

CONNECTICUT STATE DEPARTMENT OF EDUCATION (SDE)
BUREAU OF SCHOOL FACILITIES (BSF)

OVERVIEW
SCHOOL CONSTRUCTION PROCESS

INTRODUCTION

The purpose of this manual is to provide a guide to the process to be followed by design professionals and Local Education Agencies (LEAs) in order to successfully and expeditiously move through the plan development, review, and approval process. It is designed to highlight the steps where attention to detail must be paid in order to avoid common errors that result in costly delays.

CHECK WITH THE (BSF) PLAN REVIEW UNIT on any item in this document if unclear. Investigate issue thoroughly before calling.

REFER TO THE SCHOOL CONSTRUCTION GRANT PROCESS located at www.ct.gov/sde for information concerning the reimbursement process (click on "Grants Management").

SITE APPROVAL

As stipulated in CGS Sec. 10-291 (a), No school building project for which state assistance is sought shall be undertaken except according to a plan and on a site approved by the Department of Education, the town or regional board of education and by the building committee...Even if the town owns the site, it does not mean that environmental, traffic access, and radon determination can be ignored.

BSF REVIEW OF SCHOOL CONSTRUCTION DOCUMENTS

The BSF plan review is separate from that which is required of the local officials prior to them issuing a building permit. The BSF is an impartial organization processing grant application requests as required by the Connecticut General Statutes (CGS) and agency regulations. The CGS Section 10-292(a) requires the BSF to verify that the school construction documents comply with all state and federal codes and laws. Another important BSF responsibility is to review all construction documents to determine which items are eligible for state grant assistance.

Incomplete submissions will not be accepted or processed for review by SDE. Any deviation from BSF standards **must be discussed** with and approved by BSF **prior** to document preparation and submission.

LOCAL PLAN REVIEW ALTERNATIVE (C.G.S Sec. 10-292(b))

Stand-alone projects for oil tank replacement, roof replacement, and town-funded projects (no statutory cost cap for local plan review purposes), as well as projects for network wiring, asbestos abatement, code correction, and energy conservation (with costs not exceeding one million dollars) may have plans reviewed for all state and federal codes by local code officials, in lieu of the SDE review. Use Form **ED042** (pages 1 and 2 obtainable on our website) and submit all materials required to obtain SDE plan approval. Be aware, however, that the local code officials are not mandated to conduct a review for the SDE. Also, be aware that local code officials are not required to review for compliance with Section 504 of the Rehabilitation Act of 1973 or the ADA. However, the **SDE is required to ensure that project documents are in compliance with federal accessibility requirements.** If this option is chosen (for the types of projects listed above only), the local officials must perform the same review procedure as would be performed by the SDE. Also, local official(s) responsible for Federal 504/ADA compliance must be willing to review the construction documents and certify compliance with federal accessibility requirements. Review guidelines will be provided to the school district when this option is exercised. This local review option cannot be utilized for a phase of a project. **The LEA must submit the ED042 to the BSF and receive a written plan approval from the SDE prior to going out to bid.**

PRE-REVIEW EVALUATION PROCESS (PREP) MEETING

Just prior to the start of the construction documents development process a PREP meeting will be held at the BSF. This meeting must be scheduled **by the school district** with the SDE as soon as possible after the architect has been selected. The **registered design professionals** responsible for the project are required to attend the meeting (Architects/Engineer "hands-on" personnel), as well as the school district "hands-on" personnel. Those representing the district's interest may include the Superintendent of Schools (or designated representative), members of the School Building Committee and/or the Board of Education, and local officials. Any other interested parties may also attend. At this time a review of the **code conformity process** to be conducted by the design professionals and the **plan review process** to be conducted by the Bureau of School Facilities will be discussed. Absence of any project design professional has historically resulted in delays due to errors and omissions at the Plan Completion Test (PCT) meeting. The purpose of the PREP meeting is to reduce to an absolute minimum any delays in the review and approval process, and for all parties to commit to a set of submission standards and a submission date(s). Public school projects are high profile and deal with public safety and accessibility. The design professionals assigned to the projects should be the most experienced available and have prior school/code experience. The BSF may waive the PREP meeting, conduct the meeting by telephone, or otherwise determine the scope and nature of such a conference. PREP meetings are conducted on Monday and Tuesdays only.

PLAN COMPLETION TEST (PCT) MEETING

A PCT meeting is held for each phase when **all** stages of the plan development process for each phase have been completed (including the code conformity and final coordination stage). This meeting must be scheduled **by the district** with the SDE in advance, preferably at the PREP meeting. In order to minimize delays and maximize continuity, it is necessary that the same design professionals, and at least one of the school district representatives who attended the PREP meeting, be present at this meeting. It is the design professional's responsibility to ensure that the documents submitted are complete, indicate compliance to all applicable codes, are the **final contract documents**, and are prepared in accordance with BSF guidelines and standards.

A statistical sampling is performed to ensure that the Masterlist and Checklists (downloadable from our website) have been used completely. The documents will not be accepted for full review until they have passed this test. If the documents appear to be incomplete, the meeting may be terminated and another PCT will need to be scheduled as the BSF schedule will allow. PCT meetings are conducted on **Mondays and Tuesdays only**. If the documents are accepted for full review, and are discovered to be substantially deficient, the SDE reserves the right to terminate the review and return the documents as incomplete.

LOCAL PLAN REVIEW ALTERNATIVE (> 30 DAY PROJECTS, C.G.S Sec. 10-292(c))

If, upon acceptance of the final plans, the BSF determines it cannot complete its review within 30 days, the school district has the option to ask their local officials to conduct the review in lieu of the SDE. Be aware, however, that the local code officials are not mandated to conduct a review for the SDE. Also, be aware that local code officials are not required to review for compliance with Section 504 of the Rehabilitation Act of 1973 or the ADA. If this option is available and chosen, the local officials/consultants must perform the same review procedure as would be performed by the SDE. Also, local official(s) responsible for Federal 504/ADA compliance must be willing to review the construction documents and certify compliance with federal accessibility requirements. Note that state codes or waivers do not take precedence over federal accessibility requirements. Review guidelines will be provided to the district when this option is chosen.

BSF REVIEW OF CONTRACT DOCUMENTS

BSF reviews usually result in code citations and comments. These items are documented in the "Plan Review Record" (PRR). Copies of the PRR are sent to the LEA, the lead design professional, and local and state building and fire officials. The design professional must retrieve the submitted contract documents, review them for marks/comments in conjunction with the Plan Review Record (PRR) and make all necessary revisions to the documents. These items can then be certified to be in compliance by the BSF, using one of the two choices listed below for each item on the PRR.

BSF REVIEW OF CONTRACT DOCUMENTS (cont.)

Documents Revised: Revised construction documents from the design professional(s) which implement the corrective action exactly as described in the citation/comment as listed in the PRR have been received, **or**

State Modification Received: A signed and approved modification from the appropriate State Authority Having Jurisdiction has been received. If additional work is required as a condition of the modification approval, then all revisions required to satisfy those conditions shall be incorporated into the plans (also see Section 3).

The district may request that the local official(s) certify compliance on certain items on the PRR in lieu of the BSF (where the PRR allows this option). Be aware that local code officials are not required to determine compliance with the federal accessibility requirements of Section 504 of the Rehabilitation Act of 1973 or the Americans with Disabilities Act. Also, local code officials are not required to conduct compliance certification for the SDE. However, **the SDE is required by law to ensure that project documents are in compliance with federal accessibility requirements.** If local code officials choose to sign-off for "Federal 504" or "ADA items listed in the PRR (only for items where they are given that option) they must be willing to review the construction documents and certify compliance with federal accessibility requirements. Note that state codes or waivers do not take precedence over federal accessibility requirements. If the local official(s) certify compliance, they must follow the above procedures.

When the BSF verifies code compliance from the design professional (by appointment), and/or when the BSF receives the local code officials' certification on the official plan review record indicating code compliance, if there are no incomplete or in-progress items then our goal is to issue approval to go to bid within 24 hours.

LOCAL OFFICIAL REVIEW FOR BUILDING PERMIT

This is a reminder that the local officials are required to conduct a review of the plans and specifications prior to issuing a building permit. This review is separate from that which is required by the BSF. This **review** (for building permit) **is required even if** the local officials conduct the plan review in lieu of the SDE (as described elsewhere in this section).

BIDDING AND CONTRACT AWARD

Pursuant to C.G.S. 10-287(b), no bidding/construction or entering into contracts with vendors on state contracts available from the Department of Administrative Services or the Department of Public Works, may begin prior to written approval of final plans and specifications by the SDE. Violation of this results in project grant ineligibility. Contractors must be prequalified by DAS for projects over \$ 500,000 (total project costs). Upon written plan approval by the BSF, the district may commence the bidding procedure and secure the agreement or contract for construction. For Priority List projects, construction must commence within two years of the General Assembly grant commitment. Refer to the **SCHOOL CONSTRUCTION GRANT PROCESS** located at www.ct.gov/sde for requirements.

CHANGES TO CONTRACT DOCUMENTS

Any changes (including "value engineering" changes) to construction documents after SDE review/approval must be submitted to the SDE for review/approval otherwise the work associated with those changes will be ineligible for reimbursement.

ADDENDA AND CHANGE ORDERS

Addenda (changes to contract documents prior to bidding) issued after BSF approval must be submitted for BSF review. Change orders provide an orderly procedure to amend construction contracts (after bids are accepted) but should be used **only** for unforeseen or emergency conditions. Overhead and profit percentages on change orders for both prime contractor and subcontractors must be identified at the bidding stage in the Special/Supplemental Conditions in the contract. The total mark-up on change orders should be limited by contractual language and be on a "sliding scale" depending on the change order amount. Form ED042 CO (obtainable at www.ct.gov/sde), with original signatures, must be submitted for all change orders issued to publicly bid contracts. CM fees and reimbursables are to be reported on form ED046. Change orders and addenda must be submitted in **sequential order** for each project number **regardless of phasing. Submit complete change order packages.** Send change orders as they occur, do not compile large numbers of change orders. Incomplete change order submissions create delays for both the BSF and the LEA's reimbursement. Thoroughly explain the reason for issuing the change order. Give information concerning the location of work and other relevant building information. Always provide information, documents, sketches, etc. that show impact on codes, when applicable. Also, provide information relating to eligibility (see Ineligible/Limited Eligible Costs Worksheet obtainable on our website). Change orders should not total more than five percent of the total construction cost. Change orders exceeding this amount shall be reimbursed at half of the districts reimbursement rate. To be deemed eligible for reimbursement, change orders issued after July 1, 2008 must be submitted within 6 months of issuance, if these change orders are issued after 6 months they shall not be eligible for state grant assistance.

PROJECT CONTACT PERSON

In order to enhance efficiency and create a uniform flow of data and communications, each LEA is requested to designate **one person** in addition to the Superintendent to act as a school construction contact person. Provide name, address, telephone, fax, and E-mail for this contact person.

The BSF will not review meeting minutes to verify accuracy. All information discussed at BSF meetings can be located either in this manual or in supplemental hand-outs.

DIRECTORY**Mailing Address:**

State Department of Education
Bureau of School Facilities, Room 258
P.O. Box 2219
Hartford, Connecticut 06145

Location:

State Department of Education
Bureau of School Facilities
165 Capitol Avenue, Room 258
Hartford, Connecticut 06106

Limited on-site parking may be available. It is recommended that you contact our office one week prior to a meeting to request parking spaces for meeting attendees (provide one name per vehicle); however, be advised that parking is not guaranteed due to space limitations.

Telephone:

(860) 713-6480 Grants Unit (Grant Information)
(860) 713-6490 Plan Review Unit (Construction Document Information)

Fax: (860) 713-7020

Internet website: www.ct.gov/sde

SCHOOL CONSTRUCTION PROJECTS

General Discussion of Grant Eligibility

[Project](#) as a Term Used for Grant Purposes

[Cost](#) and [Scope](#) as Determinants of Project Eligibility

[Index](#)

PROJECT



For the formal definition of School Building Project, see [Section 10-282\(3\)](#) of the Connecticut General Statutes (C.G.S.).

For practical purposes, a project includes *related construction at a single facility which will be used for public school purposes*. Eligibility is then determined by assessing [cost](#) and [scope](#) of a project.

- When implementing a district-wide construction plan (e.g., technology), a separate project grant application must be filed for each facility.
- If construction takes place at a Junior/Senior High School building which houses two educational programs, a single project grant application must be filed.

Determination of projects can be confusing where there are shared campuses or where new construction joins two previously distinct facilities. To be sure that your understanding of your project(s) is accurate, contact the [Bureau of School Facilities](#). It will be necessary to correctly identify the number and nature of your projects prior to determining eligibility based upon cost and scope.

See also discussions of [cost](#) and [scope](#) which address eligibility of the project as a whole.

COST



This discussion of cost addresses eligibility of the [project](#) as a whole. While a project in general may be eligible for a grant, not all *components* of the construction may be eligible. After reviewing the cost information presented here, visit our discussions on [scope](#) and [Ineligible and Limited Eligible Costs](#).

- On the issue of cost, consider *total project costs*, and they must exceed ten thousand dollars.
- For purposes of determining *total project costs*, make no adjustments for ineligible or limited eligible cost components within the *whole project*.
- Include all costs—hard and soft—directly related to the project.

Examples of some common costs associated with school construction: costs of construction contracts; architectural, engineering, construction management, and legal fees ordinarily and reasonably necessary to the project; site preparation and development costs incurred on and for the school site; printing costs; equipment and furnishing costs specific to the construction at hand; land acquisition or site improvements specific to the project at hand; and professional fees for financial consultants. This is not an exhaustive list; there may be other costs which should be included in a cost estimate. For questions regarding other types of costs, contact the [Bureau of School Facilities](#).

SCOPE



There are basically twelve types of school construction which are eligible for grants either *individually* or *in combination*. See [C.G.S. 10-282](#) for the legal definitions. For discussion, examples, and additional eligibility requirements, if any, select from the following:

[Alteration](#)

[Code Update](#)

[Energy Conservation](#)

[Extension](#)

[New](#)

[Purchase](#)

[Relocatables](#) (a.k.a. portables or modulares)

[Renovation](#) (as defined in C.G.S. 10-282)

[Roof Replacement](#)

[Educational Technology Infrastructure](#)

[Vocational Agriculture Equipment](#)

[Certified Indoor Air Quality Emergency](#)

Discussion under each type of construction refers to eligibility of the [project](#) as a whole. While a project in general may be eligible for a grant, not all *components* of the construction may be eligible (e.g., portions of a project considered to be routine maintenance are not eligible for reimbursement). After reviewing the information under each construction type, visit our discussions on [cost](#) and [Ineligible and Limited Eligible Costs](#).

Site Acquisition is not included above. Except for specific situations for Priority School Districts, site acquisition is a *component* of a project; and it cannot stand on its own. See [Site Acquisition](#) for further information.

See also [Combination Projects](#) which addresses projects comprised of more than one type of construction.

ALTERATION



These are projects which involve changes to the interior structure of an existing building. They may be undertaken to add new features to a facility where the features did not previously exist. As well, programmatic changes could result in a need for modifications to the physical building. For further discussion of alterations, see also [Energy Conservation](#) and [Educational Technology Infrastructure](#).

Examples of Alterations

- demolition of walls between two adjacent classrooms to create science labs in a school
- conversion of a practice gym into a media center and conversion of the old media center into a kitchen and cafeteria at a school
- installation of a suspended acoustical ceiling in a school building which previously had only exposed structure (no ceiling)
- installation of a ducted air-conditioning system in a school where no air-conditioning system existed before
- installation of mechanical ventilation in a school where no mechanical ventilation existed before.



CODE UPDATE

These are projects for the correction of code violations at an existing facility. They may address OSHA, Access for Persons with Disabilities, Health Code, Fire Code, and other codes. Projects may be undertaken in response to citations from local officials or to correct violations noted in a professional code audit. As well, you may be acting upon a self-evaluation which identifies deficiencies within your buildings.

With the exception of asbestos removal, all code update projects are designated *Code* Violation projects by the School Facilities Unit. Asbestos removal projects are designated as *Health* Violation.

Air quality is not addressed in the codes; therefore, projects for correction of indoor air quality deficiencies are not eligible as Code Updates. For further information on air quality, see [Alteration](#) and the example on mechanical ventilation.

The mere presence of lead in a facility does not constitute a violation of health code. For grant eligibility for lead abatement, districts must submit evidence revealing the conditions outlined in the [Department of Public Health and Addiction Services Decision Regarding Lead Abatement in Public Schools \(Amended\)](#).

Examples of Code Updates

- rescue and vent windows, fire alarm, rated doors, and emergency lighting
- asbestos removal
- oil tank removal
- interior accessible route including corridors, floors, ramps, elevators, lifts, exits, signage, and clear space at fixtures
- exterior accessible route including parking access aisles, curb ramps, walks, lifts, ramps, and entrances
- fire suppression system
- replacement of lighting only if tested and PCB's have been documented as existent

**DEPARTMENT OF PUBLIC HEALTH AND ADDICTION SERVICES
DECISION REGARDING LEAD ABATEMENT IN PUBLIC SCHOOLS (AMENDED)**



The following is taken from a November 1, 1994, memorandum from the Connecticut Childhood Lead Poisoning Prevention Program, Department of Public Health and Addiction Services. It addresses Lead Abatement in Public Schools. As of April 20, 2000, this information is still applicable:

“ . . .the mere presence of lead in a facility does not constitute a violation of health code unless the facility is a dwelling unit of a child under the age of six years or is a facility or part of a facility that is used for day care services. Additionally, the condition of the surface and the substrate (i.e. intact vs. defective) is a factor in determining whether a violation exists. A public school is not considered a dwelling unit.

Also, children over the age of six years are not considered at risk for lead poisoning if they frequent a building which contains lead-based paint even if it is in a deteriorated condition because they do not have the same behavioral and hygiene practices as children under the age of six years, i.e. frequent hand to mouth activity. However, retarded individuals with hand to mouth behavior would be at risk as would any other child under the age of six years.

A violation could present itself if there were a documented case of a child with an elevated blood lead level and the epidemiologic investigation determined that a specific facility was the source of lead exposure.

In summary, school buildings where children over the age of six years are present do not usually present a health hazard just because they contain lead-based paint. All of the above must be kept in mind when determining whether a health hazard exists.”

For further questions, please contact Frank Greene of the Connecticut Department of Public Health at (860) 509-7308.

ENERGY CONSERVATION



These are projects for the reduction of energy consumption at an existing facility through installation of new building features or systems within a facility. They may be undertaken in response to an energy audit or may be the result of a self-evaluation which identifies areas of deficiency.

Excluded from this type of project are heating system replacements and lighting replacements. They are *not* eligible for reimbursement under energy conservation because they are considered replacement of existing building systems. Lighting replacements may be eligible as a Code Update. See [Code Update](#) for eligibility requirements. See also [FAQs—Ineligible and Limited Eligible Costs](#) for questions related to lighting replacements and heating system replacements.

For purposes of completing an application for a school construction grant, Energy Conservation is deemed an Alteration project; see also [Alteration](#).

Examples of Energy Conservation

- replacement of old, obsolete windows with new window systems which are more energy efficient
- energy management systems



EXTENSION

These are projects which address the space needs of a district through the addition of permanent square footage. Additional enrollment due to general population increases, grade reconfigurations, or redistricting are common reasons supporting need for a larger facility. As well, a district may build an extension if they are not able to provide new programs or to expand and enhance current programs within the existing building framework. See also [Relocatables](#).

Examples of Extensions

- addition of approximately 5,000 square feet at a school to house four general classrooms, storage, and lavatories
- addition of 5,000 square feet at a school to expand the media center, add a guidance suite, and add two general classrooms
- addition of 1,000 square feet at a school to add a kitchen where none previously existed
- addition of 4,000 square feet at a school to expand two existing general classrooms and create two new physics labs where none existed before

CERTIFIED INDOOR AIR QUALITY EMERGENCY

In order to qualify for school construction funding, a school must have conditions that qualify for “certified school indoor air quality emergency” status *and* require remediation that costs in excess of \$100,000. Section 10-282(19) of the Connecticut General Statutes defines “certified school indoor air quality emergency” as:

“...the existence of a building condition determined by the Department of Public Health to present a substantial and imminent adverse health risk that required remediation in an amount greater than one hundred thousand dollars.”

The Department of Public Health has established a certification process for such emergencies. No grant application (Form ED049) can be accepted by the Bureau of School Facilities for a certified indoor air quality emergency (IAQ) project without the approvals and documentation issued by the Department of Public Health. Once the approvals and documentation are obtained by the district from the Department of Health, all requirements for a school construction project need to be met.

IAQ projects are stand-alone projects for purposes of the school construction grant. They may not be combined with other project types such as alteration work or other code work.

NEW



These are projects for construction of entirely new facilities within a district. A new school may be related to your district's need for additional space to accommodate increased enrollment. It might also reflect a decision to expand local educational opportunities through specialized programs such as a performing arts high school. In other cases, a new facility may be warranted when it is no longer possible or feasible for you to update and maintain a safe and appropriate learning environment in a very old building.

Examples of New

- a new 82,000 square foot school to house 500 students in grades 5 to 8 (undertaken to accommodate increased enrollment needs of the district)
- a new 39,500 square foot school to house 300 students in grades PreK to 6 (undertaken to allow demolition of an existing 70-year old building which can no longer be maintained)
- a new 144,000 square foot performing arts school to house 800 students in grades 9 to 12 (undertaken to accommodate student and community interest in a specialized high school program)

PURCHASE



These are projects for the acquisition of a building for public school purposes. You must submit copies of two independent appraisals for the building and site. The School Facilities Unit must perform an inspection of your building, and the Commissioner must authorize its use. In some cases, the purchase of an existing building is the best solution to a need for additional space to accommodate increased enrollment. In other cases, the purchase of a building may reflect a decision to expand local educational opportunities by offering a specialized program such as a performing arts high school.

We note that a Purchase project is usually done in conjunction with an Alteration project; see also [Alteration](#) and [Combination Projects](#).

Examples of Purchase

- acquisition of a vacant 20,000 square foot building to house intradistrict special education and prekindergarten programs
- acquisition of a vacated theatre and adjacent office building (totaling 120,000 square feet) to be used for establishment of a performing arts school (645 students in grades 9 to 12)
- acquisition of a 40,000 square foot building previously used as a private school to be used for a 325 student K to 6 public school

RELOCATABLES



These are projects which address short-term needs for additional space through the *purchase* and installation of relocatables (a.k.a. portables or modulars). Relocatables are intended to be a temporary solution. They may be a response to an immediate and unforeseen need for classroom space. They may also be a planned component of an extension or alteration project allowing you to safely move students away from the site of ongoing construction. There are several kinds of relocatable projects which are eligible for reimbursement including: purchase of new units, purchase of used units, and lease/purchase of units.

If you decide to *lease* units with no intent to purchase, contact the [Bureau of School Facilities](#) to discuss your project and the issue of eligibility.

For purposes of completing an application for a school construction grant, Relocatables are deemed Extension projects; see also [Extension](#).

While projects for used relocatables are deemed extension projects, note that they *are* subject to the appraisal requirements and cost limitations of [Purchase](#) projects.

Examples of Relocatables

- *lease w/purchase* and installation of two new relocatable units at a school to accommodate a rapid, large, and unanticipated increase in the size of the kindergarten class (note that SDE grant payment is withheld until the *purchase* option is executed and interest over the lease period—implied or stated—must be identified and reported as ineligible for reimbursement)
- purchase and installation of three new relocatable units and a connecting corridor at a school to house an usually large and unanticipated ninth grade class
- purchase of two used relocatable units from a neighboring town to be used for classrooms at one of your schools



RENOVATION

These are projects which comply with the definition of *Renovation* as stated in [Section 10-282](#) of the Connecticut General Statutes. Under this section, a *Renovation* is a school building project to totally refurbish an existing building and which results in the renovated facility taking on a useful life comparable to that of a new facility. While a *Renovation* may include some features of an *alteration*, it is much more comprehensive and must address all aspects of the building. The benefit of being classified as a *Renovation* is that many of the costs considered ineligible for reimbursement in an *alteration* may be considered eligible in a *Renovation*.

This project type was established in support of local decisions **to renovate existing schools or to purchase and renovate existing buildings when doing so represents a cost-effective alternative selected after diligent consideration of constructing a new facility**. If your district has a need for additional space due to increased enrollment, you might thoroughly research and pursue the alternatives of building a new school versus renovating a closed school building. In another situation, you might be reviewing the current and future educational adequacy of an old elementary school still in use. In order to provide a safe and appropriate learning environment, you might research and pursue the alternatives of building a new school versus renovating the existing school.

Your grant application may include a request for *renovation* status, however, a project is not considered a *renovation* until the School Facilities Unit has reviewed your submissions and formally approved the project as a *renovation*. (These submissions would be made in accordance with the [Guidelines](#) for Determining Eligibility of School Construction Projects for Status as Renovations as Defined in C.G.S. 10-282.)

Examples of Renovations

- completely gutting a closed high school and converting it to a middle school
- completely gutting a vacant BOE office building and converting it to an alternative high school
- completely gutting a middle school and restoring it to *like new* condition for continued middle school use

Reminder: These qualify as *renovations* only if approved by SDE after confirmation that they represent a cost effective alternative selected after diligent consideration of constructing a new facility.

**GUIDELINES FOR DETERMINING ELIGIBILITY OF
SCHOOL CONSTRUCTION PROJECTS FOR STATUS AS
RENOVATIONS AS DEFINED IN C.G.S. 10-282**



1. The applicant must make written application for such status.
2. The applicant must have gone through a formal process of evaluating the proposed project. Professional estimates must be available to document that significant cost savings will result.
3. The entire facility must be brought into 100 percent compliance with all applicable codes (including handicapped accessibility) when this renovation project is complete. Partial renovations of an entire facility or complete renovations of a wing of a facility do not qualify.
4. The renovation must incorporate education technology capability throughout the facility, as recommended in the *Guidelines for Technology Infrastructure in Connecticut Schools*.
5. It must be determined by a structural engineer that the structural integrity of the original building has not been compromised and is adequate to provide for continued occupancy for a period of time comparable to that of a new facility.
6. A detailed report on all existing building systems must be provided, including HVAC and electrical systems, water, roofing, lighting, plumbing, energy monitoring, communications and security systems. Professional opinions must be provided that all systems will have a useful life of at least 20 years following the construction project.
7. All new and replacement windows must be energy efficient.
8. The site of the existing facility must be central to the area served and adequate to provide the educational programs offered.
9. Any other analysis deemed necessary by the Department to properly evaluate the request must be provided.

Prior to pursuing requirements 3 through 9, districts are strongly advised to submit documentation in support of Item 2. Failure to receive SDE approval for Item 2 will negate any need to pursue Items 3 through 9.



ROOF REPLACEMENT

These are projects for the complete vertical replacement of a whole roof area as described below. These projects are usually filed when the current roof has exceeded its useful life, is leaking, and is in need of replacement. Eligibility for a roof replacement project is contingent upon meeting all of the following conditions:

- All roofing materials must be removed down to and/or including the deck prior to installation of the new roof (a.k.a. complete vertical replacement)
- The area of the roof to be replaced must be sizable and contiguous such as a complete wing or the entire facility (as compared to “cut and patch” jobs which will not be deemed roof replacements)
- The roof being replaced must be at least 20 years old at the time of grant application. If the roof is less than 20 years old, you are required to submit (1) the signature of a registered architect or registered engineer to certify improper design or improper construction and (2) the signature of the town or board attorney regarding recovery of damages and recourse at law or in equity. (These signatures are required on Schedule 7 of [Form ED049](#) Grant Application and Executive Summary of Educational Specifications for a School Building Project.)

Roofs which are at least 15 years old but less than 20 years old are eligible for School Construction grants even if the roof is not considered to be improperly designed or improperly constructed. Note, however, that the grant will be adjusted downward based upon the actual age of the roof.

The age of the roof will be determined in whole years to the nearest year. Age shall be defined as the time between the completed installation of the old roof and the date of the grant application for the new roof.

The application for such grant must be solely for the replacement of the roof; projects filed in accordance with this new law cannot be combined with other types of construction.

Examples of Roof Replacements

- complete vertical replacement of the 22-year old roof sections at a school to include the library wing, the science wing, and the gymnasium wing
- complete vertical replacement of the 26-year old roof at a school to include the entire facility
- complete vertical replacement of a 16-year old roof at a school to include the entire facility (The grant will be unadjusted for age when the grant application includes proper certifications by a registered architect and the town attorney. Without the certification of improper design or improper construction, the grant will be adjusted downward based upon age of the roof.)



EDUCATIONAL TECHNOLOGY INFRASTRUCTURE

This project type applies to existing buildings. Construction is related to wiring, cable, or other distribution systems and infrastructure improvements to support telecommunications and other information transmission equipment to be used for educational purposes. Technology projects may have a more narrow focus such as networking applications within a single building or they may be more expansive including links among all entities of the local board of education. Eligibility of components within technology projects is complex especially as it relates to equipment. Eligibility is discussed in detail in the section titled [Ineligible and Limited Eligible Costs](#); please read this information to ascertain the extent of your project's eligibility.

For purposes of completing an application for a school construction grant, Educational Technology Infrastructure is deemed an Alteration project; see also [Alteration](#).

Examples of Educational Technology Infrastructure

- conduit, voice/data/video wiring and drops throughout a school
- purchase and installation of a server at a school and establishment of a wide area network to connect all district schools (REMINDER: Separate grant applications are required for each school.)



VOCATIONAL AGRICULTURE EQUIPMENT

This is a special type of project which is restricted to districts which house State Board of Education approved Regional Vocational Agriculture (Vo-Ag) Centers. If you are such a district, you may apply for a grant for equipment and furnishings related to the approved program at your school. Grant eligibility of equipment and furnishings included in your project is contingent upon approval by the SDE Bureau of Career and Adult Education within the Division of Educational Programs and Services. (Please note that unique to Vo-Ag projects, approval may be granted for *replacement* items.)

If you have questions regarding vocational agriculture equipment, please contact [Greg Kane](#) of the Bureau of Curriculum and Instruction at (860) 713-6756.

General Examples of Vocational Agriculture Equipment

computer equipment

animal pens and cages

microscopes

commercial refrigerators

shop equipment

lab tables

tractors

rototillers

belt feeders



SITE ACQUISITION

- Except for specific situations for Priority School Districts, site acquisition is a *component* of a project, and the site purchase must be integral to one of the eleven construction types identified under [Scope](#).
- For Priority School Districts, there are specific conditions under which Site Acquisition *may* be deemed a stand-alone project. Priority School Districts planning site acquisition should contact the [Bureau of School Facilities](#).

For reimbursement purposes, no distinction is made between developable and undevelopable land. If a site includes areas classified as inland wetlands upon which you may not develop, such wetlands and any other unusable portions of a site will be included as part of the total site in determining the acreage for calculation purposes.

You must submit copies of two independent appraisals for the site to be acquired. A site must be inspected by the Bureau of School Facilities and approved by the Commissioner of Education. For a listing of site attributes assessed by the Bureau of School Facilities, see [Site Acquisition Standards](#).

For grant purposes, there are limitations on the number of acres and the site costs. These limitations are described in greater detail in the section on [Ineligible and Limited Eligible Costs](#).



SITE ACQUISITION STANDARDS

In accordance with Section 10-287c-15(b) of the Administrative Regulations, the School Facilities Unit considers the following when assessing the adequacy of a site:

- Location and size of the project in relation to existing school facilities,
- Adequacy and availability of utility services, including water, sanitary sewers, electricity and fire services,
- Engineering, size, and shape adequacy of the site to support the school facilities,
- Compliance with zoning , wetlands, environmental protection and other laws and regulations,
- Demographic factors and population trends,
- Accessibility to the site,
- Cost of acquiring, developing, maintaining and transporting pupils to the site, and
- Availability of other sites.



COMBINATION PROJECTS

When considering construction at a single facility, it may be logical to “package” related project types into one grant application.

Examples of Combination Projects

- Extension/Alteration (SDE abbreviated project designation: EA)
Building an extension which will house six classrooms as well as a new media center complex ([Extension](#)); converting the old and inadequate library (now vacant) into a biology lab to eliminate a deficiency in your science program ([Alteration](#))
- Renovation/Extension (SDE abbreviated project designation: RNV/E)
“Renovating as new” a school ([Renovation](#)—if approved by SDE); adding a building extension to include four general classrooms and a gymnasium ([Extension](#))
- Roof Replacement/Alteration (SDE abbreviated project designation: A/RR)
Replacing a 22-year old roof at a school ([Roof Replacement](#)); adding a suspended acoustical ceiling where previously there was only exposed structure ([Alteration](#))
- Purchase/Alteration (SDE abbreviated project designation: PA)
Purchase of an existing building ([Purchase](#)); redesign and reconfiguration of the floor space to accommodate educational programs ([Alteration](#))
- Extension with a Site Acquisition *component* (SDE abbreviated project designation: E/SI)
Building an extension at a school which currently sits on five acres ([Extension](#)); acquiring 15 adjacent acres upon which the extension will be constructed and upon which a new running track will be created ([Site Acquisition](#))

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SCHOOL CONSTRUCTION GRANTS

What You Need to Know Before Applying for a Grant:

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[Local Needs Assessment](#)
[School Construction Reimbursement Percentages](#)
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SCHOOL BUILDINGS & DUTIES OF THE BOARD OF EDUCATION

Section 10-220(a) of the Connecticut General Statutes addresses duties of the local Board of Education. This law cites multiple responsibilities including but not limited to the following for school buildings:

- Each local or regional board of education shall provide an appropriate learning environment for its students which includes: adequate instructional books, supplies, materials, equipment, staffing, *facilities and technology*; equitable allocation of resources among its schools; and a *safe school setting*.
- Each local or regional board of education shall have charge of the schools of its respective school district.
- Each local or regional board of education shall make a continuing study of the need for school facilities and of a long-term school building program and from time to time make recommendations based on such study to the town.
- Each local or regional board of education shall have the care, maintenance and operation of buildings, lands, apparatus and other property used for school purposes.
- Each local or regional board of education shall at all times insure all such buildings and all capital equipment contained therein against loss in an amount not less than eighty percent of the replacement cost.

LOCAL NEEDS ASSESSMENT

- The Board of Education must make a continuing study of the need for school facilities.
- Continuous assessment of local situations is necessary for proper planning and early recognition of school construction needs in advance of crisis situations.
- Research is required to fully define a construction project and establish a clear course of action. The extent of research is driven by the nature of construction (i.e., building of a new school warrants more analysis and evaluation than a roof replacement).
- In performing research, contact neighboring districts to explore common goals, economize state and local funding resources, and learn from others' construction experiences—both good and bad.
- Failure to perform adequate research may result in development of incomplete [Educational Specifications](#), pursuit of a school construction project which does not address all of your needs, costly change orders during the course of construction, or insufficient local support for the project and defeat at referendum.

SCHOOL CONSTRUCTION REIMBURSEMENT PERCENTAGES

The state school construction grants pay upon a 20% to 80% sliding scale, a percent of eligible expenditures in accordance with a relative wealth rank. Percentages are assigned to a project based upon date of grant commitment. (See [Reimbursement Rate Exceptions and Bonuses](#).)

Reimbursement rates for projects are determined based upon the date that funding is locally authorized in an amount sufficient to at least cover the local share of the project. Local share is defined as total project costs less the state school construction grant. School construction projects are typically *authorized* for the full amount of project costs but *financed* for only the local share.

See [Determination of School Construction Reimbursement Percentages](#)

**DETERMINATION OF
SCHOOL CONSTRUCTION REIMBURSEMENT PERCENTAGES**

The state school construction grants pay, upon a 20% to 80% sliding scale, a percent of eligible expenditures in accordance with a relative wealth rank. Poorer towns receive higher percentages of state support because of their lesser ability to support these costs with local tax dollars. The Adjusted Equalized Net Grand List per Capita (AENGLC) pursuant to C.G.S. 10-261(a)(5) is the measure of wealth.

AENGLC is defined as a combination of property tax base per person and income per person. Property tax base is used because it is the form of wealth taxed by Connecticut's towns. Per Capita Income (PCI) is used because the income from which taxes are paid has an important effect on town taxing capacity. ENGL is the Equalized Net Grand List which represents the value of taxable real and personal property at 100% of fair market value. The determination of AENGLC is computed as follows:

$$\frac{\text{ENGL}}{\text{Population}} \quad \times \quad \frac{\text{PCI}}{\text{Highest PCI}}$$

For 1999-2000 the following data was used:

- 1995 ENGL
- 1996 Population
- 1989 PCI

Since the data used to derive AENGLC is town-based, for regional school districts, regional education service centers (RESCs), the endowed academies and approved interdistrict cooperative schools, statute provides for member population-weighted wealth ranks to be used to derive their percentages.

REIMBURSEMENT RATE EXCEPTIONS AND BONUSES

- **Approved** regional special education facilities, vocational agriculture centers and interdistrict magnet schools are eligible for 95% state funding.
- Projects for central administration are eligible for half the state reimbursement percentage. The exceptions are projects for roof replacement or correction of code violations which are eligible for the full rate.
- Secondary and K-12 regional districts receive additional 5 and 10 percentage points respectively, not to exceed 85%.
- The expansion, alteration or renovation of an existing public school for conversion to an **approved** lighthouse school pursuant to C.G.S. 10-266cc is eligible for an additional 10 percentage points.
- Construction projects for public schools may be increased up to an additional 10 percentage points based on the number of out-of-district (CHOICE) spaces for participation in programs pursuant to C.G.S. 10-266aa as amended by Public Act 99-289(13).
- New construction or expansion of an elementary school for **approved** school readiness programs pursuant to C.G.S. 10-16p is eligible for an additional 5 percentage points, not to exceed 95%, for that portion of the building used primarily for such school readiness program.
- Subject to C.G.S. 10-285a(h) and 10-285d, projects for construction at an elementary school building in a priority school district or for a priority school, if necessary to offer an **approved** full-day kindergarten program pursuant to C.G.S. 10-265f, are eligible for an additional 10 percentage points for the portion of the building used primarily for such full-day kindergarten program.
- Subject to C.G.S. 10-285a(h) and 10-285d, projects for construction at an elementary school building in a priority school district or for a priority school, if **approved** as necessary to reduce class size pursuant to C.G.S. 10-265f, are eligible for an additional 10 percentage points for the portion of the building used primarily for such reduced class sizes.

CURRENT POLICY OF SDE REGARDING CODE COMPLIANCE

- All current project work must comply with applicable codes including any existing systems that interface with current project work. Any other code violations (not part of the project being reviewed) that are evident from the drawings provided shall be documented and the applicant and appropriate code officials shall be notified of SDE findings.
- In the event of substantial alteration or extension of a building, SDE will review the entire facility to the extent appropriate to determine building conformance with Section 504 and ADA accessibility regulations for persons with disabilities.
- Local education agencies will not be required to provide SDE with any written plan or specific time frame within which they will address code/ADA violations noted during the review but determined to be beyond the scope of the project under review. Notice of the violations and the language from the various codes regarding remediation will be provided to the local education agencies for information purposes.

There is no SDE regulation that prohibits a district from adding a wing to an existing building without updating the entire facility for code compliance. Similarly, a project for alterations on a *portion* of a building would carry no obligation to address the *entire* building for code compliance. Lastly, a project undertaken to correct certain specific code issues is allowable even though other code issues in the building are not being acted upon at that time.

Enforcement of codes is under the jurisdiction of other State and Federal agencies. Please call the [Plan Review Staff](#) with any questions.

PROGRESS PAYMENTS GENERAL DISCUSSION

- Section 10-287i of the Connecticut General Statutes requires grants for all school construction projects authorized by the General Assembly during the 1997 session and beyond and grants for all code projects approved on or after July 1, 1997, to be **paid on a current basis during the course of construction**. SDE refers to this payment process as **PROGRESS PAYMENTS**.
- Progress Payments are wired into a Reich & Tang tax-exempt mutual fund. Unlike *non-Progress Payment projects*, the State retains all interest accrued on unused balances. Therefore, a separate sub-account must be established with Reich and Tang before any Progress Payments can be made. Contact [Annette McCall](#) at (860) 713-6466 with any questions related to setting up this account.
- Progress Payments require two months of SDE processing time. Therefore, cash needs must be projected at least 60 days in advance by the district. Payment requests may be submitted no sooner than every other month. Payment requests received within a month of the previous request will not be processed. See [Sample Progress Payment Timelines](#).
- Progress Payments may be released for Architectural Design, Site Acquisition, or Construction needs. Payment is contingent upon districts meeting specific requirements. See table titled [Progress Payment Requirements Prior to Reimbursement](#).
- The State withholds five percent of the grant pending completion of an audit. (This five percent is withheld from each Progress Payment made.) This means that at the conclusion of the project, it will be necessary for the district to *temporarily* cover the full costs of the remaining five percent of project costs. See [Project Completion and Audit](#).

PROGRESS PAYMENT REQUIREMENTS PRIOR TO REIMBURSEMENT

<u>Type of Expenditure</u>	<u>State Grant Authorization</u>	<u>SDE Site Inspection & Approval</u>	<u>Two Independent Appraisals</u>	<u>Purchase Price Document</u>	<u>SDE Architectural Plan Approval</u>
Architectural Design and Professional Fees	X				
Site Acquisition	X	X	X	X	
All Other Costs (Construction and FF&E)	X				X

See also [Sample Progress Payment Timelines](#)
[Request State Share of Design Costs](#)
[Request State Share of Site Acquisition Costs](#)
[Request State Share of Eligible Construction Costs](#)

SAMPLE PROGRESS PAYMENT TIMELINES

<u>Two-Month Period Covering Planned Expenditures</u>	<u>Date By Which SFU Must Receive Form ED046</u>	<u>SDE Review & Processing</u>	<u>Date By Which Payment will be Made to Reich & Tang Sub-Account</u>
Dec / Jan	November 1	Month of November	December 15
Jan / Feb	December 1	Month of December	January 15
Feb / Mar	January 1	Month of January	February 15
Mar / Apr	February 1	Month of February	March 15
Apr / May	March 1	Month of March	April 15
May / Jun	April 1	Month of April	May 15
Jun / Jul	May 1	Month of May	June 15
Jul / Aug	June 1	Month of June	July 15
Aug / Sept	July 1	Month of July	August 15
Sept / Oct	August 1	Month of August	September 15
Oct / Nov	September 1	Month of September	October 15
Nov / Dec	October 1	Month of October	November 15

SUMMARY OF KEY GRANTEE RESPONSIBILITIES

The following are highlights only; this is not intended to be an all-inclusive list.

- **Records must be maintained for a period of three years following final audited payment of a School Construction grant.** Records must include documentation which discloses all project and site acquisition costs and the amount, sources and disposition of all funds received for a project.
- For purposes of audit, all books, documents, papers and records of the applicant that are pertinent to the grant shall be submitted for state review upon SDE request.
- All proceeds of a school building project grant must be promptly applied to meet project costs or site acquisition costs, if applicable.
- No school building project for which state assistance is sought shall be undertaken at an expense exceeding the sum which the town or regional district may approve for the project.
- If a grant overpayment is made to an applicant, the amount of such overpayment shall be repaid upon SDE request.
- No project or phase thereof, for which state assistance is sought, may go out for bidding purposes without prior *written approval* of the plan and site by SDE.
- The grantee shall promptly notify the commissioner of the [Start of Construction Date](#).
- All legislative and regulatory requirements are to be met in the awarding of contracts. Bidding requirements must comply with the provisions of C.G.S. Section 10-287(b), and the [SDE Policy on Allowances](#).
- The applicant shall notify SDE promptly, and submit copies for approval, of any final plan changes, [Change Orders and Addenda](#).
- Final application for a school building project grant is to be made within 1 year of completion and acceptance of the project by the local board of education. Failure to submit the final application within one year may result in the withholding of ten per cent of the state grant for a project.

PART ONE: APPLYING FOR A GRANT

Application Submission Deadlines

Priority List Projects

- **June 30 is the filing deadline for Priority List projects** to be submitted to the Governor and the General Assembly for consideration during the subsequent regularly scheduled session.
- Grant commitments will not become effective until such projects have been approved by the General Assembly and the bill has been signed by the governor.

Non-Priority List Projects

- Projects to remedy damage from fire and catastrophe, to correct safety, health and other code violations, to replace roofs, to purchase relocatable classrooms, or to remedy an indoor air quality emergency may be submitted *continuously* throughout the fiscal year.

See also [Types of Priority List Projects](#)
[Types of Non-Priority List Projects](#)

PART ONE: APPLYING FOR A GRANT

Types of Priority List Projects

Of the projects eligible for school construction grants, Priority List projects include all types of construction except projects to replace roofs, remedy damage from fire and catastrophe, to correct safety, health and other code violations, to purchase relocatable classrooms, or to remedy a certified indoor air quality emergency. (See [Non-Priority List Projects](#).) Priority List projects include the following:

[Alteration](#)

[Energy Conservation](#)

[Extension](#)

[New Schools](#)

[Facility Purchase](#)

[Renovation](#)

[Educational Technology Infrastructure](#)

[Vocational Agriculture Equipment](#)

Priority List projects must be submitted to the General Assembly with a request for authorization to enter into grant commitments.

Grant commitments for Priority List projects become effective only after such projects have been approved by the General Assembly and the bill has been signed by the governor.

Priority List projects are subject to a [Start of Construction Deadline](#).

See also [Priority List Projects—Priority Category Placement
Key Dates for Priority List Projects](#)

PART ONE: APPLYING FOR A GRANT
Priority List Projects—Priority Category Placement

In accordance with C.G.S. 10-283(a)(2), Priority List projects are assigned to one of three categories based upon the described need for the project. For category definitions and examples, see:

[Priority Category A](#)

[Priority Category B](#)

[Priority Category C](#)

By October 1, SDE will notify applicants of the assigned category for Priority List projects which were submitted prior to the preceding June 30. Note that if additional information is received for a project *after* initial category placement, a re-evaluation may occur and a revised category placement may be issued, if warranted.

PRIORITY CATEGORY A

Per the law, Priority Category A projects create new facilities or alter existing facilities to *provide for* mandatory instructional programs pursuant to this chapter, for physical education facilities in compliance with Title IX of the Elementary and Secondary Education Act of 1972 where such programs or such compliance cannot be provided within existing facilities or for the correction of code violations which cannot be reasonably addressed within existing program space.

Typical examples of Category A projects:

- Addition of 1,000 square feet of space to an existing women's locker room at a high school to achieve compliance with Title IX
- Building a new middle school to alleviate extreme overcrowding within a district

PRIORITY CATEGORY B

Per the law, Priority Category B projects create new facilities or alter existing facilities to *enhance* mandatory instructional programs pursuant to this chapter or provide comparable facilities among schools to all students at the same grade level or levels within the school district unless such project is otherwise explicitly included in another category pursuant to this section

Typical examples of Category B projects:

- Projects for LANs and other educational technology infrastructure improvements when done as alterations to existing buildings
- Expansion of the existing media center at a middle school to make it comparable to the facilities at a second middle school within a district
- Projects for purchase of Vocational Agriculture Equipment needed to enhance programs at a regional vocational agriculture center
- A project for construction of a new elementary school to replace one that is in a state of disrepair and can no longer be feasibly maintained

PRIORITY CATEGORY C

Per the law, Priority Category C projects create new facilities or alter existing facilities to provide supportive services, provided in no event shall such supportive services include swimming pools, auditoriums, outdoor athletic facilities, tennis courts, elementary school playgrounds, site improvement or garages or storage, parking or general recreation areas.

Typical examples of Category C projects:

- Projects for window replacements for energy conservation reasons at existing facilities
- All projects at Board of Education Central Administration offices (except projects solely for the correction of code violations which are deemed Non-Priority List Projects). See also [Types of Non-Priority List Projects](#).

PART ONE: APPLYING FOR A GRANT
Typical ~~TIMELINES FOR PRIORITY PROJECTS~~

The following time

Dates for Priority List Projects

June 30, 2008	Deadline for Priority List projects to be submitted to Governor and General Assembly for consideration during the subsequent regularly scheduled session
Oct. 1, 2008	SDE notifies applicants of assigned Priority Category for Priority List projects
Dec. 15, 2008	SDE submits Priority List to Governor and Education Committee
Feb. 1, 2009	Education Committee submits approved or modified Priority List to Governor and General Assembly
Spring/Summer 2009	General Assembly authorizes Commissioner of Education to enter into grant commitments on behalf of the state, <u>AND</u> SDE notifies applicants of grant commitments for projects on Priority List
Summer 2009	After applicants receive grant commitments, construction processes begin
Spring/Summer 2011	<u>Start of Construction Deadline</u>

PART ONE: APPLYING FOR A GRANT

Types of Non-Priority List Projects

Projects to remedy damage from fire and catastrophe, to correct safety, health and other code violations, to replace roofs, to purchase relocatable classrooms, or to remedy a certified indoor air quality emergency do not require submission to the Governor and the General Assembly. The commissioner has the authority to issue grant commitments for these types of projects.

Grant commitments for such Non-Priority List projects are issued after a complete grant application is received by SDE and approved by the commissioner.

Non-Priority List projects are subject to a [Start of Construction Deadline](#).

See also [Code Updates](#).

[Roof Replacements](#)

[Relocatables](#)

[Certified Indoor Air Quality Emergency](#)

**PART ONE: APPLYING FOR A GRANT
Complete Application Package**

The application for a school construction grant must include all of the following:

[Form ED049](#)

[Certified Copies of the Three Local Legislative Authorizations](#)

[Educational Specifications for the Project](#)

[Board of Education's Written Approval of Educational Specifications](#)

[Enrollment Projections](#)

[Programmatic Approval](#) (interdistrict magnets, vocational agriculture, regional special ed)

[Vo-Ag Equipment List](#), if Applicable

[Cost Estimating Worksheet \(Part B\)](#)

[Local Funding Authorization](#)

[Grant Application Submission Check-List](#)

Form ED049 is required to be electronically submitted via the School Construction Grant Management System (SCGMS). All other supporting documentation may be compiled and delivered to:

**State Department of Education
Bureau of School Facilities – Room 258
165 Capitol Avenue
Hartford, CT 06106**

Or mailed to:

**State Department of Education
Bureau of School Facilities – Room 258
P. O. Box 2219
Hartford, CT 06145**

PART ONE: APPLYING FOR A GRANT
Form ED049
**Grant Application and Executive Summary of Educational Specifications for a
School Building Project**

The ED049 form is the multiple page grant application for a school construction project. It collects a variety of data about a proposed project including but not limited to: reason(s) for project, cost information, financing information, nature of work to be undertaken, square footage details, projected enrollment, and grade range. Click here to access the [ED049](#) form and its [instructions](#).

See also application hints in the following areas: [Square Footage](#)
[Grade Range](#)
[Highest 8-Year Projected Enrollment](#)

SQUARE FOOTAGE

For projects subject to [Space Standards](#), existing square footage will be pre-filled on the School Construction Grant Management System (SCGMS) electronic Form ED049 with the amount of square footage as last reported by the district on Form ED050, *School Facilities Survey*.

After plan review has taken place, square footage will be revised to be consistent with the architectural plans submitted for the project.

Building Area Definition

For grant purposes square footage is *Building Area* as defined in the State Building Code. It is the area included within surrounding exterior walls (or exterior walls and fire walls) exclusive of vent shafts and courts. Areas of the building not provided with surrounding walls shall be included in the building area if such areas are included within the horizontal projection of the roof or floor above.

GRADE RANGE

For projects subject to [Space Standards](#), grade range reported on Form ED049 must be consistent with the grade range listed in the *Connecticut Education Directory*.

If the grade range does not match that in the *Connecticut Education Directory*, the [Educational Specifications](#) for the project must contain an acceptable explanation (e.g., redistricting of students or reconfiguration of grades within a district's schools).

HIGHEST 8-YEAR PROJECTED ENROLLMENT

For projects subject to [Space Standards](#), the enrollment projection:

- must be taken from an 8-year window period which begins with projected enrollment for the October following your application.
- may be revised only until the date of plan submission, however, the window period cannot be changed
- must be a bonafide projection specific to the school facility for which a grant application is submitted
- may be documented by projections created by SDE (if adjusted to the specific facility) or by the New England School Development Council (NESDC)
- may be created internally by the district if a reasonable methodology is used and documentation supports the data

NEW

Enrollment projections are required to be submitted as part of the grant application effective for applications submitted July 1, 2007 and later. For grant applications submitted prior to July 1, 2007, enrollment projections may be requested during the course or construction and, if not provided sooner, will be requested at the time of audit.

See [Highest Eight-Year Projected Enrollment Example](#)

EXAMPLE OF EIGHT-YEAR PROJECTED ENROLLMENT

For an application received by SDE on June 30, 2008, the 8-year window period would begin with October 2008 and would end with October 2015. In this example, the highest 8-year projected enrollment would be 575.

Time Period	Oct 2008	Oct 2009	Oct 2010	Oct 2011	Oct 2012	Oct 2013	Oct 2014	Oct 2015
Projected Enrollment	500	515	525	529	548	561	575	560

BE REMINDED THAT BUILDING *CAPACITY* IS NOT THE SAME THING AS *PROJECTED ENROLLMENT*. CAPACITY CANNOT BE SUBSTITUTED FOR PROJECTED ENROLLMENT.

PART ONE: APPLYING FOR A GRANT
Certified Copies Of The
Three Local Legislative Authorizations

As required by statute, application for a school construction grant must include a certified copy of three authorizations adopted by the [Local Legislative Body](#).

The three authorizations may be done as one or as several resolutions. They must cover the following:

- 1) the board of education must be authorized to apply to the Commissioner of Education and to accept or reject such grant
- 2) a building committee must be established for the project
- 3) authorization must be given for at least the preparation of schematic drawings and outline specifications for the proposed project

See [Appointment of a Building Committee](#)
[Samples of Three Local Authorizations](#)

PART ONE: APPLYING FOR A GRANT

Appointment of a Building Committee

For each construction project, a building committee must be officially appointed. The building committee interacts with design professionals, board of education members, parents, teachers, other local committees, and the State Department of Education. In effect, they are in the driver's seat of the project and are responsible for implementing the educational specifications approved by the Board of Education.

Specific duties, responsibilities, and authority of the building committee are not defined in statute or regulation. When appointed, the building committee should have a specific charge and a clearly defined place in the district's hierarchy. Outlining these things up front will prevent questions of authority and responsibility as the project progresses.

- **Exercise caution when appointing committee members giving heed to potential conflicts of interest.**
- **Be mindful of the duration of school construction projects when appointing members to a building committee. New schools can take four or more years to complete.**

See also: [Standing Building Committees](#)
[Building Committee Size](#)
[Building Committee Constitution](#)

STANDING BUILDING COMMITTEES

- Projects are sometimes referred to public building commissions or permanent school building committees.
- For projects referred to a standing building committee, the application for grant *must still include* a certified copy of a local legislative authorization for a building committee.
- The language for the resolution should include a project-specific reference and a referral to the standing committee.

BUILDING COMMITTEE SIZE

Committee size should be determined by the nature of construction. For smaller code update projects or roof replacements, a committee may consist of one or a handful of members. For construction of a new school, a larger committee should be appointed to include members having expertise in a variety of areas.

- **Exercise caution when appointing committee members giving heed to potential conflicts of interest.**
- **Be mindful of the duration of school construction projects when appointing members to a building committee. New schools can take four or more years to complete.**

BUILDING COMMITTEE CONSTITUTION

A committee should include members selected for professional expertise they bring to a project (e.g., architects, engineers, financial advisors, and contractors). Members who represent the field of education and the community at large should also be given consideration.

- **Exercise caution when appointing committee members giving heed to potential conflicts of interest.**
- **Be mindful of the duration of school construction projects when appointing members to a building committee. New schools can take four or more years to complete.**

SAMPLES OF THREE LOCAL AUTHORIZATIONS

Replace the underscored/italicized phrases as appropriate.

RESOLVED, that the *legislative body* authorizes the *town/district/RESC/academy* Board of Education to apply to the Commissioner of Education and to accept or reject a grant for the *proposed project* at the *school name*.

RESOLVED, that the *building committee* is hereby established as the building committee with regard to the *proposed project* at the *school name*.

RESOLVED, that the *legislative body* hereby authorizes at least the preparation of schematic drawings and outline specifications for the *proposed project* at the *school name*.

LOCAL LEGISLATIVE BODY

As defined in the Section 10-287c-1(9) of the Connecticut General Statutes, the legislative body is:

Grant Applicant

Regional School District

Regional Education Service Center

Municipality

Incorporated or Endowed High School or Academy
Eligible for School Construction Pursuant to
C.G.S. 10-285b

Legislative Body

Board of Education

Governing Board

Governing Body (e.g., Representative
Town Meeting, Board of Selectman)

Governing Board



EDUCATIONAL SPECIFICATIONS

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**BOARD OF EDUCATION APPROVAL
OF EDUCATIONAL SPECIFICATIONS**

C.G.S. Section 10-287c-11 requires an application for a school construction grant include one copy of the educational specifications for the project *as approved by the local or regional board of education or governing body of such other eligible grant recipient.*

Therefore, a copy of the resolution approving the educational specifications must be submitted as part of the grant application for the proposed school construction project.

PROGRAMMATIC APPROVAL

Formal approval by the appropriate SDE programmatic office for specific types of school construction projects is required in order to secure a 95 percent reimbursement rate for the project. Formal programmatic approval is also needed to complete the school construction grant application for these projects as follows:

Program Type

Interdistrict Magnet Schools:

Sheff Magnet

SDE Program Office

SDE Sheff Office

Jack.Hasegawa@ct.gov

Other Magnets

Bureau of Choice Programs

Mark.Linabury@ct.gov

Vocational Agriculture

Bureau of Curriculum and Instruction

Gregory.Kane@ct.gov

Regional Special Education Center

Bureau of Special Education

AnneLouise.Thompson@ct.gov

VOCATIONAL AGRICULTURE EQUIPMENT LIST

Vocational Agriculture Equipment must be approved by the SDE Bureau of Curriculum and Instruction within the Division of Teaching, Learning and Instructional Leadership *before it can be eligible for 95 percent payment as a school construction grant.*

A copy of the signed approval letter must be submitted with the ED049 application package.

Contact [Greg Kane](#) of the Bureau of Curriculum and Instruction at (860) 713-6756 for information regarding this approval.

See also [Vocational Agriculture Equipment Projects Designated as Regional Vo-Ag or Regional Special Education Centers](#)

COST ESTIMATING WORKSHEET Worksheet Part A

This worksheet is designed to aid districts in preparing and evaluating anticipated project costs. It includes a list of possible project components for which a district must calculate the cost per square foot. Also, a calculation is required to determine soft costs as a percentage of construction costs.

Cost Estimating Worksheet A is incorporated into the school construction grant application (Form ED049) which is required to be electronically submitted via the School Construction Grant Management System (SCGMS).

In the event that the calculated amounts fall outside of the normal range of costs per square foot, a written explanation may be requested of the district as part of the application review.

Costs reported on Part A of the Cost Estimating Worksheet must agree with costs reported on Part B of the Cost Estimating Worksheet.

See also the document [Cost Estimating Worksheet](#)
[Cost Estimating Worksheet Part B](#)

COST ESTIMATING WORKSHEET Worksheet Part B

This worksheet is designed to aid districts in more accurately projecting costs for proposed projects. It includes a detailed list of construction costs, by division, which mirrors the industry standard (Construction Specifications Institute).

It is strongly recommended that the Cost Estimating Worksheet Part B be completed by a professional cost estimator. However, districts may avail themselves of the services of suitably qualified technical staff on the town or district payroll.

Costs reported on Part B of the Cost Estimating Worksheet must agree with costs reported on Part A of the Cost Estimating Worksheet.

This worksheet is required for each project with estimated costs exceeding \$2 million. It must be received by the Bureau of School Facilities no later than the September 30th following grant application. For projects costing \$2 million or less, submission of the worksheet is not required as part of the application; maintain it at the local level with other project documentation.

See also the document [Cost Estimating Worksheet](#)
[Cost Estimating Worksheet Part A](#)

SPACE STANDARDS WORKSHEET

This worksheet will assist districts in computing the maximum allowable square footage that the State Department of Education will support with a state grant for this project. Space standards are calculated automatically when a grant application (Form ED049) is submitted electronically via the School Construction Grant Management System (SCGMS).

See also the document [Space Standards Worksheet](#)
[Space Standards](#) (Discussion of)
[Sample Space Standards Calculations](#)

GRANT APPLICATION SUBMISSION CHECK-LIST

This checklist was developed to insure the completeness of grant applications submitted to the State Department of Education.

All components of the grant package are listed on this checklist, and a signature to attest to completeness of the application is required.

Click here for a copy of the actual [Grant Application Submission Check-List](#).

REIMBURSEMENT RATE BONUSES

Program Approvals

To qualify for a reimbursement percentage bonus under any of the programs listed below, the program must be certified by the appropriate programmatic division of SDE. Click on the program of interest.

[Interdistrict Magnet](#)

[Regional Vocational Agriculture Equipment](#)

[Regional Vocational Agriculture Center](#)

[Regional Special Education Center](#)

[School Readiness Program](#) (Form ED049 Schedule 9)

[Lighthouse Schools](#) (Form ED049 Schedule 9)

[Out-of-District Students \(CHOICE\)](#) (Form ED049 Schedule 9)

[Full-day Kindergarten](#) (Form ED049 Schedule 9)

[Reduced Class Size](#) (Form ED049 Schedule 9)

Projects Designated as INTERDISTRICT MAGNET SCHOOL

For construction projects at SDE-approved Interdistrict Magnet Schools, special endorsement of the proposed operating plan is required in order to receive a grant for 95 percent of eligible construction costs. Formal programmatic approval is required to complete the grant application (Form ED049) for Interdistrict Magnet School construction projects.

Copies of the formal operating plan approval by the Commissioner must be included with the school construction project grant application package submitted for the June 30 deadline. Failure to receive the necessary program approval may result in the proposed project not being submitted to the legislature for a grant commitment.

Progress payments for a magnet school cannot be made without the approval of the plan of operations by the commissioner.

For non-construction questions regarding interdistrict magnet schools and for guidance regarding the plan of operations, contact [Mark Linabury](#), Chief, Bureau of Choice Programs at (860) 807-2119.

Questions regarding interdistrict magnet schools approved pursuant to the *Sheff v. O'Neill* settlement, including guidance for their plan of operations, contact [Jack Hasegawa](#), Sheff Office at (860) 713-6544.

For construction questions and to request a waiver of the [Space Standards](#), contact the [Bureau of School Facilities](#).

**Projects Designated as
REGIONAL VO-AG OR REGIONAL SPECIAL EDUCATION CENTERS**

For projects at State Board of Education approved Regional Vocational Agriculture Centers or Regional Special Education Centers, special approval of the proposed project is required in order to receive a grant for 95 percent of eligible construction costs.

- Copies of the program approval must be included with the application for grant.
- Failure to receive the necessary endorsements may result in less than 95 percent reimbursement for a project.

Regional Vo-Ag Center projects

To obtain written approval for the project and for non-construction questions regarding Regional Vocational Agriculture Centers, contact [Greg Kane](#) of the Bureau of Curriculum and Instruction at (860) 713-6756.

Regional Special Education Center projects

Circular Letter C-6 issued August 19, 2003 by the Commissioner notified districts that the Department would not be able to accept, review and recommend to the State Board of Education the approval of Section 10-76e school construction grants other than code compliance projects. This decision was the result of the settlement agreement arising from the disposition of *P.J., et al v. State of Connecticut, Board of Education et al.* Generally, the Department supports the belief that goals for students with disabilities are best achieved in the child's local school and in a least restrictive environment consistent with the intent, spirit and language of the Individuals with Disabilities Education Act (IDEA).

To obtain more information regarding program approval for regional special education centers, contact [Anne Louise Thompson](#), Chief, Bureau of Special Education.

For construction questions and to request a waiver of the [Space Standards](#), contact the [Bureau of School Facilities](#)

See also [Vocational Agriculture Equipment List](#).

SCHOOL READINESS

- The project must be for a new elementary school building or the expansion of an existing elementary school building.
- The project must include space for a school readiness program.
- If approved, the reimbursement percentage shall be increased by five percentage points, but shall not exceed one hundred percent, for the portion of the building used primarily for school readiness.
- The total square footage of the project area, and that portion of such square footage that is to be used primarily for the school readiness program, are required in order to calculate the bonus. (See ED049 Schedule 9.)

For programmatic questions related to School Readiness, contact [Harriet Feldlaufer](#), Chief, Bureau of Early Childhood Education, at (860) 713-6528.

For construction questions, contact the [Bureau of School Facilities](#).

LIGHTHOUSE SCHOOLS

- This project must be located in an existing public school building and must be for the expansion, alteration or renovation necessary to convert the building for use as a lighthouse school.
- If approved, the reimbursement percentage shall be increased by ten percentage points.

For programmatic questions related to Lighthouse Schools, contact attorney [Karen Flanagan](#), Director, Division of Legal and Governmental Affairs, at (860) 713-6517.

For construction questions, contact the [Bureau of School Facilities](#).

OUT-OF-DISTRICT STUDENTS (CHOICE)

- Spaces must be made available for out-of-district students participating in the program established pursuant to section 10-266aa.
- If approved, the reimbursement percentage shall be increased by the number of CHOICE spaces made available, expressed as a percentage of the total projected enrollment of the school, provided that such percentage increase shall not exceed ten percent.
- The number of spaces that will be made available to such out-of-district students is required in order to calculate the bonus. Note that the number of CHOICE spaces made available must be included in the total enrollment projection figure. (See ED049 Schedule 9 and Schedule 6, Item f.)

For programmatic questions related to CHOICE, contact [Mark Linabury](#), Chief, Bureau of Choice Programs, at (860) 807-2119.

For construction questions, contact the [Bureau of School Facilities](#).

FULL-DAY KINDERGARTEN

- The project must be located in either an elementary school building within a priority school district or an elementary priority school building that is in a non-priority school district.
- The project must also be necessary in order to offer a full-day kindergarten program funded pursuant to an Early Reading Success grant program (C.G.S. 10-265f).
- If approved, the reimbursement percentage shall be increased by ten percentage points for the portion of the building used primarily for such full-day kindergarten program.
- The total square footage of the project area, and the portion of such square footage that is to be used primarily for such full-day kindergarten program are required in order to calculate the bonus. (See ED049 Schedule 9.)

For programmatic questions related to Full-Day Kindergarten, contact [Harriet Feldlaufer](#), Chief, Bureau of Early Childhood Education at (860) 713-6528.

For construction questions, contact the [Bureau of School Facilities](#).

REDUCED CLASS SIZE

- The project must be located in either an elementary school building within a priority school district or an elementary priority school building that is in a non-priority school district.
- The project must also be necessary for a reduced-sized class in grades kindergarten to three, inclusive, funded pursuant to an approved Early Reading Success grant program (C.G.S. 10-265f).
- If approved, the reimbursement percentage shall be increased by ten percentage points for the portion of the building used primarily for such reduced size classes.
- The total square footage of the project area, and the portion of such square footage that is to be used primarily for such reduced size classes are required in order to calculate the bonus. (See ED049 Schedule 9.)

For programmatic questions related to Reduced Class Size, contact [Harriet Feldlaufer](#), Chief, Bureau of Early Childhood Education, at (860) 713-6528.

For construction questions, contact the [Bureau of School Facilities](#).

PART TWO: LOCAL AUTHORIZATION OF PROJECT FUNDING

Local funding authorization must cover all project costs including any site acquisition costs. Section 7-345 of the Connecticut General Statutes requires local *authorization* of 100 percent of the project costs even if the local authority will actually be *funding* only its share.

For each school construction project, a district must receive a local authorization to

- *expend* 100 percent of project revenues and
- *finance* the [Local Share](#) of project costs.

Specific mechanism of approval is dictated by local charter and the general statutes.

- For minor codes, approval is often tied to funding of a line item in the BOE budget.
- For construction of a new school, funding is often done through a referendum.

A COPY OF THE LOCAL FUNDING AUTHORIZATION MUST BE SUBMITTED TO THE BUREAU OF SCHOOL FACILITIES IN ORDER TO COMPLETE THE GRANT APPLICATION PROCESS.

See also [Notifying SDE of Local Funding Authorization](#).
[Local Share](#)
[Other Sources of Funding](#)

LOCAL SHARE

Local share is most simply defined as project costs less the state school construction grant.

Local share includes all [Ineligible Costs](#), any costs for building construction in excess of [Space Standards](#), local share of any [Limited Eligible Costs](#), costs paid in excess of appraised values, and adjustment for [Other Sources of Funding](#).

SDE has designed two worksheets for use in determining local share:

[Calculation Type 1](#) is for projects with the following components only: Code or Health Violation, Roof Replacement, Central Administration (any type of project), Vocational Agriculture Construction or Equipment, or Building Purchase with No Alteration Component.

[Calculation Type 2](#) is for all projects not eligible for Calculation Type 1.

CAUTION: SIMPLY APPLYING THE DISTRICT'S REIMBURSEMENT RATE TO TOTAL PROJECT COSTS MAY UNDERSTATE THE LOCAL SHARE.

OTHER SOURCES OF FUNDING

Funding which is not directly from the town or the local board of education must be reported separately. This funding is classified as “Other,” and in the calculation of a school construction grant, these amounts effectively reduce the State Share.

Examples of Other Sources of Funding include, but are not limited to:

Insurance Proceeds
Federal Grants (e.g., Universal Service Fund)
Rebates (e.g., Northeast Utilities)
Other State Grants (e.g., Technology Infrastructure; Connecticut Clean Energy Fund)

See [Calculation Type 1](#) and [Calculation Type 2](#) for details on the impact of Other Funding.

PART TWO: LOCAL AUTHORIZATION OF PROJECT FUNDING
Notifying SDE of Local Funding Authorization

A copy of the local funding authorization must be submitted to SDE for all school construction projects. It should be submitted to the Bureau of School Facilities in order to complete the grant application (Form ED049) requirements. There is no state form for this notification. Instead, provide the following:

- For projects funded through a referendum, send the language of the referendum question as well as evidence of the voting outcome.
- For projects funded through line item(s) in a budget, send a copy of the budget and evidence of budget approval.
- For projects funded through a vote of the Representative Town Meeting, send a copy of the resolution as voted upon as well as evidence of the voting outcome.

If funding language does not specifically address a project and its corresponding dollar amount, you must also submit a cover letter which identifies projects by name and state project number and which includes individual project allocations.

NO GRANT APPLICATIONS WILL BE CONSIDERED COMPLETE AND NO GRANT COMMITMENTS CAN BE MADE UNTIL A COPY OF THE LOCAL FUNDING AUTHORIZATION HAS BEEN RECEIVED BY THE BUREAU OF SCHOOL FACILITIES.

PART THREE: REQUEST STATE SHARE OF DESIGN COSTS

The *first* grant payments for which a district may be eligible is the State Share of Design Costs. (In the event that the initial payment request includes both Design Costs and Site Costs, see additional requirements under [Request State Share of Acquisition Costs](#).)

Prior to submitting the initial progress payment request, the following criteria must be in place:
[Complete Application Package](#)
[Grant Commitment](#)

The mechanism by which districts request the State Share is Form ED046, Request for School Construction Progress Payments.

Note: Five percent of all grant payments for a project will be withheld until

- the project is accepted as complete by the district,
- final costs and all other final documentation is submitted to SDE,
- the audit is completed, and
- the final audited grant amount determined.

See also [Form ED046](#)

GRANT COMMITMENT

Grant commitments for [Priority List Projects](#) become effective only after such projects have been approved by the General Assembly and the bill signed by the governor.

Grant commitments for [Non-Priority List Projects](#) are issued after a complete grant application is received by SDE and approved by the commissioner.

When a grant commitment is issued, the Bureau of School Facilities will send out a formal letter of notification (“Grant Commitment Notification”) which includes specific language regarding the state’s commitment to a project.

**FORM ED046
Request for School Construction Progress Payments**

**ALL ED046 PAYMENT REQUESTS NEED TO BE
ELECTRONICALLY SUBMITTED VIA THE
SCHOOL CONSTRUCTION GRANT MANAGEMENT SYSTEM (SCGMS)**

Form ED046 is due on or before the first of the month. Because the ED046 payment cycle is a bimonthly one, forecast cash needs at least 60 days in advance.

Payment requests may be submitted no sooner than every other month. Payment requests received within a month of the previous request will not be processed.

After receipt of Form ED046, SDE performs a project file review. Issues are identified by SDE and communicated in writing or email to the local BOE. It is anticipated that a district will work to resolve identified issues by the time of the next payment request submission. *The complete SDE review and payment cycle is about 45 days, but a district's failure to satisfactorily address outstanding issues will result in a delay of payment.*

Payment is made via wire transfer to the appropriate Reich and Tang subaccount on or about the 15th of the month following ED046 submission. (e.g., Payment requests submitted on or before November 1 will receive a progress payment on or about December 15.)

See also

[ED046 Form and Instructions](#)
[Sample Progress Payment Timelines](#)
[Ineligible and Limited Eligible Costs](#)
[Changes in Project Cost and/or Scope](#)

**PART FOUR: SITE ACQUISITION and/or PURCHASED BUILDING
SDE Inspection and Approval for Use**

Districts must contact SDE to request an inspection and approval of:

- site acquired for a school construction project
- building purchased for use as a school or Board of Education Central Administration

A Site Analysis Form ([ED053](#)) must be submitted for all projects which include the acquisition of land.

For reimbursement purposes, no distinction is made between developable and undevelopable land. If a site includes areas classified as inland wetlands upon which you may not develop, such wetlands and any other unusable portions of a site will be included as part of the total site in determining the acreage for calculation purposes.

See additional requirements and limitations under [Purchase Projects](#)
[Purchase Projects—Limits](#)
[Site Acquisition](#)
[Site Acquisition—Limits](#)
[Site Acquisition Standards](#)

PART FOUR: SITE ACQUISITION and/or PURCHASED BUILDING
Request State Share of Acquisition Costs

Prior to submitting a progress payment request for site acquisition costs, the following criteria must be in place:

[Form ED053](#)
[Complete Application Package](#)
[Grant Commitment](#)

[SDE Inspection and Approval for Use](#)
Two Independent Appraisals
Actual Site or Facility Purchase Costs

The mechanism by which districts request the State Share is Form ED046 Request for School Construction Progress Payments.

Purchase costs for a building subject to interior alterations or for relocatable units are not eligible for state share until applicable architectural plan approval is granted by SDE.

Note: Five percent of all grant payments for a project will be withheld until

- the project is accepted as complete by the district,
- final costs and all other final documentation is submitted to SDE,
- the audit is completed, and
- the final audited grant amount determined.

See also [Form ED046](#)

PART FIVE: ARCHITECTURAL PLAN APPROVAL

CAUTION: NO PHASE OF A SCHOOL CONSTRUCTION PROJECT MAY BE LET OUT FOR BID WITHOUT HAVING PRIOR WRITTEN ARCHITECTURAL PLAN APPROVAL FROM THE STATE DEPARTMENT OF EDUCATION.

Projects may be performed in phases; however, each separate and distinct phase of a project must receive SDE architectural plan approval. Consult [Construction Document Guidelines for School Districts and Design Professionals](#) for plan review requirements related to phased projects.

NEW

A Flood Management Certification must be submitted for: construction at any facility located within a floodplain, construction which will affect a floodplain, and construction which will affect a natural or man-made storm drainage facility. An application for this certification along with supporting documentation must be submitted to the State Department of Environmental Protection (DEP). DEP approval shall be forwarded to the School Facilities Unit for review prior to SDE issuance of written plan approval. Please contact Arthur P. Christian of DEP at (860) 424-3706 with questions about the certification application process. Please contact [Craig Smith](#) of the Bureau of School Facilities at (860) 713-6486 with questions about the role of floodplain certification in the school construction plan approval process.

[Local Plan Review Option](#)

[Bureau of School Facilities Pre-Review Evaluation Process \(PREP\) Meeting](#)

[Preparation of Final Plans and Specifications](#)

[Bureau of School Facilities Plan Completion Test \(PCT\) Meeting](#)

[Bureau of School Facilities Plan Review and Approval Process](#)

[Sample Plan Approval Letter](#)

[Construction Document Guidelines for School Districts and Design Professionals](#)

PART FIVE: ARCHITECTURAL PLAN APPROVAL

Local Plan Review Option

The Local Plan Review Option is limited to the following types of projects:

- Oil Tank Replacement (all, regardless of cost)
- Roof Replacement (all, regardless of cost)
- Asbestos Abatement (costs cannot exceed \$1 million)
- Code Violation Correction (costs cannot exceed \$1 million)
- Certified Indoor Air Quality Emergency
- Energy Conservation (costs cannot exceed \$1 million)
- Projects Not Funded by Chapter 173 Grant (all, regardless of cost)

If a construction project includes *only* the types of work listed above, alone or in combination, the Local Plan Review Option may be selected. For all other types of construction, plans must be submitted to the SDE for review and approval.

[Local Plan Review Option—Description](#)

[Local Plan Review Option—Requirements](#)

PART FIVE: ARCHITECTURAL PLAN APPROVAL

Local Plan Review Option—Description

- In lieu of plan review by the Bureau of School Facilities, districts may have local code officials *review* the architectural plans for compliance with all state and federal codes. (Be aware that local code officials are not required by law to conduct a review for the State Department of Education.)
- This option is available for limited projects: oil tank replacements (all); roof replacements (all); projects not funded by Chapter 173 grant (all); and asbestos abatement, code violation correction, certified indoor air quality emergency, and energy conservation (provided costs do not exceed \$1 million).
- This option is available only for single phase projects—phase 1 of 1. Projects with multiple phases should be reviewed by the Bureau of School Facilities.
- Local Review requires certifications by Local Building Official, Local Fire Marshall, Local Health Official, and Local Federal 504 Official. If any of these required certifications cannot be obtained locally, plan *review* and *approval* must be completed by the Bureau of School Facilities for such projects. Partial local review is not an option.
- **Option is available to supplant *review* of plans only. SDE written plan *approval* is still required prior to letting a project out for bid.**

See also [Local Plan Review Option—Requirements](#)
[Bureau of School Facilities Plan Review and Approval Process](#)
[Sample Plan Approval Letter](#)
[Construction Document Guidelines for School Districts and Design Professionals](#)

PART FIVE: ARCHITECTURAL PLAN APPROVAL
Local Plan Review Option—Requirements

- Completed Form [ED042](#) Request for Review of Final Plans (form side 1) and Request for State Acceptance of Local Plan Review and Approval (form side 2) must be submitted to SDE.
- Professional cost estimate must be submitted to SDE with Form ED042.
- [Ineligible and Limited Eligible Costs Worksheet](#) must be submitted to SDE with Form ED042.
- Copy of the reviewed plans and project manual must be kept on *file at the local board of education* until final grant payment has been made on this project. Do not submit plans and specifications to SDE with Form ED042.

Once SDE has determined that Form ED042 and required attachments are complete and accurate, a written plan approval letter will be issued. A PROJECT CANNOT BE LET OUT FOR BID UNTIL A PLAN APPROVAL LETTER HAS BEEN ISSUED.

SDE plan review of future projects at a facility may reveal errors, omissions, or oversights in prior reviews conducted by local officials. In such cases, code compliance will be required for areas impacted by construction. Call the Bureau of School Facilities with questions.

See also [Local Plan Review Option—Description](#)
[Bureau of School Facilities Plan Review and Approval Process](#)
[Sample Plan Approval Letter](#)
[Change Orders and Addenda](#)
[Construction Document Guidelines for School Districts and Design Professionals](#)

PART FIVE: ARCHITECTURAL PLAN APPROVAL
Bureau of School Facilities Pre-Review Evaluation Process (PREP) Meeting

- A PREP meeting is required for all projects which will undergo plan review by the Bureau of School Facilities in lieu of the [Local Plan Review Option](#).
- A PREP meeting should be held just prior to the start of the plan development process. PREP meetings should be scheduled as soon as the design team has been hired. When planning, keep in mind that meetings are limited to Mondays and Tuesdays and are scheduled on a first-come, first served basis.
- Participants at the meeting should include the chairperson of the school building committee, the chairperson of the Board of Education, the Superintendent of Schools, and a senior partner, job captain, drafter, and engineers for the architects designing the project. Other interested parties, including local officials, are invited to attend. (Historically, districts who attend PREP meetings without appropriate representation undergo delays in overall project deadlines and completion.)
- At the PREP meeting, a member of the Bureau of School Facilities plan review staff will review the code conformity process to be conducted by the architect and will also review the plan submission/review process to be conducted by the Bureau of School Facilities.
- The review conducted at the PREP meeting is intended to reduce to an absolute minimum any delays in the approval process and for all parties to commit to a set of submission standards.

See also [Construction Document Guidelines for School Districts and Design Professionals](#) for information about phasing and other aspects of building design.

PART FIVE: ARCHITECTURAL PLAN APPROVAL

Preparation of Final Plans and Specifications

- Final plans and specifications (a.k.a. contract documents) must be prepared, stamped, and signed by a registered architect or registered engineer.
- These are the actual documents that will go to bid following *written plan approval* by SDE.
- Change orders and addenda must also be submitted to SDE for review. See [Change Orders and Addenda](#).
- Establishing and adhering to timelines is crucial to all portions of a project. Relative to design, it is necessary to remain on schedule in order to meet the [Start of Construction Deadline](#) for all projects.

PART FIVE: ARCHITECTURAL PLAN APPROVAL

Bureau of School Facilities Project Completion Test (PCT) Meeting

- A PCT meeting is required for all projects which will undergo plan review by the Bureau of School Facilities (BSF) in lieu of the [Local Plan Review Option](#).
- A PCT meeting is held when **all stages** of the plan development process have been completed for a given design phase (including the code conformity and final coordination stage).
- PCT meetings should be scheduled well in advance to insure that districts get their preferred date. Keep in mind that meetings are limited to Mondays and Tuesdays and are scheduled on a first-come, first served basis.
- Participants at the meeting should include the Superintendent of Schools or a designee (someone who attended the [PREP](#) meeting) and the architects and consultants who attended the PREP meeting.
- Required documentation at the PCT meeting includes: final contract documents; completed Form [ED042](#) (Request for Review of Final Plans); completed Bureau of School Facilities Plan Review Checklists (See Construction Document Guidelines for School Districts and Design Professionals); [Ineligible and Limited Eligible Costs Worksheet](#) with column two completed; professional cost estimate; all code modifications; and approvals from other State Agencies, as applicable, including life cycle cost analysis (DPW), septic system (DEP), State Traffic Commission, and wheel chair lifts (DPS).
- It is the design professional's responsibility to ensure that the documents submitted indicate compliance to all codes, are the **final contract documents**, and are prepared in accordance with the BSF Guidelines and Standards.
- At the PCT meeting, a statistical sampling is made to ensure that the Master Checklist system (given to the design professionals during the PREP meeting) has been used completely. If it becomes evident that the design guidelines have not been followed, the plan review process will be terminated and the plans returned to the superintendent unapproved. If the documents pass this test, they are considered complete and will be accepted for SDE review.
- Once accepted as complete, plans will be placed in a review queue, and you will be informed of the target date for SFU to complete its review. If the Bureau of School Facilities determines that it cannot complete its review within 30 days, local *review* becomes an option under the [30-Day Exception](#).
- **A project cannot be let out for bid until SDE has issued a letter of plan approval which clearly states that the plans are approved and the project (or phase thereof) may be let out for bid.** See [Sample Plan Approval Letter](#).

See also [Construction Document Guidelines for School Districts and Design Professionals](#)

PART FIVE: ARCHITECTURAL PLAN APPROVAL

30-Day Exception

- Under this plan *review* option, districts may have local code officials *review* the architectural plans for compliance with all state and federal codes. (Be aware that local code officials are not required by law to conduct a review for the State Department of Education.)
- Local *review* requires certifications by Local Building Official, Local Fire Marshall, Local Health Official, and Local Federal 504 Official.
- If any of the required certifications cannot be obtained locally, plans must be submitted to SDE for review by the Bureau of School Facilities (BSF). The project will be placed in the SDE review queue, and you will be informed of the estimated date upon which the School Facilities Unit will complete its review.
- If the 30-Day Exception applies to a project and the district prefers to have the BSF review the plans, the project is placed in the SDE review queue, and you will be informed of the estimated date upon which BSF will complete its review.
- **30-Day Exception Option is available to supplant *review* of plans only. SDE written plan *approval* is still required prior to letting a project out for bid.**

Once SDE has determined that the requirements for local review have been satisfied and that the local officials' documentation is complete and accurate, a written plan approval letter will be issued. A PROJECT CANNOT BE LET OUT FOR BID UNTIL A PLAN APPROVAL LETTER HAS BEEN ISSUED. See [Sample Plan Approval Letter](#).

SDE plan review of future projects at a facility may reveal errors, omissions, or oversights in prior reviews conducted by local officials. In such cases, code compliance will be required for areas impacted by construction. Call the Bureau of School Facilities with questions.

See also [Bureau of School Facilities Project Completion Test \(PCT\) Meeting Construction Document Guidelines for School Districts and Design Professionals](#)

PART FIVE: ARCHITECTURAL PLAN APPROVAL
Bureau of School Facilities Plan Review and Approval Process

- The Bureau of School Facilities (BSF) review (mandated by general statute) requires that the BSF verify that the school construction documents comply with all state and federal codes and laws and report to the Commissioner of Education. As well, the BSF reviews all construction documents for items which are not eligible for reimbursement.
- If the BSF review uncovers code citations or comments are warranted, these items are documented in a “Plan Review Record” (PRR). All items documented in the PRR must be satisfactorily addressed using one of three options. See [PRR Issue Resolution](#) for the options.
- Corrections and responses to the PRR must be made to the final contract documents which will be bid. Therefore, the original drawings must be retrieved from the BSF by the design professional in order to complete the review and to obtain plan approval.
- **ONCE PRR ISSUES HAVE BEEN SATISFACTORILY RESOLVED, A WRITTEN PLAN APPROVAL LETTER WILL BE ISSUED. A PROJECT CANNOT BE LET OUT FOR BID UNTIL A PLAN APPROVAL LETTER HAS BEEN ISSUED.** See [Sample Plan Approval Letter](#).

NOTE: The Bureau of School Facilities review is separate from that which is required of the local officials prior to them issuing a building permit.

See also [Construction Document Guidelines for School Districts and Design Professionals](#)

PART FIVE: ARCHITECTURAL PLAN APPROVAL
Plan Review Record (PRR) Issue Resolution

If a project review results in code citations or comments are warranted, the items can be resolved by your local code officials or by the Bureau of School Facilities (BSF) using one of the following three options:

- Option One: The local code official or the BSF possess revised construction documents from the design professional(s) which implement the corrective action exactly as described in the citation/comment as listed in the PRR, *or*
- Option Two: The local code official or the BSF have received a signed and approved modification from the appropriate state authority having jurisdiction. If additional work is required for the modification, the local code official or the BSF have reviewed and approved all revisions, *or*
- Option Three: Other. Before taking this option, the local code official must call the reviewer to thoroughly explain why this option will be chosen. It is important to resolve the code issue and avoid potential delays in project approval. If Option Three is chosen and a code interpretation is needed, the appropriate state authority having jurisdiction shall be contacted.

PART FIVE: ARCHITECTURAL PLAN APPROVAL
Sample Plan Approval Letter

Month Day, Year

Dr. Richard Jones
Superintendent of Schools
Smithetown Public Schools
55 Fifth Street
Smithetown, XX 53684

Subject: State Project No. XXX-XXX, Smithetown Elementary School, Phase 1 of 2

Dear Dr. Jones:

This is to inform you that we have received and reviewed all necessary materials and approve the final plans submitted on this phase of the above-mentioned project(s) as required by Section 10-292 of the Connecticut General Statutes. Be aware that the review conducted by the State Department of Education is separate from that required by the local safety and health officials for permit. Also, please be reminded that **all addenda and change orders must be submitted to the School Facilities Unit for review and approval.**

NOTE: THIS PHASE OF THE PROJECT MAY BE LET OUT FOR BID, IN ACCORDANCE WITH THE PROVISIONS OF SECTION 10-291 AS AMENDED.

Please refer to Appendix B of the School Construction Grants Manual for a list of items for which the state does not provide reimbursement. You are required to identify all of these items occurring within your project(s), when reporting final costs to the State Department of Education. Your final grant amounts will be calculated in accordance with the final eligible expenditures made in connection with these projects after they are accepted as complete by your local Board of Education and all necessary submissions have been approved by the State Department of Education.

If you are in need of any assistance, please call the Bureau of School Facilities plan review staff at (860) 713-6490.

Sincerely,

David R. Wedge, Chief
Bureau of School Facilities

PART SIX: BID SDE-APPROVED PLANS

- All contracts over \$10,000 must be awarded to the lowest responsible qualified bidder after a public invitation to bid. (Exception: Bidding may be waived for contracts of an emergency nature *only if pre-approved by the Commissioner of Education*. In such cases, the contractor or vendor may be selected by negotiation, provided no local fiscal regulations, ordinances or charter provisions conflict.)
- **Effective July 1, 2007, architectural and construction management services are also required to be publicly bid and awarded to the lowest responsible qualified bidder.**
- Invitation to bid must be advertised in a newspaper having circulation in the town in which construction is to take place.
- A project cannot be let out for bid until SDE has issued a letter of plan approval which clearly states that the plans are approved and the project (or phase thereof) may be let out for bid.
- Any and all bids may be rejected for not meeting all conditions of the specifications. In such cases, the contractor or vendor may be selected by negotiation, provided no local fiscal regulations, ordinances or charter provisions conflict.
- The low bidder does not have to be awarded the contract if the district can document and justify that the low bidder is either not responsible or not qualified.
- Failure to publicly bid work results in grant ineligibility.
- **In no case shall a specific vendor be identified or required in a bid specification. However, bid specifications may include requirements of performance standards, product equivalency, or compatibility with existing systems or designs.**

At the completion of the project, the town or board attorney will be required to certify that bidding and posting of proper bonds was done in conformance with C.G.S. 10-287(b) and C.G.S. 49-41. Please call the Bureau of School Facilities with any questions related to bidding.

See [SDE Policy on Allowances](#)
[Use of State Contracts by Local Districts](#)
[Architect and Construction Management Services Bidding](#)

USE OF STATE CONTRACTS BY LOCAL DISTRICTS

Section 10-292(a), (c), and (d) of the Connecticut General Statutes permit the use of state contracts by school districts in lieu of bidding out the work or commodity separately.

Only after SDE plan approval, districts may access the state contracts for purposes of going forward with their project.

TO ACCESS THE STATE CONTRACTS:

- A. Use the Internet and go to <http://www.das.state.ct.us>.
- B. Click on "Procurement"
- C. Click "State Contracting Portal"
- D. Select the Commodity category desired from the drop-down menu. (Commodity categories are established by DAS.)
- E. Click the Contract Number.
- F. Print the first page or two of the contract which provides the vendor name, effective term of the contract, and state contract award number.

For School Construction record retention, keep the printouts obtained using Step F.

PART SIX: ISSUE CONTRACTS AND NOTIFY SDE OF START OF CONSTRUCTION

- Districts are required to report the “date of beginning of construction” for each project. For grant purposes, this date is more commonly referred to as the Start of Construction Date.
- This date is defined in the law as “the date on which the general construction contract or the first phase thereof, purchase agreement or leasing agreement is signed by the authorized agent of the town or regional school district.”
- For [Priority List Projects](#), construction must begin within two years of state legislative authorization. This is known as the [Start of Construction Deadline](#).
- [Non-Priority List Projects](#) are also required to begin construction within two fiscal years after the year of grant commitment.
- **The Start of Construction Date needs to be electronically submitted via the School Construction Grant Management System (SCGMS). A “Start of Construction Date” button can be accessed on the Project Menu of SCGMS.**

**THERE CAN BE NO GRANT PAYMENTS FOR CONSTRUCTION EXPENDITURES
UNTIL THIS DATE HAS BEEN REPORTED TO THE BUREAU OF SCHOOL
FACILITIES.**

**PART SIX: ISSUE CONTRACTS AND
NOTIFY SDE OF START OF CONSTRUCTION
Start Of Construction Deadline**

For [Priority List Projects](#), the general construction contract (or first phase thereof) must be signed within two years after the effective date of the act of the General Assembly authorizing the Commissioner to enter into a grant commitment. (This date is identified in the grant commitment letter for each Priority List Project.) Failure to meet this deadline will result in a lapse of grant authorization for the project.

Since June 2004, the Department's policy is to not permit extensions to the start of construction deadline except for extraordinary circumstances.

For [Non-Priority List Projects](#), the general construction contract (or first phase thereof) must be signed with two fiscal years after the fiscal year of the grant commitment.

**PART SIX: REQUEST STATE SHARE OF
ELIGIBLE CONSTRUCTION COSTS**

Prior to submitting a progress payment request for eligible construction costs, the following criteria must be in place:

<u>FOR ALL PROJECTS:</u> Completed Application Package Grant Commitment SDE Architectural Plan Approval Start of Construction Date	<u>ONLY IF APPLICABLE:</u> Form ED053 SDE Site Inspection and Approval Two Independent Appraisals Actual Purchase Documentation
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The mechanism by which districts request the State Share is Form ED046 Request for School Construction Progress Payments.

**REIMBURSEMENT IS LIMITED TO CONSTRUCTION COSTS ASSOCIATED WITH
THE PHASE OR PHASES FOR WHICH SDE ARCHITECTURAL PLAN APPROVAL
HAS BEEN GRANTED.**

Note: Five percent of all grant payments for a project will be withheld until

- the project is accepted as complete by the district,
- final costs and all other final documentation is submitted to SDE,
- the audit is completed, and
- the final audited grant amount determined.

See also [Form ED046](#)
[The Progress Payment Cycle](#)

PART SEVEN: THE PROGRESS PAYMENT CYCLE

- Project costs should be reviewed with each Progress Payment request and updated or revised as appropriate by the district.
- Projected expenditures *should be* updated for each payment request. (This includes revised data for [Ineligible and Limited Eligible Costs](#).)
- Forecast cash needs at least 60 days in advance when requesting Progress Payments.
- Payment requests may be submitted no sooner than every other month.
- Timing of payment requests is dependent upon local cash needs for a 60-day period of time. Districts may elect to *wait* on design fees and combine this request with the first request for construction money (after plan approval).
- **For projects costing less than \$5 million, once actual construction is underway and prior to finalization, districts must submit to SDE a copy of the Contractor's Application and Certificate for Payment (AIA Doc. G702). Districts must also provide the Continuation Sheets which provide cost detail for the project.** If the Contractor's Application and Certificate for Payment was not used, submit a copy of the job estimates/invoices. (For projects costing \$5 million or more, this information must be maintained at the local level and made available to SDE at the time of on-site audit for the project.) See [Audit of School Construction Projects](#).
- Five percent of the State Share will be withheld from each payment request until the project audit is complete.
- Change orders and addenda must be submitted to SDE as they occur. Do not compile large amounts of change orders and submit them together at the end of the project.

See [Form ED046](#)
[Change Orders and Addenda](#)

PART EIGHT: PROJECT COMPLETION AND AUDIT
Required Final Submissions

- When all construction is completed (including punch list items), and all bills and contractors have been paid, the project must be accepted as complete by the local Board of Education.
- Once the project has been accepted as complete, districts are required to submit:
 - [Form ED046](#) - Districts need to submit a “final” payment request reflecting cumulative expenditures equal to final project costs. This final payment request may or may not result in an actual grant payment because SDE will release only 95% of the state school construction grant prior to audit.
 - [ED049F Final Grant Application for a School Building Project](#)
 - [Ineligible and Limited Eligible Costs Worksheet](#) with Final Column Completed

IF A DISTRICT FAILS TO SUBMIT FORM ED049F WITHIN ONE YEAR FROM THE DATE THE LOCAL BOARD OF EDUCATION ACCEPTS THE PROJECT AS COMPLETE, THE COMMISSIONER MAY WITHHOLD TEN PERCENT OF THE STATE REIMBURSEMENT FOR THE PROJECT.

PART EIGHT: PROJECT COMPLETION AND AUDIT

The Final Calculation Process

- After receipt of final project documentation, SDE performs a final project file review prior to releasing the project for *final* grant calculation and payment computation.
- After final grant calculation, projects are forwarded to the State Department of Education Office of Internal Audit for review. See [Audit of School Construction Projects](#).
- If the audit results in no adjustments to the project, the final 5 percent is released.
- If the audit results in adjustments, a recalculation is performed. Adjusted payment is made **OR** a refund is requested in accordance with the grant recalculation.

Except for projects solely for the correction of code violations or for certified indoor air quality emergency projects, audited grant calculation for all Progress Payment projects will include computation of an amortization schedule for the State Share. The district will be subject to grant repayment provisions if they abandon, sell, lease, demolish or otherwise redirect the use of the school building project to a nonpublic school use during the amortization period.

See [Form ED046](#)
[Amortization Schedule and Grant Repayment](#)

PART EIGHT: PROJECT COMPLETION AND AUDIT
Amortization Schedule and Grant Repayment

- Except for projects solely for the correction of code violations, audited grant calculation for all Progress Payment projects will include computation of an amortization schedule for the State Share.
- For projects with costs equal to or greater than \$2 million, the state grant for the school building project will be amortized on a straight-line basis over a 20-year period.
- For projects with costs less than \$2 million, the state grant for the school building project will be amortized on a straight-line basis over a 10-year period.
- Any town or regional school district which abandons, sells, leases, demolishes or otherwise redirects the use of such a school building project to a non-public use during the amortization period shall refund to the state the unamortized balance of the state grant remaining as of the date the abandonment, sale, lease, demolition, or redirection occurs.
- The amortization period shall begin on the date the project was accepted as complete by the local Board of Education.
- A request for forgiveness of such refund may be submitted if the building is redirected for public use. Requests of this nature will be included as an addendum to the annual school construction Priority List and must be approved by the General Assembly.

PART EIGHT: PROJECT COMPLETION AND AUDIT

Audit of School Construction Projects

SDE has six months from receipt of final acceptable project documentation to complete its audit of a Progress Payment project. If the audit cannot be performed within this period, the applicant may have an independent audit performed and include the cost of such audit in the eligible project costs.

For on-site audits, the Office of Internal Audit will contact a district to coordinate and schedule the review. The documentation listed below must be readily available for SDE examination. (It is not necessary to make copies of this information.)

- Project ledger, general ledger, cash disbursements journal, or other schedule of project expenditures
- All contracts including, but not limited to, construction, architect, engineering, furniture, equipment, etc.
- All project change orders
- Competitive bid summaries for all contracts in excess of \$10,000
- All original paid invoices including, but not limited to, contractors' applications for payment (i.e., contractors' final invoices) and any other payment requests
- Schedule or summary of ineligible and/or limited eligible items and associated costs
- Documentation (e.g., architectural plans or assessor's card) for the building square footage
- Documentation for the highest eight-year projected enrollment for projects other than roof replacements, code violations and Board of Education facility projects
- Audited financial statements of the town for the fiscal years in which project expenditures were incurred
- Project Manual/Bid Specifications
- Additional information as requested at the time of audit

STATE PROJECT NUMBER ABBREVIATIONS

Sample of a State Project Number

<u>Town Code No.</u> 064	<u>Project Number</u> 102	<u>Project Type Abbreviation</u> EA/RR
Hartford	102 nd Project Undertaken	Extension, Alteration, & Roof Replacement

Project Type Abbreviations

<u>Abbreviation</u>	<u>Type of Project</u>
A	Alteration
A/TCH	Technology Infrastructure
CV	Code Violation
E	Extension
EA	Extension and Alteration
EC	Energy Conservation
HV	Health Violation (Asbestos Abatement)
IAQ	Certified Indoor Air Quality Emergency
N	New School
OT	Oil Tank
PF	Purchase of a Building
PS	Site Acquisition
RE	Relocatable Classrooms (Portables, Modulares)
RNV	SDE-Approved Renovation
RR	Roof Replacement
VE	Vocational Agriculture Equipment

Facility Type Designations

For facilities which are designated other than *regular* education, the project type abbreviation will be preceded by a designation for the type of *facility*. Facility types include the following.

<u>Designation</u>	<u>Type of Facility</u>
BE	Board of Education Central Administration
IC	Interdistrict Cooperative School
MAG	Approved Interdistrict Magnet School
SP	Approved Regional Special Education Facility
VA	Approved Regional Vocational Agriculture Center

For questions regarding state project numbers, please contact the [Bureau of School Facilities](#).

CHANGES IN PROJECT COST and/or SCOPE

Section 10-283(a)(2) of the Connecticut General Statutes states, in part, that the SDE shall submit to the General Assembly “a schedule of authorized projects which have changed in scope or cost to a degree determined by the commissioner.” Changes which would require reauthorization are listed below.

- Significant change to the educational specifications as defined in Section 10-287c-1(5) of the Regulations of Connecticut State Agencies including:
 - ✓ change in the project type (e.g. from extension to new construction or from energy conservation to roof replacement),
 - ✓ change to the programmatic component of the project which alters the learning activities to be conducted in the project, and
 - ✓ addition of a type of construction that would itself require authorization of the General Assembly (e.g. adding a roof replacement to an interior alteration project).
- Change to the category placement of the project pursuant to Section 10-283 of the Connecticut General Statutes (e.g. changing the proposed use of a building addition from classrooms to central administration offices).
- Change in the location where the project was to be undertaken (i.e. a project authorized at one school cannot be transferred to another school. This does not include construction of a new facility for which the actual site location may change prior to construction).
- Significant change to the grade range of the project (e.g. changing a project authorized as a K-6 facility to a facility for grades 9-12. Changing a new facility from K-4 to K-6 would not be considered significant for purposes of this policy.)
- In projects where a cost increase occurs, SDE will evaluate the following in determining the need for reauthorization:
 - ✓ expansion in scope of the original project and the reasons therefore.
 - ✓ unexpected changes to data used in the original determination of project cost.
 - ✓ general cost increases prevalent in the building industry during the project period.
 - ✓ accuracy of original versus current cost estimates for the same work.
- For projects eligible for 100% state funding, incidental cost increases not to exceed 2.5 percent of the authorized project costs will not require supplemental authorization by the Governor and legislature.

In general, projects that have changed in character must be resubmitted for reauthorization. Projects that are essentially the same but have increased in cost due to minor changes in scope, unanticipated code implications or general industry cost increases may not require reauthorization.

TO REPORT CHANGES TO A PROJECT, USE FORM [ED049R](#) AND PROVIDE A WRITTEN EXPLANATION FOR ALL REVISIONS.

Districts must notify SDE of changes to a project which may require reauthorization. This must be as soon as possible, and NO LATER THAN NOVEMBER 1st if the project is to be included on the Priority List for submission to the General Assembly by December 15.

PROJECT DISAPPROVAL AND NULLIFICATION OF ELIGIBILITY

A project will be disapproved and deemed ineligible for reimbursement if any of the following apply:

- It does not comply with the requirements of the state fire marshal or the department of public health and addiction services
- A life-cycle cost analysis approved by the commissioner of public works pursuant to C.G.S. Section 16a-38 is not provided at or prior to final plan review (for projects that require such an analysis)
- It does not comply with the provisions of [C.G.S. Sections 10-290d and 10-291](#).
- It does not meet the standards or school building priorities established by the state board of education
- For all projects , the applicant fails to meet its [Start of Construction Deadline](#)

GENERAL CONTRACTOR VS. CONSTRUCTION MANAGER COMPETITIVE BIDDING REQUIREMENTS

With regard to general contractors and construction managers, SDE has been advised of the following:

General Contractor

A general contractor contracts with an owner for a certain price to build a school building project. He is responsible for completion of the project in accordance with the plans and specifications. The general contractor directly contracts with subcontractors and material men in his own name, coordinates their services, and pays them directly.

If a general contractor is used, only the contract between the general contractor and the town must be publicly bid in accordance with C.G.S. 10-287(b) because all subcontracts are with the general contractor, who, in turn, must furnish a bond under Section 49-41 of the General Statutes.

Construction Manager

A construction manager provides professional services to a project owner including scheduling and coordinating the work and assisting the owner in arranging for the contractors and architects who will actually do the work. He coordinates the efforts of others from the start of the project to the final delivery of the completed facility. The construction manager may be hired through competitive bidding or otherwise. He falls within the concept of "consultant" as defined by Section 4b-55(b) and is thereby expressly exempt from the bond requirements of Section 49-41. When a construction manager is used, the various construction contracts run between the project owner, i.e., the school district, and the individual contractors, who would ordinarily be subcontractors if a general contractor had been engaged. The construction manager performs only the *management and coordination* functions of a general contractor.

If a construction manager is used, all contracts are directly with the town, and each contract must be bid in accordance with C.G.S. 10-287(b). In such a case, each contractor must furnish a bond if his contract falls within the monetary limits of Section 49-41 of the General Statutes.

Questions regarding whether a firm is classified as a general contractor or a construction manager should be directed to your legal counsel. Because Section 10-287c-19(b) of the Regulations requires grant applicants to certify that they have met all legislative and regulatory requirements in the award of contracts, an attorney should be consulted to insure compliance with applicable bond and bid laws.

See also [Bid SDE-Approved Plans](#)

SDE POLICY ON ALLOWANCES

- Although bid allowances may be used as a tool for budgeting and planning, they are not to be included in bid specifications or contract awards.
- Any item(s) for which an allowance has been budgeted must be separately bid and awarded a separate contract at the time the specific items and quantities are known.

CHANGE ORDERS AND ADDENDA

- **Change Orders and Addenda provide an orderly procedure to amend construction contracts but should be used only for unforeseen or emergency conditions and should not total more than ten percent of the original contract sum.**
- Overhead and profit percentages for both general contractor and subcontractor shall be identified at the bidding stage in the Proposal Form or in the Contract under Special Provisions.
- The total mark-up on subcontractors should be limited by contractual language.
- Form [ED042CO](#) Notice of Change Order, with original signatures, must be submitted for all change orders. Sufficient backup documentation is required for SDE *to determine code compliance as well as grant eligibility*. (Include contract documents, such as SK's, where applicable.)
- For state submission, change orders and addenda must be numbered sequentially for each project. (For local purposes, numbering systems are discretionary.)
- Submit change orders as they occur. Do not compile large amounts of change orders and submit them together at the end of the project.
- Effective June 6, 1995, there is no requirement for Change Orders to be publicly bid.
- Unapproved, unreviewed change orders are ineligible for grant payments.

NEW

For projects authorized by the General Assembly after July 1, 2006 with project costs greater than \$10,000,000, grant reimbursement for change orders may be limited. Eligible costs from change orders exceeding 5 percent of authorized costs will only be reimbursed at one-half the project reimbursement rate.

ARCHITECT AND CONSTRUCTION MANAGEMENT SERVICES COMPETITIVE BIDDING REQUIREMENTS

NEW

- Effective July 1, 2007, architectural and construction management services are required to be publicly bid and awarded to the lowest responsible qualified bidder.
- Exceptions to the publicly bid requirement are:
 - Where the town or regional school district is using a state contract
 - Where the contract is less than \$10,000

Circular Letter C-6 Issued October 1, 2007 by the Commissioner provides guidance regarding these new bidding requirements and includes Frequently Asked Questions. Dave Wedge, Chief, Bureau of School Facilities may be contacted at (860) 713-6467 for additional questions.

See [Circular Letter C-6 \(October 1, 2007\)](#)

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