS AND CORRECTNESS
b. APPROVES O/A AGREEMENT
c. FORWARDS APPROVED O/A AGREEMENT TO PSCA c/o FINANCE LEGAL

8. PUBLIC SCHOOL & COLLEGE AUTHORITY

a. FINANCE LEGAL REVIEWS, APPROVES, AND FORWARDS TO GOVERNOR
b. O/A AGREEMENT REVIEWED & APPROVED BY GOVERNOR'S LEGAL OFFICE AND GOVERNOR EXECUTES AGREEMENT AS PRESIDENT OF PSCA
c. O/A AGREEMENT REVIEWED, APPROVED, AND EXECUTED BY FINANCE DIRECTOR AS SECRETARY OF PSCA
d. FINANCE DIRECTOR RETURNS FULLY EXECUTED O/A AGREEMENT TO ABC

9. ALABAMA BUILDING COMMISSION

DISTRIBUTES FULLY EXECUTED O/A AGREEMENT TO LEA, DESIGN PROFESSIONAL, AND FILE

B. DESIGN DOCUMENTS TO BID OF CONSTRUCTION CONTRACT

1. DESIGN PROFESSIONAL

a. PREPARES DESIGN DOCUMENTS (SCHEMATIC) (PRELIMINARY) (FINAL)
b. REVIEWS EACH LEVEL OF DESIGN WITH LEA FOR APPROVAL PER O/A AGREEMENT
c. SUBMITS EACH LEVEL OF DESIGN DOCUMENTS TO ABC (AND SDE FOR K-12 PROJECTS) FOR REVIEW AND APPROVAL
d. SUBMITS "FINAL" DESIGN DOCUMENTS TO OTHER REVIEWING AGENCIES (DEPT. OF PUBLIC HEALTH, etc.) CONCURRENTLY WITH SUBMISSION TO ABC & SDE

2. ALABAMA BUILDING COMMISSION

a. REVIEWS EACH LEVEL OF DESIGN DOCUMENTS FOR COMPLIANCE WITH BUILDING CODES AND ABC REQUIREMENTS
b. CONFIRMS APPROVAL OR REJECTION OF THE DESIGN DOCUMENTS BY ISSUANCE OF A "PROJECT COMMENT LETTER" TO THE DESIGN PROFESSIONAL AND LEA
c. RETAINS SCHEMATIC & PRELIMINARY SUBMISSIONS UNTIL FINAL SUBMISSION IS APPROVED: RETAINS APPROVED, FINAL SUBMISSION AS A PART OF THE PROJECT RECORD

K-12 PROJECTS ONLY:

STATE DEPARTMENT OF EDUCATION (STATE SCHOOL ARCHITECT)

a. REVIEWS EACH LEVEL OF DESIGN DOCUMENTS FOR COMPLIANCE WITH SDE REQUIREMENTS
b. NOTIFIES DESIGN PROFESSIONAL, LEA, AND ABC OF REVIEW COMMENTS

3. DESIGN PROFESSIONAL

a. ADDRESSES REVIEW COMMENTS BY ABC & SDE, ADVANCING TO THE NEXT LEVEL OF DESIGN DOCUMENTS UNTIL APPROVAL OF FINAL SUBMISSION IS OBTAINED
b. UPON OBTAINING APPROVAL OF FINAL SUBMISSION, PUBLISHES "ADVERTISEMENT FOR BIDS"
c. AT ADVERTISED TIME. RECEIVES & OPENS BIDS WITH LEA
d. PREPARES AND CERTIFIES TABULATION OF BIDS, PROVIDING TABULATION TO ABC & LEA

C. AWARD OF CONTRACT, EXECUTION & APPROVAL OF CONTRACT, AND NOTICE TO PROCEED

1. LOCAL EDUCATION AUTHORITY

a. EVALUATES BIDS RELATIVE TO FUNDS AVAILABLE
b. DETERMINES LOWEST RESPONSIBLE AND RESPONSIVE BIDDER

c. ISSUES NOTICE OF AWARD TO LOWEST RESPONSIBLE AND RESPONSIVE BIDDER

2. DESIGN PROFESSIONAL

a. PREPARES CONTRACT USING "CHECKLIST" (SHOULD OBTAIN APPROVAL OF "DRAFT" FROM ABC & LEA BEFORE FINALIZING)
b. DELIVERS SIX (6) COPIES OF CONTRACT TO CONTRACTOR

3. CONTRACTOR

a. OBTAINS BONDS AND EXECUTES CONTRACT
b. RETURNS SIX (6) COPIES OF EXECUTED CONTRACT WITH BONDS TO DESIGN PROFESSIONAL

4. DESIGN PROFESSIONAL

a. CHECKS CONTRACT & BONDS FOR COMPLETENESS
b. FORWARDS SIX (6) COPIES OF CONTRACT & BONDS TO LEA

5. LOCAL EDUCATION AUTHORITY

a. REVIEWS AND EXECUTES CONTRACT AS CO-OWNER
b. FORWARDS SIX (6) COPIES OF CONTRACT & BONDS TO ABC

6. ALABAMA BUILDING COMMISSION

a. VERIFIES COMPLETENESS AND CORRECTNESS OF CONTRACT & BONDS
b. PREPARES PROJECT WORKSHEET FOR DISBURSEMENT OF PSCA FUNDS
c. APPROVES CONTRACT & BONDS AND FORWARDS SIX (6) COPIES TO PSCA c/o FINANCE LEGAL

7. PUBLIC SCHOOL & COLLEGE AUTHORITY

a. FINANCE LEGAL REVIEWS AND APPROVES CONTRACT & BONDS
b. GOVERNOR'S LEGAL OFFICE REVIEWS AND APPROVES CONTRACT & BONDS AND GOVERNOR EXECUTES CONTRACT AS PRESIDENT OF PSCA
c. CONTRACT & BONDS REVIEWED, APPROVED, AND EXECUTED BY FINANCE DIRECTOR AS SECRETARY OF PSCA AND RETURNS TO ABC

8. ALABAMA BUILDING COMMISSION

a. DISTRIBUTES FULLY EXECUTED CONTRACT WITH BONDS TO CONTRACTOR, LEA, SDE, AND DESIGN PROFESSIONAL
b. ISSUES "NOTICE TO PROCEED" WITH CONTRACT & BONDS
c. WITH NTP FURNISHES CONTRACTOR WITH "CONTRACTOR'S CHECKLIST" PROVIDING INSTRUCTIONS AND STANDARD FORMS FOR SPECIFIC START-UP REQUIREMENTS

9. CONTRACTOR

a. SIGNS AND RETURNS COPY OF NTP TO ABC
b. BEGINS SUBMISSION OF START-UP DOCUMENTS TO DESIGN PROFESSIONAL
c. SUBMITS CERTIFICATE OF INSURANCE FOR REQUIRED COVERAGE TO DESIGN PROFESSIONAL
d. UPON APPROVAL OF CERTIFICATE OF INSURANCE, BEGINS WORK ON SITE

D. AMENDMENTS TO THE O/A AGREEMENT AND CHANGE ORDERS, AMENDMENTS, AND MODIFICATIONS TO THE CONSTRUCTION CONTRACT FOLLOW THE SAME ROUTING FOR REVIEW, APPROVAL, AND EXECUTION AS THE AGREEMENT OR CONTRACT

E. DESIGN PROFESSIONAL'S STATEMENTS FOR SERVICES AND CONTRACTOR'S APPLICATIONS FOR PAYMENT

1. **DESIGN PROFESSIONAL** - APPROVES

2. **LOCAL EDUCATION AUTHORITY** - APPROVES

3. **ALABAMA BUILDING COMMISSION** - APPROVES

4. **FINANCE DEPT. - EXECUTIVE BUDGET OFFICE**

   PREPARES VOUCHER AND ISSUES PAYMENT

5. **ALABAMA BUILDING COMMISSION**

   DISTRIBUTES COPIES OF PAID STATEMENT OR APPLICATION TO LEA, SDE, GC AND/OR A/E